

MIR

G3 OPERATIONS/PLANS  
RULES OF ENGAGEMENT

1 JUNE - 1 NOV 1994

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UNITED NATIONS

ASSISTANCE MISSION IN RWANDA



NATIONS UNIES

MISSION POUR L'ASSISTANCE AU RWANDA

UNAMIR - MINUAR

File No 5000.8 (G3 PLANS)

To: COMD SECTOR 3

From: *h. J. G. t.* G3 PLANS

Date: 1 Nov 94

Subject: RULES OF ENGAGEMENT

Reference: OPDIR No. 2 ROE (English/French) dated 6 Oct 94  
(enclosed)

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Please find enclosed 40 copies of the Rules of Engagement, 20 English/20 French, for your issue to CIVPOL.

Enclosures: 40

Classification

Caveat

Covering

FSOI

F Sigs 927  
(Int.9/92)

## Facsimile Transmission Cover Sheet

Transmission Details		Document Details	
Serial Number: FSOI	Date and Time of Transmission: 260744Z AUG 94	Reference: 1390/15	
From: SAUSBURY	Fax Number:	Subject: 26 AUG 1994 30 SIG REGT	
To: RWANDA	Fax Number: PT TO PT		
Total number of pages including this cover sheet			22

Authorizing Officer	Transmit Operators
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Message/Remarks:

FAO: COMBRITCON

- 1 CO \_\_\_\_\_
- 2 Adjt *[Signature]*
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JOINT HEADQUARTERS - OP GABRIEL  
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R/J3 (L) 35

COMBRITCON (By Fax)


26<sup>th</sup> Aug 94

ROE FOR BRITCON, UNAMIR

Reference:

- A. Sect 9 UNAMIR Op Directive No 02: Draft ROE dated 22 Jul 94.
- B. MOD Fax Leader 281/1 dated 25 Aug 94.

Please find attached the amended version of Reference A for comment by yourself and FC UNAMIR. Please note the specific points raised at para 2 of Reference B.

  
G W JONES  
Maj  
for Jt Comd

TX CONFIRMATION

DTG:

INITs:

SERIAL NO:

MINISTRY OF DEFENCE  
ASSISTANT CHIEF OF DEFENCE STAFF (OVERSEAS)

## FACSIMILE TRANSMISSION LEADER

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IN CASE OF CORRUPT TRANSMISSION CONTACT 071-218-2481

TO:

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THIS FAX CONSISTS OF 20 PAGES INCLUDING THIS LEADER

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REFERENCE:

281/1

SUBJECT:

ROE FOR BRITCON, UNAMIR

## AUTHORISATION:

NAME:

AMH JOSCELYNE

APPT:

AD(AFRICA)

SIGNATURE:

DATE:

25 AUG 94

## REMARKS:

ROE FOR BRITCON, UNAMIR

## Reference:

- A. Section 9: UNAMIR Operational Directive No. 02: Draft Rules of Engagement dated 22 Jul 94.  
B. HQ UNAMIR 5000.8(Plans) dated 17 Aug 94.

1. At a meeting of officials chaired by Head Sec(O)(C) today and attended by FCO - UND, Legal Secretary to Law Officers (LSLO), MOD legal advisers, MEA and MOI, Reference A was discussed in the light of the recent clarification given by FC UNAMIR at Reference B. A copy of Reference A amended in manuscript to reflect this

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"discussion is attached.

2. Please arrange for this amended version of Reference A to be passed by fax as soon as possible to BRITCON, UNAMIR for comment by COMBRITCON and FC UNAMIR. At present this version has the agreement of officials only; we would like to obtain acceptance by JHQ, COMBRITCON and FC UNAMIR before it is cleared formally by the Law Officers and subsequently by MOD Ministers. COMBRITCON should note the following points:

- Our aim has been to change Reference A as little as possible to facilitate staffing. Those changes we have made are to ensure the ROE's legal acceptability to the UK authorities and protect the interests of British Servicemen on UN duty in Rwanda.

- There is a major change at para 9b. We see the protection of property falling more properly under the rules for the use of Non-Deadly Force, but we have beefed up the definition at para 4c, which now defines an attack on property, which is immediately essential for the preservation of life, as a Hostile Act against which Deadly-Force in Self-Defence may be used.

- Under Part IV Rules of Engagement, FC UNAMIR should be advised that activation of State B of Rule 4 and 5 would require UK national authorisation.

- We would like to restrict further comment to the absolute minimum in order to avoid delay. FC UNAMIR will have the chance to raise any fundamental concerns with the Joint Commander when he visits BRITCON, UNAMIR from 1-3 Sep 94. If we cannot agree these ROE, he may have to accept that BRITCON is likely to be restricted to self-defence ROE which fall a long way short of what is envisaged in Reference A. Conversely, if our amended version of the ROE meets with FC UNAMIR's approval it might form the basis of fresh ROE acceptable to all contingents.

3. Amendment to Current Interim ROE. Please advise COMBRITCON that Ministerial agreement has now been given for COMBRITCON to invoke Rule 2B at any time or in any place when he, the commander on the ground, deems this essential.

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4

TEXT AGREED BY WHITEHALL OFFICIALS - 25 AUG 94

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22 Jul 94

SECTION 9:  
OPERATIONAL DIRECTIVE NO. 02  
RULES OF ENGAGEMENT

PART 1

1. The conduct of military operations is controlled and regulated by the provisions of international and national law, conventions and precedence. In the case of a United Nations (UN) conducted operation, it is the responsibility of the UN to set the parameters within which UN Forces will operate. Rules of Engagement (ROE) are the means by which the UN can provide to commanders at all levels the political and legal direction and guidance on the use of Force by UN personnel. ROE are drafted by the Force Commander, but are approved by the UN and may only be changed with UN authority.

2. These UNAMIR ROE are provided for UN Forces operating under the auspices of UN Security Council Resolution 925 dated 8 June 1994, which states in paragraph 4 that:

"... the consolidated mandate of UNAMIR includes the following:

- (a) To contribute to the security and protection of displaced persons, refugees and civilians at risk in Rwanda, including through the establishment and maintenance where feasible, of secure humanitarian areas;
- (b) To provide security and support for the distribution of relief supplies and humanitarian relief operations; and
- (c) To act as an intermediary between the parties in an attempt to secure their agreement to a ceasefire;..."

Paragraph 5 of the resolution particularly recognizes that:

"UNAMIR may be required to take action in self-defence against persons or groups who threaten protected sites and populations, United Nations and other humanitarian personnel or the means of delivery and distribution of humanitarian relief."

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3. UNAMIR is a peacekeeping force without commitment to either party in the Rwandese civil war. Under the terms of the Arusha Peace Agreement and the UN Security Council Resolution mandates, UNAMIR has a commitment to all parties to assist them to achieve peace. Impartiality is the key and all UNAMIR's actions must be aimed at ensuring the furtherance of this objective. However, circumstances could arise where the use of force by UNAMIR personnel would be necessary and justified.

