



International Institute of Humanitarian Law
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SANREMO HANDBOOK ON RULES OF ENGAGEMENT

Prepared under the auspices of the International Institute of
Humanitarian Law, Sanremo

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This handbook does not necessarily represent the views of either the International Institute of Humanitarian Law or the government of any member of the drafting team

FOREWORD

The Sanremo Handbook on Rules of Engagement is intended to continue in the same vein as previous well-known Sanremo publications such as the Sanremo Manual on International Law Applicable to Armed Conflicts at Sea, published in 1995 and the Sanremo Manual on the Law of Non-International Armed Conflict, published in 2006.

Published by the Institute as a working tool, the booklet is not intended to state the official opinions or positions of individual governments nor of specific international organisations on the different issues considered. Its only aim is to guide the reader – and in particular the participants in the military courses of the International Institute of Humanitarian Law – through the intricacies of the generally accepted and widespread concept of rules of engagement.

The Handbook reflects the results of a three-year project initiated by Professor Dennis Mandsager of the United States Naval War College, with the full support of the Institute, who identified the need for a common Rules of Engagement reference that could be used by any nation for training and/or operations. The Handbook was informed by several workshops conducted at the International Institute of Humanitarian Law, Sanremo, plus numerous multinational exercises and courses, which drew input from highly qualified experts from different regions of the world. The Handbook, in its current form, reflects best practice from nations across the globe.

The text has been prepared by Commander Alan Cole RN, Major Phillip Drew, Canadian Forces, Captain Rob McLaughlin, RAN and Professor Dennis Mandsager, Captain, JAGC, US Navy (Ret.). The final draft has been reviewed by a team of Council members of the Institute, composed of Brigadier General Erwin Dahinden, Dr. Baldwin de Vidts, Professor Wolff Heintschel von Heinegg, Professor Marie Jacobsson, Dr. Michael Meyer and Professor Michel Veuthey, with the cooperation of Colonel Darren Stewart, Director of the Military Department of the Institute.

There are no other Handbooks of its type in existence; it has been designed so that it can be used by any nation or group of nations without reference to security caveats or restrictions. Of course this was always the intent, to provide a tool that could be used to facilitate and enhance multinational cooperation and mutual understanding while ensuring that military forces are in compliance with national security and policy concerns.

As the political control on the use of force and with that, the use of Rules of Engagement to regulate the conduct of armed forces by individual nations, alliances and coalitions around the world continue to grow, so too the need to be able to train on and understand Rules of Engagement similarly gains importance. It is essential that a clear understanding exists that whilst Rules of Engagement are often a mix of military and political policy requirements, these must be bounded by extant international and domestic legal parameters. Such legal constraints may never be exceeded, but are quite often restricted further by the effect of Rules of Engagement. Too often national or multinational security classifications mean that

the publication and sharing of Rules of Engagement experience and best practice is problematic. The ability for militaries to share their experiences as well as for academics, students and the public to consider the subject is critical in order to promote awareness of the practical implementation of International Humanitarian Law through Rules of Engagement.

The new Handbook will meet the requirements of our military courses, but it will be equally available to other interested institutions and parties. It is my sincere hope that the Handbook will find a use either in those areas of the world where Rules of Engagement doctrine does not currently exist or as a vehicle to aid in the creation of realistic and meaningful exercises at the national and multi-national level. The Handbook is intended to be of assistance to those working both at the strategic level, to aid in the preparation of clear and unambiguous rules of engagement, as well as for those involved in their implementation in order that Rules of Engagement are issued in a language that is easily understood and that assists military personnel's ability to accomplish the mission.

Given that this is an area which is constantly changing, reflecting the nature and manner in which nations participate in military operations, we fully expect users of the Handbook to come up with suggestions to refine and hone the practice articulated in the Handbook in future editions of the text.

I should very much like to thank Professor Dennis Mandsager, who was the originator of the initiative, the Drafting Committee of the Handbook, as well as all the members of the Institute (including Professor Natalino Ronzitti and Vice Admiral Ferdinando Sanfelice di Monteforte) who, on a personal basis, gave useful comments and suggestions. Finally, my thanks go to the International Committee of the Red Cross (ICRC). Its substantial financial contribution facilitated not only the fast publication of the Handbook and its translation into other languages, but also allows the IIHL to distribute the Handbook to all interested students and institutions.

Ambassador Maurizio Moreno

President, IIHL

PREFACE

The U.S. Naval War College, like many similar schools, conducts unclassified and classified research, teaching, war games, and conference and has an international student body. When the topic involves rules of engagement (ROE) and when the participants represent multiple nations, meaningful discussion is problematic. Participants often arrive with either little knowledge of ROE, or with knowledge of a classified national set of ROE that is not releasable to other nations, or with knowledge of a set of classified multinational ROE that is not releasable outside a coalition. The goal of this ROE Handbook project was to alleviate that problem by developing a realistic, comprehensive, and unclassified ROE Handbook that is usable by all nations for training, education, exercises, war games, and real world operations.

The first step in the drafting process was to identify counterparts in Australia, Canada, and the United Kingdom, with whom the College already had a close working relationship, to join the drafting team. The second step was to join forces with the International Institute of Humanitarian Law (IIHL) and its large international student body to test Handbook drafts in teaching and workshop environments.

The challenges for the drafting team were considerable. Many questioned the feasibility of developing an ROE that would be acceptable to the international community. Nations have different treaty obligations, different views on international law, different views on policy, and different views on the authority and responsibility of commanders. Additionally, almost all reviewers believe that real world ROE must be classified.

The drafting team produced multiple drafts, which were critiqued at many varied venues, including two multinational ROE workshops and two naval operations courses held at IIHL. The result at each event was robust ROE play. After three years of drafting and testing, the IIHL Council approved publication of the Handbook in September of 2009.

The format of the Handbook is unique in that, in addition to ROE measures, it includes formats for a wide range of ROE-related matters, including ROE cards, warnings, responses to warnings, and other matters. The drafting team recognizes that many nations have their own formats for these items; however, many do not, and students often do not have access.

The Handbook contemplates that, in a multinational force, higher authority in each nation will approve ROE for its forces and that each multinational partner will comply with national law and policy. Accordingly, the Handbook provides multiple, and often inconsistent, options for ROE measures. Consensus on each measure is not critical. Sharing ROE information with the multinational force commander, however, is critical.

The drafters request that users of the Handbook share constructive criticism, questions, and comments, as well as any lessons-learned from ROE exercises. Please email them to sanremo@iihl.org

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Alan Cole thanks Commodore Neil Brown, Royal Navy for his support both through making him available from his staff and for his own personal contribution notably in the drafting of sections related to pre-planned targeting. He also thanks Captain Andrew Jameson Royal Navy who contributed on maritime security matters.

Rob McLaughlin could not have been involved in this project without the strong support of Rear Admiral Allan du Toit, Major General David Morrison, and Commodore Trevor Jones, to whom he expresses his thanks. He also expresses his thanks to the many operations and legal officers within the ADF, and in particular, Wing Commander Ian Henderson, for their reviews and comments.

Phillip Drew would like to extend his thanks to the Commander of the Canadian Defence Academy, Major-General Daniel Gosselin and the Judge Advocate General of the Canadian Forces, Brigadier-General Kenneth Watkin, for their strong support from the inception of this project through to its completion. He would also like to thank his colleagues who assisted him by providing advice and guidance, particularly Colonel Kirby Abbott, Lieutenant-Colonel Tim Bishop and Commander Mary Gardam.

Dennis Mandsager thanks the drafting team for the many hours of writing, debating, negotiating, and compromising that went into the development of this Handbook. For their support of this project, he thanks the leadership of the Naval War College, including former and current Presidents, Rear Admiral Jacob Shuford, USN (Retired) and Rear Admiral James P. (Phil) Wisecup, USN, former and current Provosts, Professor James Giblin and Ambassador Mary Ann Peters, and Dean of the Center for Naval Warfare Studies, Professor Robert (Barney) Rubel. Finally, he thanks his colleagues in the Naval War College's International Law Department and Naval Reserve International Law Unit, all of whom were key players on the team that produced the Handbook.

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Phillip Drew

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TABLE OF ROE

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GROUP 10-19: USE OF FORCE IN THE DEFENCE OF SELF AND OTHERS

Series

- 10 Use of Force in *Individual Self-Defence*
- 11 Use of Force in *Unit Self-Defence*
- 12 Use of Force for the Protection of Others
- 13 Use of Force in *National Self-Defence*
- 14-19 SPARE**

GROUP 20-29: MISSION ACCOMPLISHMENT

Series

- 20 Use of Force for Mission Accomplishment
- 21 Protection of Freedom of Movement of Persons
- 22 Prevention of Interference with Ships and Aircraft
- 23 *Warning Shots*
- 24 *Disabling Fire*
- 25 Search and *Detention* of Persons
- 26 Use of Force to Secure the Release of Persons
- 27 *Indirect Fire (Unobserved Indirect Fire and Observed Indirect Fire)*
- 28-29 SPARE**

GROUP 30-39: TARGETING IN ARMED CONFLICT

Series

- 30 Engagement of Military Objectives Including Hostile Forces
- 31 Identification of Targets
- 32 Neutrals
- 33-39 SPARE**

GROUP 40-49: OPERATIONS RELATED TO PROPERTY

Series

- 40 Use of Force to Protect Property
- 41 Protection of Vital/Mission Essential/Specified Property
- 42 Inspection, Seizure, and Destruction of Property
- 43-49 SPARE**

GROUP 50-59: GEOGRAPHIC POSITIONING

Series

- 50 Geographic Positioning of Force Units and Cross-Border Incursions
- 51 Ground Reconnaissance
- 52 Aerial Reconnaissance
- 53 Relative Positioning of Force Units
- 54 Exercising in the Presence of a Potential Adversary
- 55 Diversions
- 56 Use of Obstacles and Barriers
- 57 Zones
- 58 Freedom of Navigation
- 59 SPARE**

GROUP 60-69: WARNINGS, HARASSMENT, *SHADOWING*, ILLUMINATION

Series

- 60 Warnings
- 61 Harassment
- 62 *Shadowing, Surveillance, and Marking*
- 63 Sensors and Illumination
- 64-69 SPARE**

GROUP 70-79: CARRYING OF WEAPONS

Series

- 70 Authority to Carry Weapons
- 71-79 SPARE**

GROUP 80-89: LAND MINES, *CLUSTER MUNITIONS* AND BOOBY TRAPS

Series

- 80 Use of Land Mines
- 81 Use of *Cluster Munitions*
- 82 Use of Booby Traps
- 83-89 SPARE**

GROUP 90-99: MARITIME OPERATIONS

Series

- 90 Maritime Law Enforcement
- 91 Submarine Contacts
- 92 *Naval Mines*
- 93 Boardings

94 Suppression of *Piracy*

95-99 SPARE

GROUP 100-109: AIR OPERATIONS

Series

100 Use of Air to Surface Munitions

101 Use of Air to Sub-surface Munitions

102 Air to Air Engagements

103-109 SPARE

GROUP 110-119: ASSISTANCE TO CIVIL AUTHORITIES

Series

110 Use of Force in Assistance to Civil Authorities, including Law Enforcement

111 Search, *Detention* and Arrest of Persons

112 Treatment of Detained and Arrested Persons

113-119 SPARE

GROUP 120-129: CROWD AND RIOT CONTROL

120 Crowd and Riot Control

121 Riot Control Agents

122 Riot Control Munitions/Water Cannons

123-129 SPARE

GROUP 130-139: INFORMATION OPERATIONS

Series

- 130 *Electronic Warfare Measures*
- 131 *Computer Network Operations*
- 132 *Psychological Operations*
- 133 *Military Deception*
- 134-139 SPARE**

GROUP 140-149: OUTER SPACE OPERATIONS

Series

- 140 Interference With Satellite Communications
- 141 Neutralization/Destruction of Satellites
- 142-149 SPARE**

GROUPS 150 PLUS: SPARE

PART I: INTRODUCTION

INTRODUCTION AND PURPOSE

1. The purpose of this Handbook is to assist in the drafting of Rules of Engagement (ROE) and related legal and operational guidance for use in training, exercises, war games, and operations. The Handbook is not a manual on the Law of Armed Conflict. The Handbook takes into account the requirement to identify and manage the respective legal and policy positions of nations participating in a multinational operation and promotes an understanding of national ROE policies. The Handbook also sets out suggested ROE for a number of selected environments and tasks, and procedures for approving and implementing ROE in single service, *joint*, or multinational operations.

STRUCTURE OF THE HANDBOOK

2. This Handbook adopts the following structure:

a. Parts I to VI provide an introduction to the Handbook, the key legal considerations impacting upon the use of force, the concept of *self-defence*, the policy factors that influence the development of ROE, the ROE methodology adopted in this Handbook, and ROE procedures.

b. Annex A provides guidance on the planning and drafting of ROE, specific guidance on ROE for selected operational environments and operational tasks, guidance on *hostile intent* and the escalation of force in *self-defence*, and information on the relationship between targeting and ROE.

c. Annex B provides a menu of ROE provisions that may be tailored as necessary to accomplish various missions.

d. Annex C and its Appendices provides sample ROE and ROE-related documents.

e. Annex D provides definitions for a number of terms used in this Handbook. These terms are italicized wherever they appear (e.g. *opposed boarding*), thus indicating that reference should be made to the definition in Annex D.

DEFINITION AND STATUS

3. ROE are issued by competent authorities and assist in the delineation of the circumstances and limitations within which military forces may be employed to achieve their objectives. ROE appear in a variety of forms in national military doctrines, including execute orders, deployment orders, operational plans, or standing directives. Whatever their form, they provide authorisation for and/or limits on, among other things, the use of force, the positioning and posturing of forces, and the employment of certain specific capabilities. In some nations, ROE have the status of guidance to military forces; in other nations, ROE are lawful commands.

ROE are not used to assign missions or tasks nor are they used to give tactical instructions. Missions and tasks are assigned through Operations orders and other similar instruments of command and control.

APPLICABLE LAW AND POLICY

4. International Law. The conduct of military operations is governed by international law, including the law of armed conflict (LOAC) (also referred to as the “law of war,” or “international humanitarian law”), and applicable international human rights law. Both nations and individuals are obliged to comply with LOAC. All nations are obliged to train their forces to comply with LOAC and with other provisions of international law that impact upon military operations. This Handbook is intended to facilitate the creation of ROE to provide for the judicious use of force in compliance with international law. Nations are bound by Geneva Law and Hague Law. Nations may have different treaty obligations and differing interpretations and/or application of both treaty and customary international law. In multinational operations these differences need to be identified and factored into the planning and conduct of operations.

5. National Laws. The armed forces of each nation must comply with their own national laws. For example, the national laws of some nations may restrict the ability of forces to use force, in particular *deadly force*, to protect others or to defend property. Accordingly, some nations may issue restrictions or amplifying instructions to supplement the ROE for multinational operations. To the greatest extent possible, such restrictions or instructions should be shared with multinational partners. It is particularly important to ensure that commanders operating in multinational operations are aware of any such restrictions so that they may employ forces in an efficient and effective manner.

6. National Policy. In the same way that nations may have different legal positions on certain issues, the planning and conduct of military operations must take into account differing national policy positions. Some military options, available under both international and national law, may not come within national policy intent, either generally or with respect to a specific operation. For example, some nations in some circumstances may limit permissible levels of incidental injury or collateral damage to levels below that acceptable under LOAC, while others may not allow their military to conduct law enforcement activities. In multinational operations, such policy differences need to be identified and factored into the planning and conduct of operations. This Handbook allows for the creation of ROE that provide for the conduct of operations in compliance with national policy.

7. Multinational Operations. In multi-national operations participating nations should operate under coherent ROE arrangements. Policy and legal differences can lead to different ROE among the members of a multinational force. Different ROE can be a source of friction in conducting operations. Problems of this sort are best resolved through negotiations rather than through a process that leads to an ROE that reflects the lowest common denominator. If there are irreconcilable differences in ROE, those differences should be shared with other members of the force whenever feasible.

PART II: SELF-DEFENCE

8. Categories of Self-Defence. International law and the domestic laws of all nations recognise a right of *self-defence*, which is the use of force to defend against *attack* or imminent *attack*. *Self-defence* is available in all situations, including armed conflict. National laws differ on the definition and content of the right of self-defence. As a consequence, individuals and units will exercise this right in accordance with their respective national law. For some nations, self-defence is not governed by ROE. For some nations, the terms “hostile act” and “hostile intent” are related to mission-accomplishment, rather than self-defence. The Handbook has adopted what the drafters view as the more generally accepted view, while recognizing that nations may have different approaches. In any event, the Handbook is intended for use by all nations. For the purposes of this Handbook, the right of *self-defence* is considered on four levels.

a. Individual self-defence. This refers to the right of an individual to defend himself or herself (and in some cases other individuals) from an *attack* or imminent *attack*. Some nations permit commanders to limit *individual self-defence* in the same way as for *unit self-defence* (See Annex B, series 10).

b. Unit self-defence. Unit commanders have the right to defend their unit and other units from their nation in the face of an *attack* or imminent *attack*. For some nations, the concept of *unit self-defence* is both a right and an obligation; whereas for others the concept is only a right. Some nations permit the right of *unit self-defence* to be limited by orders from *higher authority*. *Unit self-defence* may be extended to units and individuals from other nations when authorised by the applicable ROE. (See Annex B, series 11).

c. Protection of Others. This refers to the right to defend specified persons (who are not part of the *Force*) against an *attack* or imminent *attack*. For some nations, the right of *individual self-defence* or *unit self-defence* may not include the right to use force to defend another nation’s citizens. (See Annex B, series 12).

d. National self-defence. As recognised in Article 51 of the United Nations Charter, refers to the right of a nation to defend itself against armed *attack*, and for most nations, the threat of imminent armed *attack*. (See Annex B, series 13). Decisions on whether or not *national self-defence* will be invoked are retained at the highest levels of governmental or executive authority.

