



**GUIDELINES**

**FOR THE DEVELOPMENT OF RULES OF  
ENGAGEMENT (ROE) FOR THE UNITED  
NATIONS PEACEKEEPING OPERATIONS  
(UNPKO)**

**DEPARTMENT OF PEACEKEEPING OPERATIONS  
MILITARY PLANNING SERVICE  
NOVEMBER 2000**

**UN RESTRICTED**  
**GUIDELINES FOR THE RULES OF ENGAGEMENT**

**MPS/981**  
**27 November 2000**

**GUIDELINES FOR THE DEVELOPMENT OF RULES OF**  
**ENGAGEMENT (ROE) FOR THE UNITED NATIONS**  
**PEACEKEEPING OPERATIONS (UNPKO)**

**Introduction**

1. United Nations Rules of Engagement (ROE) provide the parameters within which armed military, gendarmerie/civilian police personnel assigned to a United Nations Peacekeeping Operations (UNPKO) may use force. In addition, they provide one of the key elements for maintaining political and military control over UNPKO on the ground. As an adjunct, they also reduce the potential for UN armed military, gendarmerie/civilian police personnel on active duty to contravene the provisions of International Humanitarian Law, including the Laws of Armed Conflict. Finally, ROE also assist the Force Commander (FC) in implementing military objectives of the mandate of a UNPKO pursuant to the pertinent Security Council resolutions (SCR).

**Context**

2. These Guidelines are provided as an essential element of the UN's developing doctrine for Peacekeeping Operations (PKO), thereby assisting in the development of ROE for a new UNPKO. It is intended that the document will provide simple and informative direction which will not only expedite the production of ROE for UNPKO but may also be used for generic training purposes.

**Aim**

3. The aim of these Guidelines is to ensure consistency in the development and implementation of ROE for UNPKO in order to simplify and speed the planning process.

**Format of ROE document for a Specific UNPKO**

4. The document containing the ROE for a specific UNPKO is to be structured as shown in the " Sample ROE" example at Attachment 2. The basic format is to be as follows:

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- a. Main Body. The main body explains the requirement for ROE, UN doctrinal policy, the ROE planning process for implementing changes and practical instructions on implementation. Most importantly, it outlines the mandate which specifies the numbered ROE which should apply to the relevant UNPKO. The script for the main body of ROE to a specific UNPKO is given in the example attached at Attachment 1. Those areas of the script which are highlighted in the attached example reflect the elements of the document which will be different for each UNPKO. The remainder of the example must be retained as shown.
- b. List of Numbered ROE (Annex A). This list contains the rules of engagement applicable to the specific UNPKO pursuant to its mandate as outlined in the Security Council resolution(s) [SCR(s)], as drawn from the UN Master List of Numbered ROE.
- c. Definitions (Annex B). To ensure the cohesion of command and control during the use of ROE, a specific set of definitions is provided in Annex B to Attachment 2. These definitions are to be used in all future ROE as appropriate.
- d. Supporting Directions and Procedures (Annex C). This annex provides the directions and procedures to be followed by UN armed military personnel when undertaking certain duties.
- e. Weapon States (Annex D). This final annex identifies various weapon states that may be authorised by the FC without recourse to United Nations Headquarters (UNHQ).

**UN Master List of Numbered ROE**

5. The UN Master List of Numbered ROE (contained in Attachment 1) provides the rules from which specific ROE for future UNPKO should be drawn. The Master List is intended to cover the broad spectrum of requirements for any UNPKO. However, it is not deemed to be exhaustive and may be subject to subsequent adjustments as required.

6. The ROE for a particular UNPKO, which are to be selected from the UN Master List of ROE, are derived from the interpretation of the authority conferred upon the UNPKO by the relevant SCR(s).