PART 11DEFINITIONS

4. The following key definitions must be clearly understood by all personnel in UNAMIR:

a. **Force.** The use of physical means to impose one's will. Military force is the use of the physical means provided by formed, armed and disciplined bodies of troops under unified command to achieve the same end and generally implies the potential to use significant levels of violence.

b. **Self-Defence.** The use of force to protect:

(1) oneself and the personnel in one's unit,

(2) other UNAMIR military or civilian personnel,

(3) <sup>self-identified</sup> non-UNAMIR humanitarian aid personnel <sup>within sites or vehicles</sup> under the protection of UNAMIR forces (see paragraph 4.i.),

(4) <sup>(unarmed)</sup> <sup>sites or vehicles</sup> ~~displaced persons, refugees and civilians in sites or~~ <sup>among populations</sup> under the protection of UNAMIR forces (see paragraph 4.i.), or

(5) other <sup>self-identified</sup> UN-authorized military or civilian personnel,

against a hostile act or hostile intent, where there is no other choice or time for deliberation.

c. **Hostile Act.** A hostile act is an attack or other use of force against those entities listed in paragraph 4.b. above <sup>on property which is immediately essential for the preservation of their lives.</sup>

d. **Hostile Intent.** Hostile intent is the threat of the imminent use of force against those entities listed in paragraph 4.b. above.

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e. Minimum Force. The minimum degree of authorized force which is necessary, reasonable and lawful in the circumstances.

f. Collateral Damage. Damage to persons or property adjacent to, but not part of an authorized target.

g. Non-deadly force. Any physical means of forcing compliance that does not pose a risk of death or serious bodily harm to the individual against whom the force is directed. This is usually through the use of physical force short of the use of firearms or other deadly weapons. Examples include: pushing and lesser forms of striking or hitting, and physically or mechanically restraining persons. Warning shots are non-deadly force, even though they involve the use of firearms.

h. Deadly Force. This is the ultimate degree of force. Deadly force is that level of force which is intended or is likely to cause death or serious bodily harm regardless of whether death or serious bodily harm actually results.

i. Sites of vehicles under UNAMIR protection. This means UNAMIR's own bases and facilities (e.g. hospitals or workshops) with defined boundaries, or vehicles operated by UNAMIR personnel.

## PART III

## INSTRUCTIONS ON THE USE OF FORCE

APPLICABILITY

5. The ROE stated in this directive apply to all personnel provided by nations participating in UNAMIR under the provisions of UN Security Council Resolution 925 dated 8 June 1994. These ROE are written in the form of either prohibitions or permissions. Issued as prohibitions, they are orders not to take specific actions. Issued as permissions they are guidance to commanders that certain specific actions may be taken if they are judged necessary to achieve the aim of the mission.

COMMANDERS' RESPONSIBILITY

6. Commanders at all levels are required:

a. to have this directive translated and disseminated to every subordinate under their command; and

b. to ensure that every subordinate under their command understands the contents of this document.

AUTHORIZATION LEVELS FOR THE USE OF FORCE

7. The use of deadly force for the different types of weapons will be authorized as follows:

a. Force Commander or His Delegate:

- (1) heavy support weapons (ie. rocket launchers, artillery pieces, light mortars, etc.);
- (2) heavy machine guns or cannons ( .50 cal, 20mm, etc.); and
- (3) medium machine guns (ie. FN MAG, M60, etc.).

b. Sector Commanders:

- (1) light machine guns; and
- (2) all personal weapons automatic fire.

c. Battalion Commander Down to NCO Level at the Scene of a Threat. Personal weapons for single shot fire.

PRINCIPLES FOR USE OF FORCE

8. When an incident occurs that <sup>potentially</sup> requires the use of force, the following principles will be adhered to:

- a. if possible, negotiation and warnings must be exhausted before any use of force is initiated;
- b. only the minimum non-deadly and deadly force consistent with achieving the immediate aim shall be employed;
- X c. except where authorized under paragraph 11, the escalation of force procedures pursuant to paragraph 10 must be exhausted before the use of any deadly force is initiated;
- d. deadly force is justified only under conditions of extreme necessity and as a last resort when all lesser means have failed or cannot reasonably be employed;
- e. escalation of the level of violence is to be minimized;
- f. collateral damage is to be minimized;

UN RESTRICTED

- g. the use of force in retaliation is prohibited; and
- h. use of force shall be controlled by the on-scene commander and is to cease once the aim has been achieved.

AUTHORITY TO USE FORCE

9. Force may be used as follows:

a. Non-Deadly Force. UNAMIR personnel are authorized to use non-deadly force in the following circumstances:

- (1) in self-defence ( as defined in paragraph 4.b.) against unarmed aggression;
- (2) against unarmed attempts at infiltration or envelopment of UNAMIR units, compounds or locales;
- (3) when UNAMIR premises are violated in unarmed attempts to steal UNAMIR property or property under the protection of the UN;
- (4) when unarmed attempts are made to abduct or detain UNAMIR civilian or military personnel; and
- (5) when unarmed attempts are made to prevent UNAMIR personnel from carrying out their responsibilities as ordered by their commanders.

b. Deadly Force. UNAMIR personnel are authorized to use deadly force in the following circumstances:

- (1) in self- defence ( as defined in paragraph 4.b.) against persons committing a hostile act or exhibiting hostile intent;
- (2) to protect from damage or destruction, property or installations belonging to or under the protection of UNAMIR, including protected sites and the means for the distribution and delivery of humanitarian relief:
  - (a) which have been designated by the unit Commanding Officer, in consultation with the Force Commander, as essential to the success of the UNAMIR mission,
  - (b) which justify protection through the use of deadly force, and ,

(1) where there is no way to prevent the damage or destruction; <sup>other</sup> <sup>test</sup>

(3) to overcome armed attempts to prevent UNAMIR forces discharging its duties, when authorized by the Force Commander;

(4) to resist armed attempts to disarm, abduct or detain UNAMIR military or civilian personnel. ✓

(5) to resist armed attempts to compel UNAMIR personnel to withdraw from protection areas they were ordered to occupy by the Force Commander or his delegate; and

(6) to resist armed attempts to cut off a UNAMIR force.

#### AUTHORITY TO SEARCH AND DETAIN

10. Authority to stop and Search. UNAMIR personnel are authorized to stop all individuals attempting to enter or who are discovered inside any facilities under UNAMIR protection and to request that the individual submit to a consensual search of himself / herself and his/her vehicle where applicable. Any individual not willing to be searched shall be denied access, escorted from the premises or detained as appropriate. Searches of persons and their property are also authorized for the purpose of security. Such searches may be conducted with the minimal use of force necessary. *They do not justify the use of deadly force. um*

11. Authority to Detain. Individuals shall only be detained if they commit a hostile act, display hostile intent or carry out any activity which would require that force be used against them under paragraph 9.