9. Hostile Act and Hostile Intent. For the purposes of this Handbook, the right to use force in *self-defence* arises in response to a *hostile act (attack)* and/or demonstrated *hostile intent* (threat of imminent *attack*). Appendices 4 and 5 to Annex A provide guidance on the determination of *hostile intent* and the magnitude and duration of force that may be employed in *self-defence*. *Higher authority* may provide mission-specific guidance on indicators of *hostile act* and *hostile intent*.

10. Use of Force in Self-Defence. Subject to any limitations promulgated in ROE (either series 10 or 11), all necessary and proportional means and actions may be used in *self-defence*. Where time and operational circumstances permit, military forces should warn the threatening entity in order to give it an opportunity to withdraw or cease its threatening

actions. Military forces are permitted to use force in *self-defence* only if non-forceful alternatives to prevent or deter the *attack* or imminent *attack*:

- a. Have been exhausted,
- b. Are unavailable, or
- c. Are deemed insufficient to defend forces in those circumstances.

The use of force is generally authorised so long as the *hostile act* or *hostile intent* continues. The use of force must be proportional, which means that the nature, duration, and scope of force used should not exceed what is required. (Note: The concept of “proportionality” in self-defence should not be confused with the concept of “proportionality” in international armed conflict, which is related to attempts to minimize collateral damage.)

11. Pursuit. *Self-defence, unit self-defence, protection of others, and national self-defence* include the authority to pursue and engage forces that continue to demonstrate *hostile intent*. ROE may limit the extent to which pursuit is authorised, depending upon the military and political situation. Pursuit in *self-defence* should be distinguished from “hot pursuit,” which, for the purposes of this Handbook, is a measure that applies only in a maritime law enforcement context and is defined in customary international law and in Article 111 of the 1982 Law of the Sea Convention.

12. Relationship between Self-Defence and Mission Accomplishment ROE. Individuals and units have the right to defend against *attack* and imminent *attack*. As a general rule, ROE issued for a mission do not limit this right. Because national laws and policies differ, there will not always be consistency in a multinational force as to when the right to use force in *self-defence* ends and the use of force for mission accomplishment begins. Inconsistencies should be clarified in the planning process.

PART III: THE USE OF FORCE DURING OPERATIONS

13. Broadly speaking, during peacetime, the use of force is permitted in *self-defence*, in the exercise of law enforcement authority, and to accomplish operations or missions specifically authorised by a higher national authority or other governing body, such as the U.N. Security Council.

- a. It is universally recognised that individuals and units have a right to defend themselves against *attack* or imminent *attack*. Nevertheless, because national laws and policies differ with respect to the application of *self-defence* to military operations, Series 10, 11, 12, and 13 of Annex B provide specific ROE intended to clarify the extent of the authorisations granted for the application of force in *self-defence*. For example, some nations permit commanders to restrict the exercise of the right of *individual self-defence* and/or *unit self-defence*, while others do not.
- b. Where the use of force is not justified by *self-defence*, but is nonetheless necessary for accomplishment of an assigned military mission, reasonable force may

be exercised within the constraints of the relevant national and international law. Series 20 to 140 of Annex B provide measures for mission accomplishment.

c. Deadly force can be used against persons posing an imminent threat to life. National views on other circumstances in which deadly force is permitted vary widely among nations. The Handbook provides multiple ROE measures, the use of which will depend upon national laws and policies.

14. During armed conflict, and in addition to *self-defence*, commanders may be authorised to engage an enemy in accordance with LOAC.

a. The extent to which different aspects of LOAC might apply depends in the first instance on whether a conflict is an international or non-international armed conflict. Generally, the political leadership of a nation determines the characterization of an armed conflict to be applied by its armed forces. This characterization is based on a legal analysis of the factual situation. When planning operations and crafting ROE for multinational operations, senior commanders and their legal advisors need to be aware of how other nations characterize the conflict, as those characterizations will affect which LOAC framework is applied by those nations.

b. In international armed conflicts situations, only combatants (unless *hors de combat*) and civilians directly participating in hostilities and military objectives may be the object of attack. In non-international armed conflicts situations, only *fighters* (unless *hors de combat*) and civilians directly participating in hostilities and military objectives may be the object of attack.

c. Commanders, planners, and legal advisors must recognise the fact that not all nations are parties to the same LOAC treaties. Further, even those who are parties to the same treaties do not all have the same interpretations of the law embodied in those treaties. However, ROE language is generally crafted to reflect a number of recurring LOAC rules and principles concerning the use of force:

i. Military necessity - the requirement whereby a belligerent has the right to apply any measures that are required to bring about the successful conclusion of a military operation and which are not forbidden by LOAC.

ii. Distinction - the requirement to distinguish between the civilian population and combatants and between civilian objects and military objectives and to direct operations only against combatants and military objectives.

iii. Proportionality - the prohibition of an *attack* that may be expected to cause incidental loss of civilian life, injury to civilians, damage to civilian objects, or a combination thereof, which would be excessive in relation to the concrete and direct military advantage anticipated.

iv. Humanity - the prohibition of the infliction of suffering, injury or destruction not actually necessary for the accomplishment of legitimate military purposes.

- v. Precaution - in the conduct of military operations, constant care shall be taken to spare the civilian population, civilians and civilian objects.
 - vi. Weapon prohibitions - the prohibition of weapons that cause superfluous injury or unnecessary suffering.
15. Detailed discussion of LOAC is beyond the scope of this ROE Handbook.

PART IV: POLICY DIRECTION TO MILITARY AUTHORITIES

16. *Higher authority* within a nation or in a multinational *force* will provide direction on the goals to be achieved when undertaking a military mission. This may include direction on force posture as well as authorisations or limitations on the scope of action a commander may take to accomplish the mission. Policy direction from government, including conclusions of legal analysis, may limit the operational freedom of military commanders and prevent them taking all the actions available to them under the law. Policy direction does not however provide a legal authority for use of force in the conduct of operations where such use of force is outside the law.

17. The ROE authorised for a mission will typically include specific instructions regarding the use of force. In addition to *self-defence*, ROE will therefore generally reflect multiple components, including political guidance from higher authorities, the tactical considerations of the specific mission, and LOAC. Succinct and unambiguous rules are essential.

18. Political leadership may also provide narrative guidance on its policy aims and objectives so as to enable commanders to respond appropriately as a situation develops. Such guidance should be explained in plain language, and supporting ROE should reflect this guidance within the context of the mission. Such guidance may change as mission objectives and ROE authorisations mature to reflect changes in policy and mission context.

PART V: DRAFTING METHODOLOGY

19. The ROE in this Handbook are drafted as a series of prohibitions, restrictions, and permissions set out in the Compendium of Rules at Annex B. This Handbook adopts a “restrictive” approach to authorisation. This means that if an ROE measure is not addressed in the ROE, commanders must assume that they have no authority (beyond *individual self-defence* and *unit self-defence*) to carry out that action. In respect of the exercise of freedoms of navigation and overflight (e.g. high seas freedoms, innocent passage, transit passage, and *assistance entry*), specific ROE provisions are not required unless those rights are to be restricted. Nevertheless, measures that either authorise or prohibit such actions are included to facilitate clarity.

20. Annex B provides a menu of ROE options that may be tailored to a specific mission. The nature of the operation(s) may dictate that planners or commanders propose rules not listed in this Handbook. In such cases, the “spare” rules in the relevant series or a new

series may be employed. Sample ROE for an operation are contained in Appendix 1 to Annex C.

21. When the term “SPECIFY” is included in the ROE measure, the term refers to a need to add specific parameters that focus the application of the rule. Such parameters might be in relation to ranges, particular weapon types, specific nationalities, or certain actions or conduct. Accordingly, where this term appears, specific words must be inserted into the ROE measure to clarify and tailor the meaning of the provision.

22. When the ROE authorise the use of *deadly force*, this authorises the use of all lesser degrees of force permitted by law, up to and including *deadly force*. The actual tactics, techniques and procedures for applying force or utilizing *non-deadly force* will vary based upon factors such as environment, weapons systems available, the prevailing threat, and applicable law. The tactical employment of approved ROE is a matter of command judgment.

23. Specific rules may be retained for activation by a specified command authority. This means that the rule is only able to be used upon specific positive approval by the specified commander. This approval will generally be sought and granted by the quickest appropriate means and confirmed formally. Furthermore, such approval may be on a case by case basis, or given for a specified period of time, geographical area, or mission. Retention of a rule is indicated by amplification to the rule that states the approval level. The format adopted in this Handbook is as follows:

AMPN: This rule is retained by (SPECIFY level of authority e.g. *Force Commander*).

24. While commanders may restrict the use of issued ROE measures, they cannot authorise their forces to exceed them. Commanders at all levels who are uncertain about the suitability of ROE must immediately request a change or clarification. Additionally, if the ROE are considered unclear or insufficient, commanders must immediately seek clarification from *higher authority*.

PART VI: ROE PROCEDURES

25. Approval. ROE are authorised either by national authorities or by the governing body of an international organisation in accordance with its procedures and with national agreement (e.g. UN). ROE are developed and staffed as part of the operational planning process, either parallel to or as part of the development of the relevant operation plan (OPLAN) or operation order (OPORDER). They may be included in these documents or published separately by message or otherwise. The OPLAN or OPORDER will also set out the geographical area (Area of Operations) to which the ROE apply. Some nations include their request for mission specific ROE directly in the draft OPORDER.

26. Review. ROE must be continuously reviewed to ensure that they are clear and lawful, that they are sufficient to address the requirements of the mission, and that they provide the commander with the necessary powers to deal effectively with the threat. Message formats for requesting ROE (ROEREQ), for authorising ROE (ROEAUTH), and for implementing ROE (ROEIMP) are provided in Appendix 2 to Annex C.

27. Security. While ROE for training and exercises often may be unclassified, the ROE for actual operations are generally classified at the same level as the OPLAN or OORDER.

GUIDANCE ON PLANNING AND STAFFING

1. This Annex provides recommended procedures for the development, staffing and publication of ROE.

2. The following appendices are included:

Appendix 1	Planning Procedures
Appendix 2	Environment-Specific Guidance
Appendix 3	Task-Specific Planning Considerations
Appendix 4	Guidance on <i>Hostile Intent</i>
Appendix 5	Escalation of Force in <i>Self-defence</i>
Appendix 6	Targeting and ROE

PLANNING PROCEDURES

1. The development and implementation of effective ROE is critical to mission accomplishment. This Appendix provides suggested guidelines for incorporating ROE development into operational planning.
2. ROE are authorised by national authorities (individually or collectively) or sometimes by the governing body of a multinational force operating under the umbrella of an international organisation (e.g. UN, NATO, AU or EU). ROE development should take place as part of the operational planning process.
3. The establishment of an ROE Planning Cell should be considered. The Cell should be led by operational staffs and include legal advisors, policy advisers and officers with specialist expertise in land, air, maritime, *outer space*, and/or *cyberspace* operations, as appropriate. In multinational operations, early engagement with other multinational force nations is essential.
4. Responsibility for drafting ROE usually sits with current operations or plans and policy staff, but this varies among nations. The legal advisor should play a significant role in assisting with ROE development and should serve as a principal assistant to the operations staff that drafts ROE.
5. Legal advisers will ensure that ROE are consistent with the relevant law and reflect the political mandates and the national policies of nations contributing to the *Force*. Therefore legal advisers will need to analyse the legal basis for the mission and the legal framework that will regulate the application of force, taking into account the characterization of the conflict. This includes identifying the nature of the operation, including whether it is an armed conflict and, if so, the nature of the armed conflict (international or non-international).
6. Once ROE have been drafted and approved (see the ROE DRAFTING CHECKLIST at Annex B), they are published to the *Force*. ROE will normally be contained within or linked to an operational planning document or order. In addition, guidance on the use of force may also be contained or referred to in other sections of planning documents or orders. Where this occurs, particular care must be taken to ensure that different sections containing ROE guidance are harmonized.
7. Consideration should be given to creating ROE products (cards, briefs, etc.) that summarize key ROE provisions for distribution to and training of operational forces. Additionally, an ROE matrix that summarizes the ROE of each multinational partner is a useful tool (see Appendix 3 to Annex C).
8. ROE should be continually assessed by both tactical and operational level commanders so that appropriate adjustments can be made as missions develop, as the intelligence picture changes (in particular, threats to tactical level units), and, where applicable, as the enemy's tactics, techniques and procedures evolve. New measures should be requested or implemented as necessary so as to ensure the ROE remain consistent with the mission, the operational situation (especially the threat), political and policy guidance, and the law. Proposing or implementing changes is achieved through

ROEREQ, ROEAUTH, and ROEIMP procedures (see Appendix 2 to Annex C). Whenever ROE are believed to be unclear, clarification should be sought from higher headquarters.

9. Scenario based ROE training will ensure that ROE are understood and applied properly by all units and members of the *Force*. Multinational *Force* commanders should meet with subordinate commanders to ensure a common understanding of ROE.

ENVIRONMENT-SPECIFIC GUIDANCE

2.1 Land Operations

a. Introduction

The distinctive feature of land operations is that they take place on sovereign territory, with or without the permission of the sovereign government.

b. Legal Considerations

The principal legal considerations when drafting ROE for land operations are:

- i. The legal basis for presence and activities in the sovereign territory of another nation: in particular whether the military activity has the consent of the nation(s) in which it is taking place.
- ii. Where the nation has given consent, whether or not the law of the nation in which the forces are present applies, in particular the extent of any *Status of Forces Agreement (SOFA)*, Memorandum of Understanding (MOU) or other international arrangement.
- iii. Whether there is a legal basis to arrest or detain.

c. Applicable ROE

In addition to the compulsory rules as set out at paragraph 3.d.i of Annex B, the following ROE should be considered:

- Protection of Freedom of Movement of Persons (Series 21)
- Warning Shots (Series 23)
- Search and Detention of Persons (Series 25)
- Neutrals (Series 32)
- Use of Force to Protect Property (Series 40)
- Inspection, Seizure, and Destruction of Property (Series 42)
- Geographic Positioning of *Force* Units and Cross Border Incursions (Series 50)
- Relative Positioning of *Force* Units (Series 53)
- Exercising in the Presence of a Potential Adversary (Series 54)
- Diversions (Series 55)
- Use of Obstacles and Barriers (Series 56)
- Zones (Series 57)
- Harassment (Series 61)
- Sensors and Illumination (Series 63)
- Use of Land Mines, *Cluster Munitions*, and Booby Traps (Series 80-82)
- Assistance to Civil Authorities (Series 110)
- Crowd and Riot Control (Series 120)

- *Information Operations* (Series 130 - 133)

2.2 Maritime Operations

a. Introduction

The distinctive feature of the maritime environment is that it includes areas subject to the territorial sovereignty of nations (*national waters* and *national airspace*) and areas not subject to the territorial sovereignty of any nation (*international waters* and *international airspace*).

b. Legal Considerations

The principal legal considerations when drafting ROE for maritime operations are:

- i. The sea area where operations are to take place and the legal regime that applies, including navigation and overflight rights, the duties and rights of the coastal and flag states, and the rights and duties of neutrals or other non-participants.
- ii. The legal basis for the operation, including any specific legal authority for conducting operations in *national waters* or for conducting *maritime interdiction operations*.
- iii. The principle of sovereign immunity.

c. Applicable ROE

In addition to the compulsory rules as set out at paragraph 3.d.i of Annex B, the following ROE should be considered:

- Prevention of Interference with Ships and Aircraft (Series 22)
- *Warning Shots* (Series 23)
- *Disabling Fire* (Series 24)
- Search and *Detention* of Persons (Series 25)
- Neutrals (Series 32)
- Inspection, Seizure and Destruction of Property (Series 42)
- Geographic Positioning of *Force Units* and Cross-Border Incursions (Series 50)
- Diversions (Series 55)
- Zones (Series 57)
- Harassment (Series 61)
- Sensors and Illumination (Series 63)
- Maritime Law Enforcement (Series 90)
- Submarine Contacts (Series 91)
- *Naval Mines* (Series 92)
- Boardings (Series 93)
- Suppression of *Piracy* (Series 94)

2.3 Air Operations

a. Introduction

The distinctive feature of air operations is that they take place in both *national airspace* and *international airspace*.

b. Legal Considerations

The principal legal considerations when drafting ROE for air operations are:

- i. The area where operations are to take place and the legal regime that applies, including the rights of overflight.
- ii. The interception and use of force against civil aircraft or any other specifically protected aircraft, such as medical aircraft.

c. Applicable ROE

In addition to the compulsory rules as set out at paragraph 3.d.i of Annex B, the following ROE should be considered:

- Prevention of Interference with Ships and Aircraft (Series 22)
- *Warning Shots* (Series 23)
- Identification of Targets (Series 31)
- Neutrals (Series 32)
- Inspection, Seizure, and Destruction of Property (Series 42)
- Geographic Positioning of *Force Units* and Cross-Border Incursions (Series 50)
- Relative Positioning of *Force Units* (Series 53)
- Diversions (Series 55)
- Zones (Series 57)
- Harassment (Series 61)
- *Shadowing, Surveillance and Marking* (Series 62)
- Submarine Contacts (Series 91)
- Use of Air to Surface Munitions (Series 100)
- Use of Air to Sub-surface Munitions (Series 101)
- Air to Air Engagements (Series 102)

2.4 Outer Space Operations

a. Introduction

The distinctive features of *outer space* are that it is beyond the sovereignty of any nation and that all nations enjoy freedom of equal access and use.

b. Legal Considerations

The principal legal considerations when drafting ROE for space operations are:

- i. It is prohibited to place conventional weapons on the moon and celestial bodies and to station nuclear weapons and other weapons of mass destruction anywhere in *outer space*.
- ii. No nation can claim jurisdiction or sovereignty over any portion of *outer space*.
- iii. The use of satellites for surveillance, communication and navigation for military purposes, over-flight by missiles, and the stationing of conventional weapons on satellites are not prohibited activities.
- iv. The determination of where *national airspace* ends and *outer space* begins is not yet settled.

c. Applicable ROE

In addition to the compulsory rules as set out at paragraph 3.d.i of Annex B, the following ROE should be considered:

- Interference with Satellite Communications (Series 140).
- Neutralization/Destruction of Satellites (Series 141).