**Future Planning Process**

7. Within UNHQ the responsibility to prepare ROE rests with the Military Advisor (MILAD) in the Department of Peacekeeping Operations (DPKO). However,

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the initiation of work on a UNPKO's ROE will depend on the status of the UNPKO:

- a. New Peacekeeping Operations. When the UNPKO is established by the Security Council, Military Planning Service (MPS) in consultation with the Office of Operations (OO) will prepare a draft of the ROE in the light of the 'Sample ROE' attached with these guidelines and the mandate of the UN Mission. It will reflect the UNPKO's military objectives as set out in the relevant SCR(s) and, as appropriate, any recommendations made in connection with ROE contained in the Secretary-General's relevant reports. The OO and the Office of Legal Affairs (OLA) will then review the draft ROE. Under-Secretary-General (USG) for PKO will approve the ROE after the necessary review by the OO and the OLA. The FC, when appointed may review these ROE, in consultation with the Head of the Mission and may recommend any change to UNHQ, if considered necessary. The Military Advisor, the OO and the OLA will review all such recommendations. The necessary changes will be approved by the USG for PKO as considered appropriate. In case of any change, new ROE will be issued by the USG for PKO, revoking the existing ROE.
- b. On-Going Peacekeeping Operations. Where a UNPKO is already deployed, the Force Commander may propose changes to the ROE as required. Such proposals are to be reviewed at UNHQ in accordance with the procedure outlined in paragraph 7a above. If the recommendation is agreed, the USG for PKO will issue a formal change to the ROE.

**Note:** These ROE can only be amended or changed with the authority of the USG for PKO.

**Limitations**

8. Any UN guidelines/directive(s) in no way restricts an individual's inherent right to act in self-defence.

**Review**

9. This document and all of its attachments (including the annexes) have been reviewed by both DPKO and OLA. Therefore, in preparing new ROE, if changes to the language of any part of the proposed text are deemed necessary, the proposed changes must be subject to the same review procedures. As a routine review/revision, these "Guideline" and attached "Sample ROE" will be revised and updated by MPS after every one year, taking into account all comments and observation of the OO and

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the OLA on mission specific ROE during this period. Any suggestion made by Troop Contributing Countries (TCCs) will also be taken in to account during this revision. MPS/ MILAD's Office will provide a copy of the revised " Guidelines and Sample ROE", dully approved by USG, to the OO, the OLA and DPKO Training Unit, after all periodic reviews/revisions.

**Use of Sample ROE for the Training Purpose**

11. The Training Unit will provide these " Guidelines and Sample ROE " to all TCCs for generic training of their troops for UNPKO. It must be clearly mentioned that where as Sample ROE may be used for generic training purpose they do not substitute the mission specific ROE. Whenever any TCC decides to contribute armed troops to any UNPKO, these troops must receive adequate information and training about the approved ROE for that particular mission.

**Summary**

11. ROE are one of the key documents in any PKO. It is essential that they are unambiguous and easy to use. Although this instruction defines what should be included in future ROE for specific UNPKO, adjustments may have to be made if so required.

Jean-Marie Guhenno  
Under-Secretary-General  
for Peacekeeping Operations  
27 November 2000

**Attachments:**

- |    |                                                                 |                     |
|----|-----------------------------------------------------------------|---------------------|
| 1. | UN Master List of Numbered Rules of Engagement.                 | (Pink)              |
| 2. | Example of ROE for a Specific UNPKO <sup>1</sup> .              | (Blue)              |
| 3. | Example of Code Cable for SRSG, UNPKO                           | (White)             |
| 4. | Example of a ROE Card for Armed UN Personnel.<br>Training Unit) | (To be developed by |

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<sup>1</sup> The example is prepared for the **Military Component** (which could include armed units/contingents) of UNPKO. Should in addition/ or only armed gendarmerie and /or civilian police personnel are deployed, separate ROE for this component(s) will be issued by the DPKO.

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**ATTACHMENT 1 TO**  
**MPS\981**  
**Dated 27 November 2000**

**UN MASTER LIST OF NUMBERED ROE**

1. The following ROE, when authorised, permit United Nations armed military personnel to use force in the circumstances specified below. However, the principle of minimum necessary force is to be observed at all times.
2. The UN Master List contains 4 sets of rules: Use of Force (Rule 1), Use of Weapon Systems (Rule 2), Authority to Carry Weapons (Rule 3) and Reaction to Civil Action/Unrest (Rule 4). The list provides various options from which a selection will be made, under each of the four rules, to suit, as appropriate, a specific UNPKO (See example contained in Annex A of Attachment 2).