12. Once detained, only minimal non-deadly force is authorized to prevent the escape of a detainee, unless there is a necessity to act in self-defence, in which case minimum force, up to and including deadly force, is authorized. However, if the individuals flee and the threat of their use of force has thus been removed, further force of any kind shall not be employed to apprehend them.

13. Any individual detained shall be turned over as soon as possible to appropriate police authorities as designated by the Force Commander. Any weapons seized from detainees shall be confiscated or rendered militarily ineffective.

## UN RESTRICTED

14. Treatment of Detainees. Any individuals detained are not Prisoners of War (PW) under the 1949 Geneva Convention. However, all persons detained will be accorded, as a minimum standard, treatment which would be given to a PW. ~~In almost every case,~~ Except where extreme operational exigencies demand, a higher standard will be observed. Since the detention should only be for a minimum period of time, many of the procedures under the Geneva Convention accorded to PWs will be inapplicable.

Note: Detainees shall not be subject to intimidation, deprivation or humiliation. Medical care and the attention of medical personnel will be provided when required. Detainees will be given rations and shelter equivalent to that of UNAMIR personnel.

CHALLENGE AND ESCALATION PROCEDURES

15. Except where a response is required in accordance with paragraph 16, the following procedures are to be followed:

a. Verbal or Visual Warning. Warn the aggressor to stop the activity, which in normal circumstances, should follow the following sequence:

(1) depending on the circumstances, a warning may be given orally, by a sign or by illumination (ie, hand-held red flares, search-lights, etc.). The issuance of a warning should also be passed up the chain of command with continuous Situation Reports;

(2) repeat the verbal or visual warning as many times as is necessary to ensure understanding or compliance;

b. Charge Weapons. If authorized under State B of ROE No.2 (paragraph 16 refers);

c. Warning Shots. If the threat continues, employ aimed warning shots in a safe direction so that there is no danger of personal injury or collateral damage;

d. Non-Deadly Force. If warning shots are ignored, employ <sup>un</sup>minimal non-deadly force ~~necessary~~;

e. Deadly Force. ~~If minimal non-deadly force is either not feasible or fails, on order and under the control of a superior, minimal~~ deadly force, such as single aimed shots, may be used until the threat is removed;

7

UN RESTRICTED

In the circumstances set  
out at paragraph 9b,  
if

11

## UN RESTRICTED

f. Escalation of Deadly Force. Escalatory weapons fire with other weapons systems shall only be on the order of the appropriate commander in accordance with paragraph 7.

OPENING FIRE WITHOUT WARNING OR ESCALATION

16. The only circumstance under which it is permissible to use deadly force without warning or escalation is if an armed attack by an aggressor comes so unexpectedly that even a moment's delay could:

a. lead to death or serious injury to UNAMIR personnel or to other UN-authorized military or civilian personnel;

b. lead to death or serious injury to persons who are under the protection of UNAMIR ~~or as defined in paragraphs 4b.(3) and (4)~~

~~c. lead to the immediate damage or destruction of UNAMIR property in the circumstances described in paragraph 9.b.(2).~~

PROCEDURE DURING FIRING

17. Any use of firearms as a means of applying deadly force, shall be aimed fire, ie, fired at the centre of the visible mass of the target. Fire must be controlled and will not be indiscriminate. Automatic fire and firing of support weapons will only be used as a last resort and only as authorized under paragraph 7. Fire for effect will only continue as long as it is necessary to achieve the immediate aim.

Through fire control orders, the commander on the scene will indicate and control the fire, preferably directed at the leaders or instigators of the threat. Regular situation report will be forwarded through the chain of command.

18. Whenever possible, each escalation in the use of force should be authorized by the chain of command of UNAMIR. A request in clear by radio for authorization to fire can have a calming effect on its own. Permission to use higher level of force ~~may~~ be obtained from the appropriate commander in accordance with paragraph 7. The on-scene commander is responsible for assessing the situation and taking action appropriate to the situation.

*should  
whenever  
possible*

PROCEDURE AFTER FIRING

19. After firing, commanders should ensure the following actions are ~~taking~~ taken:

## UN RESTRICTED

a. Medical. Any wounded, including those fired upon by UNAMIR personnel will be given first aid, if such an action can be done without further endangering the lives of UNAMIR personnel.

b. Recording. Details of the incident will be recorded, including:

- (1) date, time and place of firing;
- (2) unit and personnel involved;
- (3) the events leading up to the firing;
- (4) why UNAMIR personnel opened fire;
- (5) who or what was fired on;
- (6) the weapons fired; and
- (7) the apparent results of the firing.

c. Reporting. The above information and the current situation will be reported through the chain of command to Force HQ ATTN Force Commander and Chief Operations Officer.

PART IVRULES OF ENGAGEMENT20. Rule No. one: Authority to Carry Arms

- a. State A: No authority; ~~and~~
- b. State B: Authority granted to carry weapons.

21. Rule No. Two: Status of Weapons

- a. State A: Weapons will be carried with loaded magazines ~~fixed~~. *Weapons not charged.*
- b. State B: Weapons will be carried, charged ~~and made~~ *but with safety catch applied.*

22. Rule No. Three: Response to Hostile Intent or Hostile Act without the Use of Fire

- a. State A: Observe and report but will withdraw in order to preserve own force.

UN RESTRICTED

*Observe and Report*

b. State B: Stay in place. Make contact and establish liaison with opposing force(s) and/or local authorities concerned.

c. State C: Observe and Report. Stay in place. Warn aggressor of intent to use force and demonstrate resolve by appropriate means without opening fire.

d. State D: Observe and Report. Stay in place. Warn aggressor of intent to use force and demonstrate resolve by appropriate means. Demonstrative use of fire is authorized.

23. Rule No. Four: Disarmament of Paramilitary Personnel or Civilians

a. State A: No authorization granted.

*could give national government* [ b. State B: Authorization is granted. In doing so, use minimum force and escalate to include use of deadly force if hostile intent is exhibited or a hostile act is committed. Hand over to appropriate authority at the earliest opportunity. ] x

24. Rule No. Five: Intervention and Warning Shots

a. State A: Intervention is prohibited.

*could give national government* [ b. State B: Intervention with deadly force against positively identified and designated targets only after warning shots have been fired as part of the warning process. ] x

25. Rule No. Six: Control of Weapons Systems *Grew Served* ①

a. State A: Manning, preparation, movement and firing of weapons in the presence of the forces in conflict is prohibited.

b. State B: Designated activity in the presence of the forces in conflict is permitted but will be specified by the following notes:

- (1) Man (type of system);
- (2) Prepare (type of system);
- (3) Move (type of system); and
- (4) Fire (type of system).