2.5 Cyberspace Operations

a. Introduction

The distinctive feature of *cyberspace* is that it is a notional environment and beyond the jurisdiction of any single nation. *Computer network operations (CNO)* are the principle form of operations in *cyberspace* and are often non-kinetic, making the determination of *hostile act* and *hostile intent* difficult.

b. Legal Considerations

The principal legal considerations when drafting ROE for cyberspace operations are:

- i. Domestic and international civil and criminal laws and national policies vary widely on the legal aspects of *CNO*. Further, multilateral and bilateral communications treaties have provisions that impact the conduct of *computer network operations*.
- ii. Despite being non-kinetic, operations in *cyberspace* may constitute a *hostile act* or *hostile intent*. Factors in the determination of both include the severity, immediacy, directness and effects of the operation.

c. Applicable ROE

In addition to the compulsory rules as set out at paragraph 3.d.i of Annex B, the following ROE should be considered:

- *Computer Network Operations* (Series 131)
- *Interference with Satellite Communications* (Series 140)
- *Neutralization/Destruction of Satellites* (Series 141)

TASK-SPECIFIC PLANNING CONSIDERATIONS

3.1 Peace Operations

a. Introduction

The distinctive features of *Peace Operations* are that they involve a mixture of military forces and diplomatic and humanitarian agencies and are designed to achieve a peaceful resolution or other specific conditions.

b. Legal Considerations

The principal legal considerations when drafting ROE are:

- i. The legal basis for presence in the sovereign territory (including national waters and airspace) of another nation, in particular whether the military activity has the consent of the nation(s) in which it is taking place.
- ii. Where the legal basis for presence includes a UNSC Resolution, whether that resolution is under Chapter VI or Chapter VII.
- iii. Whether any Chapter VII resolution gives the authority to use “all necessary means” and whether the basis for the use of force is restricted to *self-defence*, which may include the defence of designated persons.
- iv. The extent of any *Status of Forces Agreement (SOFA)*, Memorandum of Understanding (MOU) or other international arrangement.

c. Applicable ROE

In addition to the compulsory rules as set out at paragraph 3.d.i of Annex B, the following ROE should be considered:

- Protection of Freedom of Movement of Persons (Series 21)
- *Warning Shots* (Series 23)
- Search and *Detention* of Persons (Series 25)
- Use of Force to Protect Property (Series 40)
- Inspection, Seizure, and Destruction of Property (Series 42)
- Geographic Positioning of *Force Units* and Cross-Border Incursions (Series 50)
- Relative Positioning of *Force Units* (Series 53)
- Diversions (Series 55)
- Use of Obstacles and Barriers (Series 56)
- Sensors and Illumination (Series 63)
- Use of Force in Assistance to Civil Authorities, Including Law Enforcement (Series 110)
- Search, *Detention*, and Arrest of Persons (Series 111)
- Treatment of Detained and Arrested Persons (Series 112)

- Crowd and Riot Control (Series 120)
- Riot Control Agents (Series 121)
- Riot Control Munitions/Water Cannons (Series 122)

3.2 Non-Combatant Evacuation Operations (NEO)

a. Introduction

The distinctive feature of *Non-combatant Evacuation Operations (NEO)* is that they assist other government departments in evacuating nationals and selected others from threatening circumstances in a foreign or *host nation*. NEOs are fundamentally defensive in nature.

b. Legal Considerations

The principal legal considerations when drafting ROE are:

- i. The legal basis for presence in the sovereign territory (including *national waters* and *national airspace*) of the nation from which the NEO is taking place; in particular whether the NEO is conducted with or without *host nation* consent and, accordingly, whether the context is permissive, uncertain, or hostile.
- ii. The extent of any *Status of Forces Agreement (SOFA)*, Memorandum of Understanding (MOU) or other international arrangement.

c. Applicable ROE

In addition to the compulsory rules as set out at paragraph 3.d.i of Annex B, the following ROE should be considered:

- Protection of Freedom of Movement of Persons(Series 21)
- *Warning Shots* (Series 23)
- Search and *Detention* of Persons (Series 25)
- Inspection, Seizure, and Destruction of Property (Series 42)
- Geographic Positioning of *Force Units* and Cross-Border Incursions (Series 50)
- Relative Positioning of *Force Units* (Series 53)
- Diversions (Series 55)
- Use of Obstacles and Barriers (Series 56)
- Sensors and Illumination (Series 63)
- Use of Force in Assistance to Civil Authorities, Including Law Enforcement (Series 110)
- Crowd and Riot Control (Series 120)
- Riot Control Agents (Series 121)
- Riot Control Munitions/Water Cannons (Series 122)
- *Electronic Warfare* Measures (Series 130)

3.3 Humanitarian Assistance/Disaster Relief (HA/DR)

a. Introduction

The distinctive features of Humanitarian Assistance/Disaster Relief (HA/DR) are that they are generally short-term programs to alleviate suffering caused by natural or man-made disasters, and they complement the efforts of local civil authorities or other agencies with the consent of the *host nation*.

b. Legal Considerations

The principal legal considerations when drafting ROE are:

- i. Whether the carriage of weapons is necessary and whether the *host nation* has given consent to do so.
- ii. The extent of any *Status of Forces Agreement (SOFA)*, Memorandum of Understanding (MOU) or other international arrangement.
- iii. The operational restraints imposed by the *host nation*.

c. Applicable ROE

In addition to the compulsory rules as set out at paragraph 3.d.i of Annex B, the following ROE should be considered:

- Freedom of Movement of Persons (Series 21)
- Geographic Positioning of *Force* Units and Cross-Border Incursions (Series 50)
- Use of Force in Assistance to Civil Authorities, including Law Enforcement (Series 110)
- Crowd and Riot Control (Series 120)
- Riot Control Agents (Series 121)
- Riot Control Munitions/Water Cannons (Series 122)

3.4 Assistance to Civil Authorities

a. Introduction

The provision of assistance to civil authorities involves domestic operations in which military forces perform civilian functions normally the responsibility of other government agencies.

b. Legal Considerations

The principal legal considerations when drafting ROE are:

- i. Whether the carriage of personal weapons is necessary.

- ii. Whether a power of arrest or *detention* is required.
- c. Applicable ROE

In addition to the compulsory rules as set out at paragraph 3.d.i of Annex B, the following ROE should be considered:

- Use of Force to Protect Property (Series 40)
- Authority to Carry Weapons (Series 70)
- Use of Force in Assistance to Civil Authorities, including Law Enforcement (Series 110)
- Search, *Detention*, and Arrest of Persons (Series 111)
- Treatment of Detained and Arrested persons (Series 112)
- Crowd and Riot Control (Series 120)
- Riot Control Agents (Series 121)
- Riot Control Munitions/Water cannons (Series 122)

3.5 **Maritime Interdiction Operations**

a. Introduction

The distinctive feature of *maritime interdiction operations* is that they involve the assertion of jurisdiction by warships (and/or military aircraft) over the vessels and/or aircraft of other states. Each participating nation will have a national position on what they are permitted to do (both as a matter of law and policy) in *international waters* and *international airspace* in respect of other nations' vessels and aircraft.

b. Legal Considerations

The principal legal considerations when drafting ROE are:

- i. The sea area where operations are to take place and the legal regime that applies, including navigation and overflight rights, the duties and rights of the coastal and flag states, and the rights and duties of neutrals or other non-participants.
- ii. The legal basis for the operation, including any specific legal authority for conducting operations in *national waters* or for conducting *maritime interdiction operations*.
- iii. The principle of sovereign immunity.
- iv. Different national legal and policy positions on the right to visit on the basis of a master's consent.

c. Applicable ROE

In addition to the compulsory rules as set out at paragraph 3.d.i of Annex B, the following ROE should be considered:

- Prevention of Interference with Ships and Aircraft (Series 22)
- *Warning Shots* (Series 23)
- *Disabling Fire* (Series 24)
- Search and *Detention* of Persons (Series 25)
- Inspection, Seizure, and Destruction of Property (Series 42)
- Geographic Positioning of *Force* Units and Cross-Border Incursions (Series 50)
- Diversions (Series 55)
- Zones (Series 57)
- Harassment and Counter-Harassment (Series 61)
- Sensors and Illumination (Series 63)
- Maritime Law Enforcement (Series 90)
- Boardings (Series 93)
- Suppression of *Piracy* (Series 94)

GUIDANCE ON *HOSTILE INTENT*

4.1 Defining *Hostile Intent*

a. *Hostile intent* is the threat of the imminent use of force. A determination of *hostile intent* is based on the existence of an identifiable threat recognizable on the basis of both of the following conditions:

i. Capability.

ii. Intention.

b. The right to use force in *self-defence* arises either when forces have been *attacked* and/or when there is demonstrated *hostile intent*. Demonstrated *hostile intent* exists when there is a reasonable belief that an *attack* or use of force is imminent, based on an assessment of all the facts and circumstances known at the time. Some nations permit the right of *individual self-defence* and *unit self-defence* to be limited by a force commander (see Series 10 and 11 in Annex B).

4.2 Ascertaining *Hostile Intent*. In determining whether an entity is demonstrating *hostile intent*, forces will use their best judgment and consider available intelligence, political and military factors, indications and warnings, and all other relevant information concerning the capabilities of possible threats in the area of operations.

4.3 Indicators of *Hostile Intent*. There is no checklist of indicators that will conclusively determine *hostile intent*. The following are examples of actions that may, depending on the circumstances, demonstrate *hostile intent*:

- a. Aiming or directing weapons.
- b. Adopting an *attack* profile.
- c. Closing within weapon release range.
- d. Illuminating with radar or laser designators.
- e. Passing targeting information.
- f. Laying or preparing to lay *naval mines*.
- g. Failing to respond to the proactive measures listed below in 4.4.

4.4 Proactive Measures that may Assist in Ascertaining *Hostile Intent*. In addition to the above indicators of *hostile intent*, time and circumstances permitting, forces should take proactive measures to assist in determining the intent of an opposing entity or force, including, but not limited to:

- a. Verbal query (see Appendix 7 to Annex C).

- b. Verbal warning (see Appendix 7 to Annex C).
- c. Visual signals.
- d. Noise signals.
- e. Physical barriers.
- f. Changing course and speed to determine if continuing to maintain an *attack* profile.
- g. Illuminating with fire control radar.
- h. Firing *warning shots*.

ESCALATION OF FORCE IN *SELF-DEFENCE*

5.1 Introduction. In all *self-defence* situations, when confronted with circumstances in which the use of force may become necessary, it is appropriate to exercise control over the application of force so as to ensure that the use of force is justifiable. Consequently, when time and circumstances permit, use of force must always be graduated (also referred to as escalation). Escalation of force (EOF) may involve sequential actions that begin with *non-deadly force* measures and may graduate to *deadly force* measures. EOF procedures are designed to avoid unjustifiable use of force. EOF procedures also may assist in the determination of *hostile intent* (see Appendix 4 to Annex A).

5.2 Graduated use of force. Graduated use of force requires that individuals confronted with a need to use force should always aim to use the least harmful option available in those circumstances. Indeed, one principal purpose of graduated use of force is to create operational time and space in the hope that there will be no need to escalate to use of *deadly force* in *self-defence*.

5.3 Use of force options. A variety of options for use of force may be available in any given situation. The options available will often include:

- a. Presence.
- b. Verbal and visual warnings, including display of weapons.
- c. Soft physical pressure.
- d. Hard physical pressure.
- e. Non-lethal weapons (such as batons).
- f. Lethal weapons (such as firearms).

5.4 General Considerations. There are a number of general considerations that should be taken into account in relation to EOF policy, options, and training:

- a. EOF is concerned with employing the necessary option. Use of force options must be read within their context on every occasion – that is, the assessment as to what the minimum first response shall be should be made on a case-by-case basis. Use of an excessive option, where a less harmful option could reasonably have achieved the aim of neutralizing or removing the threat in the circumstances encountered, may have legal consequences for individual users of force.
- b. Where time and circumstances permit it is expected that less harmful options (for example, warnings or *warning shots*) will be exercised before more harmful options are used.
- c. On some occasions, for operational reasons, ROE may limit access to certain less harmful EOF options. For example, ROE may prohibit use of *warning shots*. However, it must be remembered on all occasions that ROE and EOF procedures do

not limit the right of *self-defence*. Subject to any limitations promulgated in ROE (either series 10 or 11), all necessary and proportional means and actions may be used in *self-defence*.

d. *Force* preparation should include scenario-based training in EOF situations that members of the *Force* are likely to encounter during the operation, such as checkpoint or access control operations.

e. Use of proactive measures to determine *hostile intent* (see paragraph 4.4 of Appendix 4 to Annex A) and EOF measures are similar and may serve the same purpose.

TARGETING AND ROE

6.1 Targeting is the process of selecting and prioritizing targets and matching the appropriate response to them, taking account of operational requirements and capabilities, applicable ROE, and LOAC.

6.2 The relationship between ROE and targeting is summarized as follows:

- a. Forces may target only those military objectives permitted to be targeted in the relevant ROE.
- b. ROE may impose policy restrictions on targeting that go beyond the requirements of the LOAC.
- c. ROE must never permit targeting that is not consistent with LOAC.

6.3 Targeting Directives for a mission may set out limitations such as *restricted target lists* and *no-strike lists*. Additionally, commanders may be restricted from taking certain actions by their ROE.

6.4 In order to conduct targeting for any mission, planners, often referred to as a “targeting cell”, must have ROE for mission accomplishment (Series 20) that permit the use of force, up to and including *deadly force*. These ROE measures will reflect the effects that the commander intends to achieve. If there are no permissions under Series 20, then *attacks* cannot be conducted.

6.5 ROE will reflect the LOAC requirement that under no condition will an *attack* be permitted where the expected incidental injury or death of civilians and collateral damage to civilian objects is excessive in relation to the concrete and direct military advantage anticipated to be gained by the *attack*. In exceptional cases, *higher authority* or a commander (through an operation order or statement of commander’s intent) may direct that more restrictive standards be applied. For example, a commander may:

- a. prohibit *attacks* in which any collateral damage is a foreseeable consequence;
- b. prohibit *attacks* where incidental injury or death of specified classes of persons (such as children) or a specified number of persons is expected;
- c. prohibit *attacks* where otherwise permissible collateral damage to specified civilian objects is expected; or
- d. direct that selected military objectives be disabled rather than destroyed.

The above restrictive standards, as a general rule, would be applicable to mission accomplishment situations and not to use of force in *self-defence* situations.

MODEL TARGETING CHECK-LIST

Target Description:

Grid Ref:

1	Do you have authority under ROE / Orders to conduct <i>attack</i> ? <i>If yes proceed to 2. If no DO NOT ATTACK</i>
2	Is the objective on a <i>No Strike / Restricted Target List</i> ? <i>If no proceed to 3. If yes DO NOT ATTACK</i>
3	Does the target make an effective contribution to enemy military action? <i>If yes proceed to 4. If no DO NOT ATTACK</i>
4	Will its destruction or neutralization, in current circumstances, offer a definite military advantage? <i>If yes proceed to 5. If no DO NOT ATTACK</i>
5	Is the <i>attack</i> expected to cause incidental loss of civilian life, injury to civilians, damage to civilian objects, or a combination thereof (i.e. collateral damage)? <i>If yes proceed to 6. If no proceed to 11.</i>
6	Do your targeting directive and ROE permit collateral damage? <i>If yes proceed to 7. If no DO NOT ATTACK</i>
7	Is there an alternative military target available with the same military advantage, with less risk of collateral damage? <i>If no proceed to 8. If yes return to 1 for new target</i>
8	Have all feasible precautions in the choice of means and methods of <i>attack</i> with a view to avoiding, and in any event to minimizing, incidental loss or civilian life, injury to civilians and damage to civilian objects been taken? <i>If yes proceed to 9. If no, do so, and then reassess 8.</i>
9	Where circumstances permit, has an effective advance warning been given of <i>attacks</i> that may affect the civilian population? <i>If yes proceed to 10. If no, issue warning before proceeding to 10.</i>
10	Is the <i>attack</i> expected to cause incidental loss of civilian life, injury to civilians, damage to civilian objects, or a combination thereof, which would be excessive in relation to the concrete and direct military advantage anticipated? <i>If yes DO NOT ATTACK. If no proceed to step 11.</i>
11	ATTACK PERMITTED - BUT CONTINUE TO MONITOR. IF CIRCUMSTANCES CHANGE - DUTY TO REASSESS ATTACK.