**Rule 1 - Use of Force**

- |                           |                                                                                                                                                    |
|---------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------|
| Rule No. 1.1              | Use of force, up to and including deadly force, to defend oneself and other UN personnel against a hostile act or a hostile intent, is authorised. |
| Rule No. 1.2 <sup>1</sup> | Use of force, up to and including deadly force, to defend other international personnel against a hostile act or a hostile intent, is authorised.  |
| Rule No. 1.3              | Use of force, up to and including deadly force, to resist armed attempts to abduct or detain oneself and other UN personnel, is authorised.        |
| Rule No. 1.4 <sup>2</sup> | Use of force, up to and including deadly force, to resist armed                                                                                    |

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<sup>1</sup> This Rule can only be included in addition to Rule 1.1 if consistent with the mandate of the UNPKO.

<sup>2</sup> This Rule can only be included in addition to Rule 1.3 if consistent with the mandate of the UNPKO.

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attempts to abduct or detain other international personnel, is authorised.

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

Rule No. 1.6<sup>3</sup>      Use of force, up to and including deadly force, to protect key installations, areas or goods designated by the Head of the Mission in consultation with the Force Commander, against a hostile act, is authorised.

**OR:**

Rule No. 1.7      Use of force, up to but excluding deadly force, to protect key installations, areas or goods designated by the Head of the Mission in consultation with the Force Commander, against a hostile act, is authorised.

Rule No. 1.8      Use of force, up to and including deadly force, to defend any civilian person who is in need of protection against a hostile act or hostile intent, when competent local authorities are not in a position to render immediate assistance, is authorised. When and where possible, permission to use force should be sought from the immediate superior commander.

Rule No. 1.9      Use of force to prevent the escape of any apprehended or detained person, pending hand-over to appropriate civilian authorities, is authorised. In case of necessity to act in self-defence, use of force, up to and including deadly force, is authorised.

Rule No. 1.10      Use of force, up to and including deadly force, against any individual and/or party who limits or intends to limit freedom of movement, is authorised.

Rule No. 1.11<sup>4</sup>      Use of force, up to and including deadly force, to resist armed/forceful attempts to prevent peacekeepers from discharging their duties, is authorised.

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<sup>3</sup>      This Rule can only be included in addition to Rule 1.5 if consistent with the mandate of the UNPKO.

<sup>4</sup>      This Rule can only be included in the ROE of a particular UNPKO if specifically authorised by the SCR.

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#### **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 authorised.
- Rule No. 2.2      Indiscriminate pointing of weapons in the direction of any person is prohibited.
- Rule No. 2.3      Firing of all weapons other than for organised training and as authorised in these ROE, is prohibited.
- Rule No. 2.4      Firing of warning shots is authorised.
- Rule No. 2.5      Use of riot control equipment and agents is authorised.
- Rule No. 2.6      Use of lasers for survey, range-finding and targeting is authorised.

#### **Rule 3 - Authority to Carry Weapons**

- Rule No. 3.1      Carriage of weapons is not authorised.
- Rule No. 3.2      Carriage of unloaded personal weapons, whilst on duty, is authorised.
- Rule No. 3.3      Carriage of unloaded personal weapons, both on duty and as designated by the Force Commander, is authorised.
- Rule No. 3.4      Carriage of loaded personal weapons is authorised.
- Rule No. 3.5      Hand-held support weapons such as machine guns, light mortars and hand-held anti-tank weapons, may be carried in UN vehicles but must be obscured from the public's view.
- Rule No. 3.6      Overt carriage by individuals of hand-held support weapons such as machine guns, light mortars and hand held anti-tank weapons, is authorised.