10

UN RESTRICTED

*x Subject to national direction* *Grew Served weapons systems* 14

## UN RESTRICTED

26. Normal Rules and States. In normal, daily situation the following ROE status shall apply:

- a. Rule No. One, State B (Authority granted to carry weapons.);
- b. Rule No. Two, State A (Weapons will be carried with loaded magazines.);
- c. Rule No. Three, State B (Stay in place. Make contact and establish liaison with opposing force(s) and/or local authorities concerned.);
- d. Rule No. Four, State A (No authorization granted.);
- e. Rule No. Five, State A (Intervention is prohibited.); and
- f. Rule No. Six, State A (Manning, preparation, movement and firing of weapons in the presence of the forces in conflict is prohibited).

Note: Changes in normal status of the ROE for UNAMIR Forces as a whole, as directed in this paragraph, will be ordered by the Force Commander or his delegate. Sector Commanders may order changes in normal status of the ROE for their sectors, if authorized by the Force Commander or his delegate.

PART VCONCLUSION

27. The aim of this directive is to provide guidance to commanders and soldiers at all levels in the use of force. However, no definitive directive can be created that can detail every possible course of action for every possible situation. It is critical and mandatory that all members of UNAMIR understand these ROE and apply them to any and all situations that develop requiring the use of force.

28. Amendments to this directive will be issued as required and as approved by the UN.

29. This directive will be classified UN RESTRICTED.

Annex:

Annex A Aide-Memoire for Members of UNAMIR.

## UNAMIR RESTRICTED

ANNEX A TO  
AIDE MEMOIRE  
DATED 22 JUL 94

**INSTRUCTIONS FOR ALL MEMBERS OF  
THE UNAMIR MILITARY COMPONENT  
REGARDING OPENING FIRE IN RWANDA**

1. You are to avoid the use of force, if it is possible to do so, and your conduct must cause the least possible concern, fear or danger to the local population.
2. Your immediate commander will order any change in the states of weapon readiness. While your commander will normally issue the order to open fire, you have the right to use appropriate force in self-defence to protect yourself and those it is your duty to protect. Whenever possible a warning should be given before opening fire (see over).
3. If you have to use force, you must only use the MINIMUM FORCE necessary. MINIMUM FORCE normally involves the following sequential actions:
  - a. open display of weapons.
  - b. verbal warning.
  - c. barring access to the point being protected.
  - d. physical restraint.
  - e. warning shots.
  - f. pointing weapons, and
  - g. firing weapons.

**WARNINGS**

4. **WARNING BEFORE FIRING.** Whenever possible a warning should be given before firing. The warning should be given in a loud clear voice in ENGLISH/ FRENCH or KINYARWANDA:

STOP-HANDS UP/ ARRETEZ LEVEZ LES MAINS/  
HAGARARA, AMABOKO HEJURU

(PAUSE)

STOP OR I WILL SHOOT/ ARRETEZ OU JE TIRE/  
HAGARARA, CYANGWA BAKURASE

A - 1

5. FIRE AFTER WARNING. After warning you may fire on a person in order to avoid death or grievous bodily harm only if:

- a. the person is carrying a dangerous weapon (e.g. firearm, improvised firing device or machete); AND
- b. you believe the person is about to attack you, your unit, or any person it is your duty to protect; AND
- c. the person refuses to stop when called upon to do so; AND
- d. you believe there is no other way of stopping the person.

6. FIRE WITHOUT WARNING. You may fire without warning on a person in order to avoid death or grievous bodily harm only if that person:

- a. has used or is using a fire arm or other dangerous weapon against you, your unit or persons it is your duty to protect; OR
- b. is carrying what you believe to be a dangerous weapon, AND is clearly about to use it, AND you believe that there is no other way to protect yourself, your unit, or the persons it is your duty to protect.

7. If you have to fire, you must account for all rounds expended in an after action report submitted in writing to your immediate commander.

A-2

UNAMIR RESTRICTED



22 Jul 94

3	RED	HQ	1. General Alert. 2. VIP visits cancelled. 3. No leave granted. 4. Emergency movements only. 5. Special Sitreps to UNHQ. 6. Civilian evacuation if the situation warrants.
		UNITS	1. Troops in defensive positions. 2. Troops in Stand To positions. 3. Reserves put on one hour notice to move. 4. No leave granted. 5. Troops on duty outside to wear flak jackets.
		ALL	ROE: Rule 1-Status B, Rule 2-Status B, Rule 3-Status D, Rule 4-Status B, Rule 5-Status B, Rule 6-Status B.

SCENARIO DRIVEN LEVELS OF READINESS/ROE

SCENARIO	DESCRIPTION	STATUS
1	Sentries - UNAMIR Installations	<del>Red</del> Yellow
2	Normal Movement Between Business locations	Green
3	Routine Patrols	Yellow
4	Escorted Convoys (NGO's, VIP's etc.)	<del>Red</del> Yellow
5	Hostile Barriers	<del>Red</del> "
6	Extraction	<del>Red</del> "
7	Deployment of Reserves	<del>Red</del> "
8	Protection of UNAMIR Installations	<del>Red</del> "
9	Individuals under UNAMIR protection	<del>Red</del> "
10	Observation Posts	<del>Red</del> "
11	UN Controlled Checkpoints	<del>Red</del> "

\*AIDE MEMOIRE - RULES OF ENGAGEMENT**RULE ONE: AUTHORITY TO CARRY ARMS**

STATE A: No authority granted.

STATE B: Authority granted to carry weapons.

**RULE TWO: STATUS OF WEAPONS**

STATE A: Weapons will be carried with loaded magazines *fitted*. Weapons not charged

STATE B: Weapons will be carried, charged ~~and made safe~~ but with safety catch *applied*.

**RULE THREE: RESPONSE TO HOSTILE INTENT OR HOSTILE ACT WITHOUT THE USE OF FIRE**

STATE A: Observe and report but will withdraw in order to preserve own forces.

STATE B: *Observe and report.* Stay in place. Make contact and establish liaison with opposing force(s) and/or local authorities concerned.

STATE C: Observe and report. Stay in place. Warn aggressor of intent to use force and demonstrate resolve by appropriate means without opening fire.

STATE D: Observe and report. Stay in place. Warn aggressor of intent to use force and demonstrate resolve by appropriate means. Demonstrative use of fire is authorized.

**RULE FOUR: DISARMAMENT OF PARAMILITARY PERSONNEL OR CIVILIANS**

STATE A: No authorization granted.

STATE B: Authorization is granted. In doing so, use minimum force and escalate to include use of deadly force if hostile intent is exhibited or a hostile act is committed. Hand over to appropriate authority at the earliest opportunity.