COMPENDIUM OF ROE

1. This Compendium provides rules for the drafting of ROE. The rules are divided into groups that deal with different areas of military activity. Within these groups there are a number of series of rules, each of which regulates a distinct activity. Individual rules are selected from the series as required. Spare numbers are provided for the drafting of rules not included in the Compendium. Some of the rules include the term “(SPECIFY).” This means that detail must be inserted to clarify the meaning of the rule.

2. The Handbook is constructed on the basis that the right to use force in *individual self-defence* or *unit self-defence* is not limited unless a rule in Groups 10-19 specifically does so.

3. The process for drafting ROE from this Compendium is set out below and summarized in the ROE Drafting Check List.
 - a. Analyse the mission. Pay particular attention to the policy, operational and legal considerations that may affect ROE, including *higher authority* intent or guidance. Determine the character of the operation as involving armed conflict (international or non-international) or as falling outside armed conflict in order to determine the applicable rules.

 - b. Identify tasks from Mission Statement in OPORD. The OPORD will contain the mission statement and military tasks that are to be completed to accomplish the mission. These tasks need to be identified before any consideration can be given to drafting ROE.

 - c. Identify any current ROE. This is necessary to determine if changes will be required.

 - d. Prepare the ROE. .
 - i. Identify Compulsory Rules. The first ROE to be considered are the compulsory rules. The compulsory rules deal with matters that are fundamental to any mission and must be present in every ROE, even if the rule selected is one that prohibits the military activity. Every ROE is to include a rule from each of series 10, 11, 12, 60 & 70. For any mission beyond *self-defence*, a rule from series 20 is required. In situations involving armed conflict, measures from series 30 and 32 are required.

 - ii. Identify Environment-Specific Rules. Appendix 2 to Annex A provides guidance for drafting ROE for environments including land, maritime, air, *outer space*, and *cyberspace* operations. The rules that are most likely to be required are set out for each environment but are not compulsory.

 - iii. Identify Task Specific Rules. Appendix 3 to Annex A provides guidance for drafting ROE for specific tasks including *peace operations*, *non-combatant evacuation operations*, humanitarian assistance/disaster relief,

and assistance to civil authorities. The rules that are most likely to be required are set out for each environment but are not compulsory.

iv. Review remaining rules in Compendium. Each mission is unique so the environment and task specific guidance will not always be sufficient. ROE drafters should check all the series in the Compendium to see if any other rules are required to accomplish the mission.

v. Draft rules. The ROE message should be drafted with ROE listed in numerical order. It is possible, and sometimes necessary, to have two rules chosen from the same series.

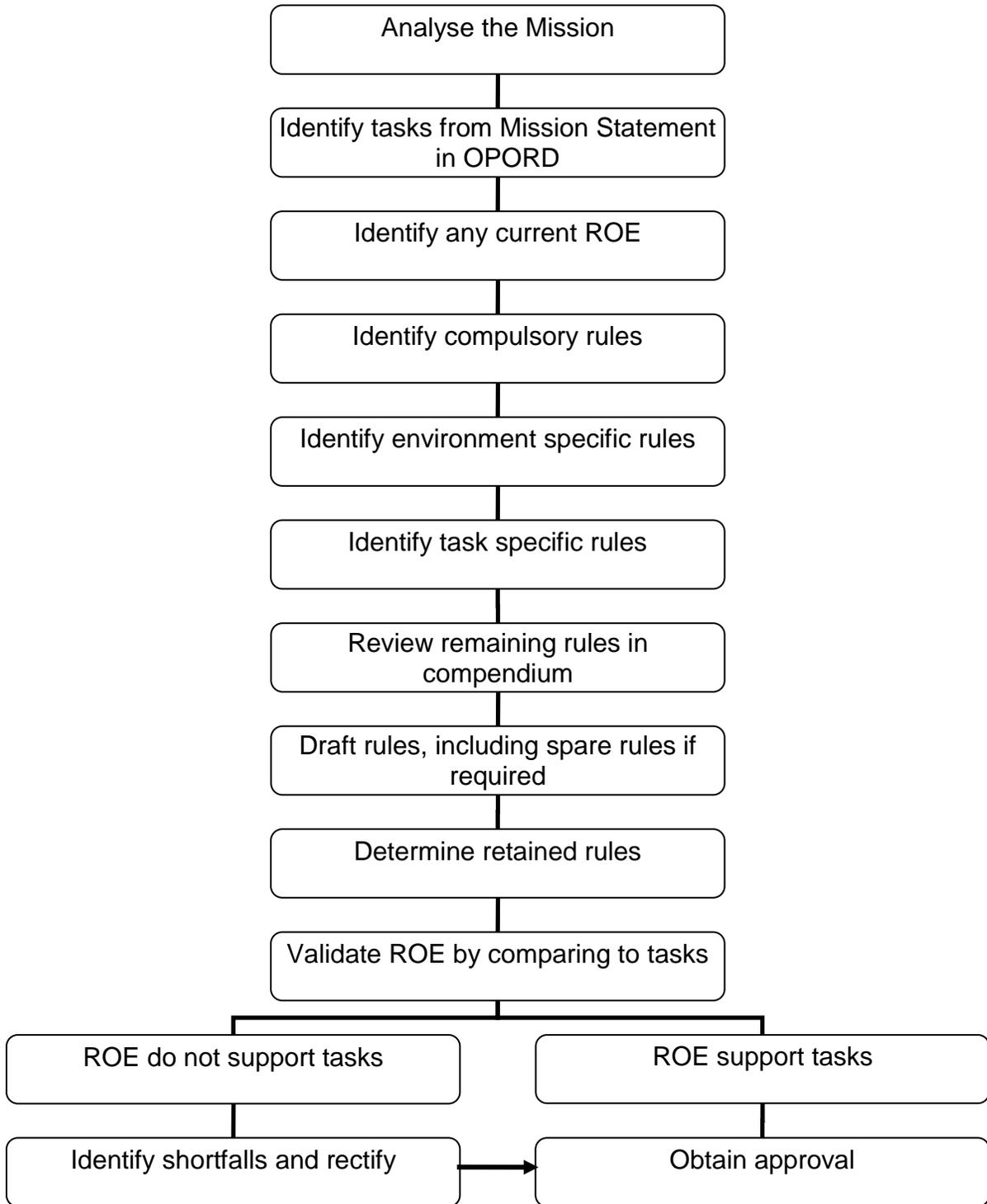
vi. Draft spare rules, if required. The Compendium cannot anticipate every possible mission and rule that may be required. Where a rule is not provided, it can be drafted under a spare number using the same format as other rules in that series or as part of a new group or series.

vii. Determine Retained Rules. Decide which rules, if any, are to be retained at a higher level. These rules will remain dormant until a ROEIMP message is issued.

e. Validate ROE by comparing to tasks. The ROE must be checked against the mission and task to ensure that it supports mission accomplishment within the limitations set out by *higher authority*. Rectify shortfalls, if any.

f. Obtain approval. Seek approval from the appropriate level of authority.

ROE DRAFTING CHECKLIST



GROUP 10-19: USE OF FORCE IN THE DEFENCE OF SELF AND OTHERS		
Note: For purposes of <i>self-defence</i> , <i>Force</i> includes persons accompanying the <i>Force</i> , Prisoners of War, internees and detainees under the control of the <i>Force</i> .		
Series 10	Use of Force in <i>Individual Self-Defence</i>	
Purpose:	To regulate the right to use force in <i>individual self-defence</i> .	
	Rule	
	10 A	Use of force, up to and including <i>deadly force</i> , in <i>individual self-defence</i> is permitted, except as follows: (SPECIFY).
	10 B	Use of <i>non-deadly force</i> in <i>individual self-defence</i> is permitted.
	10 C	Use of force, up to and including <i>deadly force</i> , in <i>individual self-defence</i> is permitted.
	10 D	Use of <i>non-deadly force</i> in defence of property where there is likelihood that destruction of, or damage to, that property will lead to the injury of (SPECIFY persons) is permitted.
	10 E	Use of force, up to and including <i>deadly force</i> , in defence of property where there is a likelihood that destruction of, or damage to, that property will lead to an imminent threat to life of (SPECIFY persons) is permitted. Note: Defence of property in such situations is an exercise of the right of <i>individual self-defence</i> , <i>unit self-defence</i> , or the right to protect the specified persons. Specified persons might include members of the <i>Force</i> , own state nationals, all civilians, etc. See Series 40 for measures regarding the use of force to protect property where no imminent threat to life exists.
	10 F-Z	Spare.
Series 11	Use of Force in <i>Unit Self-Defence</i>	
Purpose:	To regulate the right to use force in <i>unit self-defence</i> .	
	Rule	
	11 A	Use of force, up to and including <i>deadly force</i> , is permitted in <i>unit self-defence</i> , except as follows: (SPECIFY).
	11 B	Use of <i>non-deadly force</i> in <i>unit self-defence</i> is permitted.

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	11 C	Use of force, up to and including <i>deadly force</i> , in <i>unit self-defence</i> of (SPECIFY groups or units, e.g. the <i>Force</i> , civilians) is permitted.
	11 D	Use of <i>non-deadly force</i> in <i>unit self-defence</i> of (SPECIFY groups or units) is permitted.
	11 E	Use of <i>non-deadly force</i> where there is likelihood of damage to property that will lead to injury of persons in own unit or other units of own nation is permitted.
	11 F	Use of <i>non-deadly force</i> where there is likelihood of damage to property that will lead to injury of persons in (SPECIFY groups or units, e.g. the <i>Force</i> , civilians) is permitted.
	11 G	Use of force, up to and including <i>deadly force</i> , where there is a likelihood of damage to property that will lead to an imminent threat to life in own unit or other units of own nation is permitted. Note: Defence of property in such situations is an exercise of the right of <i>unit self-defence</i> in situations where the unit or persons in the unit are in peril. See Series 40 for measures regarding the use of force to protect property.
	11 H-Z	Spare.
Series 12	Use of Force for the Protection of Others	
Purpose:	To regulate the use of force for protection of persons who are not members of the <i>Force</i> .	
	Rule	
	12 A	Use of force for the protection of others is prohibited.
	12 B	Use of <i>non-deadly force</i> for the protection of others in (SPECIFY group) is permitted.
	12 C	Use of force, up to and including <i>deadly force</i> , for the protection of others of (SPECIFY group) is permitted.
	12 D	Use of force, up to and including <i>deadly force</i> , to prevent the commission of a <i>serious crime</i> against (SPECIFY) persons is permitted.
	12 E-Z	Spare.
Series 13	Use of Force in <i>National Self-Defence</i>	

Purpose:	To regulate the use of force in <i>national self-defence</i> .	
	Rule	
	13 A	Use of force in <i>national self-defence</i> is prohibited.
	13 B	Use of <i>non-deadly force</i> in <i>national self-defence</i> of (SPECIFY nation) is permitted.
	13 C	Use of <i>non-deadly force</i> in <i>national self-defence</i> of (SPECIFY nation) when authorised by (SPECIFY authority) is permitted.
	13 D	Use of force, up to and including <i>deadly force</i> , in <i>national self-defence</i> of (SPECIFY nation) is permitted.
	13 E	Use of force, up to and including <i>deadly force</i> , in <i>national self-defence</i> of (SPECIFY nation) when authorised by (SPECIFY authority) is permitted.
	13 F-Z	Spare.
Series 14-19	SPARE	
GROUP 20-29: MISSION ACCOMPLISHMENT		
Series 20	Use of Force for Mission Accomplishment	
Purpose:	To regulate the use of force for the purposes of mission accomplishment. Note: Where there is no armed conflict, some nations will only <i>deadly force</i> only in <i>self-defence</i> .	
	Rule	
	20 A	Use of <i>non-deadly force</i> to accomplish the mission is permitted.
	20 B	Use of <i>non-deadly force</i> to counter force used to interfere with the mission is permitted.
	20 C	Use of force, up to and including <i>deadly force</i> , to accomplish the mission is permitted.
	20 D	Use of force, up to and including <i>deadly force</i> , to counter force used to interfere with the mission is permitted.
	20 E-Z	Spare.

Series 21	Protection of Freedom of Movement of Persons	
Purpose:	To regulate the use of force in providing freedom of movement of personnel.	
	Rule	
	21 A	Use of force to prevent interference with the freedom of movement of persons belonging to the <i>Force</i> is prohibited.
	21 B	Use of <i>non-deadly force</i> , to prevent interference with the freedom of movement of persons belonging to the <i>Force</i> , is permitted.
	21 C	Use of force, up to and including <i>deadly force</i> , to prevent interference with the freedom of movement of persons belonging to the <i>Force</i> , is permitted.
	21 D	Use of force to prevent interference with the freedom of movement of (SPECIFY persons) is prohibited.
	21 E	Use of <i>non-deadly force</i> , to prevent interference with the freedom of movement of (SPECIFY persons), is permitted.
	21 F	Use of force, up to and including <i>deadly force</i> , to prevent interference with the freedom of movement of (SPECIFY persons), is permitted.
	21 G-Z	Spare.
Series 22	Prevention of Interference with Ships and Aircraft	
Purpose:	To regulate the circumstances in which force may be used to prevent unauthorised boarding or seizure of ships or aircraft.	
	Rule	
	22 A	Use of force to prevent unauthorised boarding of ships/aircraft is prohibited.
	22 B	Use of <i>non-deadly force</i> to prevent unauthorised boarding of (SPECIFY ships/aircraft) is permitted.
	22 C	Use of force, up to and including <i>deadly force</i> to prevent unauthorised <i>boarding</i> of (SPECIFY ships/aircraft), is permitted.
	22 D-Z	Spare.
Series 23	Warning Shots	

Purpose:	To regulate the use of <i>warning shots</i> other than in <i>self-defence</i> . Note: For use of warnings other than <i>warning shots</i> see Series 60.	
	Rule	
	23 A	Firing of <i>warning shots</i> is prohibited.
	23 B	Firing of <i>warning shots</i> in the vicinity of (SPECIFY elements) is permitted.
	23 C	Firing of <i>warning shots</i> to compel compliance with (SPECIFY instructions) is permitted.
	23 D	Firing of <i>warning shots</i> is permitted.
	23 E-Z	Spare.
Series 24	<i>Disabling Fire</i>	
Purpose:	To regulate the use of <i>disabling fire</i> .	
	Rule	
	24 A	Use of <i>disabling fire</i> is prohibited.
	24 B	Use of <i>disabling fire</i> to compel compliance with (SPECIFY instructions) is permitted.
	24 C	Use of <i>disabling fire</i> is permitted.
	24 D-Z	Spare.
Series 25	Search and <i>Detention</i> of Persons	
Purpose:	To regulate the circumstances in which persons may be searched and detained, other than in Assistance to Civilian and Law Enforcement Authorities (see Series 111).	
	Rule	
	25 A	Search of (SPECIFY persons) is prohibited.
	25 B	Search of (SPECIFY persons) in (SPECIFY circumstances) is permitted.
	25 C	Use of <i>non-deadly force</i> to search (SPECIFY persons) in (SPECIFY circumstances) is permitted.

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	25 D	Use of force, up to and including <i>deadly force</i> , to search (SPECIFY persons) in (SPECIFY circumstances) is permitted.
	25 E	Use of <i>non-deadly force</i> to disarm (SPECIFY persons) is permitted.
	25 F	Use of force, up to and including <i>deadly-force</i> to disarm (SPECIFY persons), is permitted.
	25 G	<i>Detention</i> of (SPECIFY persons) is prohibited.
	25 H	<i>Detention</i> of (SPECIFY persons) in (SPECIFY circumstances) is permitted.
	25 I	<i>Use of non-deadly force to detain</i> (SPECIFY persons) in (SPECIFY circumstances) is permitted.
	25 J	Use of force, up to and including <i>deadly force</i> , to detain (SPECIFY persons) in (SPECIFY circumstances), is permitted.
	25 K	Use of <i>non-deadly force</i> to prevent the escape of (SPECIFY persons) in (SPECIFY circumstances) is permitted.
	25 L	Use of force, up to and including <i>deadly force</i> , to prevent the escape of (SPECIFY persons) in (SPECIFY circumstances), is permitted.
	25 M-Z	Spare.
Series 26	Use of Force to Secure the Release of Persons	
Purpose:	To regulate the use of force in securing the release of persons.	
	Rule	
	26 A	Use of force to secure the release from custody of persons belonging to the <i>Force</i> is prohibited.
	26 B	Use of <i>non-deadly force</i> to secure the release from custody of persons belonging to the <i>Force</i> is permitted.
	26 C	Use of force, up to and including <i>deadly force</i> , to secure the release from custody of persons belonging to the <i>Force</i> , is permitted.
	26 D	Use of force to secure the release from custody of (SPECIFY persons) is prohibited.
	26 E	Use of <i>non-deadly force</i> to secure the release from custody of (SPECIFY persons) is permitted.