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**Rule 4 - Reaction to Civil Action/Unrest**

- |                           |                                                                                                                                                                                                                                   |
|---------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Rule No. 4.1              | Action to counter civil unrest is not authorised.                                                                                                                                                                                 |
| Rule No. 4.2              | In the absence of local police authority, detention of any person who commits or threatens to commit a crime, is authorised.                                                                                                      |
| Rule No. 4.3              | Detention of individuals or groups who commit a hostile act or demonstrate a hostile intent against oneself, one's unit or UN personnel is authorised.                                                                            |
| Rule No. 4.4 <sup>5</sup> | Detention of individuals or groups who commit a hostile act or demonstrate a hostile intent against other international personnel is authorised.                                                                                  |
| Rule No. 4.5 <sup>6</sup> | Detention of individuals or groups who commit a hostile act or demonstrate hostile intent against installations and areas or goods designated by the Head of the Mission in consultation with the Force Commander, is authorised. |
| Rule No. 4.6              | Searching of detained person(s) for weapons, ammunition and explosives, is authorised.                                                                                                                                            |
| Rule No. 4.7              | Disarming armed individuals or groups, when so directed by the Force Commander, is authorised.                                                                                                                                    |

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<sup>5</sup> This Rule can only be included in addition to Rule 4.3 if consistent with the mandate of the UNPKO.

<sup>6</sup> Idem.

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**Attachment 2 To**  
**MPS\981**  
**Dated 17 November 2000**

**THIS IS AN EXAMPLE ONLY**

**MPS/-33**  
**Dated [ ] Month/ Year**

**RULES OF ENGAGEMENT**  
**FOR THE MILITARY COMPONENT**  
**OF THE UNITED NATIONS PEACEKEEPING OPERATION**  
**IN ----- [UNM---**

**INTRODUCTION**

1. This document, including all of its Annexes (A-D), constitutes the entire Rules of Engagement (ROE) for the United Nations Mission in ---- [UNM---].
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, [UNM---]. They are founded on UN Security Council resolution [ ]. 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. While remaining predominantly defensive in nature, the ROE allow for the use of the necessary degree of force to guarantee self-defence and provide a definition of the circumstances under which the use of force by [UNM---] military personnel may be justified.
4. In addition to the main document, the key elements are attached as follows:
  - a. Authorized Numbered ROE for [UNM---] : Annex A
  - b. UN Definitions (for use with UN ROE) : Annex B
  - c. Supporting Directions and Procedures, : Annex C
  - d. UNPKO Weapon States : Annex D

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**AUTHORITY**

5. The powers and authority of [UNM---] is derived from Security Council resolution [---] and must be exercised in a manner consistent with [UNM---]'s mandate as described in this resolution.

**MISSION**

6. The relevant provisions of Security Council resolution [xxxx (xxxx) of xx Month/Year] for [UNM---] are contained in Annex A - Authorised ROE for [UNM---].

**EXECUTION OF ROE**

7. **Principles.**

a. **General:**

- (1) The conduct of military operations is controlled by the provisions of international law.
- (2) [UNM---] 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) [UNM---] ROE provide 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 degrees of freedom they have, in the course of carrying out their mission.
- (4) The ROE are to be translated in a clear and concise way into the language of each participating nationality. Throughout the conduct of military operations, where armed force is to be used, [UNM---] military personnel must comply with the international legal principles of proportionality, the minimum use of force and the requirement to minimise the potential for collateral damage.