**RULE FIVE: INTERVENTION AND WARNING SHOTS**

STATE A: Intervention is prohibited.

STATE B: Intervention with deadly force against positively identified and designated targets only after warning shots have been fired as part of the warning process.

CREW SERVED

## RULE SIX: CONTROL OF WEAPONS SYSTEMS

STATE A: Manning, preparation, movement and firing of weapons in the presence of the forces in conflict is prohibited.

STATE B: Designated activity in the presence of the forces in conflicts permitted but will be specified by the following notes:

- (1) Man (type of system)
- (2) Prepare (type of system)
- (3) Move (type of system)
- (4) Fire (type of system)

Classification

REST

Caveat

Covering

REST

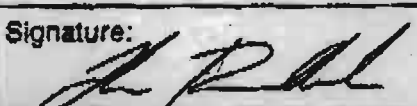
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07 F508.

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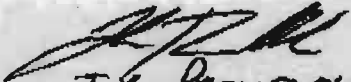
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Serial Number:	Date and Time of Transmission:	Reference: 1390/15
From: JHQ SALISBURY	Fax Number:	Subject: ROE CO
To: COMBRITCON KUALA	Fax Number:	ADJT
		21C
		Total number of pages including this cover sheet 17

Authorizing Officer	Transmit Operators
Rank, Name and Appointment: MAJ JK PROUDLOVE RM	Rank/Grade and Name: (SM)
Signature: 	Signature:

Message/Remarks:

Sir,

You are to assume these ROE with immediate effect and advise FC UNAMIR that henceforth BRITCON will be bound by these national ROE.

  
JK Proudlove  
Maj RM  
For JE Cord

Covering

REST

TX CONFIRMATION	DTG:	INITs:	SERIAL NO:
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MINISTRY OF DEFENCE  
ASSISTANT CHIEF OF DEFENCE STAFF (OVERSEAS)

FACSIMILE TRANSMISSION LEADER

FROM: AD (AFRICA)

SECURE FAX NO: 071-218-7632  
INSECURE FAX NO: 071-218-9737

IN CASE OF CORRUPT TRANSMISSION CONTACT 071-218-2481

TO: JHQ SALISBURY

FAX NO: 949 733 3727

PLEASE PASS TO:

ACOS Land - COL CP WOODHOUSE

THIS FAX CONSISTS OF 16 PAGES INCLUDING THIS LEADER

CLASSIFICATION: RESTRICTED REFERENCE: 281/1

SUBJECT: BRITCON, UNAMIR - ROE

**AUTHORISATION:**

NAME: COLONEL AMH JOSCELYNE APPT: AD(AFRICA)

SIGNATURE:  DATE: 4 OCT 94

**REMARKS:**

Reference:

- A. BRITCON, UNAMIR - RULES OF ENGAGEMENT (ROE) (DATED 7 SEP 94) (COPY ATTACHED)
- B. ATTORNEY GENERAL'S CHAMBRES LETTER DATED 21 SEP 94.
- A. D/SEC(O)(C)/5/37 DATED 23 SEP 94.
- B. D/MIN(AF)/NS/4/4/1 DATED 3 OCT 94.

1. BRITCON, UNAMIR ROE (DATED 7 SEP 94) AT REFERENCE A HAVE NOW BEEN CLEARED BY THE LAW OFFICERS AT REFERENCE B AND AUTHORISED BY MIN(AF) AT REFERENCE D.

2. YOU SHOULD NOW INSTRUCT COMBRITCON, UNAMIR TO ASSUME THESE ROE WITH IMMEDIATE EFFECT AND TO ADVISE FC UNAMIR THAT HENCEFORTH BRITCON WILL BE BOUND BY THESE NATIONAL ROE.

RESTRICTED

4 OCT '94 18:29 FROM ACDS(O)

TO

PAGE.002

## RESTRICTED

BRITCON, UNAMIR - RULES OF ENGAGEMENT (ROE)  
(DATED 7 SEP 94)PART IINTRODUCTION

1. The conduct of military operations is controlled and regulated by the provisions of international and national law, conventions and precedence. In the case of a United Nations (UN) conducted operation, it is the responsibility of the UN to set the parameters within which UN Forces will operate. Rules of Engagement (ROE) are the means by which the UN can provide to commanders at all levels the political and legal direction and guidance on the use of Force by UN personnel. These ROE, which are to apply to BRITCON, UNAMIR are based upon those drafted by the Force Commander (FC), UNAMIR at Section 9 of Op Directive No. 2 dated 22 Jul 94.

2. UNAMIR ROE are provided for UN Forces operating under the auspices of UN Security Council Resolution 925 dated 8 June 1994, which states in paragraph 4 that:

"...the consolidated mandate of UNAMIR includes the following:

(a) To contribute to the security and protection of displaced persons, refugees and civilians at risk in Rwanda, including through the establishment and maintenance where feasible, of secure humanitarian areas;

(b) To provide security and support for the distribution of relief supplies and humanitarian relief operations; and

(c) To act as an intermediary between the parties in an attempt to secure their agreement to a ceasefire;..."

Paragraph 5 of the resolution particularly recognises that:

"UNAMIR may be required to take action in self-defence against persons or groups who threaten protected sites and populations, United Nations and other humanitarian personnel or the means of delivery and distribution of humanitarian relief."

3. UNAMIR is a peacekeeping force without commitment to either party in the Rwandese civil war. Under the terms of the Arusha Peace Agreement and the UN Security Council Resolution mandates, UNAMIR has a commitment to all parties to assist them to achieve peace. Impartiality is the key and all UNAMIR's actions must be aimed at ensuring the furtherance of this objective. However, circumstances could arise where the use of force by UNAMIR personnel would be necessary and justified.

PART IIDEFINITIONS

All definitions must be clearly understood by

## RESTRICTED

a. Force. The use of physical means to impose one's will. Military force is the use of the physical means provided by formed, armed and disciplined bodies of troops under unified command to achieve the same end and generally implies the potential to use significant levels of violence.

b. Self-Defence. The use of force to protect:

- (1) oneself and the personnel in one's unit,
- (2) other UNAMIR military or civilian personnel,
- (3) suitably identified non-UNAMIR humanitarian aid personnel within sites or vehicles under the protection of UNAMIR forces (see paragraph 4i).
- (4) unarmed persons within sites or vehicles under the protection of UNAMIR forces (see paragraph 4i), or
- (5) other suitably identified UN-authorized military or civilian personnel,

against a hostile act or hostile intent, where there is no other choice or time for deliberation.

c. Hostile Act. A hostile act is an attack or other use of force against those entities listed in paragraph 4.b. above or property which is immediately essential for the preservation of their lives.

d. Hostile Intent. Hostile intent is the threat of the imminent use of force against those entities listed in paragraph 4.b. above.

e. Minimum Force. The minimum degree of authorized force which is necessary, reasonable and lawful in the circumstances.

f. Collateral Damage. Damage to persons or property adjacent to, but not part of an authorized target.

g. Non-deadly force. Any physical means of forcing compliance that does not pose a risk of death or serious bodily harm to the individual against whom the force is directed. This is usually through the use of physical force short of the use of firearms or other deadly weapons. Examples include: pushing and lesser forms of striking or hitting, and physically or mechanically restraining persons. Warning shots are non-deadly force, even though they involve the use of firearms.

h. Deadly Force. This is the ultimate degree of force. Deadly force is that level of force which is intended or is likely to cause death or serious bodily harm regardless of whether death or serious bodily harm actually results.

i. Sites or vehicles under UNAMIR protection. This means UNAMIR bases and facilities (eg hospitals, workshops or depots) where humanitarian aid is being

## RESTRICTED

provided) with defined boundaries, or vehicles operated by UNAMIR personnel.

