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**EXERCISE RULES OF ENGAGEMENT
FOR THE MILITARY COMPONENT OF
THE UNITED NATIONS MISSION IN Y (MISSION Y)**

INTRODUCTION

1. This document constitutes excerpts from the Rules of Engagement (ROE) for scenario I in the training package for the implementation of the “Inventory” based on situations in the Country Y .
2. This document provides the authority for the use of force and explains policy, 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 designated United Nations military personnel during the UN peacekeeping operation MISSION Y. They are founded on Security Council resolution 1856 (S/RES/1856/2008) of 22 December 2008, as well as on subsequent resolutions of the Security Council on MISSION Y. Where issued as prohibitions, they are orders not to take specific actions. Where issued as permissions, they provide the authority for commanders to take certain specific actions if they are judged necessary to achieve the aim of the mission. The ROE allow for the use of the necessary degree of force to guarantee self-defence and define the circumstances under which the use of force by UN military personnel may be justified.
4. In addition to the main document, the key elements are attached as follows:
 - a. Authorized Rules of Engagement (ROE) for MISSION Y: Annex A
 - b. ROE for MISSION Y –DEFINITIONS & AMPLIFICATIONS: Annex B
 - c. ROE for MISSION Y – DIRECTIONS & PROCEDURES: Annex C
 - d. ROE for MISSION Y – WEAPON STATES: Annex D
 - e. ROE for MISSION Y – SOLDIERS CARD: Annex E

AUTHORITY

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5. The powers and authority of MISSION Y derive from Security Council resolution 1856 (S/RES/1856/2008) of 22 December 2008, as well as from subsequent resolutions of the Security Council on MISSION Y and must be exercised in a manner consistent with the UN mandate in case as described in these resolutions.

AREA OF OPERATIONS

6. The area of operations for the application of these ROE is defined by the territory of the Y. This includes the adjacent territorial sea, superjacent airspace and any designated air and sea corridors to be utilized by the mission.

MISSION

7. The relevant provisions of Security Council resolutions are contained in Annex A - Authorized ROE for MISSION Y.

EXECUTION OF ROE

8. **Principles.**

a. **General:**

- (1) The conduct of peacekeeping operations is guided by the purposes of the Charter of the United Nations and relevant principles of International Law.
- (2) All MISSION Y military personnel must operate within the framework of this document, which has been formulated in accordance with the parameters set out by relevant Security Council Resolutions.
- (3) MISSION Y ROE provides direction to commanders at all levels, governing the use of force within the mission area. They define the degree and the manner in which force may be applied and are designed to ensure that the application of force is controlled and legal. The ROE inform commanders of the constraints imposed and the degree of freedom they have in the course of carrying out their mission.

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- (4) Throughout the conduct of peacekeeping operations, where force is to be used, all MISSION Y military personnel must comply with the international principles of proportionality, the minimum use of force and the requirement to minimize the potential for collateral damage.
- (5) Contingents are only to use weapons authorized by the United Nations in accordance with the respective MOU.
- (6) While the ROE may restrict the manoeuvre and operation of specific weapons systems, they do not:
 - I. Describe specific doctrine, tactics and procedures.
 - II. Address safety-related restrictions.
- b. **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) Self-defence against a hostile force(s) may be exercised by individuals, or individual units under attack, as well as other UN military personnel who are able to assist those individuals or individual units under attack, or which are in imminent danger of being attacked.
- c. **Military Necessity.** The principle of military necessity authorizes the use of only that force which is required to accomplish the mission. Military necessity does not authorize acts otherwise prohibited under international law.
- d. **Alternatives to the Use of Force:** Whenever the operational situation permits, every reasonable effort must be made to resolve a potential hostile incident by means other than the use of force (e.g., through negotiations or assistance including from local authorities).
- e. **Duty to Challenge and Warn.** Before resorting to the use of force, every reasonable step must be taken to deter any person or group from displaying hostile intent or committing a hostile act. The procedure required by the UN to challenge and warn is given at Annex C.

