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

**INTRODUCTION**

1. This document, including all of its Annexes (A-E), constitutes the entire Rules of Engagement (ROE) for Mission W.
2. This document provides authority for the use of force and explains policy, principles, procedures and responsibilities relating to the use of force.
3. These ROE are directions to operational commanders, which delineate the parameters within which force may be used by military personnel of national contingents assigned to Mission W's military component. They are founded on Security Council resolution XXXX (XXXX). Where issued as prohibitions, they are orders not to take specific actions. Where issued as permissions, they are the authority for commanders to take certain specific actions if they are judged necessary or even required to achieve the aim of the Mission. In this regard, special attention is drawn to the Guidelines for the Use of Force by Military Components in United Nations Peacekeeping Operations [DPKO/DFS Ref: 2016.24]. While remaining predominantly defensive in nature, the ROE also allow for offensive action in order to ensure the implementation of the tasks assigned to Mission W's military component.
4. In addition to the main document, the key elements are attached as follows:
  - (a) Annex A Authorised Numbered ROE.
  - (b) Annex B Definitions.
  - (c) Annex C Supporting directions and procedures, including those for challenging, warning shots, search and apprehension.
  - (d) Annex D Weapon States.
  - (e) Annex E Aide-Memoire.

**AUTHORITY**

5. The powers and authority of Mission W derive from Security Council resolution XXXX (XXXX). They must be exercised in a manner consistent with Mission W's Mandate.

**MISSION**

6. The relevant provisions of Security Council resolution XXXX (XXXX) that set out the circumstances in which force may be used by MISSION W to implement its mandate are set out in Annex A – "Authorised Numbered ROE".

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**EXECUTION OF ROE**

7. Principles

a. General

- (1) The conduct of military operations is controlled by the provisions of international law.
- (2) MISSION W's military personnel must operate within the framework of this document, which has been formulated in accordance with the parameters set out in Security Council resolution XXXX (XXXX).
- (3) MISSION W's ROE provide direction to commanders at all levels, governing the use of force within the Mission Area. They define the degree of force that may be used and the manner in which it may be applied. They are designed to ensure that the application of force is controlled and legal. The ROE inform commanders of the constraints imposed and the degrees of freedom they have in the course of carrying out their mission.
- (4) The ROE are to be translated in a clear and concise way into the language(s) of each participating nationality. Throughout the conduct of military operations, where armed force is to be used, MISSION W's military personnel must comply with the international legal principles of proportionality, the minimum use of force and the requirement to avoid, and in any event to minimize, collateral damage.
- (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. MISSION W 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 and when applicable. Fundamental principles and rules of international humanitarian law applicable to United Nations forces that are actively engaged as combatants in situations of armed conflict are contained in Secretary-General's Bulletin "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 credible evidence or information that justifies a reasonable belief that hostile units or persons are preparing an attack.
- (3) Self-defence against a hostile force(s) may be exercised by individuals or by individual units that are under attack or about to be attacked, as well as by other UN forces that are able to assist those individuals or individual units.

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- d. Military Necessity. The principle of military necessity authorizes the use of only that force which is required to accomplish the authorized objective. Military necessity does not and cannot authorize acts that are otherwise prohibited under international law, including the law of armed conflict.
- e. Alternatives to the Use of Force. Whenever the operational situation permits, every reasonable effort must be made to resolve a potentially hostile confrontation by means other than the use of force (e.g. through negotiations or assistance from the local authorities).
- f. Duty to Challenge and Warn. Before resorting to the use of force, every reasonable step must be taken to deter a party(s) or person from committing a hostile act. The procedure required by the UN to challenge and warn is given in Annex E.
- g. Duty to Identify Target - Observe Fire. Positive identification of hostile forces prior to engagement is required. Unobserved indirect fire is prohibited. All fire must be aimed and controlled, and only the minimum number of rounds necessary is to be fired. Firing procedures are given in Annex C.
- h. Duty to Use Minimum and Proportional Force
  - (1) Any force used must be limited, in its intensity and duration, to that which is necessary to achieve the authorized objective. In some circumstances, operational urgency may dictate that immediate use of deadly force may be necessary for this purpose.
  - (2) The use of force must be commensurate with the level of the threat. However, the level of force that is used may have to be higher than the level of the threat in order to avoid or minimize UN or civilian casualties, or, in the case of offensive action, to ensure that the authorized objective is achieved.
  - (3) Commanders should, where appropriate, consider the use of alternatives to the use of physical force, such as deception, psychological methods, negotiation and other non-lethal means, including the deployment or maneuver of larger forces in order to demonstrate resolve.
- i. Avoidance of Collateral Damage. When force is used, all feasible precautions are to be taken with a view to avoiding, and in any event to minimizing, collateral damage. Force shall not be used where collateral damage is deemed excessive in relation to the concrete and direct military advantage anticipated.
- j. Duty to Report. Each and every 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 contained in Annex C.
- k. Right to Maintain Position. MISSION W military personnel may maintain their position and equipment when confronted with a hostile act or intent. In such circumstances, they may also use necessary force, as authorised in these ROE.
- l. Use of Force other than in Self-Defence

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- (1) The use of force beyond self-defence may be applied in the circumstances set out in paragraph 2 of Annex A of these ROE and is subject to the conditions set out in these ROE.
- (2) The Force Commander, or the commander to whom the authorisation has been delegated, retains direct control over the use of force in these circumstances.