PART IIIINSTRUCTIONS ON THE USE OF FORCEAPPLICABILITY

5. The ROE stated in this directive apply to all personnel provided by nations participating in UNAMIR under the provisions of UN Security Council Resolution 925 dated 8 June 1994. These ROE are written in the form of either prohibitions or permissions. Issued as prohibitions, they are orders not to take specific actions. Issued as permissions they are guidance to commanders that certain specific actions may be taken if they are judged necessary to achieve the aim of the mission.

COMMANDERS' RESPONSIBILITY

6. Commanders at all levels are required:

- a. To have this directive translated and disseminated to every subordinate under their command; and
- b. To ensure that every subordinate under their command understands the contents of this document.

AUTHORIZATION LEVELS FOR THE USE OF FORCE

7. The use of deadly force for the different types of weapons will be authorised as follows:

a. Force Commander or His Delegate:

- (1) heavy support weapons (ie. rocket launchers, artillery pieces, light mortars, etc.);
- (2) heavy machine guns or cannons (.50 cal, 20mm, etc.); and
- (3) medium machine guns (ie. FN MAG, M60, etc.).

b. Sector Commanders:

- (1) light machine guns; and
- (2) all personal weapons automatic fire.

c. Battalion Commander Down to NCO Level at the Scene of a Threat. Personal weapons for single shot fire.

PRINCIPLES FOR USE OF FORCE

8. When an incident occurs that potentially requires the use of force, the following principles will be adhered to:

- a. If possible, negotiation and warnings must be exhausted before any use of force is initiated;

## RESTRICTED

- b. only the minimum non-deadly and deadly force consistent with achieving the immediate aim shall be employed;
- c. except where authorised under paragraph 11, the escalation of force procedures pursuant to paragraph 15 must be exhausted before the use of any deadly force is initiated;
- d. deadly force is justified only under conditions of extreme necessity and as a last resort when all lesser means have failed or cannot reasonably be employed;
- e. escalation of the level of violence is to be minimised;
- f. collateral damage is to be minimised;
- g. the use of force in retaliation is prohibited; and
- h. use of force shall be controlled by the on-scene commander and is to cease once the aim has been achieved.

AUTHORITY TO USE FORCE

## 9. Force may be used as follows:

a. Non-Deadly Force. UNAMIR personnel are authorised to use non-deadly force in the following circumstances:

- (1) in self-defence (as defined in paragraph 4.b.) against unarmed aggression;
- (2) against unarmed attempts at infiltration or envelopment of UNAMIR units, compounds or locales;
- (3) when UNAMIR premises are violated in unarmed attempts to steal, damage or destroy UNAMIR property or property under the protection of the UN;
- (4) when unarmed attempts are made to abduct or detain UNAMIR civilian or military personnel; and
- (5) when unarmed attempts are made to prevent UNAMIR personnel from carrying out their responsibilities as ordered by their commanders.

b. Deadly Force. UNAMIR personnel are authorised to use deadly force in the following circumstances:

- (1) in self-defence (as defined in paragraph 4.b.) against persons committing a hostile act or exhibiting hostile intent;
- (2) to resist armed attempts to disarm, abduct or detain UNAMIR military or civilian personnel.

AUTHORITY TO SEARCH AND DETAIN

10. Authority to stop and search. UNAMIR personnel are authorised to stop all individuals attempting to enter or who are discovered inside any facilities under UNAMIR protection and to

RESTRICTED

request that the individual submit to a consensual search of himself/herself and his/her vehicle where applicable. Any individual not willing to be searched shall be denied access, escorted from the premises or detained as appropriate. Searches of persons and their property are also authorized for the purpose of security. Such searches may be conducted with the minimum use of force necessary. They do not justify the use of deadly force.

11. Authority to Detain. Individuals shall only be detained if they commit a hostile act, display hostile intent or carry out any activity which would require that force be used against them under paragraph 9.

12. Once detained, only minimal non-deadly force is authorized to prevent the escape of a detainee, unless there is a necessity to act in self-defence, in which case minimum force, up to and including deadly force, is authorized. However, if the individuals flee and the threat of their use of force has thus been removed, further force of any kind shall not be employed to apprehend them.

13. Any individual detained shall be turned over as soon as possible to appropriate police authorities as designated by the Force Commander. Any weapons seized from detainees shall be confiscated or rendered militarily ineffective,

14. Treatment of Detainees. Any individuals detained are not Prisoners of War (PW) under the 1949 Geneva Convention. However, all persons detained will be accorded, as a minimum standard, treatment which would be given to a PW. Except where extreme operational exigencies demand, a higher standard will be observed. Since the detention should only be for a minimum period of time, many of the procedures under the Geneva Convention accorded to PWs will be inapplicable.

Note: Detainees shall not be subject to intimidation, deprivation or humiliation. Medical care and the attention of medical personnel will be provided when required. Detainees will be given rations and shelter equivalent to that of UNAMIR personnel.

CHALLENGE AND ESCALATION PROCEDURES

15. Except where a response is required in accordance with paragraph 16, the following procedures are to be followed:

a. Verbal or Visual Warning. Warn the aggressor to stop the activity, which in normal circumstances, should follow the following sequence:

(1) depending on the circumstances, a warning may be given orally, by a sign or by illuminations (ie, hand-held red flares, search-lights, etc.). The issuance of a warning should also be passed up the chain of command with continuous Situation Reports;

(2) repeat the verbal or visual warning as many times as is necessary to ensure understanding or compliance;

b. Charge Weapons. If authorized under State B of ROE

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No.2 (paragraph 16 refers);

- c. Warning Shots. If the threat continues, employ aimed warning shots in a safe direction so that there is no danger of personal injury or collateral damage;
- d. Non-Deadly Force. If warning shots are ignored, employ minimum non-deadly force necessary;
- e. Deadly Force. In the circumstances set out at paragraph 9b, if non-deadly force is either not feasible or fails, minimum deadly force, such as single aimed shots, may be used until the threat is removed;
- f. Escalation of Deadly Force. Escalatory weapons fire with other weapons systems shall only be on the order of the appropriate commander in accordance with paragraph 7.