	26 F	Use of force, up to and including <i>deadly force</i> , to secure the release from custody of (SPECIFY persons), is permitted.
	26 G-Z	Spare.
Series 27	<i>Indirect Fire (Unobserved Indirect Fire and Observed Indirect Fire)</i>	
Purpose:	To regulate the use of <i>indirect fire</i>	
	<p>Notes:</p> <p>1. Definitions of the terms <i>direct fire</i>, <i>observed indirect fire</i>, and <i>unobserved indirect fire</i> vary among nations. Annex D provides generally accepted definitions. If national policy dictates a different definition, that definition should be published with the ROE.</p> <p>2. For the purposes of this Handbook, <i>direct fire</i> and <i>observed indirect fire</i> are permitted unless restricted by a rule. <i>Unobserved indirect fire</i> is not permitted unless authorised by a rule.</p>	
	Rule	
	27 A	Use of (SPECIFY <i>unobserved fire</i> , <i>observed indirect fire</i> , or all <i>indirect fire</i>) is prohibited (in the following situations: SPECIFY situations, e.g. populated areas).
	27 B	Use of <i>unobserved indirect fire</i> is permitted (in the following situations: SPECIFY situations).
	27 C-Z	Spare.
Series 28 –29	Spare	
GROUP 30-39: TARGETING IN ARMED CONFLICT		
Series 30	ENGAGEMENT OF MILITARY OBJECTIVES INCLUDING HOSTILE FORCES	
Purpose:	To regulate the engagement of military objectives including hostile forces.	
	Rule	
	30 A	<p><i>Attack on declared hostile forces</i> and other military objectives within (SPECIFY area) is permitted.</p> <p>AMPN: <i>Declared hostile forces</i> are:</p> <p>a. Combatants of the armed forces of (SPECIFY nation),</p> <p>b. Civilians taking a direct part in hostilities, and/or</p>

		c. (SPECIFY others e.g. group/vessel.)
	30 B	Non-destructive <i>attack</i> on (SPECIFY property) is permitted.
	30 C	<i>Attack</i> on (SPECIFY property) is prohibited.
	30 D-Z	Spare. Note: All actions under this series are to be conducted in accordance with the LOAC. For example, medical personnel, chaplains of the armed forces and those who are hors de combat may not be <i>attacked</i> . Series 30 should be considered in conjunction with Series 31 - Identification of Targets.
Series 31	Identification of Targets	
Purpose:	To regulate the means of identification required in using force against a target.	
	Rule	
	31 A	Identification of a target must be by visual means. Note: For the purpose of this rule, visual includes the use of image magnifiers such as binoculars, telescopes and periscopes.
	31 B	Identification of a target must be by visual means and (SPECIFY number and/or combination of the following means): a. Identification friend or foe (IFF) b. Other means requiring a response c. Thermal imaging d. Electro-optical e. Electronic intercept intelligence f. Data link information g. Passive acoustic analysis h. Track origin and behaviour i. Flight path correlation j. Magnetic signature k. EW support measures l. Other identification means not requiring a response
	31 C	Identification of a target must be by (SPECIFY number and/or combination of the following means): a. Visual b. Identification friend or foe (IFF) c. Other means requiring a response

		<ul style="list-style-type: none"> d. Thermal imaging e. Electro-optical f. Electronic intercept intelligence g. Data link information h. Passive acoustic analysis i. Track origin and behaviour j. Flight path correlation k. Magnetic signature l. EW support measures m. Other identification means not requiring a response
	31 D	Use of information from (SPECIFY force/sources) for target identification is prohibited.
	31 E	Use of (SPECIFY means) information from (SPECIFY force/sources) for target identification is permitted.
	31 F	Use of information from (SPECIFY force/sources) for target identification is permitted.
	31 G-Z	Spare.
Series 32	Neutrals	
Purpose:	To regulate the interaction of own force with neutrals.	
	Rule	
	32 A	Interference with the activities of neutrals is prohibited.
	32 B	Interference with the activities of neutrals in accordance with the law of armed conflict for the purposes of (SPECIFY actions, e.g. to conduct visit and search, instructing the vessel/aircraft to depart from the immediate area of operations, etc) is permitted.
	32 C	Conduct of (SPECIFY operation) in (SPECIFY neutral states) territorial sea, archipelagic waters or airspace is permitted.
	32 D-Z	Spare.
Series 33 – 39	Spare	
GROUP 40-49: OPERATIONS RELATED TO PROPERTY		
Series 40	Use of Force to Protect Property	
Purpose:	To regulate the use of force to protect property.	

	Rule	
	40 A	Use of force to protect property belonging to the <i>Force</i> is prohibited.
	40 B	Use of <i>non-deadly force</i> to protect property belonging to the <i>Force</i> is permitted.
	40 C	Use of force, up to and including <i>deadly force</i> , to protect property belonging to the <i>Force</i> is permitted.
	40 D	Use of force to protect property is prohibited.
	40 E	Use of <i>non-deadly force</i> to protect property is permitted.
	40 F	Use of force, up to and including <i>deadly force</i> to protect property is permitted.
	40 G-Z	Spare.
Series 41	Protection of Vital/Mission Essential/Specified Property	
Purpose:	To regulate the use of force in the protection of vital property, mission essential property, and other specified property.	
	Rule	
	41 A	Use of <i>non-deadly force</i> to protect (SPECIFY) property is permitted.
	41 B	Use of force, up to and including <i>deadly force</i> , to protect (SPECIFY property) is permitted.
	41 C-Z	Spare.
Series 42	Inspection, Seizure, and Destruction of Property	
Purpose:	To regulate the circumstances in which property may be inspected, seized, and destroyed.	
	Rule	
	42 A	Inspection of (SPECIFY property) is prohibited.
	42 B	Inspection of (SPECIFY property) in (SPECIFY circumstances) is permitted.
	42 C	Use of <i>non-deadly force</i> to inspect (SPECIFY property) in (SPECIFY circumstances) is permitted.

	42 D	Use of force, up to and including <i>deadly force</i> , to inspect (SPECIFY property) in (SPECIFY circumstances), is permitted.
	42 E	Seizure of (SPECIFY property) is prohibited.
	42 F	Seizure of (SPECIFY property) in (SPECIFY circumstances) is permitted.
	42 G	Use of <i>non-deadly force</i> to seize (SPECIFY property) in (SPECIFY circumstances) is permitted.
	42 H	Use of force, up to and including <i>deadly force</i> , to seize (SPECIFY property) in (SPECIFY circumstances) is permitted.
	42 I	Use of force to secure the release of property following its seizure is prohibited.
	42 J	Use of <i>non-deadly force</i> to secure the release of property belonging to the <i>Force</i> following the seizure of such property is permitted.
	42 K	Use of force, up to and including <i>deadly force</i> , to secure the release of (SPECIFY) property belonging to the <i>Force</i> following its seizure, is permitted.
	42 L	Use of <i>non-deadly force</i> to secure the release of (SPECIFY property) is permitted.
	42 M	Use of force, up to and including <i>deadly force</i> , to secure the release of (SPECIFY property), is permitted.
	42 N	Destruction of (SPECIFY property) is prohibited.
	42 O	Destruction of (SPECIFY property) in (SPECIFY circumstances) is permitted.
	42 P-Z	Spare.
Series 43 – 49	Spare	
GROUP 50-59: GEOGRAPHIC POSITIONING		
Series 50	Geographic Positioning of Force Units and Cross-Border Incursions	
Purpose:	To regulate the position of <i>Force</i> units in relation to the territory, maritime zones or airspace of others. Note: Except to the extent excluded, restricted, modified, or amplified by a measure in Series 58, <i>Force</i> units may exercise freedoms of navigation and over-flight in accordance with international law (see Part V, paragraph 19).	

	Rule	
	50 A	Entry into (SPECIFY area) of (SPECIFY nation or area) is prohibited.
	50 B	Approach closer than (SPECIFY distance / range) to (SPECIFY area) is prohibited.
	50 C	Entry into (SPECIFY area) except for the following circumstances (SPECIFY e.g. for transit passage, when rendered necessary by force majeure or distress, in <i>assistance entry</i> , in <i>self-defence</i> , etc.) is prohibited.
	50 D	Entry into (SPECIFY area) for (SPECIFY purpose or task, e.g. innocent passage, transit passage, archipelagic sea lanes passage, and assistance entry, SAR, NEO) is permitted.
	50 E	Entry into (SPECIFY area) is permitted.
	50 F-Z	Spare.
Series 51	Ground Reconnaissance	
Purpose:	To regulate the conduct of ground reconnaissance.	
	Rule	
	51 A	Conduct of ground reconnaissance in (SPECIFY area) is prohibited.
	51 B	Conduct of ground reconnaissance in (SPECIFY area) is permitted.
	51 C-Z	Spare.
Series 52	Aerial Reconnaissance	
Purpose:	To regulate the use of aerial reconnaissance	
	Rule	
	52 A	Aerial reconnaissance over (SPECIFY area) is prohibited.
	52 B	Aerial reconnaissance against (SPECIFY force) is prohibited.
	52 C	Aerial reconnaissance at altitudes of less than (SPECIFY altitude above ground level) over (SPECIFY force/area) is prohibited.

	52 D	Aerial reconnaissance against (SPECIFY force) is permitted.
	52 E	Aerial reconnaissance over (SPECIFY area) is permitted.
	52 F	Aerial reconnaissance is permitted.
	52 G-Z	Spare.
Series 53	Relative Positioning of <i>Force</i> Units	
Purpose:	To regulate the position of <i>Force</i> units in relation to other forces or assets.	
	Rule	
	53 A	Approaching closer than (SPECIFY distance / range) to (SPECIFY forces / contacts of interest) is prohibited.
	53 B	Approaching (SPECIFY forces / contacts of interest) within (SPECIFY distance) for (SPECIFY purpose—e.g. to establish identity) is permitted.
	53 C	Approaching (SPECIFY forces / contacts of interest) within (SPECIFY distance) is permitted.
	53 D	Unrestricted approach of (SPECIFY forces / contacts of interest) is permitted.
	53 E-Z	Spare.
Series 54	Exercising in the Presence of a Potential Adversary	
Purpose:	To regulate the conduct of exercises in the presence of a potential enemy. Note: While the conduct of an exercise is a lawful activity, such activity in the presence of a potential enemy, could be viewed as provocative.	
	Rule	
	54 A	Conduct of exercises in the presence of (SPECIFY) units is prohibited.
	54 B	Conduct of (SPECIFY) exercises in the presence of (SPECIFY) units is permitted.
	54 C	Aiming of weapons in the direction of (SPECIFY) is prohibited.
	54 D	Aiming of weapons in the direction of (SPECIFY) is permitted.

	54 E-Z	Spare.
Series 55	Diversions	
Purpose:	To regulate the use and enforcement of diversions.	
	Rule	
	55 A	Ordering of diversions is prohibited.
	55 B	Advising (SPECIFY persons/objects) on land to avoid (SPECIFY) areas is permitted.
	55 C	Advising (SPECIFY) aircraft to avoid (SPECIFY) areas is permitted.
	55 D	Advising (SPECIFY) ships to avoid (SPECIFY) areas is permitted.
	55 E	Ordering of diversions to (SPECIFY person/objects) on land for (SPECIFY) purpose is permitted.
	55 F	Ordering of diversions to (SPECIFY) aircraft for (SPECIFY) purpose is permitted.
	55 G	Ordering of diversions to (SPECIFY) ships for (SPECIFY) purpose is permitted.
	55 H	Ordering of diversions and other instructions to ships suspected of operating in breach of UNSCR (SPECIFY) is permitted.
	55 I	Use of (SPECIFY actions) to compel compliance with (SPECIFY diversion instructions) is permitted.
	55 J	Use of <i>non-deadly force</i> to compel compliance with (SPECIFY diversion instructions) is permitted.
	55 K	Use of force, up to and including <i>deadly force</i> , to compel compliance with (SPECIFY diversion instructions), is permitted.
	55 L-Z	Spare.
Series 56	Use of Obstacles and Barriers	
Purpose:	To regulate the use of obstacles and barriers.	
	Rule	
	56 A	Use of obstacles and barriers is prohibited.

	56 B	Use of non-explosive obstacles and barriers in (SPECIFY circumstances) is permitted.
	56 C	Use of a <i>counter-terrorist warning boom</i> is prohibited.
	56 D	Use of a <i>counter-terrorist warning boom</i> in (SPECIFY circumstances/location) is permitted.
	56 E-Z	Spare.
Series 57	Zones	
Purpose:	To regulate enforcement mechanisms for declared zones in land, maritime, and air environments.	
	Rule	
	57 A	Use of <i>non-deadly force</i> against (SPECIFY units) entering (SPECIFY area) without permission for (SPECIFY purpose e.g. reconnaissance) is permitted.
	57 B	Use of <i>non-deadly force</i> within (SPECIFY area) to disarm (SPECIFY groups or individuals) is permitted.
	57 C	Use of force, up to and including <i>deadly force</i> , within (SPECIFY area) to disarm (SPECIFY groups or individuals) is permitted.
	57 D	Use of force, up to and including <i>deadly force</i> on (SPECIFY units) entering (SPECIFY area) without permission is permitted.
	57 E	Use of force, up to and including <i>deadly force</i> on (SPECIFY units) who have entered (SPECIFY area) and failed to depart when warned is permitted.
	57 F-Z	Spare.
Series 58	Freedom of Navigation	
Purpose:	To regulate the exercise of freedom of navigation. Note: These rights are to be exercised with due regard for the legitimate rights of the Coastal State in the relevant zone. Unless otherwise directed, this Rule permits exercise of applicable rights in <i>international waters</i> that are subject to excessive maritime claims – both geographical (such as excessive straight baselines) and jurisdictional (such as over security in the CZ or EEZ).	
	Rule	

	58 A	Exercise of freedom of navigation in the (SPECIFY claimed security zone or other excessive maritime claim) of (SPECIFY nation / nations) is prohibited.
	58 B	Exercise of freedom of navigation in the (SPECIFY claimed security zone or other excessive maritime claim) of (SPECIFY nation / nations) is permitted.
	58 C	Exercise of freedom of navigation in the Contiguous Zone (CZ) and Exclusive Economic Zone (EEZ) of (SPECIFY nation / nations) is permitted.
	58 D-Z	Spare.
Series 59	Spare	
GROUP 60-69: WARNINGS, HARASSMENT, <i>SHADOWING</i>, ILLUMINATION		
Series 60	Warnings	
Purpose:	To regulate the use of warnings. Note: For use of <i>warning shots</i> refer to Series 23 – <i>Warning Shots</i> . Nothing in this Series prohibits an individual/vehicle/vessel or aircraft from communicating or displaying a <i>warning signal</i> .	
	Rule	
	60 A	Use of warnings is prohibited.
	60 B	Use of warnings is permitted.
	60 C	Use of (SPECIFY warnings) directed towards (SPECIFY elements) is permitted.
	60 D	Energizing fire control radar as a means of warning is permitted.
	60 E-Z	Spare.
Series 61	Harassment	
Purpose:	To regulate harassment. Note: A specific definitions of “harassment” should be included if there is doubt as to the definition of the term.	
	Rule	
	61 A	Harassment is prohibited.

	61 B	Harassment that will not result in physical damage is permitted.
	61 C	Harassment that may result in physical damage is prohibited.
	61 D	Harassment that may result in physical damage is permitted.
	61 E	Harassment to a similar extent and, in a similar fashion, to harassment received by any element or unit of the <i>Force</i> is permitted.
	61 F-Z	Spare.
Series 62	<i>Shadowing, Surveillance, and Marking</i>	
Purpose:	To regulate or restrict the conduct of <i>shadowing</i> , <i>surveillance</i> , or <i>marking</i> .	
	Rule	
	62 A	<i>Shadowing</i> is prohibited.
	62 B	<i>Shadowing</i> of (SPECIFY) forces is permitted.
	62 C	<i>Marking</i> is prohibited.
	62 D	<i>Marking</i> of (SPECIFY) forces is permitted.
	62 E	Conduct of <i>surveillance</i> is permitted.
	62 F-Z	Spare.
Series 63	Sensors and Illumination	
Purpose:	To regulate the use of sensors and means of illumination. Note: Care shall be taken not to illuminate the bridge, cab, or cockpit in such a way as to blind persons in control of ships, vehicles, or aircraft being illuminated.	
	Rule	
	63 A	Illumination is prohibited.
	63 B	Illumination of (SPECIFY) by (SPECIFY equipment) is permitted.
	63 C	Use of laser designators in (SPECIFY circumstances) is permitted.
	63 D	Use of laser range finders in (SPECIFY circumstances) is permitted.

		Note: It is unlawful to use laser targeting systems to deliberately cause blindness.
	63 E	Energizing fire-control radars in the direction of (SPECIFY) permitted.
	63 F	Use of all illuminants and illumination systems is permitted.
	63 G	Use of active sensors is prohibited.
	63 H	Use of active sensors is permitted.
	63 I	Unrestricted use of sensors is permitted.
	63 J-Z	Spare.
Series 64-69	Spare	
GROUP 70-79: CARRYING OF WEAPONS		
Series 70	Authority to Carry Weapons	
Purpose:	To regulate carrying of weapons.	
	Rule	
	70 A	Carrying of weapons by members of the <i>Force</i> is prohibited.
	70 B	Carrying of weapons by members of the <i>Force</i> in (SPECIFY location) is prohibited.
	70 C	Carrying of weapons by members of the <i>Force</i> in (SPECIFY area) is permitted.
	70 D	Carrying of (SPECIFY type of weapons, e.g. crew served weapons) by members of the <i>Force</i> in (SPECIFY area) is permitted.
	70 E	Carrying of weapons except in (SPECIFY location) is permitted. Note: Measure 70E is to be used when <i>Force</i> members are permitted to carry weapons in the area of operations, but are restricted from carrying weapons in places such as in the vicinity of cities, in <i>host nation</i> government buildings, etc.
	70 F	Carrying of weapons by members of the <i>Force</i> is permitted.
	70 G-Z	Spare.