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

9. **Responsibility of Force Commander and Subordinate Commanders**

- a. The implementation of these ROE is a command responsibility. These ROE are addressed to the Force Commander, who is then responsible for issuing them to all subordinate commanders. The Force Commander is ultimately responsible for the enforcement of these ROE.
- b. The Force Commander and his/her subordinate commanders are not permitted to exceed the limits of these ROE, but may, when and as appropriate, authorise more restrictive limits on the actions of assigned forces, subject to United Nations Headquarters (UNHQ) approval. A commander may issue these ROE as received from UNHQ, may add additional guidance or amplification consistent with their terms, or may incorporate them into appropriate orders or instructions.
- c. All commanders have an obligation to seek clarification if these ROE are considered to be unclear or inappropriate for the military situation.
- d. It is the responsibility of the commanders of all National Contingents to ensure that all those under their command understand these ROE. To assist in this process, they must issue a ROE Aide-Memoire (Blue Card), translated into the language(s) appropriate for their own contingent, to each individual under their command. This must be done before the contingent can be considered to be operational.
- e. Training in the application of these ROE is the responsibility of commanders at all levels. ROE training sessions should be conducted on a regular basis and, at a minimum, once per month and whenever MISSION W military personnel, including individual replacements or reinforcements as authorised by the Security Council, are deployed into the Mission Area.

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

- a. Any ROE contravention is to be reported to DPKO at United Nations Headquarters (UNHQ) through the UN chain of command, by the quickest possible means.
- b. Flanking and subordinate commands should be informed, if the consequences are likely to affect them.
- c. Remedial measures should be taken in order to avoid reoccurrence.
- d. Any contravention must be subject to a formal investigation. The Force Commander is to convene a Board of Inquiry (BOI), which is to forward its findings, together with the Head of

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Mission's review/comments, to the Under-Secretary-General for Peacekeeping Operations as soon as possible. The findings will also be forwarded to the Troop Contributing Countries concerned for follow up and disciplinary action.

11. **Security Classification**. These ROE are a document of the United Nations and are classified as **CONFIDENTIAL**.
12. **ROE Changes**. These ROE can only be amended or changed by or with the authority of the Under-Secretary-General for Peacekeeping Operations.

Under-Secretary-General  
for Peacekeeping Operations  
Day Month Year

Annex A	Authorised Numbered ROE.
Annex B	Definitions.
Annex C	Supporting directions and procedures, including those for challenging, warning shots, search and apprehension.
Annex D	Weapon States.
Annex E	Aide-Memoire.

**RULES OF ENGAGEMENT FOR MISSION W**  
**AUTHORIZED NUMBERED RULES**

**SECURITY COUNCIL RESOLUTION**

1. The mandate of the United Nations Mission W is set out in Security Council resolution XXXX (XXXX).

**AUTHORIZATION TO USE FORCE**

2. Acting under Chapter VII of the Charter, the Security Council has authorized MISSION W's military component to use all necessary means, within the limits of its capacities and areas of deployment, to carry out the following tasks of MISSION W's mandate:

- (a) Support to the implementation of the Agreement.
  - (i) To support the implementation of the political and institutional reforms provided by the Agreement, especially in its Part II, notably to support the Government's efforts for the effective and restoration and extension of State authority and rule of law throughout the territory, including through supporting the effective establishment of interim administrations under the conditions set out in the Agreement;
  - (ii) To support the implementation of the defence and security measures of the Agreement, especially its Part III and Annex 2, notably:
    - to support, monitor and supervise the ceasefire and to report to the Security Council on violations of it,
    - to support the redeployment of the reformed and reconstituted Defence and Security Forces,
- (b) Protection of civilians and stabilization, including against asymmetric threats.
  - (i) To protect, without prejudice to the primary responsibility of the authorities, civilians under threat of physical violence;
  - (ii) In support of the authorities, to stabilize the key population centres and other areas where civilians are at risk and, in this regard, to enhance early warning, to anticipate, deter and counter threats, including asymmetric threats, and to take robust and active steps to protect civilians, including through active and effective patrolling in areas where civilians are at risk, and to prevent the return of armed elements to those areas, engaging in direct operations pursuant only to serious and credible threats;
  - (iii) To provide specific protection for women and children affected by armed conflict, and address the needs of victims of sexual and gender-based violence in armed conflict;
- (c) Countering asymmetric attacks in active defence of MISSION W's mandate.

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In pursuit of its priorities and active defence of its mandate, to anticipate and deter threats and to take robust and active steps to counter asymmetric attacks against civilians or United Nations personnel, to ensure prompt and effective responses to threats of violence against civilians and to prevent a return of armed elements to those areas, engaging in direct operations pursuant only to serious and credible threats;

(d) Protection, safety and security of United Nations personnel.