OPENING FIRE WITHOUT WARNING OR ESCALATION

16. The only circumstance under which it is permissible to use deadly force without warning or escalation is if an armed attack by an aggressor comes so unexpectedly that even a moment's delay could:

- a. lead to death or serious injury to UNAMIR personnel or to other UN-authorized military or civilian personnel;
- b. lead to death or serious injury to persons who are under the protection of UNAMIR as defined in paragraphs 4b (3) and (4).

PROCEDURE DURING FIRING

17. Any use of firearms as a means of applying deadly force, shall be aimed fire, ie, fired at the centre of the visible mass of the target. Fire must be controlled and will not be indiscriminate. Automatic fire and firing of support weapons will only be used as a last resort and only as authorized under paragraph 7. Fire for effect will only continue as long as it is necessary to achieve the immediate aim.

Through fire control orders, the commander on the scene will indicate and control the fire, preferably directed at the leaders or instigators of the threat. Regular situation reports will be forwarded through the chain of command.

18. Whenever possible, each escalation in the use of force should be authorized by the chain of command of UNAMIR. A request in clear by radio for authorization to fire can have a calming effect on its own. Permission to use higher level of force should wherever possible be obtained from the appropriate commander in accordance with paragraph 7. The on-scene commander is responsible for assessing the situation and taking action appropriate to the situation.

PROCEDURE AFTER FIRING

19. After firing, commanders should ensure the following actions are taken:

## RESTRICTED

a. Medical. Any wounded, including those fired upon by UNAMIR personnel will be given first aid, if such an action can be done without further endangering the lives of UNAMIR personnel.

b. Recording. Details of the incident will be recorded, including:

- (1) date, time and place of firing;
- (2) unit and personnel involved;
- (3) the events leading up to the firing;
- (4) why UNAMIR personnel opened fire;
- (5) who or what was fired on;
- (6) the weapons fired; and
- (7) the apparent results of the firing.

c. Reporting. The above information and the current situation will be reported through the chain of command to Force HQ ATTN Force Commander and Chief Operations Officer.

PART IVRULES OF ENGAGEMENT20. Rule No. one: Authority to Carry Arms.

- a. State A: No authority;
- b. State B: Authority granted to carry weapons.

21. Rule No. Two: Status of Weapons.

- a. State A: Weapons will be carried with loaded magazines fitted. Weapons not charged.
- b. State B: Weapons will be carried, charged but with safety catch applied.

22. Rule No. Three: Response to Hostile Intent or Hostile Act without the Use of Fire.

- a. State A: Observe and report but will withdraw in order to preserve own force.
- b. State B: Observe and report. Stay in place. Make contact and establish liaison with opposing force(s) and/or local authorities concerned.
- c. State C: Observe and Report. Stay in place. Warn aggressor of intent to use force and demonstrate resolve by appropriate means without fire.
- d. State D: Observe and Report. Stay in place. Warn aggressor of intent to use force and demonstrate resolve by

## RESTRICTED

appropriate means. Demonstrative use of fire is authorized.

23. Rule No. Four: Disarmament of Paramilitary Personnel or Civilians.

- a. State A: No authorization granted.
- b. State B: [Subject to agreement by UKMOD] Authorization is granted. In doing so, use minimum force and escalate to include use of deadly force if hostile intent is exhibited or a hostile act is committed. Hand over to appropriate authority at the earliest opportunity.

24. Rule No. Five: Intervention and Warning Shots.

- a. State A: Intervention is prohibited.
- b. State B: [Subject to agreement by UKMOD] Intervention with deadly force against positively identified and designated targets only after warning shots have been fired as part of the warning process.

25. Rule No. Six: Control of Crew Served Weapons Systems.

- a. State A: Manning, preparation, movement and firing of weapons in the presence of the forces in conflict is prohibited.
- b. State B: Designated activity in the presence of the forces in conflict is permitted but will be specified by the following notes:

- (1) Man (types of system);
- (2) Prepare (type of system);
- (3) Move (type of system); and
- (4) Fire (type of system).

Note: An Aide-Memoire is attached at Annex A. At Appendix 1 to Annex A are 'Instructions for all members of the UNAMIR military component regarding opening fire in Rwanda'.

26. Levels of Readiness/Alert and ROE States. There are three Levels of Readiness/Alert and ROE States that may apply in any given sector in Rwanda. These levels are GREEN, YELLOW and RED and are described at Annex B. In normal circumstances, the Level of Readiness/Alert shall be GREEN for which the ROE are:

- a. Rule No. One, State B (Authority granted to carry weapons.);
- b. Rule No. Two, State A (Weapons will be carried with loaded magazines.);
- c. Rule No. Three, State B ( Stay in place. Make contact and establish liaison with opposing force(s) and/or local

authorities concerned.);

d. Rule No. Four, State A (No authorization granted.);

e. Rule No. Five, State A (Intervention is prohibited.);  
and

f. Rule No. Six, State A (Manning, preparation, movement  
and firing of weapons in the presence of the forces in  
conflict is prohibited).

Note: Changes in normal status of the ROE for UNAMIR Forces as  
a whole will be ordered by the Force Commander or his delegate.  
Sector Commanders may order changes in normal status of the ROE  
for their sectors, if authorized by the Force Commander or his  
delegate.

#### PART V

#### CONCLUSION

27. The aim of this directive is to provide guidance to  
commanders and soldiers at all levels in the use of force.  
However, no definitive directive can be created that can detail  
every possible course of action for every possible situation.  
It is critical and mandatory that all members of UNAMIR  
understand these ROE and apply them to any and all situations  
that develop requiring the use of force.

28. Amendments to this directive will be issued as required and  
as approved by the UN.

29. This directive will be classified UN RESTRICTED.

#### Annexes:

- A. Aide-Memoire - Rules of Engagement.
  - Appendix 1. - Instructions for all members of the UNAMIR  
military component regarding opening fire in  
Rwanda.
- B. UNAMIR Levels of Readiness/Alert.

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ANNEX A TO  
BRITCON, UNAMIR ROE  
DATED 7 SEP 94

AIDE MEMOIRE - RULES OF ENGAGEMENT

**RULE ONE: AUTHORITY TO CARRY ARMS**

STATE A: No authority granted.

STATE B: Authority granted to carry weapons.

**RULE TWO: STATUS OF WEAPONS**

STATE A: Weapons will be carried with loaded magazines fitted. Weapons not charged.

STATE B: Weapons will be carried, charged but with safety catch applied.