Series 71 –79	Spare	
GROUP 80-89: LAND MINES, CLUSTER MUNITIONS AND BOOBY TRAPS		
Note: Treaty law and national policies, which go beyond the requirements of customary international law, have placed limitations on the use of these weapon systems by some nations.		
Series 80	Use of Land Mines	
Purpose:	To regulate the use of land mines (including <i>anti-personnel mines</i>).	
	Rule	
	80 A	Use of land mines (including <i>anti-personnel mines</i>) is prohibited.
	80 B	Use of <i>anti-personnel mines</i> is prohibited.
	80 C	Use of surface laid anti-vehicle mines in (SPECIFY area) is permitted.
	80 D	Use of concealed anti-vehicle mines in (SPECIFY area) is permitted.
	80 E	Use of land mines (including <i>anti-personnel mines</i>) in (SPECIFY circumstances) is permitted.
	80 F	Use of command-detonated mines is permitted.
	80 G	Use of land mines (except <i>anti-personnel mines</i>) in (SPECIFY circumstances) is permitted.
	80 H	Use of <i>land mines</i> (except <i>anti-personnel mines</i>) is permitted.
	80 I	Use of <i>land mines</i> (including <i>anti-personnel mines</i>) is permitted.
	80 J-Z	Spare.
Series 81	Use of Cluster Munitions	
Purpose:	To regulate the use of <i>cluster munitions</i> .	
	Rule	
	81 A	Use of <i>cluster munitions</i> is prohibited.
	81 B	Use of <i>cluster munitions</i> against (SPECIFY objectives) is permitted.
	81 C	Use of <i>cluster munitions</i> in (SPECIFY area) is permitted.

	81 D-Z	Spare.
Series 82	Use of Booby Traps	
Purpose:	To regulate the use of booby traps.	
	Rule	
	82 A	Use of booby traps is prohibited.
	82 B	Use of explosive booby traps is prohibited.
	82 C	Use of explosive booby traps in (SPECIFY circumstances) is permitted.
	82 D	Use of booby traps against (SPECIFY objectives) is permitted.
	82 E-Z	Spare.
Series 83-89	Spare	
GROUP 90-99: MARITIME OPERATIONS		
Series 90	Maritime Law Enforcement	
Purpose:	To regulate the use of force in the conduct of maritime law enforcement operations in own maritime zones, or in the maritime zones of other states where appropriately authorised.	
	Rule	
	90 A	Use of <i>non-deadly force</i> to enforce resource-related legal regimes and relevant domestic law in the exclusive economic zone and on the outer continental shelf is permitted.
	90 B	Use of force, up to and including <i>deadly force</i> , to enforce resource-related legal regimes and relevant criminal law in the exclusive economic zone and outer continental shelf is permitted.
	90 C	Use of <i>non-deadly force</i> to enforce fiscal, immigration, sanitary, and customs legal regimes and relevant domestic law in the contiguous zone is permitted.
	90 D	Use of force, up to and including <i>deadly force</i> to enforce fiscal, immigration, sanitary, and customs legal regimes and relevant domestic law in the contiguous zone is permitted.

	90 E	Use of <i>non-deadly force</i> to effect hot pursuit is permitted.
	90 F	Use of force, up to and including <i>deadly force</i> to effect hot pursuit is permitted.
	90 G	Use of <i>non-deadly force</i> to halt non-innocent passage in the territorial sea is permitted.
	90 H	Use of force, up to and including <i>deadly force</i> , to halt non-innocent passage in the territorial sea is permitted.
	90 I	Use of <i>non-deadly force</i> to conduct law enforcement in <i>national waters</i> is permitted.
	90 J	Use of force, up to and including <i>deadly force</i> , to conduct law enforcement in <i>national waters</i> is permitted.
	90 K-Z	Spare.
Series 91	Submarine Contacts	
Purpose:	To regulate the interaction of <i>Force</i> units with submarine contacts. Note: The use of <i>deadly force</i> against a submarine contact would be authorised under Group 10-19 (<i>SelfDefence</i>) or Rule 30A (<i>Armed Conflict</i>).	
	Rule	
	91 A	(SPECIFY action) against (SPECIFY) submarine contacts in (SPECIFY area or circumstances) is prohibited.
	91 B	Continued tracking of (SPECIFY) submarine contacts by (SPECIFY means e.g. passive/active sonar, magnetic anomaly detection, sonobuoy) is permitted.
	91 C	Use of warnings to induce (SPECIFY) submarine contacts to (SPECIFY result e.g. surface, leave the area) in (SPECIFY circumstances e.g. when located within xxx range of own forces) is permitted.
	91 D	Use of <i>non-deadly force</i> to induce (SPECIFY) submarine contacts to (SPECIFY result e.g. surface, leave the area) in (SPECIFY circumstances e.g. when located within (SPECIFY range) of own forces) is permitted.
	91 E	Use of use of force, up to and including <i>deadly force</i> to induce (SPECIFY) submarine contacts to (SPECIFY result e.g. surface, leave the area) in (SPECIFY circumstances e.g. when located within xxx range of own forces) is permitted.

	91 F	Use of warnings to induce (SPECIFY submarine contacts) to (SPECIFY result e.g. surface, leave the area) is permitted.
	91 G	Use of <i>non-deadly force</i> to induce (SPECIFY submarine contacts) to (SPECIFY result e.g. surface, leave the area) is permitted.
	91 H	Use of force, up to and including <i>deadly force</i> to induce (SPECIFY submarine contacts) to (SPECIFY result e.g. surface, leave the area) is permitted.
	91 I-Z	Spare.
Series 92	Naval Mines	
Purpose:	To regulate the use of, and response to, <i>naval mines</i> .	
	Rule	
	92 A	Use of <i>naval mines</i> is prohibited.
	92 B	Use of <i>armed naval mines</i> in (SPECIFY areas) in (SPECIFY circumstances) is permitted.
	92 C	Use of <i>controlled naval mines</i> in (SPECIFY areas) in (SPECIFY circumstances) is permitted.
	92 D	Stopping, <i>boarding</i> and searching of (SPECIFY vessels) in (SPECIFY areas) when there are reasonable grounds to suspect they are carrying or laying <i>naval mines</i> is permitted.
	92 E	Use of force, up to and including <i>deadly force</i> against (SPECIFY vessels) engaged in (SPECIFY activity) in (SPECIFY areas) is permitted.
	92 F	The removal, sweeping or neutralization of <i>naval mines</i> in (SPECIFY areas) is permitted.
	92 G-Z	Spare.
Series 93	Boardings	
Purpose:	To regulate the <i>boarding</i> of ships.	
	<p>Notes:</p> <ol style="list-style-type: none"> 1. See also Series 23 <i>Warning Shots</i> and Series 24 <i>Disabling Fire</i>. 2. International law recognises a number of legal bases for <i>boarding</i> of ships by warships. The issue of whether the <i>boarding</i> is compliant, non-compliant or opposed is a separate issue. For example, a lawful <i>boarding</i> may nevertheless 	

	be opposed when a master seeks to prevent the <i>boarding</i> despite the legal right of the warship to conduct it. 3. <i>Compliant boardings, non-compliant boardings, and opposed boardings</i> must each be authorised by separate measures.	
	Rule	
	93 A	<i>Boarding</i> of ships is prohibited.
	93 B	<i>Compliant boarding</i> of (SPECIFY ships) is permitted.
	93 C	<i>Compliant boarding</i> of (SPECIFY ships) where there are reasonable grounds for suspecting that the ship is (SPECIFY e.g. engaged in <i>piracy</i> , slave trading, ship without nationality, or ship of the same nationality as the warship refusing to show flag, or ship engaged in unauthorised broadcasting) is permitted.
	93 D	<i>Compliant boarding</i> of (SPECIFY ships) in accordance with UNSCR (SPECIFY) is permitted.
	93 E	<i>Non-compliant boarding</i> of (SPECIFY ships) is permitted.
	93 F	<i>Non-compliant boarding</i> of (SPECIFY ships) where there are reasonable grounds for suspecting that the ship is (SPECIFY e.g. engaged in <i>piracy</i> , slave trading, ship without nationality, or ship of the same nationality as the warship refusing to show flag, or ship engaged in unauthorised broadcasting) is permitted.
	93 G	<i>Non-compliant boarding</i> of (SPECIFY ships) in accordance with UNSCR (SPECIFY) is permitted.
	93 H	<i>Opposed boarding</i> of (SPECIFY ships) is permitted.
	93 I	<i>Opposed boarding</i> of (SPECIFY ships) where there are reasonable grounds for suspecting that the ship is (SPECIFY e.g. engaged in <i>piracy</i> , slave trading, ship without nationality, or ship of the same nationality as the warship refusing to show flag, or ship engaged in unauthorised broadcasting) is permitted.
	93 J-Z	Spare.
Series 94	Suppression of <i>Piracy</i>	
Purpose:	To regulate the use of force to suppress <i>piracy</i> .	
	Notes: 1. See paragraph 2.2 in Appendix 2 to Annex A for guidance on drafting rules of engagement for maritime operations.	

Annex B

	<p>2. For protecting individuals from piratical attacks, refer to Series 12 – Use of Force for the Protection of Others.</p> <p>3. For rules for accomplishing the piracy mission, refer to Group 20-29: Mission Accomplishment.</p>	
	Rule	
	94 A	Use of <i>non-deadly force</i> is permitted in suppression of <i>piracy</i> in the following situations: (SPECIFY situations)
	94 B	Use of force, up to and including <i>deadly force</i> , in suppression of <i>piracy</i> is permitted in the following situations: (SPECIFY situations).
	94 C	Continued pursuit of a fleeing pirate ship or pirate aircraft that proceeds into the territorial sea, archipelagic waters or airspace of a coastal state is permitted. Note: Every effort should be made to obtain the consent of the coastal state prior to continuation of the pursuit.
	94 D	Continued pursuit of a fleeing pirate ship or pirate aircraft that proceeds into the territorial sea, archipelagic waters or airspace of (SPECIFY) is permitted. Note: Every effort should be made to obtain the consent of the coastal state prior to continuation of the pursuit.
	94 E	Continued pursuit of a fleeing pirate ship or pirate aircraft that proceeds into the territorial sea, archipelagic waters or airspace of a coastal state is prohibited.
	94F	Destruction of pirate equipment, including (SPECIFY equipment), is permitted.
	94 G-Z	Spare.
Series 95 –99	Spare	
GROUP 100-109: AIR OPERATIONS		
Series 100	Use of Air to Surface Munitions	
Purpose:	To regulate the use of air to surface munitions.	
	Rule	

	100 A	Use of air to surface munitions is prohibited.
	100 B	Use of non-precision air to surface munitions is prohibited.
	100 C	Use of non-precision air to surface munitions in (SPECIFY areas) is prohibited.
	100 D	Use of precision-guided air to surface munitions in (SPECIFY areas) is permitted.
	100 E	Use of air to surface munitions against (SPECIFY objectives) is permitted.
	100 F-Z	Spare.
Series 101	Use of Air to Sub-surface Munitions	
Purpose:	To regulate the use of air to sub-surface munitions	
	Rule	
	101 A	Use of air to sub-surface munitions is prohibited.
	101 B	Use of air to sub-surface munitions against targets belonging to (SPECIFY force) is permitted.
	101 C	Use of air to sub-surface munitions in (SPECIFY areas) is permitted.
	101 D-Z	Spare.
Series 102	Air to Air Engagements	
Purpose:	To regulate air to air engagements	
	Rule	
	102 A	Beyond visual range air-to-air engagement is prohibited.
	102 B	Beyond visual range air-to-air engagement of hostile aircraft is permitted.
	102 C-Z	Spare.
Series 103 –109	Spare	
GROUP 110-119: ASSISTANCE TO CIVIL AUTHORITIES		

Series 110	Use of Force in Assistance to Civil Authorities, Including Law Enforcement	
Purpose:	To regulate the use of force in support of civilian authorities.	
	Rule	
	110 A	Law enforcement assistance to (SPECIFY civilian authorities) is prohibited.
	110 B	Use of <i>non-deadly force</i> to prevent the commission of a crime against (SPECIFY person and/or property) in the absence of civilian law enforcement officials is permitted.
	110 C	Use of <i>non-deadly force</i> to prevent the commission of a crime against (SPECIFY person and/or property) is permitted.
	110 D	Use of force, up to and including <i>deadly force</i> , to prevent the commission of a <i>serious crime</i> in the absence of civilian law enforcement officials is permitted.
	110 E	Use of force, up to and including <i>deadly force</i> , to prevent the commission of a <i>serious crime</i> is permitted.
	110 F	Use of force, up to and including <i>deadly force</i> , to prevent the commission of a crime against (SPECIFY) property is permitted.
	110 G-Z	Spare.
Series 111	Search, <i>Detention</i> and Arrest of Persons	
Purpose:	To regulate search, <i>detention</i> and/or arrest of persons during law enforcement related operations. Note: For search <i>and detention</i> of persons in non-law enforcement operations, refer to series 25 – Search and <i>Detention</i> of Persons.	
	Rule	
	111 A	Search of (SPECIFY persons) is prohibited.
	111 B	Search of (SPECIFY persons) in (SPECIFY circumstances) is permitted.
	111 C	Use of <i>non-deadly force</i> to search (SPECIFY persons) in (SPECIFY circumstances) is permitted.
	111 D	<i>Detention</i> or arrest of persons is prohibited.

	111 E	<i>Detention</i> of persons found committing a <i>serious offense</i> is permitted.
	111 F	<i>Detention</i> of persons found committing an offense is permitted.
	111 G	<i>Detention</i> of persons found escaping from having committed a <i>serious offense</i> is permitted.
	111 H	Arrest of persons found committing a <i>serious offense</i> is permitted.
	111 I	Arrest of persons found committing an offense is permitted.
	111 J	Arrest of persons reasonably believed to be about to commit a <i>serious offense</i> is permitted.
	111 K	Arrest of persons reasonably believed to be about to commit an offense is permitted.
	111 L	Arrest of persons reasonably believed to have committed a <i>serious offense</i> is permitted.
	111 M	Arrest of persons who are reasonably believed to have committed an offense is permitted.
	111 N-Z	Spare.
Series 112	Treatment of Detained and Arrested Persons	
Purpose:	To regulate actions taken against persons who have been detained or arrested during law enforcement related operations. Note: For <i>detention</i> of persons in non-law enforcement operations, refer to Series 25 - Search and <i>Detention</i> of Persons.	
	Rule	
	112 A	Use of <i>non-deadly force</i> to search a detained or arrested person for weapons or other items that could pose a threat to the safety of any person is permitted.
	112 B	Use of <i>non-deadly force</i> to disarm (SPECIFY persons) is permitted.
	112 C	Use of (SPECIFY restraints e.g. handcuffs) on (SPECIFY persons) is permitted.
	112 D	Use of <i>non-deadly force</i> to prevent any (SPECIFY persons) from escaping is permitted.

	112 E	Use of force, up to and including <i>deadly force</i> , to prevent any (SPECIFY persons) from escaping is permitted.
	112 F-Z	Spare.
Series 113-119	Spare	
Series 120	Crowd and Riot Control	
Purpose:	To regulate the use of force in riot control.	
	Rule	
	120 A	Use of force during riot control is prohibited.
	120 B	Use of <i>non-deadly force</i> during riot control in (SPECIFY circumstances) is permitted.
	120 C	Use of force, up to and including <i>deadly force</i> , during riot control in (SPECIFY circumstances), is permitted.
	120 D-Z	Spare.
Series 121	Riot Control Agents	
Purpose:	To regulate the use of riot control agents.	
	Rule	
	121 A	Use of (SPECIFY riot control agents, e.g. all) is prohibited in (SPECIFY circumstances).
	121 B	Use of (SPECIFY riot control agents) in (SPECIFY circumstances) is permitted.
	121 C-Z	Spare.
Series 122	Riot Control Munitions/ Water Cannons	
Purpose:	To regulate the use of riot control munitions and use of water cannons	
	Rule	
	122 A	Use of riot control munitions is prohibited.
	122 B	Use of riot control munitions is permitted.