To protect the United Nations personnel, notably uniformed personnel, installations and equipment and ensure the safety, security and freedom of movement of United Nations and associated personnel;

(e) Promotion and protection of human rights.

To assist the authorities in their efforts to promote and protect human rights, in particular in the areas of justice and reconciliation, including to support, as feasible and appropriate, the efforts of the authorities, without prejudice to their responsibilities, to bring to justice those responsible for serious abuses or violations of human rights or violations of international humanitarian law, in particular war crimes and crimes against humanity, taking into account the referral by the civil authorities of the situation in their country to the International Criminal Court;

(f) Humanitarian assistance.

In support of the authorities, to contribute to the creation of a secure environment for the safe, civilian-led delivery of humanitarian assistance, in accordance with humanitarian principles, and the voluntary, safe and dignified return or local integration or resettlement of internally displaced persons and refugees in close coordination with humanitarian actors;

(g) Support for cultural preservation.

To assist the authorities, as necessary and feasible, in protecting from attack the cultural and historical sites, in collaboration with UNESCO.

### **SPECIFIC RULES OF ENGAGEMENT FOR MISSION W**

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

#### **Rule 1 -- Level of Force**

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

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| Rule No. 1.1 | To defend oneself or other UN or associated personnel against a hostile act or a hostile intent. |
| Rule No. 1.2 | To resist attempts to abduct or detain oneself or other UN or associated personnel.              |
| Rule No. 1.3 | To defend, against a hostile act or hostile intent, members of the civil authorities.            |
| Rule No. 1.4 | To resist attempts to abduct or detain members of the civil authorities.                         |
| Rule No. 1.5 | To protect civilians, including IDPs and refugees, members of civil authorities and              |

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humanitarian personnel, under threat of physical violence, including through action to anticipate, deter and take robust and pro-active steps to counter asymmetric threats and to prevent a return of armed elements to those areas. When and where possible, permission to use force should be sought from the immediate superior commander.

- Rule No. 1.6 To protect UN personnel under threat of physical violence, including through action to anticipate, deter and take robust and pro-active steps to counter asymmetric threats and to prevent a return of armed elements to those areas.
- Rule No. 1.7 To protect UN facilities, installations, equipment, areas or goods against a hostile act or hostile intent that involves a grave threat to life or of serious bodily injury.
- Rule No. 1.8 To protect key 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 non-UN facilities, installations, areas, equipment or goods designated by the SRSG in consultation with the Force Commander, against a hostile act or hostile intent that involves a grave threat to life or of serious bodily injury.
- Rule No. 1.10 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 No. 1.11 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 the civil authorities 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.
- Rule No. 1.12 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 humanitarian 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 No.1.13 To prevent the return of armed elements to key population centers in the event of a serious and credible threat of their return. Permission to use force must be sought from the immediate superior commander.
- Rule No. 1.14 To protect the cultural and historical sites, designated by the SRSG in consultation with the Force Commander and UNESCO, against a hostile act or hostile intent that involves a grave threat to life or serious bodily injury. When and where possible, permission to use force should be sought from the immediate superior commander.
- Rule No. 1.15 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



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ensure the ability to carry out those orders.

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

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| Rule No. 1.16 | To protect UN facilities, installations, equipment, areas or goods against a hostile act or a hostile intent that does NOT involve a grave threat to life or of serious bodily injury.   |
| Rule No. 1.17 | To protect key non-UN facilities, installations, equipment, areas or goods designated by the SRSG in consultation with the Force Commander, against a hostile act or a hostile intent that does NOT involve a grave threat to life or of serious bodily injury.  |
| Rule No. 1.18 | 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 Mission W personnel, in order to ensure their freedom of movement.  |
| Rule No. 1.19 | 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 civil authorities in order to ensure their freedom of movement.   |
| Rule No. 1.20 | Against any person or group that, through the use or threat of the use of unarmed force, limits or intends to limit the freedom of movement of humanitarian personnel, in order to ensure their freedom of movement.   |
| Rule No. 1.21 | Against any person or group that, through the use or threat of the use of unarmed force, 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 No. 1.22 | To apprehend or prevent the escape of persons responsible for possible war crimes and crimes against humanity, NOT indicted by the ICC, as designated by the SRSG in consultation with the Force Commander or as requested by the transitional authorities.  |
| Rule No. 1.23 | To prevent the escape of any apprehended or detained person, pending handover to appropriate national authorities.   |

**Rule 2 – Use of Weapon Systems**

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| Rule No. 2.1 | Use of explosives in order to destroy weapons, ammunition, mines and unexploded ordnance, in the course of the disarmament exercise and/or detaining, is authorized and to destroy installations, facilities, equipment, supplies, fortifications and military positions in the course of pro-active operations to counter attacks (including asymmetric) against civilians or operations to prevent the return of armed elements to key population centers. |
| Rule No. 2.2 | Indiscriminate pointing of weapons in the direction of any person is prohibited.   |

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- Rule No. 2.3      Firing of weapons, other than for organized training and as authorized in these ROE, is prohibited.
- Rule No. 2.4      Firing of warning shots is authorized.
- Rule No. 2.5      Use of riot-control equipment and agents is authorized by trained personnel.
- Rule No. 2.6      Use of lasers for survey, range-finding and targeting is authorized.
- Rule No. 2.7      Use of Electronic Countermeasures (ECM) 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 are authorized.