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- f. **Duty to Observe Fire/Target Identification.** See Annex C, paragraphs 1 and 6.
- g. **Duty to Use Minimum and Proportional Force:**
- (1) Any force used must be limited, in its intensity and duration, to that which is necessary and proportionate to achieve the objective. In some circumstances operational urgency may dictate the immediate use of deadly force.
 - (2) The use of force should be commensurate with the level of the threat. However, the level of response may have to be higher in order to minimize the cost in terms of UN casualties and civilian casualties.
 - (3) Commanders should, where appropriate, consider the use of alternatives to the use of physical force such as negotiation, psychological methods, and other non-lethal means, which may include the deployment or manoeuvre of larger forces in order to demonstrate resolve.
- h. **Avoidance of Collateral Damage.** When force is used, all necessary measures are to be taken to minimize collateral damage.
- i. **Duty to Report.** Each 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 and/or damages or not. More details are included in Annex C.
- j. **Use of Force beyond Self-Defence.**
- (1) The use of force beyond self-Defence may be applied only where necessary to fulfill the MISSION Y mandate, in the particular circumstances listed below, consistent with the relevant provisions of relevant Security Council resolution and subject to the conditions set out in these ROE:
 - I. To afford to protect civilians under imminent threat of physical violence;
 - II. To ensure security and freedom of movement of MISSION Y personnel;
 - III. To ensure the protection of United Nations personnel, facilities, installations and equipment;

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IV. Permit MISSION Y personnel to discharge their duties.

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

9. **Applicability.** The ROE set out in this document apply to all armed military personnel assigned to MISSION Y as authorized by the Security Council.

10. **Responsibility of the Force Commander and Subordinate Commanders:**

- a. The implementation of the ROE is a command responsibility. The ROE are addressed to the Force Commander, who is then responsible for issuing them to all Subordinate Commanders.
- b. The Force Commander and his/her Subordinate Commanders are not permitted to exceed these ROE, but may, when and as appropriate, recommend more restrictive limits on the actions of assigned forces, for United Nations Headquarters (UN HQ) approval. The Force Commander will issue the ROE to all contingents as received from UNHQ. He/she will ensure that all military personnel understand and apply these ROE correctly. The Force Commander and/or the subordinate commanders may issue additional guidance on the ROE and may incorporate these ROE into appropriate orders or instructions. The subordinate commanders must inform the Force Commander of such instructions issued by them.
- c. All commanders must seek clarification if they consider the authorized ROE to be unclear or inappropriate for the military situation.
- d. It is the responsibility of the contingent commanders to ensure that all those under their command understand these ROE. To this end, the ROE must be translated in a clear and concise way into the language of each troop-contributing country. To assist in this process, they must issue to each individual an ROE Aide-Memoir (Blue Card), translated into the language(s) appropriate for each contingent.
- e. Training in the application of ROE is the responsibility of commanders at all levels. ROE training sessions must be conducted on a regular basis and as a minimum once per month and whenever MISSION Y military personnel, including individual replacements or reinforcements as authorized by the Security Council, are deployed into the mission area.

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- f. The Force Commander shall issue a Detention and Disarmament Policy setting out his directives for implementing the ROE, including:
- (1) grounds for apprehension/detention;
 - (2) search procedure following apprehension;
 - (3) detention procedure following apprehension
 - (4) weapons confiscation and disarmament;
 - (5) treatment of detainees
11. **ROE Contravention.** The following procedures apply in dealing with a UNPKO ROE contravention:
- a. Any ROE contravention must be reported to UN HQ (DPKO), through the UN chain of command, by the quickest possible means.
 - b. Flanking and subordinate commands should be informed where the consequences are likely to affect them.
 - c. Remedial measures, including training, must be taken to avoid reoccurrence.
 - d. Any contravention must be subject to a formal investigation. Any alleged contravention of the ROE must be investigated in accordance with the MISSION Y Standard Operating Procedures and the United Nations Directives for Disciplinary Matters involving Military members of National Contingents. The findings will be forwarded to United Nations Headquarters, which will provide relevant evidence and findings to the troop contributing country for follow-up and disciplinary action. The troop contributing country may also undertake its own investigation.
12. **Security Classification.** These ROE are excerpts, for exercise only and should be classified as **EXERCISE ONLY UN RESTRICTED**.

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

14. **Revocation.** N/A

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Under-Secretary-General
for Peacekeeping Operations

31 Oct 2010

Annexes:

- A. Authorized Rules of Engagement for MISSION Y
- B. ROE for MISSION Y – Definitions and Amplifications
- C. ROE for MISSION Y – Supporting Directives and Procedures
- D. ROE for MISSION Y – Weapon States
- E. MISSION Y Soldiers Card

**ANNEX A TO
AUTHORIZED EXERCISE RULES OF ENGAGEMENT
FOR MISSION Y**

Security Council Resolution

1. The mandate of the United Nations Mission in the Y (MISSION Y) is set out in Security Council resolution 1925 (2010) of 28 May 2010 (S/RES/1925/2010), as well as in subsequent resolutions of the Security Council on MISSION Y.