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- (5) While the ROE may restrict the manoeuvre and operation of specific weapons systems, they do not:
  - (a) Describe specific doctrine, tactics and procedures.
  - (b) Address safety-related restrictions.
- b. International Law including Law of Armed Conflict. [UNM---] military personnel are required to comply with International Law, including the Law of Armed Conflict (LOAC), and to apply the ROE in accordance with those laws as set out in the Secretary-General's Bulletin of 6 August 2000 on the "Observance by United Nations forces of international humanitarian law [ST/SGB/1999/13]"
- 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 compelling evidence (in the prevailing context) that hostile units or persons are committed to an immediate attack.
  - (3) 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. Potentially hostile forces which are beyond the range of their known weapon systems, or are not closing with UN military personnel, are not to be attacked without authority or clear evidence that a hostile act from those forces is imminent.
- d. Military Necessity. 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 a party(s) or any person from committing a hostile act. 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.
  - g. **Duty to Use Minimum and Proportional Force:**
    - (1) Unless operational urgency dictates the immediate use of deadly force, any force used must be limited, in its intensity and duration, to that which is necessary to achieve the objective.
    - (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 minimise 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 deception, psychological methods, negotiation 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 avoid collateral damage.
  - i. **Duty to Report.** Each confrontation resulting in a detention, or involving the use of deadly force, is to be reported through the chain of command as soon as possible, whether it results in casualties or not. More details are included in Annex C.
  - j. **Right to Maintain Position.** [UNM---] military personnel may maintain their position, personnel or equipment when confronted with a hostile act/intent and in such circumstances, may also use necessary force as authorised.
8. **Applicability.** The ROE set out in this document apply to all national military personnel assigned to [UNM---] as authorised by the Security Council.
9. **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, authorise more restrictive limits on the actions of assigned forces, subject to United Nations Headquarters

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(UN HQ) approval. A commander may issue the ROE as received from UN HQ, add additional guidance or amplification, or incorporate ROE into appropriate orders or instructions.

- c. All commanders must seek clarification if they consider the authorised ROE 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 Aide-Memoire (Blue Card), translated into the language(s) appropriate for their own contingent, to each individual. This is to be done before the contingent can be considered to be effective.
- e. Training in the application of ROE is the responsibility of commanders at all levels. ROE training sessions should be conducted on a regular basis and as a minimum, once per month and whenever [UNM---] 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 a UNPKO ROE contravention:

- a. Any ROE contravention is to 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 should be taken to avoid reoccurrence.
- d. Any contravention must be subject to a formal investigation. The Force Commander is to convene a board of inquiry which is to forward its findings to the Under-Secretary-General for Peacekeeping Operations as soon as possible.

11. **Security Classification.** The ROE should be classified as **UN RESTRICTED**.

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

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13. **Revocation**1. ROE of the Military Component of United Nations Mission in-----  
(UNM---), dated -----, are hereby revoked.

Jean-Marie Guhénno  
Under-Secretary-General  
for Peacekeeping Operations  
(Date/ Month / year)

**Annexes:**

- A. Authorised Numbered ROE for (UNM---).
- B. UN Definitions (for use with UN ROE).
- C. Supporting Directions and Procedures.
- D. UNPKO Weapon States.

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1 To be included only if the previously issued ROE are being revoked.

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**Annex A To**  
**MPS\--33**  
**Dated** \_\_\_\_\_

**EXAMPLE ONLY**

**AUTHORISED NUMBERED ROE FOR (UN---)**

**SECURITY COUNCIL RESOLUTION(S)**

1. The Security Council, by its Resolution [\_\_\_\_], decided "to establish a United Nations Mission in the ----[UNM---] with effect from [-----]."
2. Under the provisions of the Security Council Resolution [\_\_\_\_], [UNM---] Military Component has the following mandate:

(The mandate should be spelled out)

**SPECIFIC ROE FOR (UNM---)**

3. The following ROE rules have been authorised for use by the UN armed military personnel serving in (UN---).

**Rule 1 - Level of Force**

- |                     |                                                                                                                                                           |
|---------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|
| <u>Rule No. 1.1</u> | <u>Use of force, up to and including deadly force, to defend oneself and other UN personnel against a hostile act or a hostile intent, is authorised.</u> |
| <u>Rule No. 1.2</u> | <u>Use of force, up to and including deadly force, to defend other international personnel against a hostile act or a hostile intent, is authorised.</u>  |
| <u>Rule No. 1.3</u> | <u>Use of force, up to and including deadly force, to resist armed attempts to abduct or detain oneself and other UN personnel, is authorised.</u>        |