Rule 4 --Authority to Detain, Search and Disarm

- Rule No. 4.1      Detention is authorized in all situations where the use of force is authorized.
- Rule No. 4.2      Detention of persons responsible for possible serious abuses or violations of human rights or international humanitarian law, including those that are subject to arrest warrants issued by the ICC, is authorized.
- Rule No. 4.3      Searching, including of detained person(s), for weapons, ammunition and explosives, is authorized.
- Rule No. 4.4      Disarming of individuals or groups, when so directed by a superior commander, is authorized.
- Rule No. 4.5      Stopping and searching of vehicles and personnel and confiscation of illegal weapons is authorized.

Note: The Head of Mission, the detention focal point and the ICRC must be promptly informed when detention is carried out. Further guidance on detention procedures is set out in the DPKO/DFS Standard Operating Procedure<sup>1</sup> (SOP) on Detention in UN Peace Operations.

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

- Rule No. 5.1      Any person detained by United Nations personnel NOT under indictment by the ICC shall either be released or else handed over to the authorities as soon as possible, in

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<sup>1</sup> The SOP on Detention in United Nations Peace Operations is currently being finalized. Until its issuance, the Interim SOP on Detention in United Nations Peace Operations shall continue to apply.

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accordance with the SOP on Detention.

- Rule No. 5.2 A person detained by United Nations personnel NOT under indictment by the ICC shall not be held by United Nations personnel for more than 48 hours before either being released or else handed over to the national authorities. Persons may be held for an additional 24 hours if they are in transit and in the process of being handed over to the national authorities. Conditions to extend custody beyond 72 hours are described in the SOP on Detention.
- Rule No. 5.3 A person detained by United Nations personnel shall be handled in accordance with the applicable provisions of the SOP on Detention.

**RULES OF ENGAGEMENT FOR MISSION W**

**DEFINITIONS**

1. **Armed Elements**. Armed persons who do not form part of the armed forces or security forces of the Government and who are operating in contravention of the national laws. (This includes terrorists and armed groups, specifically armed groups that are not part of a peace process and not a signatory to a peace agreement with the government).
2. **Civil Unrest**. The commission, perpetration or instigation of acts of violence, which affect public peace and order.
3. **Collateral Damage**. Incidental loss of civilian life, injury to civilians, or damage to civilian property not part of an authorised target.
4. **Cordon**. A deployment of MISSION W armed personnel around an object or location with the intent to isolate an area and restrict and/or control both access and exit.
5. **Force**. The use, or threat of the use, of physical means to impose one's will.
  - a. **Armed Force**. The use of weapons, including firearms and bayonets.
  - b. **Deadly Force**. The level of force which is intended, or is likely to cause, death, regardless of whether death actually results. This is the ultimate degree of force.
  - c. **Minimum Force**. The minimum degree of authorised force that is necessary and reasonable in the circumstances to achieve the authorized objective. The minimum degree of force is applicable whenever force is used. Minimum force can be deadly force, in certain circumstances.
  - d. **Unarmed Force**. The use of physical force short of the use of "Armed Force".
6. **Hostile Act**. An action where the intent is to cause death, serious bodily harm or destruction of, damage to or theft of property.
7. **Hostile activities**. Activities undertaken by armed elements without the consent of the authorities that have the effect of bringing new positions, locations or areas under the control of armed elements.
8. **Hostile Intent**. The threat of use of force or imminent use of force, which is demonstrated through an action or behaviour which appears to be preparatory to a hostile act. Only a reasonable belief in the hostile intent based on credible and serious evidence or information is required for a pre-emptive use of force. 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 credible and serious evidence which indicates an intention to attack.
  - c. Historical precedent within the Mission's Area of Responsibility (AOR).
9. **Loaded Weapon**. A weapon that has a live round or ammunition inserted or carried in the

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chamber or breach.

10. **Authorities.** Comprising the executive, administrative, judicial bodies and institutions and all civil servants.

11. **Persons under the Protection of MISSION W.** Persons other than UN personnel including members of the authorities that one's unit has been assigned to assist or support; individuals designated by the SRSG, in consultation with the Force Commander; civilians, including IDPs and refugees; and humanitarian personnel, who are under threat of physical violence.

12. **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.

13. **Pro-active operations.** Military operations undertaken by Mission W armed units in order to discharge the tasks of:

- a. Protecting civilians or UN personnel under threat of physical violence, as set out in paragraph 2(b)(i) or (c) of Annex A of this ROE;
- b. Prevent the return of armed elements to key population centres and other areas where civilians are at risk in the event of a serious and credible threat of their return, as set out in paragraph 2(b)(ii) of Annex A of these ROE;

when that threat has not yet become imminent.

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

15. **Prevent.** To engage in pre-emptive or pro-active action, including by enhancing early warning, anticipating, deterring and countering threats, including asymmetric threats, for the purpose of ensuring that an event or activity which one has a reasonable belief, supported by credible and serious evidence or information, will soon occur does not in fact take place.