MISSION Y Mandate: see Annex A to Scenario I Y

Authorization to use force

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2. Acting under Chapter VII of the Charter and in pursuance of its mandate, MISSION Y may use all necessary means, within the limits of its capacity and in the areas where its armed units are deployed, to carry out the following tasks:

- (a) Ensure the protection of civilians, including humanitarian personnel, under imminent threat of physical violence, in particular violence emanating from any of the parties engaged in the conflict;
- (b) Contribute to the improvement of the security conditions in which humanitarian assistance is provided, and assist in the voluntary return of refugees and internally displaced persons;
- (c) Ensure the protection of United Nations personnel, facilities, installations and equipment;
- (d) Ensure the security and freedom of movement of United Nations and associated personnel;
- (e) Carry out joint patrols with the national police and security forces to improve security in the event of civil disturbance;
- (f) Deter any attempt at the use of force to threaten the Goma and Nairobi processes from any armed group, foreign or Congolese, particularly in the eastern part of the Y, including by using cordon and search tactics and undertaking all necessary operations to prevent attacks on civilians and disrupt the military capability of illegal armed groups that continue to use violence in that area;
- (g) Coordinate operations with the FARDC integrated brigades deployed in the eastern part of the Y and support operations led by and jointly planned with these brigades in accordance with international humanitarian, human rights and refugee law with a view to:
 - Disarming the recalcitrant local armed groups in order to ensure their participation in the disarmament, demobilization and reintegration process (DDR) and the release of children associated with those armed groups;
 - Disarming the foreign armed groups in order to ensure their participation in the disarmament, demobilization, repatriation, resettlement and reintegration process (DDRRR) and the release of children associated with those armed groups;

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- Preventing the provision of support to illegal armed groups, including support derived from illicit economic activities;

- (i) Contribute to the implementation of the national programme of disarmament, demobilization and reintegration (DDR) of Congolese combatants and their dependants, with particular attention to children, by monitoring the disarmament process and providing, as appropriate, security in some sensitive locations, as well as supporting reintegration efforts pursued by the Congolese authorities in cooperation with the United Nations Country Team and bilateral and multilateral partners;

- (k) Provide military training, including in the area of human rights, international humanitarian law, child protection and the prevention of gender-based violence, to various members and units of the FARDC integrated brigades deployed in the eastern part of the Y, as part of international broader efforts to support the security sector reform;

SPECIFIC RULES OF ENGAGEMENT FOR MISSION Y

3. The following ROE have been authorized for use by armed personnel serving in MISSION Y:

Rule 1 — Level of Force

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

Rule No 1.1 To defend oneself or other UN personnel against a hostile act or a hostile intent.

Rule No 1.2 To resist attempts to abduct or detain oneself or other UN personnel.

Rule No 1.3 To defend against a hostile act or hostile intent members of units of the Armed Forces of the Y (FARDC) or the Congolese National Police (PNC) that one's unit has been assigned to assist or support.

Rule No 1.4 To resist attempts to abduct or detain members of units of the Armed

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Forces of the Y (FARDC) or the Congolese National Police (PNC) that one's unit has been assigned to assist or support.

- Rule No 1.5 To defend individuals designated by the SRSG in consultation with the Force Commander against a hostile act or a hostile intent.
- Rule No 1.6 To resist attempts to abduct or detain individuals designated by the SRSG in consultation with the Force Commander.
- Rule No 1.7 To protect civilians, including humanitarian workers, under imminent threat of physical violence. When and where possible, permission to use force should be sought from the immediate superior commander.
- Rule No 1.8 To protect UN facilities, installations, equipment, areas 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 1.9 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 No1.10 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 possible, permission to use force should be sought from the immediate superior commander.
- Rule No1.11 Against any person or group that, through the use or threat of the use of armed force, limits or tends to limit the freedom of movement of humanitarian workers, in order to ensure their freedom of movement. When and where possible, permission to use force should be sought from the immediate superior commander.
- Rule No1.12 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 members of units of the Armed Forces of the Y (FARDC) or of the Congolese National Police (PNC) that one's unit has been assigned to assist or support, in order to ensure their freedom of movement. When and where possible, permission to use force should be sought from the immediate superior commander.

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- Rule No1.13 To prevent or put a stop to the commission of a particularly serious crime that involves a grave threat to life or of serious bodily injury.
- Rule No1.14 To prevent or put a stop to acts of civil unrest. When and where possible, permission to use force should be sought from the immediate superior commander.
- Rule No1.15 To prevent the supply of weapons, related materiel, military advice and training and other supplies and logistic support to illegal armed groups, including illegal foreign armed groups, when supporting the Armed Forces of the Y (FARDC). When and where possible, permission to use force should be sought from the immediate superior commander.
- Rule No1.16 To prevent or suppress hostile activities or operations by illegal armed groups, including illegal foreign armed groups. When and where possible, permission to use force should be sought from the immediate superior commander.
- Rule No1.17 To prevent forcible passage by individuals or groups through roadblocks, checkpoints or cordons whose establishment has been authorized by the Force Commander if that forcible passage involves a grave threat to life or of seriously bodily injury.
- Rule No1.18 Against any person or group that, through the use or threat of the use of armed force, is preventing or demonstrating an intent to prevent oneself or other members of one's unit from carrying out lawful orders issued by a superior commander, in order to ensure the ability of oneself or of other members of one's unit to carry out those orders.