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- |                      |                                                                                                                                                                                                                        |
|----------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <u>Rule No. 1.5</u>  | <u>Use of force, up to and including deadly force, to protect United Nations' installations, areas or goods designated by the SRSG in consultation with the Force Commander, against a hostile act, is authorised.</u> |
| <u>Rule No. 1.7</u>  | <u>Use of force, up to but excluding deadly force, to protect key installations, areas or goods designated by the SRSG in consultation with the Force Commander, against a hostile act, is authorised.</u>             |
| <u>Rule No. 1.10</u> | <u>Use of force, up to and including deadly force, against any individual and/or party who limits or intends to limit freedom of movement, is authorised.</u>                                                          |
| <u>Rule No. 1.11</u> | <u>Use of force, up to and including deadly force, to resist armed/forceful attempts to prevent (mission's name) from discharging its duties, is authorised.</u>                                                       |

**Rule 2 - Use of Weapon Systems**

- |                     |                                               |
|---------------------|-----------------------------------------------|
| <u>Rule No. 2.4</u> | <u>Firing of warning shots is authorised.</u> |
|---------------------|-----------------------------------------------|

**Rule 3 - Authority to Carry Weapons**

- |                     |                                                                                                                     |
|---------------------|---------------------------------------------------------------------------------------------------------------------|
| <u>Rule No. 3.3</u> | <u>Carriage of unloaded personal weapons, both on duty and as designated by the Force Commander, is authorised.</u> |
|---------------------|---------------------------------------------------------------------------------------------------------------------|

**Rule 4 - Reaction to Civil Action/Unrest**

- |                     |                                                          |
|---------------------|----------------------------------------------------------|
| <u>Rule No. 4.1</u> | <u>Action to counter civil unrest is not authorised.</u> |
|---------------------|----------------------------------------------------------|

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**Annex B To**  
**MPS\--33**  
**Dated** \_\_\_\_\_

**UN DEFINITIONS**  
**(FOR USE WITH ROE)**

1. **Collateral Damage.** Incidental loss of civilian life, injury to civilians, or damage to civilian property not part of an authorised target.
2. **Cordon.** A deployment of UNPKO personnel around an object or location with the intent to isolate an area and restrict and/or control both access and exit.
3. **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 [UNM---] and generally imply the potential to use appropriate and authorised levels of violence.
  - 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 which is necessary and reasonable in the circumstances, to achieve the objective. The minimum degree of force is applicable whenever force is used. Minimum Force can be Deadly Force if appropriate.
  - d. **Unarmed Force.** The use of physical force, short of the use of armed force.
4. **Hostile Act.** An action where the intent is to cause death, serious bodily harm or destruction of designated property.
5. **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 action. 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.

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- c. Historical precedent within the Mission's Area of Responsibility (AOR).
6. **Loaded Weapon.** A weapon which has ammunition attached to it but none of the ammunition has been placed into the chamber.
7. **Parties.** People who:
- a. Carry out armed attacks against UN personnel and other international personnel or against those falling under the protection of the UNPKO;
  - b. Are members of any military or paramilitary group or organisation carrying personal weapons or manning weapon systems, whether or not they are engaged in attacks against UN personnel, other international personnel and/or those falling under the protection of the UNPKO;
  - c. Are civilians who spontaneously take up arms against UN personnel and other international personnel or against those falling under the protection of the UNPKO.
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, passive acoustic analysis or Identify Friend or Foe (IFF) procedures.
9. **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.
10. **Reasonable Belief.** Reasonable belief is when the Commander, or individual, logically and sensibly concludes, based on the conditions and circumstances in which he/she finds him/herself, that a hostile threat exists.
11. **Self-Defence<sup>1</sup>.** 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.

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<sup>1</sup> The definition of Self-Defence has deliberately been restricted. As such it does not reflect the broad definition of Self-Defence which has prevailed in recent years and pursuant to which, self-defence included, as relevant, the protection of other international personnel. The definition will have to be addressed, on a case by case basis, to ensure that it is consistent with the mandate of the operation concerned as set out in the relevant Security Council Resolutions.

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12. **Pre-emptive Self-Defence**<sup>2</sup>. 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.