	122 C	Use of (SPECIFY riot control munitions e.g. baton rounds, bean bags etc.) is permitted.
	122 D	Use of water cannons is prohibited.
	122 E	Use of water cannons is permitted.
	122 F-Z	Spare.
Series 123-129	Spare	
GROUP 130-139: INFORMATION OPERATIONS		
Series 130	Electronic Warfare Measures	
Purpose:	To regulate the use of <i>electronic warfare</i> measures.	
	Rule	
	130 A	Use of <i>electronic warfare</i> measures is prohibited.
	130 B	Use of (SPECIFY <i>electronic warfare</i> measures) against (SPECIFY) is permitted.
	130 C	Use of <i>electronic warfare</i> measures is permitted.
	130 D-Z	Spare.
Series 131	Computer Network Operations (Comprised of <i>computer network attack</i> , <i>computer network defence</i> , and related <i>computer network exploitation</i> enabling operations).	
Purpose:	To regulate the conduct of <i>computer network operations</i> .	
	Rule	
	131 A	<i>Computer network attacks</i> are prohibited.
	131 B	When authorised by (SPECIFY), <i>computer network attacks</i> to (SPECIFY effect, e.g. destroy, degrade, disrupt, deny) against (SPECIFY target system(s) - e.g. information on computers and or networks, or the computers and or networks themselves) of (SPECIFY target state, actor or system e.g. governmental systems, commercial systems, military systems) are permitted.
	131 C	When authorised by (SPECIFY), use of active <i>computer network defence</i> in response to unauthorised activity within friendly

		information systems or computer networks is permitted.
	131 D	When authorised by (SPECIFY), <i>computer network exploitation</i> against (SPECIFY target) automated information systems or computer networks is permitted.
	131 E-Z	Spare.
Series 132	<i>Psychological Operations</i>	
Purpose:	To regulate the use of <i>psychological operations</i> . Note: This Series is to be read with the relevant rules relating to Series 53 - Relative Positioning of <i>Force</i> Units.	
	Rule	
	132 A	<i>Psychological operations</i> are prohibited.
	132 B	<i>Psychological operations</i> broadcasts to (SPECIFY target audience) over (SPECIFY medium e.g. radio channels, television channels, web pages) are permitted.
	132 C	Use of (SPECIFY method e.g. computer, email and telephone systems) to communicate approved messages to (SPECIFY approved target audiences) is permitted.
	132 D	Leaflet distribution to communicate approved messages is permitted.
	132 E-Z	Spare.
Series 133	<i>Military Deception</i>	
Purpose:	To regulate the use of <i>military deception</i> . Note: <i>Perfidy</i> is prohibited at all times.	
	Rule	
	133 A	<i>Military deception</i> is prohibited.
	133 B	When authorised by (SPECIFY), use of (SPECIFY physical <i>military deception</i> e.g. dummy or decoy equipment) against (SPECIFY) is permitted.
	133 C	When authorised by (SPECIFY), use of (SPECIFY technical means e.g. electronic deception) against (SPECIFY) is permitted.

	133 D	When authorised by (SPECIFY), use of (SPECIFY administrative means e.g. convey/deny oral, pictorial, documentary, or other physical evidence) against (SPECIFY) is permitted.
	133 E-Z	Spare.
Series 134 –139	Spare	
GROUP 140-149: OUTER SPACE OPERATIONS		
Series 140	Interference With Satellite Communications	
Purpose:	To regulate interference against satellite communications.	
	Rule	
	140 A	Interference with satellite communications is prohibited.
	140 B	Interference with strategic early warning sensors and core communications systems is prohibited.
	140 C	Interference with communications for (SPECIFY satellite type e.g. communications, reconnaissance, global positioning etc.) belonging to (SPECIFY state/organisation) for (SPECIFY scope, intensity and duration of time) is permitted.
	140 D	Interference with communications for satellites belonging to (SPECIFY state/organisation) is permitted.
	140 E-Z	Spare.
Series 141	Neutralization/Destruction of Satellites	
Purpose:	To regulate actions taken to <i>neutralise</i> or destroy satellites.	
	Rule	
	141 A	<i>Neutralization</i> of satellites is prohibited.
	141 B	<i>Neutralization</i> of (SPECIFY satellite type e.g. communications, reconnaissance, navigation, global positioning etc.) belonging to (specify state/organisation) is permitted.
	141 C	<i>Neutralization</i> of (SPECIFY satellite type e.g. communications, reconnaissance, navigation, global positioning etc.) belonging to (SPECIFY state/organisation) for (SPECIFY scope, intensity and duration of time) is permitted.

Annex B

	141 D	Destruction of satellites is prohibited.
	141 E	Destruction of (SPECIFY satellite type e.g. communications, reconnaissance, navigation, global positioning, etc.) belonging to (SPECIFY state/organisation) is permitted.
	141 F-Z	Spare.
Series 142-149	Spare	
GROUP 150 plus: SPARE		

FORMATS FOR ROE AND ROE-RELATED MATERIALS

1. This Annex provides a selection of documents to serve as models.

Appendix 1	ROE Annex to OORDER
Appendix 2	ROERREQ, ROEAUTH and ROEIMP Messages
Appendix 3	ROE Matrix for Multinational Operations
Appendix 4	ROE Cards
Appendix 5	<i>Maritime Warning Zone</i> Announcements
Appendix 6	Requests for Identification and Warnings
Appendix 7	Responses to Queries, Warnings and Challenges at Sea

2. These models are samples only. They may or may not be appropriate for any particular operation. If used, they must be tailored to the specific circumstances of the operation.

ROE ANNEX TO OORDER

ROE ANNEX TO OORDER FOR OPERATION RESTORE STABILITY *MARITIME INTERDICTION OPERATIONS (MIO)*

References: A. UNSCR XXXX (20XX)
 B. Multi-National ROE Handbook

1. Reference A established sanctions against the nation of ALPHA. Military forces participating in OPERATION RESTORE STABILITY have been authorised to use all necessary means to enforce these sanctions.
2. OPERATION RESTORE STABILITY forces will conduct this operation in accordance with References A and B and the ROE implemented in this ROE directive.
3. Nothing in these ROE negates the right of *individual self-defence*. Nothing in these ROE negates a commander's right to take all necessary and appropriate action in *unit self-defence*.
4. The following ROE have been authorised for use by the *Force* when conducting the *MIO* within the Area of Operations:

- 10 C** Use of force, up to and including *deadly force* in *individual self-defence* is permitted.
- 11 C** Use of force, up to and including *deadly force*, in *unit self-defence* of Operation RESTORE STABILITY units is permitted.
- 12C** Use of force, up to and including *deadly force*, for the protection of persons on boarded vessels is permitted.
- 20 C** Use of force, up to and including *deadly force*, to accomplish the mission is permitted
- 23 C** Firing of *warning shots* to compel compliance with UNSCR XXXX is permitted.
- 24 B** Use of *disabling fire* to compel compliance with UNSCR XXXX is permitted. AMPN: This rule is retained by Commander Operation Restore Stability.
- 55 H** Ordering of diversions and other instructions to ships suspected of operating in breach of UNSCR XXXX is permitted.
- 93 G** *Non-compliant boarding* of suspect ships in accordance with UNSCR XXXX is permitted. AMPN: This rule is retained by Commander Multinational Force.

ROE REQUEST (ROEREQ), ROE AUTHORISATION (ROEAUTH), AND ROE IMPLEMENTATION (ROEIMP) MESSAGES

2.1 Introduction. The following types of formatted message may be used to request, authorise, or deny ROE:

- a. ROE Request (ROEREQ).
- b. ROE Authorisation or denial (ROEAUTH).
- c. ROE Implementation (ROEIMP).

ROEREQ and ROEAUTH messages should contain the entire text of each ROE being requested/authorised. Message formats are provided below. For each operation, each message should be numbered sequentially.

2.2 ROEREQ Messages. ROEREQ messages are used by a commander to seek the implementation, modification or cancellation of ROE by a superior commander. They can be originated by any commander in the operational chain of command. Each ROEREQ must include an explanation of why the ROE are required and the consequences should that ROE not be approved.

2.3 ROEAUTH Messages. ROEAUTH messages are used by the appropriate higher headquarters to authorise or deny ROE. Each message should be numbered sequentially.

2.4 ROEIMP Messages. ROEIMP messages are used by a commander to control the application of ROE that has been authorised by higher headquarters. It may contain additional guidance or restrictions, or may withhold certain ROE which has been authorised.

2.5 Amplification to ROE. Amplification (AMPN) are instructions contained within a ROEAUTH or ROEIMP message that provide additional information and guidance with respect to one or more of the ROE measures that have been authorised. Clarification for any or all of the ROE within any of these messages may be included in AMPN lines.

2.6 Message Formats. All ROEREQ, ROEAUTH and ROEIMP messages should be numbered sequentially (i.e. ROE REQUEST SERIAL ONE, ROE REQUEST SERIAL TWO, ROE REQUEST SERIAL THREE, etc.) and should include the following paragraphs:

- Paragraph 1 Background/justification. An explanation of why the ROE rules are being requested, authorised or denied.
- Paragraph 2 New rules requested or authorised.
- Paragraph 3 Previous measures cancelled (if any).
- Paragraph 4 Previous measures remaining in force (if any). Paragraph 4 must contain an accurate, up to date list of all authorised rules.
- Paragraph 5 Additional remarks (if any).

Each ROE message will contain all appropriate paragraphs so that commanders need only retain the latest message in order to have the complete current listing of all rules in force for the mission. If it is necessary to request or authorise ROE rules not found in the Compendium, the text of the requested rules should be set out in plain language in paragraph 2 of the ROE message utilizing an unassigned (SPARE) rule number from the most appropriate Series.

2.7 Sample ROEREQ message:

From Commander Operation Restore Stability
 To Commander Multinational Forces
 Info (Appropriate Information Addressees)
 Subj/ROEREQ Serial One/Operation Restore Stability
 Ref/A/ Multinational ROE Handbook

1. Background/justification: BRAVO warships are disrupting operations in relation to ALPHA by harassing *Force* units. BRAVO is allowing smuggling operations to be conducted in its territorial sea in violation of UNSCR XXXX.

2. New rules requested:

20 D Use of force, up to and including *deadly force*, to counter force used to interfere with the mission is permitted.

50 F Entry into the territorial sea of BRAVO to disrupt smuggling operations is permitted.

3. Previous rules cancelled: None.

4. Previous rules remaining in force:

10 C Use of force, up to and including *deadly force* in *individual self-defence* is permitted.

11 C Use of force, up to and including *deadly force*, in *unit self-defence* of Operation RESTORE STABILITY units is permitted.

12C Use of force, up to and including *deadly force*, for the protection of persons on boarded vessels is permitted.

20 C Use of force, up to and including *deadly force*, to accomplish the mission is permitted

23 C Firing of *warning shots* to compel compliance with UNSCR XXXX is permitted.

24 B Use of *disabling fire* to compel compliance with UNSCR XXXX is permitted. AMPN: This rule is retained by Commander Operation Restore Stability.

55 H Ordering of diversions and other instructions to ships suspected of operating in breach of UNSCR XXXX is permitted.

93 G *Non-compliant boarding* of suspect ships in accordance with UNSCR XXXX is permitted. AMPN: This rule is retained by Commander Multinational Force.

5. Additional remarks: Request approval of ROE rules 20 D and 50 F to facilitate effective *MIO*.

2.8 Sample ROEAUTH message:

From Commander Multinational Force
 To Commander Operation Restore Stability
 Info (appropriate information addressees)
 Subj/ROEAUTH Serial One/Operation Restore Stability
 Ref/A/ Commander Operation Restore Stability ROEREQ Serial One

1. Background/justification: Reference A requested new ROE measures to counter BRAVO interference with *MIO operations*. Rule 20C is authorised. Rule 50 F is not authorised.

2. New rule authorised:

20 D Use of force, up to and including *deadly force*, to counter force used to interfere with the mission is permitted.

3. Previous rules cancelled: None.

4. Previous rules remaining in force:

10 C Use of force, up to and including *deadly force* in *individual self-defence* is permitted.

11 C Use of force, up to and including *deadly force*, in *unit self-defence* of Operation RESTORE STABILITY units is permitted.

12C Use of force, up to and including *deadly force*, for the protection of persons on boarded vessels is permitted.

20 C Use of force, up to and including *deadly force*, to accomplish the mission is permitted

23 C Firing of *warning shots* to compel compliance with UNSCR XXXX is permitted.

24 B Use of *disabling fire* to compel compliance with UNSCR XXXX is permitted. AMPN: This rule is retained by Commander Operation Restore Stability.

55 H Ordering of diversions and other instructions to ships suspected of operating in breach of UNSCR XXXX is permitted.

93 G *Non-compliant boarding* of suspect ships in accordance with UNSCR XXXX is permitted. AMPN: This rule is retained by Commander Multinational Force.

5. Additional remarks:

50 F (Entry into the territorial sea of BRAVO to disrupt smuggling operations is permitted.) is NOT authorised at this time due to pending diplomatic action by the UN Secretary General.

2.9 Sample ROEIMP message:

From Commander Operation Restore Stability
 To Combined Task Force Restore Stability
 Info (appropriate information addressees)
 Subj/ROEAUTH Serial One/Operation Restore Stability
 Ref/A/ Commander Operation Restore Stability ROEREQ Serial One
 Ref/B/ Commander Multinational Force ROEAUTH Serial One

1. Background/justification: Reference A requested new ROE measures to counter BRAVO interference with *MIO operations*. Reference B responded to that request. Measure 20 D is authorised. Measure 50 F is not authorised.

2. New rule authorised:

20 D Use of force, up to and including *deadly force*, to counter force used to interfere with the mission is permitted.

3. Previous rules cancelled: None.

4. Previous rules remaining in force:

10 C Use of force, up to and including *deadly force* in *individual self-defence* is permitted.

11 C Use of force, up to and including *deadly force*, in *unit self-defence* of Operation RESTORE STABILITY units is permitted.

12C Use of force, up to and including *deadly force*, for the protection of persons on boarded vessels is permitted.

20 C Use of force, up to and including *deadly force*, to accomplish the mission is permitted

23 C Firing of *warning shots* to compel compliance with UNSCR XXXX is permitted.

24 B Use of *disabling fire* to compel compliance with UNSCR XXXX is permitted. AMPN: This rule is retained by Commander Operation Restore Stability.

55 H Ordering of diversions and other instructions to ships suspected of operating in breach of UNSCR XXXX is permitted.

93 G *Non-compliant boarding* of suspect ships in accordance with UNSCR XXXX is permitted. AMPN: This rule is retained by Commander Multinational Force.

5. Additional remarks:

50 F (Entry into the territorial sea of BRAVO to disrupt smuggling operations is permitted.) is NOT authorised at this time due to pending diplomatic action by the UN Secretary General.

ROE MATRIX FOR MULTINATIONAL OPERATIONS

3.1 An ROE matrix provides a summary of the ROE rules in effect for each nation in a multinational force. The matrix provides a quick reference for planners and commanders in determining which unit or units may engage in specific actions.

3.2 This Appendix provides a sample matrix for *maritime interdiction operations*. Four participating nations (A, B, C, and D) are listed at the top of the matrix. ROE series are listed on the left side. A block with the word “YES” indicates the nation’s unit has the ROE rule available. A block with a footnoted “YES” indicates the nation’s unit has the ROE rule available, but with some limit or qualification listed in the footnote. A block with “NO” indicates the ROE rule is not available.

Rule	ROE	Nation A	Nation B	Nation C	Nation D
11A	<i>Unit self-defence</i> of other nations’ units	YES	YES	YES	YES (1)
23A	<i>Warning shots</i>	YES (1)	YES	NO	YES
24C	<i>Disabling Fire</i>	YES (1)	NO	NO	YES
25B/J	<i>Search and Detention</i> of Persons	YES (1)	NO	NO	YES (1)
93B	<i>Compliant boarding</i>	NO	NO	NO	YES
93E	<i>Non-compliant boarding</i>	NO	NO	NO	YES
93H	<i>Opposed boarding</i>	NO	NO	NO	YES (2)

- 1. Only with permission from *higher authority*
- 2. Only if low threat of resistance

ROE CARDS

4.1 In general, ROE cards (sometimes referred to as soldiers' cards) provide summaries of the key ROE principles regulating the use of force by individuals for a particular mission. They are not a substitute for training.

4.2 ROE cards must be concise and easy to understand.

4.3 Model ROE cards are provided for 3 situations:

- a. *Self-defence*
- b. *Peace Operations, and*
- c. *Armed Conflict, including a code of conduct.*

4.4 The use of force in *self-defence* by individuals is governed by the domestic law of their nations. Cards issued to individuals must not authorise the use of force beyond that permitted by their domestic law.

SELF-DEFENCE CARD

NOTHING IN YOUR ROE LIMITS YOUR RIGHT TO TAKE ACTION IN SELF-DEFENCE.

USE OF FORCE IN SELF-DEFENCE

1. You have the right to use force only in *self-defence*.
2. You may use force, up to and including *deadly force*, in response to a *hostile act* or *hostile intent* directed against:
 - You
 - Members of your unit
 - (SPECIFY Other individuals) (**Note:** See ROE Group 10-19)
3. A warning is to be given before opening fire in *self-defence*, if time and circumstances permit.
4. You are to warn by shouting: (SPECIFY e.g. "STOP OR I WILL FIRE").

USE OF FORCE

5. If you have to open fire, you must:
 - Fire only aimed shots
 - AND**
 - Use no more force than is necessary to *neutralise* the threat
 - AND**
 - Take all reasonable precautions not to injure anyone other than your target.

PEACE OPERATIONS CARD

NOTHING IN YOUR ROE LIMITS YOUR RIGHT TO TAKE ACTION IN *SELF-DEFENCE*.

MISSION

1. Your Mission is (SPECIFY).

USE OF FORCE IN *SELF-DEFENCE*

2. You have the right to use force in *self-defence*.

3. You may use force, up to and including *deadly force*, in response to a *hostile act* or *hostile intent* directed against:

- You
- Members of your unit
- (SPECIFY Other individuals) (**Note:** See ROE Group 10-19)

4. You may use necessary and proportional force, up to and including *deadly force*, in order to:

- (SPECIFY task)

5. A warning is to be given before opening fire *in self-defence*, if time and circumstances permit.

6. You are to warn by shouting: (SPECIFY e.g. "STOP OR I WILL FIRE").

USE OF FORCE

7. If you have to open fire, you must:

- Fire only aimed shots
- AND**
- Use no more force than is necessary to *neutralise* the threat
- AND**
- Take all reasonable precautions not to injure anyone other than your target.