Use of force, **excluding deadly force:**

- Rule No1.19 To protect UN facilities, installations, equipment, areas or goods designated by the SRS 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 No1.20 To protect key facilities, installations, equipment, areas or goods designated by the SRS 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 No1.21 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 UN

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personnel, in order to ensure their freedom of movement.

- Rule No1.22 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 workers, in order to ensure their freedom of movement.
- Rule No1.23 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 members of units of the Armed Forces of the Y (FARDC) or of the Congolese National Police (PNC) that one's unit has been assigned to assist or support, in order to ensure their freedom of movement.
- Rule No1.24 To prevent or put a stop to the commission of a crime when providing assistance to the Congolese National Police or to the Armed Forces of the Y (FARDC).
- Rule No1.25 To disperse assemblies that are unlawful but not violent. When and where possible, permission to use force should be sought from the immediate superior commander.
- Rule No.1.26 To prevent forcible passage by individuals or groups through roadblocks, checkpoints or cordons whose establishment has been authorized by the Force Commander if that forcible passage does NOT involve a grave threat to life or of seriously bodily injury.
- Rule No.1.27 Against any person or group that, through the use or threat of the use of unarmed force, is preventing or demonstrating an intent to prevent oneself or other members of one's unit from carrying out lawful orders issued by a superior commander, in order to ensure the ability of oneself or of other members of one's unit to carry out those orders.
- Rule No1.28 To prevent the escape of any apprehended or detained person, pending hand-over to appropriate civilian 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, is authorized.

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- Rule No.2.2 Use of explosives in order to destroy installations, facilities, equipment, supplies or workings 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 If the use of force against a person or group is authorized by Rule 1, detention of that person or of members of that group is also 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 a superior commander, is authorized.

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

- Rule No 5.1 All detained persons are to be handed over to appropriate local authorities as soon as possible.

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**ANNEX B TO
AUTHORIZED EXERCISE RULES OF ENGAGEMENT FOR MISSION
Y**

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 that 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 that is neither intended nor likely to cause death, regardless of whether death actually results.
 - d. **Minimum Force:** The minimum degree of authorized force that is necessary and reasonable in the circumstances, to achieve the objective.

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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.

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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.

**ANNEX C TO
EXERCISE RULES OF ENGAGEMENT FOR MISSION Y
SUPPORTING DIRECTIONS AND PROCEDURES**

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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.** MISSION Y military personnel should avoid any action that 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.

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- 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 MISSION Y.

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 MISSION Y 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 MISSION Y 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 MISSION Y 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

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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 MISSION Y as specified in this ROE.

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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 MISSION Y 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

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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.

**ANNEX D
EXERCISE RULES OF ENGAGEMENT FOR MISSION Y
WEAPON STATES**

1. **General.** The weapon states provided below may be authorized by the Force Commander as he believes operationally appropriate provided the state selected does not exceed the authority given by Security Council resolution 1856 (S/RES/1856/2008) of 22 December 2008 and all other relevant subsequent resolutions and as defined in the Numbered ROE for MISSION Y.

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 — Personal Weapons (Rifles, carbines, light machine guns and pistols);

- 1.1 Personal weapons should be carried in a non-offensive manner.
- 1.2 Personal weapons may be carried by all military personnel serving in formed MISSION Y military units, but ammunition is to be carried separately from the weapon.
- 1.3 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.
- 1.4 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 2 — Anti-tank weapons;

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- 2.1 Anti-tank weapons/RPG may be carried covertly by designated MISSION Y military personnel.
- 2.2 Anti-tank weapons/RPG may be carried overtly by designated MISSION Y military personnel.

State 3 — Riot Control Weapons;

- 3.1 No riot control weapons may be carried.
- 3.2 Riot control weapons may be issued to MISSION Y patrols, but are to be carried in patrol vehicles and must remain out of sight of non-UN personnel.
- 3.3 Riot control weapons may be carried openly.

State 4 — Laser Equipment;

- 4.1 Ground/vehicle laser sources may only be used in the "Passive" state.
- 4.2 Ground/vehicle laser 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 laser.