13. **UN Personnel**. All members of the UNPKO (including locally recruited personnel whilst on duty), UN officials and experts on mission on official visits.

14. **Other International Personnel**. Personnel belonging to international agencies associated with the UNPKO 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 authorised charitable, humanitarian or monitoring organisations;
- c. Other individuals or groups specifically designated by the Special Representative of the Secretary General (SRSG).

15. **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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<sup>2</sup> Idem.

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**Annex C To**  
**MPS\--33**  
**Dated \_\_\_\_\_**

**SUPPORTING DIRECTIONS AND PROCEDURES**

**GENERAL**

1. **Identification.** Assured identification of hostile forces prior to engagement is required. Unobserved indirect fire is prohibited.
2. **Civil Action.** [UNM---] military personnel should avoid any action which would result in the disruption of legitimate civil activities in the mission area.
3. **Prohibitions.** The following prohibitions are to be observed, even when authorised ROE are being used:
  - a. Use of any incendiary weapon is prohibited (this does not include use of ammunition when used solely for target marking, illumination or identification and where incendiary purpose is not intended).
  - b. The use of mines and booby traps, or chemical assets used as weapons, is prohibited.
  - c. The use of explosives for purposes other than those authorised in these ROE is prohibited.
  - d. The destruction of civilian goods not being used for military purposes is prohibited.
  - e. Punitive use of force and retaliation are prohibited.
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 the UNPKO.

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**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 [UNM---] military personnel on the scene, the UN aim must be to dissuade the parties concerned from carrying on. To this end, the application of 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 6 below, it becomes possible to achieve the aim through the use of unarmed force or other peaceful means, the opportunity to de-escalate the situation must be taken.**

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 [UNM---] 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.
- c. **Charge Weapons.** An attempt should be made to make use of the visual and audible effect of charging weapons to convince any aggressor that failure to stop the aggressive activity may result in the use of deadly force.
- d. **Warning Shots.** If the threat continues, employ single aimed warning shots in a safe direction (preferably into the air) 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:
  - (1) The warning may be given verbally (in the working language of the operation and in the local language), visually by a sign or by illumination (e.g. hand-held red flares, searchlights, etc);

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You are to challenge in the local language;

**“UNITED NATIONS, HALT OR I FIRE/NATIONS UNIES, HALTE  
OU JE TIRE”**

For example (in Serbo-Croatian):

**“Unedinjene Nacije. Stani ili pucam”.**

- (2) The verbal or visual warning should be repeated as many (and at least three) times, as is 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 the UNPKO as specified in the applicable ROE.

8. **Procedures during firing.** Any use of firearms must be aimed, controlled and not be indiscriminate. If possible, a single shot should be aimed at non-vital parts of the body in order not to kill. Automatic fire should only be used as a last resort. Fire for effect is authorised only as long as it is necessary to achieve the immediate aim of self-defence. Great care must be taken when discharging firearms and collateral damage should be avoided.

9. **Procedures after firing.** After any weapons 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:
  - (1) Date, time and place of firing;
  - (2) Unit and personnel involved;
  - (3) The events leading up to firing;
  - (4) Why [UNM---] personnel opened fire;

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- (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.

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

**SEARCH AND APPREHENSION PROCEDURES**

10. **Authority to Stop and Search**

- a. Persons wishing to enter UN premises, other installations and areas under [UNM-] protection can 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.
- b. Persons unlawfully attempting to enter or having unlawfully entered UN premises, other installations and areas under [UNM---] protection, may be stopped and searched for security purposes, using, where necessary, minimum force. Weapons may be seized in such instances and must be turned over to appropriate host country authorities as soon as possible.

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

- a. Searchers are not to humiliate, nor embarrass persons being searched;
- b. The search procedure must take into account gender and be sensitive to other factors such as race, religion, etc.
- c. The purpose of the search must be clearly stated in the orders and to the individuals to be searched;
- d. A searcher should always be protected by another UN armed military person; and

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- e. Searches must be reported promptly to higher headquarters.