16. **Proportionality.** The amount of force which is reasonable in intensity, type, duration and magnitude, based on all facts known to the commander or individual soldier at the time, to decisively counter a hostile act or hostile intent or to otherwise achieve an authorised objective specified in these ROE.

17. **Reasonable Belief.** A belief which a reasonable person would sensibly hold on the basis of the facts as they are known to the commander or individual soldier concerned at the time.

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

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

- a. Members of MISSION W (including locally recruited personnel while on duty);
- b. Officials of the United Nations and of its specialized agencies and related organizations;
- c. Experts on mission for the United Nations and for its specialized agencies and related

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organizations;

- d. United Nations Volunteers (UNVs) who are present in the performance of their official duties or missions;
- e. Other associated personnel designated by the SRSG, in consultation with United Nations headquarters (UNHQ), including:
  - (i) Persons engaged by the Secretary-General or by one of the specialized agencies or related organizations of the United Nations;
  - (ii) Persons assigned by a Government or an intergovernmental organization operating with the authority of the Security Council or General Assembly;
  - (iii) Persons deployed by authorized humanitarian non-governmental organizations or agencies under an agreement with the Secretary-General or with a specialized agency or related organization of the United Nations to carry out activities in support of the fulfilment of the mandate of Mission W or of programmes of the United Nations, including programmes of its offices, programmes and funds.

20. **Warning Shots.** A warning shot is a shot fired with no intent to cause death, injury or severe damage, but as a signal, demonstrating capability and resolve to stop another person from committing a hostile act or as a warning of an intention to use deadly force, if necessary.

**RULES OF ENGAGEMENT FOR MISSION W**  
**SUPPORTING DIRECTIONS AND PROCEDURES**

**GENERAL**

1. **Identification**. Positive identification of hostile forces or targets prior to engagement is required. Unobserved indirect fire is prohibited.
2. **Civil Action**. As a general rule, MISSION W military personnel should avoid any action which would result in the disruption of legitimate civil activities in the mission area. When undertaking military operations, full account should be taken of the importance of minimizing displacement of the civilian population and the need to minimize and mitigate risks to civilians before, during and after any such operation. Effective warning shall be given of military operations which may affect the civilian population, unless circumstances do not permit.
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 which may have incidental incendiary effects, such as illuminants, tracers, smoke or signaling systems or that are designed to combine penetration, blast or fragmentation effects with an additional incendiary effect and in which the incendiary effect is not specifically designed to cause burn injury to persons).
  - b. The use of mines and booby traps is prohibited.
  - c. The use of chemical assets as weapons is prohibited.
  - d. The use of weapons or methods of warfare which may cause superfluous injury or unnecessary suffering, or which are intended, or may be expected to cause, widespread, long-term and severe damage to the natural environment.
  - e. The destruction of civilian goods not being used for military purposes is prohibited.
  - f. Punitive use of force and retaliation are prohibited.
4. **Weapons/Weapon Systems Restrictions**. The use of certain weapons and weapon systems, while authorised for use in MISSION W operations, is nevertheless restricted. Authority to authorise the use of the weapons and weapon systems shown in the table below is restricted to the commanders indicated.

Serial	Weapons/Weapon Systems/Target	Release Authority	Lowest Level of Delegation
a	Attack helicopters	Force Commander	Brigade Commander
b	Mortars	Battalion Commander or Equivalent	Company Commander
c	Howitzers (if deployed)	Battalion Commander or	Company Commander

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		Equivalent	
d	Other Crew Served Weapons	Company Commander	Platoon Commander or Vehicle Crew Commander
e	Riot/Crowd Control Means	Battalion Commander or Equivalent	Company Commander
f	Explosive Disposal or Demolitions	Force Commander	Force Engineer

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

6. **Cordon and Search Operations.** Cordon and search operations including searches of houses and buildings, may be conducted, if the Force Commander judges that the situation warrants isolation of an area, a house(s) or building(s), including when there are credible and serious evidence of the presence of arms, ammunition, improvised explosives or materials used by hostile elements or a credible belief that such elements are present in the area and have the hostile intent to prepare attacks against UN personnel, installations, equipment, areas, facilities or goods, or against civilians. The lowest level to which Force Commander may delegate such authority is that of Brigade or Sector Commanders.

### **WARNING PROCEDURES**

7. **Scope.** The following Warning Procedures apply to the use of armed force pursuant to:

- a. Rules Nos. 1.1 to 1.4 and 1.7 to 1.12, 1.14 and 1.15 of Annex A of these ROE.
- b. Rules Nos. 1.5, 1.6 and 1.13 of Annex A of these ROE - cases in which Mission W units are not engaged in pro-active operations as defined in these ROE.

8. **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 MISSION W military personnel on the scene, the aim must be to dissuade the parties concerned from carrying on. To this end, the application of a graduated response, through the demonstration of determination and force as directed below, is intended to provide a warning as well as a deterrence to prevent escalation. If, as a result of initiating the action specified in paragraph 9 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.