ARMED CONFLICT CARD

NOTHING IN YOUR ROE LIMITS YOUR RIGHT TO TAKE ACTION IN *SELF-DEFENCE*.

MISSION

1. Your Mission is (SPECIFY).
2. You have the right to use force both in *self-defence* and against the enemy.

USE OF FORCE IN *SELF-DEFENCE*

3. You have the right to use force in *self-defence* at all times.
4. You may use force, up to and including *deadly force*, in response to a *hostile act* or *hostile intent* directed against:
 - You
 - Members of your unit
 - (SPECIFY Other individuals) (**Note:** See ROE Group 10-19)
5. A warning is to be given before opening fire in *self-defence*, if time and circumstances permit.
6. You are to warn by shouting: (SPECIFY e.g. "STOP OR I WILL FIRE").
7. If you have to open fire, you must:
 - Fire only aimed shots

AND

 - Use no more force than is necessary to *neutralise* the threat

AND

 - Take all reasonable precautions not to injure anyone other than your target.

USE OF FORCE AGAINST THE ENEMY

8. Within (SPECIFY area), the following may be *attacked*:
 - (SPECIFY military objectives and *declared hostile forces*) (**Note:** See ROE Group 30-39).
9. Minimize incidental injury or death of civilians and collateral damage to civilian objects.

**CODE OF CONDUCT (REVERSE SIDE OF MODEL ARMED CONFLICT
CARD)**

1. Comply with the law of armed conflict and report suspected breaches to your superiors.
2. Do not *attack* those who surrender. Turn them over to your superiors.
3. Treat all detainees humanely.
4. Collect and care for all wounded, sick, and shipwrecked.
5. Respect civilians and their property.
6. Do not take war trophies.

MARITIME WARNING ZONE ANNOUNCEMENTS

5.1 *Maritime Warning Zones* are an operational issue. Properly established and appropriately implemented *maritime warning zones* provide operational commanders with the means to enhance the *self-defence* and *force protection* posture of their assets, and with the means to announce potential hazards to other users of the water space. However used, *maritime warning zones* cannot and do not absolve commanders of their responsibility for the safety of the forces they command or for their duty to comply with LOAC and other rules of international law.

5.2 *Maritime Warning Zones* are typically announced through a Notice to Mariners (NOTMAR), Notice to Airmen (NOTAM), or similar announcement.

5.3 Model announcements are provided for two types of zones:

- a. *Warning Area* in *International Waters*.
- b. *Warning Area* and *Exclusion Zone* in the Territorial Sea.

5.4 Where the term “(SPECIFY)” is included, detail must be inserted to clarify the meaning of the provision.

MODEL ANNOUNCEMENT - WARNING AREA

1. Due to (SPECIFY event or circumstances), (SPECIFY forces) are operating at a heightened state of readiness and taking additional defensive precautions against (SPECIFY threat). Consequently, all aircraft, surface vessels, and subsurface vessels approaching (SPECIFY object e.g. oil platform, warship) are requested to maintain radio contact with (SPECIFY force) on bridge-to-bridge channel 16, international air distress (121.5 MHZ VHF) or military air distress (243.0 MHZ UHF).
2. (SPECIFY force) will take appropriate measures in *self-defence* if warranted by the circumstances. Aircraft, surface vessels, and subsurface vessels approaching (SPECIFY force) will, by making prior contact as described above, help make their intentions clear.
3. (SPECIFY force), when operating in confined waters, shall remain mindful of navigational considerations of aircraft, surface vessels, and subsurface vessels in their immediate vicinity.
4. Nothing in this warning is intended to impede or otherwise interfere with the freedom of navigation or overflight of any vessel or aircraft, or to limit or expand the right of *self-defence* of (SPECIFY force). This warning is published solely to advise of the heightened state of readiness of (SPECIFY force) and to request that radio contact be maintained as outlined above.

MODEL ANNOUNCEMENT – WARNING AREA AND EXCLUSION ZONE IN THE TERRITORIAL SEA

1. A *warning area* and an *exclusion zone*, as described below, are established due to (SPECIFY event that lead to the declaration of the zones).
2. All mariners are advised to remain clear of (SPECIFY forces) and to identify themselves and make their intentions known when operating in the vicinity of (SPECIFY forces). If queried, mariners should clearly identify themselves and state their intentions and if given directions from (SPECIFY forces), they should promptly execute such directions so as to make their intentions known. Mariners are reminded that (SPECIFY forces) are prepared to take defensive measures, including if necessary the use of *deadly force*, against any contact whose identity or intentions are unknown and which poses a threat.
3. Effective immediately, a *warning area* is established around (SPECIFY geographic coordinates).
4. The *warning area* extends (SPECIFY distance) from (SPECIFY point). This *warning area* is distinct from and in addition to, the *exclusion zone* established later in this announcement.
5. Vessels are advised to remain clear of the *warning area* for all but essential transits. If transit requires entry into the zone, vessels are advised to contact (SPECIFY contact) via marine vhf channel 16, identify themselves and make transit intentions known. If (SPECIFY forces) advise a vessel to depart the *warning area*, the vessel should immediately depart. Such direction will be given only when necessary to keep the vessel from standing into danger.
6. Additionally, effective immediately, an *exclusion zone* is established, and the right of innocent passage is temporarily suspended in accordance with international law around (SPECIFY geographic coordinates) within (SPECIFY territorial sea). The *exclusion zone* extends (SPECIFY distance) from (SPECIFY point).
7. Only (SPECIFY vessels) and (SPECIFY forces) are allowed to enter the *exclusion zone*. Vessels attempting to enter the zone without authorisation may be subject to defensive measures, including when necessary, the use of *deadly force*. All reasonable efforts will be taken to warn vessels away before employing *deadly force*. However, *deadly force* will be employed when necessary.
8. Questions regarding this advisory may be directed to (SPECIFY point of contact and contact information).

REQUESTS FOR IDENTIFICATION AND WARNINGS

6.1 Where time and circumstances permit, forces or individuals presenting a threat should be warned and given the opportunity to withdraw or otherwise cease threatening actions. This appendix provides sample language for use in issuing such warnings.

6.2 Failure to respond to warnings may be considered as evidence of *hostile intent*.

6.3 In the maritime and air environments, requests for identification and warnings to aircraft are generally communicated via Military Air Distress (243 MHZ) and International Air Distress (121.5 MHZ) circuits. Warnings to surface ships are generally transmitted via Channel 16 bridge-to-bridge circuit.

6.4 Land operations examples:

“(SPECIFY identity)! Stop or I will fire!”

“Attention! Unless you disperse/stop, I will use a (SPECIFY device) against you.”

6.5 Air operations examples:

Query: “Attention, unidentified air contact (at SPECIFY position and IFF squawking SSR/call sign number___), at (SPECIFY altitude), you are *approaching* a (SPECIFY nation) (SPECIFY warship or military aircraft). Request you establish communications, identify yourself, and state your intentions.”

Warning: “Unidentified (use identity if known) air contact (at SPECIFY position and squawking SSR/call sign number___), at (SPECIFY altitude), (SPECIFY course), and (SPECIFY) speed, you are approaching a (SPECIFY warship or military aircraft). Your (identity is unknown and/or your) intentions are not clear. You are standing into danger. Request you establish communications now or alter course immediately to (SPECIFY course) to remain clear.

6.6 Maritime examples:

Query: “Attention, unidentified surface (or submerged) contact (SPECIFY position), you are approaching a (SPECIFY nation) warship. Request you establish communications, identify yourself, and state your intentions.”

Warning: “Unidentified (use identity if known) surface (or submerged) contact (at SPECIFY position and/or IFF squawk), at (SPECIFY course), and (SPECIFY speed), you are approaching a (SPECIFY warship or military aircraft). Your (identity is unknown and/or your) intentions are not clear. You are standing into danger. Request you establish communications now or alter course immediately to (SPECIFY course) to remain clear.

RESPONSES TO QUERIES, WARNINGS AND CHALLENGES AT SEA

7.1 This Appendix provides sample responses to queries or challenges received by warships and military aircraft in the maritime environment.

7.2 As a general rule, military units are authorised by national authorities to provide limited information in response to challenges or queries from foreign warships and military aircraft. Hull or side number, and course and speed are usually provided. Ship or aircraft type, name, previous ports of call, destination, current operations, and other information not related to the safe transit of the unit are not usually provided.

7.3 Suggested language for a response to a challenge:

- a. First part of the response should include “This is (SPECIFY nationality) warship (or military aircraft) (SPECIFY number).”
- b. Second part of the response depends on the location and transit mode of the unit. Options include:
 - “I am conducting routine operations in *international waters*.”
 - “I am engaged in innocent passage.”
 - “I am engaged in transit passage.”
 - “I am engaged in archipelagic sea lanes passage.”
- c. If asked for information not authorised for disclosure, the following response is suggested: “This is (SPECIFY nationality) warship (or military aircraft) (SPECIFY number). I am not authorised to provide that information.”

GLOSSARY

anti-personnel mine a land mine designed to be exploded by the presence, proximity or contact of a person and that will incapacitate injure or kill one or more persons. Mines designed to be detonated by the presence, proximity, or contact of a vehicle (as opposed to a person) that are equipped with anti-handling devices, are not considered *anti-personnel mines* as a result of being so equipped.

armed naval mine a naval mine laid either with all safety devices withdrawn or armed when laid so as to detonate when pre-set conditions are met.

assistance entry the entry into the territorial sea by *ships* or aircraft without permission of the coastal state to engage in *bona fide* efforts to render emergency assistance to those in danger or distress at sea. This right applies only when the location of the danger or distress is reasonably well known. It does not extend to a search, which requires the consent of the coastal state.

attack acts of violence or *computer network attack* in which there is a reasonable expectation that death, bodily harm or damage to property may occur.

cluster munition in general, a conventional munition that is designed to disperse or release explosive submunitions with lethal effect. National definitions vary depending upon national policy and treaty obligations.

compliant boarding a boarding where the master and crew of the vessel cooperate.

computer network attack actions taken through the use of computer networks to disrupt, deny, degrade, or destroy information resident in computers and computer networks, or the computers and networks themselves. Also called *CNA*.

computer network defence actions taken through the use of computer networks to protect, monitor, analyse, detect and respond to unauthorised activity within information systems and computer networks. Also called *CND*.

computer network exploitation enabling operations and intelligence collection capabilities conducted through the use of computer networks to gather data from target or adversary automated information systems or networks. Also called *CNE*.

computer network operations comprised of *computer network attack*, *computer network defence*, and related *computer network exploitation* enabling operations. Also called *CNO*.

controlled naval mine a naval mine with no destructive capability until affirmatively activated by some form of arming order (whereupon they become *armed naval mines*).

counter-terrorist warning boom device placed in the water around ships to warn and prevent small vessels from approaching the ship.

cyberspace a global domain characterised by the use of electronics and the electromagnetic spectrum to store, modify and exchange data via networked systems including the internet, telecommunications systems, and associated infrastructure.

deadly force force intended or likely to cause death, or serious injury resulting in death, regardless of whether death or serious injury results.

declared hostile force any civilian, paramilitary, or military force or terrorist organisation that has been declared hostile by appropriate authority.

detention the act of holding a person against their will for lawful purposes such as prosecution, maintenance of public safety, or pursuant to a lawful order.

direct fire fire directed at a target that is visible to the aimer. The target itself is used as a point of aim for either the weapon or the director.

disabling fire fire directed at a vessel, aircraft or vehicle so as to impair its manoeuvrability but not its survival.

electronic warfare a core capability of *information operations* that includes any military action involving the use of electromagnetic and directed energy to control the electromagnetic spectrum, to protect personnel, facilities, and equipment, or to *attack* the enemy. Also called *EW*.

exclusion zone a zone established by a sanctioning body to prohibit specific activities in a specific geographic area. See also *maritime warning zone* and *warning area*.

fighters members of armed forces and dissident armed forces or other armed groups participating in a non-international armed conflict.

Force the military unit or organisation operating under these Rules of Engagement. For purposes of *self –defence*, *Force* includes persons accompanying the *Force*, Prisoners of War, internees and detainees under the control of the *Force*.

force protection actions taken to prevent or mitigate hostile actions against personnel (to include family members), resources, facilities, and critical information. *force protection* does not include actions to defeat the enemy or protect against accidents, weather, or disease.

higher authority authority within a nation that is senior to the commander of the *Force* or units of the *Force*.

hostile act an *attack* or other use of force against a nation, the *Force* or other designated persons or property.

hostile intent the threat of an imminent *hostile act*.

host nation a nation that receives with its consent the forces and/or supplies of allied nations, and/or *coalition* partners, to be located on, to operate in, or to transit through its territory.

indirect fire fire directed at a target that cannot be seen by the aimer and that is not itself used as a point of aim for the weapons or the director. *Indirect fire* includes *observed indirect fire* and *unobserved indirect fire*.

individual self-defence the right of an individual to defend himself or herself (and in some cases other individuals) from *hostile act* or *hostile intent*.

information operations the integrated employment of the core capabilities of *electronic warfare*, *computer network operations*, *psychological operations*, *military deception*, and *operations security*, in concert with specified supporting and related capabilities, to influence, disrupt, corrupt or usurp adversarial human and automated decision making while protecting our own. Also called *IO*.

international airspace airspace over the contiguous zone, the exclusive economic zone, the high seas, and territories not subject to national sovereignty.

international waters all ocean areas not subject to the sovereignty of a nation. All waters seaward from the territorial sea are *international waters* in which high seas freedoms of navigation and overflight are reserved to the international community. *International waters* include only contiguous zones, exclusive economic zones, and high seas.

joint activities, operations organisations, etc, in which two or more armed services participate.

maritime interdiction operations operations to enforce restrictions on the movement of persons/material on and over the maritime environment within a defined geographical area.

maritime warning zone a designated ocean area and superjacent air space in which a nation purports to restrict the freedom of navigation and/or overflight of other users or otherwise impacts the exercise of those freedoms. See also *exclusion zone* and *warning area*, which are types of *maritime warning zones*.

marking to maintain contact of a target from such a position that the *marking* unit or *marker* has an immediate offensive capability.

military deception actions executed to deliberately mislead adversary military decision makers as to friendly military capabilities, intentions, and operations, thereby causing the adversary to take specific actions (or inactions) that will contribute to the accomplishment of the friendly force's mission.

national self-defence the defence of a nation, a nation's forces, and a nation's persons and their property. Generally, unit commanders may exercise the right of *national self-defence* only when authorised by *higher authority*.

national airspace airspace above the territory, internal waters, territorial sea, and archipelagic waters of nations.

national waters waters subject to the territorial sovereignty of coastal nations. *National waters* include only internal waters, territorial seas, and archipelagic waters.

naval mines an explosive device laid in the water, on the sea bed or in the subsoil thereof, with the intention of damaging or sinking ships or of deterring ships from entering an area.

neutralise to render ineffective, either temporarily or permanently.

non-combatant evacuation operations operations directed by national authority whereby non-combatants are evacuated from foreign countries to safe havens when their lives are endangered by war, civil unrest, or natural disaster..

non-compliant boarding a *boarding* where agreement to board has not been obtained.

non-deadly force force not intended or likely to cause death, or serious injury resulting in death.

observed indirect fire *indirect fire* for which the point of impact or burst can be seen by an observer. The fire can be controlled and adjusted on the basis of observation.

opposed boarding a *boarding* where the master or crew has made it clear that steps will be taken to prevent the *boarding*.

outer space this region begins at the undefined upper limit of *national airspace* and extends to infinity. International law recognises freedom of transit by man-made satellites and other objects at earth orbiting altitude and beyond.

peace operations a broad term that encompasses conflict prevention, peacebuilding, peacekeeping, peacemaking and peace enforcement operations conducted in support of efforts to establish or maintain peace.

perfidy the use of unlawful deceptions. Acts of *perfidy* are deceptions designed to invite the confidence of the enemy to believe that protected status under the law of armed conflict must be accorded, with the intent to betray that confidence. Feigning surrender in order to lure the enemy into a trap is one example of an act of *perfidy*. National LOAC manuals should be consulted for more detailed definitions and examples.

piracy an illegal act of violence, depredation (e.g. plundering, robbing, or pillaging), or *detention* in or over *international waters* committed for private ends by the crew or passengers of a private ship or aircraft against another ship or aircraft or against persons or property on board such ship or aircraft.

psychological operations planned operations to convey selected information and indicators to target audiences to influence their emotions, motives, objective reasoning, and ultimately the behaviour of governments, organisations, groups, and individuals. The purpose of *psychological operations* is to induce or reinforce attitudes and behaviour favourable to the originator's objectives.

self-defence the use of necessary and proportional force, including *deadly force*, to defend forces, personnel, or property against *attack* or imminent *attack*.

serious crime murder, rape, aggravated assault or any other crime that could reasonably be expected to kill or cause serious bodily harm.

shadowing observing and (not necessarily continuously) maintaining contact with an object.

Shadowing may be carried out either overtly or covertly.

status of forces agreement (SOFA) an agreement that defines the legal position of a visiting military force deployed in the territory of another state.

unit self-defence the right of unit commanders to defend their unit, other units of their nation, and other specified units against *hostile act* or *hostile intent*.

unobserved indirect fire indirect fire for which points of impact or burst are not observed.

warning area an announcement that provides notice of potential hazards at sea, such as weapons testing, exercises, combat, or other operations. See also *exclusion zone* and *maritime warning zone*.

warning shot a shot fired in the vicinity of a person, vessel, or aircraft as a signal to immediately cease activity, but not intended to cause damage or injury.



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