12. **Authority to Apprehend**

- a. Persons may not be apprehended other than in accordance with the authorisation given under Rule No. 4. All apprehended persons are to be turned over to appropriate local authorities, as soon as possible. Until handover takes place, such individuals may be detained.
- b. Any weapons seized are to be turned over to appropriate local authorities.
- c. In order to prevent the escape of a detainee or apprehended person, force may be used, as authorised by Rule No. 1.9.

13. **Treatment of Detainees.** Detainees shall not be subject to intimidation, deprivation or humiliation. They are to be given rations, shelter and access to medical care.

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**Annex D To**  
**MPS\--33**  
**Dated \_\_\_\_\_**

**UNPKO 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 the SCR and as defined in the Numbered ROE for the UNPKO.

2. **Graduated Weapon States:**

**State 1 - Side Arms (Pistols/Revolvers):**

- 1.1 Side arms may be carried by all personnel serving in formed UN 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\attached to the weapon, however, no ammunition may be inserted into the breach\chamber.
- 1.3 Side Arms may have a loaded magazine inserted\attached to the weapon and a round of ammunition inserted into the breach\chamber.

**State 2 - Personal Weapons (Rifles, sub-machine guns and pistols, Light Machine Guns including vehicle mounted machine guns up to 12.75mm\50"):**

- 2.1 Personal Weapons should be carried in a non-offensive manner.
- 2.2 Personal Weapons may be carried by all personnel serving in formed UN 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\attached to the weapon, however, no ammunition may be inserted into the breach\chamber unless required to react in Self-Defence.
- 2.4 Personal Weapons may be charged with a round inserted into the breach\chamber.

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**State 3 - Riot Control Weapons (Riot Guns, CS canisters)**

- 3.1 No riot control weapons may be carried.
- 3.2 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.
- 3.3 Riot control weapons may be carried openly.

**State 4 - Infra Red Equipment**

- 4.1 Ground/vehicle IR sources may only be used in the "Passive" state.
- 4.2 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 5 - Mortars**

- 5.1 Mortars may be carried covertly by patrols and in vehicles.
- 5.2 Mortars may be carried overtly on patrol and in vehicles.

**State 6 — Ground, Vehicle and Aircraft- Mounted Anti-Armour Weapons**

- 6.1 Ground, vehicle-, vessel- and aircraft-mounted weapons may be deployed but not loaded with missiles or shells. In the cases where the weapon system contains ammunition integral to the system the weapon is not to be prepared for firing — not "charged".
- 6.2 Ground, vehicle-, vessel- and aircraft- mounted weapon systems may be prepared for firing — "charged".

**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 will not be cocked, and no ammunition may be inserted into the breach or chamber. Missiles may not be prepared for immediate firing.

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- 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. They may be cocked, and ammunition may be inserted into the breach or chamber. Missiles may be prepared for immediate firing.

**NB: Instructions for AFVs, artillery\howitzers, anti-aircraft systems, and all aircraft will be issued separately.**

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**Attachment 3 To**  
**MPS\981**  
**27 November 2000**

**THIS IS AN EXAMPLE ONLY**

**OUTGOING CODE CABLE**

MPS/--33

**IMMEDIATE**

**TO: SRSG, [UNM---]**

**CC: FORCE COMMANDER, [UNM---]**

**FROM: USG DPKO, UNATIONS, NEW YORK**

**DATE:**

**NUMBER:**

**SUBJECT: RULES OF ENGAGEMENT (ROE) FOR THE MILITARY COMPONENT  
OF THE UNITED NATIONS MISSION IN (COUNTRY) [UNM---]**

1. Please find attached the approved ROE for the military component of the United Nations Mission in (country) [UNM---].

2. The document consists of the following:

Main paper	:	Rules of Engagement for the military component of the United Nations Mission in ----- [UNM---]
Annex A	:	Authorised Numbered ROE for [UNM---].
Annex B	:	UN Definitions (for use with UN ROE).
Annex C	:	Supporting Directions and Procedures.
Annex D	:	UNPKO_Weapon States.