9. **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 W military personnel respond with force. The aim is to stop hostile activity.
- b. **Unarmed Force.** If the preceding step is unsuccessful, minimum unarmed force must be used, if at all possible. If riot-control equipment or other non-lethal weapons have been issued to the Mission W military personnel concerned and those personnel have been



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trained in their use, then that equipment or those weapons may be used, if the on-scene commander considers they may be an effective means to prevent or stop hostile activity.

- c. **Charge Weapons**. If the preceding measures remain ineffective or are without promise of achieving the authorized objective specified in these ROE, an attempt must be made, if possible, to make use of the visual and audible effect of charging weapons in order to try to convince any aggressor that failure to stop the aggressive activity may result in the use of deadly force. This may only be done if the use of deadly force would ultimately be authorized in the prevailing situation under these ROE.
- d. **Warning Shots**. If the preceding measures remain ineffective or are without promise of achieving an authorized objective specified in these ROE, single aimed warning shots must, if possible, be fired at a safe point of aim, and preferably into the air, so as to avoid causing personal injury or collateral damage. This may only be done if the use of deadly force would ultimately be authorized in the prevailing situation under these ROE,
- e. **Armed Force**. If all the preceding steps remain ineffective and there are no other choices available (i.e. in last resort) or if those measures do not hold out any promise of achieving an authorized objective specified in these ROE, then the necessary minimum armed force may be used. The decision to open fire will be made only on the order and under the control of the on-scene commander, unless there is insufficient time or communication with the on-scene commander is not possible. Before opening fire, MISSION W military personnel:
  - (i) must give a clear and final warning, as described in paragraph 11 below, of their intent to use armed force; and
  - (ii) must give enough time for that warning to be obeyed, unless to do so would:
    - (a) unduly place themselves at risk of death or serious bodily injury or,
    - (b) create a risk of death or serious bodily injury to other UN personnel or to other persons who are under the protection of MISSION W as specified in these ROE; or
    - (c) would clearly be inappropriate or pointless in the circumstances.

10. **Opening Fire Without Warning**. The only circumstances in which it is permitted to open fire without warning following the graduated procedures set out in paragraph 9 above are:

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

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11. **Warning Procedure.** The following procedures must be followed in giving the final warning provided for in paragraph 9 above:

- a. The warning may be given:
  - (i) verbally; or
  - (ii) visually, in which case it may be given:
    - (a) by a sign; or
    - (b) by illumination (e.g. hand-held red flares, searchlights).
- b. Where the warning is given verbally, the following challenges shall be used:
  - (i) "NATIONS UNIES, HALTE OU JE TIRE" (French) or
  - (ii) "UNITED NATIONS, HALT OR I FIRE" (English)
- c. The verbal or visual warning should be repeated:
  - (i) At least three times; and
  - (ii) As many more times as is reasonable to attempt compliance.

**SAFEGUARDS FOR PRO-ACTIVE OPERATIONS**

12. The Warning Procedures in paragraphs 8 to 11 do NOT apply where Mission W units are engaged in pro-active operations as defined in these ROE, in particular to the use in such operations of armed force, pursuant to Rules Nos. 1.5, 1.6 and 1.13 of Annex A. The following safeguards apply instead:

- a. If it holds out the promise of achieving the authorized objective without risking one's own life or the lives of other members of one's unit, then a verbal warning must be given as follows:
  - (i) in French : "NATIONS UNIES, RENDEZ-VOUS OU JE TIRE "
  - or,
  - (ii) In English: "UNITED NATIONS, SURRENDER OR I FIRE"
- b. If the preceding measure proves ineffective or does not hold out any promise of achieving the authorized objective without risking one's own life or the lives of other members of one's unit, then the necessary minimum armed force may be used.

**PRECAUTIONS**

13. **Scope.** The following precautions must be taken when conducting pro-active operations:

- a. Everything feasible must be done to verify that the objectives to be attacked are neither civilians nor civilian objects, but are military objectives within the meaning of these terms under the law of armed conflict;
- b. All feasible precautions must be taken in the choice of means and methods of attack with a view to avoiding, or at least to minimizing, collateral damage;
- c. When a choice is possible between several military objectives for obtaining a similar

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military advantage, the objective to be selected shall be that the attack on which may be expected to cause the least danger to civilian lives and to civilian objects;

- d. An attack must not be launched if it may be expected to cause collateral damage which would be excessive in relation to the concrete and direct military advantage anticipated;
- e. Effective advance warning shall be given to the civilian population of Mission W actions that may affect them, unless circumstances do not permit.

#### **FIRING PROCEDURES**

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

- a. Use of firearms must be aimed and controlled. Indiscriminate fire is not permitted.
- b. The minimum necessary shots are to be fired to achieve the authorized objective specified in these ROE. This limitation does not apply when MISSION W armed units are engaged in pro-active operations.
- c. All feasible precautions must be taken with a view to avoiding, and in any event to minimizing, collateral damage
- d. Firing must cease if it becomes apparent that the target is not a military objective or that further firing may be expected to cause collateral damage which would be excessive in relation to the concrete and direct military advantage anticipated.