State 5 — Mortars;

- 5.1 Mortars may be carried covertly by MISSION Y patrols and in MISSION Y vehicles.
- 5.2 Mortars may be carried overtly by MISSION Y patrols and in MISSION Y vehicles.

State 6 — Ground, Vehicle and Aircraft- Mounted Weapons (Crew served weapons);

- 6.1 Ground, vehicle, vessel and aircraft-mounted 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, i.e., not "charged."
- 6.2 Ground, vehicle, vessel and aircraft mounted weapon systems may be prepared for firing, i.e., "charged."

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State 7 — Helicopter- Mounted Weapons;

- 7.1 Helicopter-mounted missiles may not be deployed.
- 7.2 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.
- 7.3 Helicopter mounted guns and missiles may be deployed. Guns may have a loaded magazine or belted ammunition inserted in or attached to the weapon and may be cocked and ammunition inserted into the breech or chamber. Missiles may be prepared for immediate firing.

**ANNEX E
EXERCISE UNITED NATIONS Force (MISSION Y)
RULES OF ENGAGEMENT – AIDE-MEMOIRE (SOLDIERS CARD)**

GENERAL RULES FOR USE OF FORCE

1. The principles of minimum force and proportionality shall apply at all times and in all circumstances.
2. Wherever the operational situation permits, every reasonable effort shall be made to control a situation through measures short of force, including personal contact and negotiation, visual signals, maneuvers, charging of weapons and firing warning shots.
3. The use of force, including deadly force, shall only be resorted to if all other means to control the situation have failed or do not hold any promise of achieving the authorized objective.
4. Any force used must be limited in its intensity and duration to what is necessary to achieve the authorized objective and must be commensurate with the level of the threat. In some cases, operational urgency may dictate the immediate use of deadly force.

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5. Use force only when absolutely necessary to achieve your immediate aim, to protect yourself, your soldiers, UN or other designated personnel, installations, equipment and civilians under imminent threat of physical violence.
6. The decision to open fire shall be made only on the order and under the control of the on-scene Commander, unless there is insufficient time to obtain such an order. Before opening fire, give a final warning at least three times, either in French, which is the national and administrative language in the mission area, or in English which is also an official language of the National Government:

**“NATIONS UNIES HALTE OU JE TIRE”
“UNITED NATIONS, STOP OR I WILL FIRE”**

You may open fire without warning only when an attack is so unexpected that a moment's delay could lead to death or grievous injury to yourself, to other members of the MISSION Y military component or to other persons who are under protection of MISSION Y military component as specified in these ROE.

7. Fire must be aimed and controlled. Automatic fire will be opened only as last resort. If possible, a single shot should be aimed at non-vital parts of the body in order not to kill. Indiscriminate fire is not permitted. Fire for effect must not last longer than necessary to achieve the immediate aim.
8. Avoid or minimize collateral damage.
9. After fire has ceased, render medical assistance and record the details of the incident and report them as soon as possible through the chain of command, whether or not casualties have occurred.
10. When in doubt, always seek clarification from higher command.

You are allowed to use force: UP TO AND INCLUDING DEADLY FORCE:

1. To defend oneself, other UN personnel, individuals designated by the Head of Mission or other international personnel against a hostile act or a hostile intent;
2. To resist attempts to abduct or detain oneself, other UN personnel, other international personnel or individuals designated by the Head of Mission;

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3. To protect installations, facilities, equipment, areas or goods designated by the Head of Mission against a hostile act or hostile intent;
4. To protect civilians under imminent threat of physical violence, when competent local authorities are not in a position to render immediate assistance*;
5. To resist attempts by any person or group that limits or intends to limit the freedom of movement of UN personnel, humanitarian workers or individuals designated by the Head of Mission*;

** when and where possible, permission to use force should be sought from the immediate superior commander.*

You are allowed to use force, EXCLUDING DEADLY FORCE:

6. To prevent the escape of any apprehended or detained person, pending hand-over to appropriate civilian authorities;
7. To prevent forcible passage by individuals or groups through a checkpoint** and to detain those who have forcibly effected passage through a checkpoint**.

*** Whose establishment has been authorized by the Force Commander.*

8. Detained persons are to be handed over to appropriate local authorities as soon as possible.

Hostile Act. A hostile act is defined as an action where the intent is to cause death, bodily harm or destruction of designated property.

Hostile Intent. Hostile intent is defined as the threat of imminent use of force, 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:

- The capability and preparedness of the threat;

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- The available evidence which indicates an intention to attack;
- Historical precedent within the Mission's Area of Responsibility.

EXERCISE