#### **PROCEDURES AFTER FIRING**

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

- a. **Medical Assistance.** All injured persons must be given first aid as soon as possible, when such aid can be given without endangering lives.
- b. **Treatment of the Dead.** The bodies of persons who have been killed shall be treated with respect. They are to be recovered for medical examination and identification as soon as it is safe to do so.

16. **Recording and reporting.**

- a. **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 W 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.
- b. **Reporting.** The above information, together with a description of the current situation, is to be immediately reported through the UN chain of command, to the Force Commander and

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to UNHQ (DPKO).

17. **Operations Log.** When firing takes place during the conduct of pro-active operations, information concerning the firing is to be gathered and reflected in the daily operations log maintained by the relevant unit commander.
- a. Information is to be gathered for this purpose from relevant unit members on:
    - (i) The events leading up to the firing;
    - (ii) Why MISSION W personnel opened fire;
    - (iii) Who or what was fired on;
    - (iv) When and where this occurred;
    - (v) The weapons fired and the number of rounds discharged; and
    - (vi) The apparent results of the firing.
  - b. The relevant day's entry in the daily operations log, together with a description of the current situation, is to be immediately communicated through the UN chain of command, to the Force Commander and to UNHQ (DPKO).

**SEARCH AND APPREHENSION PROCEDURES**

18. **Authority to Stop and Search.**
- a. Persons wishing to enter UN premises and other installations and areas under Mission W protection may be requested to submit to a consensual search of their person and property. Refusal to be searched, or a refusal to surrender weapons, constitutes grounds for refusal of entry.
  - b. Persons unlawfully attempting to enter, or who have unlawfully entered, UN premises or other installations or areas under MISSION W protection may be stopped and searched for security purposes, using, where necessary, minimum force. Weapons may be seized in such instances and must be handed over to appropriate host-country authorities as soon as possible.
  - c. Persons detained in accordance with these ROE may be searched for weapons, ammunition and explosives.
19. **Search Procedure.** The following principles must be followed during all search procedures:
- a. Searchers must not humiliate or embarrass persons being searched;
  - b. The search procedure must take into account gender and be sensitive to other factors such as race, religion and local customs. Where possible, the search should be conducted by a person of the same gender as the individual who is to be searched;
  - c. The purpose of the search must be clearly stated to the individuals to be searched;
  - d. A searcher should always be protected by another armed member of his or her unit; and
  - e. Searches must be reported promptly to higher headquarters.
20. **Authority to Apprehend.**
- a. Persons may not be apprehended otherwise than in accordance with the authorisations

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given under Annex A of these ROE.

- b. In order to prevent the escape of a detainee or apprehended person, force may be used, as authorised by Annex A of these ROE.

21. **Detention procedures.** Detention should be conducted in accordance with the Standard Operating Procedures (SOP) on Detention in United Nations Peace Operations and with the following general principles:

- a. Any person detained by United Nations personnel shall either be released or else handed over to national law enforcement officials of the authorities or other relevant national authorities as soon as possible in accordance with Rules Nos. 5.1 and 5.2 of Annex A of these ROE.
- b. Detained persons are entitled to the rights provided in applicable international human rights, humanitarian and refugee law, norms and standards. In particular, the United Nations shall not subject anyone to arbitrary or unlawful detention, and shall ensure that all persons deprived of their liberty are treated in a humane manner and with respect for the inherent dignity of the human person.

22. **Reporting.** Should be conducted in accordance with the SOP on Detention in United Nations Peace Operations including with adherence to the following procedures:

- a. Details of the detention are to be recorded straight away, including:
  - (i) Detained person's details, including full name and address;
  - (ii) Date, time and place of detention;
  - (iii) Reasons for detention, including the events leading up to detention;
  - (iv) Personal details of any witnesses to the incident that resulted in the detention;
  - (v) Details of anything the detained person may have said;
  - (vi) Whether the detained person was searched and, if so, the reasons;
  - (vii) Details of any items seized from the detained person;
  - (viii) The physical condition of the detained person, including any visible or alleged injuries;
  - (ix) Whether medical assistance was provided and, if so, its nature; and
  - (x) Details of all MISSION W personnel involved, including ID number(s).
- b. The above information is to be immediately reported through the MISSION W chain of command to the Force Commander and UNHQ (DPKO).

Note. The Head of Mission and the Detention Focal Point as well as the International Committee of the Red Cross (ICRC) must be promptly informed when detention is carried out. Further guidance on detention procedures is set out in the DPKO/DFS Standard Operating Procedure on Detention in UN Peace Operations (SOP on Detention).

**RULES OF ENGAGEMENT FOR MISSION W**  
**WEAPON STATES**

1. General. The weapon states provided below may be authorised by the Force Commander as he or she believes operationally appropriate, provided that the state selected does not exceed the authority given by Security Council Resolution XXXX (XXXX) and as defined in the Numbered ROE for Mission W (Annex A).
2. In urgent circumstances, a commander or individual soldier may increase weapon readiness. As soon as the immediate danger has passed, weapon-readiness status will be returned to that ordered by higher authority.
3. Graduated Weapon States:

State 1 -- Side Arms

- 1.1 Side arms may be carried by all personnel serving in formed MISSION W military units, but ammunition is to be carried separately from the weapon.
- 1.2 Side arms may be carried and have a loaded magazine inserted in or attached to the weapon. However, no ammunition may be inserted into the breech or chamber.
- 1.3 Side arms may have a loaded magazine inserted in or attached to the weapon and a round of ammunition inserted into the breech or chamber.

State 2 -- Personal Weapons (rifles, sub-machine guns and machine pistols, light machine guns, including vehicle-mounted machine guns up to 12.7mm / 0.5" calibre)

- 2.1 Personal weapons should be carried in a non-offensive manner.
- 2.2 Personal weapons may be carried by all personnel serving in formed MISSION W military units, but ammunition is to be carried separately from the weapon.
- 2.3 Personal weapons may be carried and have a loaded magazine or belted ammunition inserted in or attached to the weapon. However, the weapon may not be cocked and no ammunition may be inserted into the breech or chamber.
- 2.4 Personal weapons may have a loaded magazine or belted ammunition inserted in or attached to the weapon. The weapon may be cocked and ammunition may be inserted into the breech or chamber.

State 3 -- Riot Control Weapons

- 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.

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3.3 Riot control weapons may be carried openly.

State 4- Mortars and Howitzers

4.1 Mortars may be carried on patrol and in vehicles. Howitzers may be deployed.

4.2 Mortars and Howitzers may be prepared for firing.

State 5 -- Ground, Vehicles and Aircraft-Mounted Anti-Armour Weapons

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

5.2 Ground, vehicles, vessels and aircraft- mounted anti-armour weapon systems may be prepared for firing -- "charged".

State 6 -- Helicopter-Mounted Weapons

6.1 Helicopter-mounted guns and missiles may not be deployed.

6.2 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.

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

**RULES OF ENGAGEMENT FOR MISSION W TROOPS**

**AIDE-MEMOIRE**

*General Rules for Use of Force*

1. The principles of minimum force and proportionality apply at all times. However, the level of force that is used may have to be higher than the level of the threat in order to avoid or minimize UN or civilian casualties or, in the case of offensive action, to ensure that the authorized objective is achieved.
2. Except where engaged in offensive action, you must make every reasonable effort, wherever possible, to control a situation through measures short of force. Your response should, if possible, be graduated and include personal contact and negotiation, voice and visual signals, radio or other electronic means of communication, maneuvers, charging of weapons and warning shots. You may use force, unarmed or armed, only if all other means to control the situation have failed, or such means do not hold out any promise of achieving your authorized objective.
3. You may open fire only on the order and under the control of the on-scene commander, unless there is insufficient time or opportunity for you to obtain an order from him/her.
4. Before opening fire, you must give a final warning, at least three times, in the French, or local language as follows:

"NATIONS UNIES, HALTE OU JE TIRE"

("UNITED NATIONS, HALT OR I WILL FIRE")

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

5. If you have to open fire:
  - a. Fire must be aimed and controlled. Indiscriminate fire is not permitted.
  - b. Take all feasible precautions to avoid, and in any event minimize, collateral damage.
  - c. Fire no more shots than are necessary.
6. After firing:
  - a. Render medical assistance.
  - b. Record the details of the incident, whether or not casualties have occurred.
  - c. Report those details through the chain of command without delay.
7. When in doubt, always seek clarification from higher command.



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**Specific Rules for Use of Force**

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

1. to defend (i) yourself, (ii) your unit, (iii) other UN or associated personnel, (iii) members of the authorities against (a) a hostile act or a hostile intent or (b) to resist an attempt to abduct or detain them.
2. to protect civilians, including IDPs and refugees, under threat of physical violence including through action to anticipate, deter and take robust and active steps to counter asymmetric threats and to prevent a return of armed elements to those areas.
3. to protect humanitarian personnel under threat of physical violence.
4. to protect UN facilities, installations, equipment, areas or goods against a hostile act or hostile intent that involves a grave threat to life or of serious bodily injury
5. to protect key non-UN 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.
6. against any individual or group that, through the use or threat of the use of armed force, limits or intends to limit the freedom of movement of (i) yourself, (ii) your unit, (iii) other MISSION W personnel, (iii) members of the authorities that you are assigned to assist or support and (iv) humanitarian personnel.\*
7. to protect and stabilize population centers in support of the authorities.
8. to prevent the return of armed elements to key population centers in support of the authorities.\*
9. to support the authorities to execute State administration throughout the territory.
10. to protect the cultural and historical sites, designated by the SRSG in consultation with the Force Commander and UNESCO, against a hostile act or hostile intent that involves a grave threat to life or serious bodily injury.\*
11. against any person or group that, through the use or threat of the use of armed force, is preventing or demonstrating intent to prevent you or your unit carrying out lawful orders issued by a superior commander.
12. to anticipate, deter and take robust and active steps to counter serious and credible threats, including asymmetric threats, against United Nations personnel, facilities, installations, equipment, areas or goods as well as civilians including in key population centers and other areas where they are at risk and to prevent a return of armed elements to those areas.

*\* When and where possible, seek permission from your immediate superior commander.*