**RULE THREE: RESPONSE TO HOSTILE INTENT OR HOSTILE ACT WITHOUT THE USE OF FIRE**

STATE A: Observe and report but will withdraw in order to preserve own forces.

STATE B: Observe and report. Stay in place. Make contact and establish liaison with opposing force(s) and/or local authorities concerned.

STATE C: Observe and report. Stay in place. Warn aggressor of intent to use force and demonstrate resolve by appropriate means without opening fire.

STATE D: Observe and report. Stay in place. Warn aggressor of intent to use force and demonstrate resolve by appropriate means. Demonstrative use of fire is authorised.

**RULE FOUR: DISARMAMENT OF PARAMILITARY PERSONNEL OR CIVILIANS**

STATE A: No authorisation granted.

STATE B: Authorisation is granted. In doing so, use minimum force and escalate to include use of deadly force if hostile intent is exhibited or a hostile act is committed. Hand over to appropriate authority at the earliest opportunity.

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**RULE FIVE: INTERVENTION AND WARNING SHOTS**

STATE A: Intervention is prohibited.

STATE B: Intervention with deadly force against positively identified and designated targets only after warning shots have been fired as part of the warning process.

**RULE SIX: CONTROL OF CREW SERVED WEAPONS SYSTEMS**

STATE A: Manning, preparation, movement and firing of weapons in the presence of the forces in conflict is prohibited.

STATE B: Designated activity in the presence of the forces in conflicts permitted but will be specified by the following notes:

- (1) Man (type of system).
- (2) Prepare (type of system).
- (3) Move (type of system).
- (4) Fire (type of system).

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APPENDIX 1 TO  
ANNEX A TO  
BRITCON, UNAMIR ROE  
DATED 7 SEP 94

**INSTRUCTIONS FOR ALL MEMBERS OF THE UNAMIR MILITARY COMPONENT  
REGARDING OPENING FIRE IN RWANDA**

1. You are to avoid the use of force, if it is possible to do so, and your conduct must cause the least possible concern, fear or danger to the local population.
2. Your immediate commander will order any change in the states of weapons readiness. While your commander will normally issue the order to open fire, you have the right to use appropriate force in self-defence to protect yourself and those it is your duty to protect. Whenever possible a warning should be given before opening fire (see over).
3. If you have to use force, you must only use the **MINIMUM FORCE** necessary. **MINIMUM FORCE** normally involves the following sequential actions:
  - a. open display of weapons.
  - b. verbal warning.
  - c. barring access to the point being protected.
  - d. physical restraint.
  - e. warning shots.
  - f. pointing weapons, and
  - g. firing weapons.

**WARNINGS**

4. **WARNING BEFORE FIRING.** Whenever possible a warning should be given before firing. The warning should be given in a loud clear voice in ENGLISH/FRENCH or KINYARWANDA:

STOP-HAND UP/ARRETEZ LEVEZ LES MAINS/  
HAGARARA, AMABOKO HEJURU

(PAUSE)

STOP OR I WILL SHOOT/ARRETEZ OU JE TIRE/  
HAGARARA, CYANGWA BAKURASE

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5. **FIRE AFTER WARNING.** After warning you may fire on a person in order to avoid death or grievous bodily harm only if:

- a. the person is carrying a dangerous weapon (e.g. firearm, improvised firing device or machete); AND
- b. you believe the person is about to attack you, your unit, or any person it is your duty to protect; AND
- c. the person refuses to stop when called upon to do so; AND
- d. you believe there is no other way of stopping the person.

6. **FIRE WITHOUT WARNING.** You may fire without warning on a person in order to avoid death or grievous bodily harm only if that person:

- a. has used or is using a fire arm or other dangerous weapon against you, your unit or persons it is your duty to protect; OR
- b. is carrying what you believe to be a dangerous weapon, AND is clearly about to use it, AND you believe that there is no other way to protect yourself, your unit, or the persons it is your duty to protect.

7. If you have to fire, you must account for all rounds expended in an after action report submitted in writing to your immediate commander.

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ANNEX B TO  
BRITCON, UNAMIR ROE  
DATED 7 SEP 94

## UNAMIR LEVELS OF READINESS/ALERT

SL	STATUS	UNITS/HQ	ACTION
1	GREEN	ALL	1. Normal activities 2. ROE: Rule 1-Status B, Rule 2-Status A, Rule 3-Status B, Rule 4-Status A, Rule 5-Status A, Rule 6-Status A.
2	YELLOW	HQ	1. Planning for next higher status commences 2. Liaison increased 3. VIP visits postponed 4. No leave granted except on compassionate grounds
		UNITS	1. Precautionary Stage 2. Double sentries 3. Night movement restricted 4. Test shelters 5. Stand To/Local Alarm practice 6. No leave granted except on compassionate grounds
		ALL	7. Back up comms/units/wpons 8. Reserves put on 3 hrs notice to move ROE: Rule 1-Status B, Rule 2-Status B, Rule 3-Status C, Rule 4-Status A, Rule 5- Status A, Rule 6-Status A.

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3	RED	HQ	1. General Alert 2. VIP visit cancelled 3. No leave granted 4. Emergency movements only 5. Special Sitreps to UNHQ 6. Civilian evacuation if the situation warrants
		UNITS	1. Troops in defensive positions 2. Troops in Stand To positions 3. Reserves put on one hour notice to move 4. No leave granted 5. Troops on duty outside to wear flak jackets
		ALL	ROE: Rule 1-Status B, Rule 2-Status B, Rule 3-Status D, Rule 4-Status B, Rule 5-Status B, Rule 6-Status B.

CANADIAN PROPOSAL FOR UNAMIR RULES OF ENGAGEMENT

Jul 94

Reference: UN Security Council Resolution 925 dated  
8 June 1994

PART IGENERAL

1. The conduct of military operations is controlled and regulated by the provisions of international and national law, conventions and precedents. In the case of a United Nations (UN) conducted operation, it is the responsibility of the UN to set the parameters within which UN Forces will operate. Rules of Engagement (ROE) are the means by which the UN can provide to commanders at all levels the political and legal direction and guidance on the use of force by UN personnel. ROE are drafted by the Force Commander, but are approved by the UN and may only be changed with UN authority.

2. These UNAMIR ROE are provided for UN Forces operating under the auspices of UN Security Council Resolution 925 dated 8 June 1994 which states in paragraph 4 that:

"... the consolidated mandate of UNAMIR includes the following:

- (a) To contribute to the security and protection of displaced persons, refugees and civilians at risk in Rwanda, including through the establishment and maintenance where feasible, of secure humanitarian areas;
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- (c) To act as an intermediary between the parties in an attempt to secure their agreement to a cease-fire; ...".

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personnel or the means of delivery and distribution of humanitarian relief."

3. UNAMIR is a peacekeeping force without commitment to either party in the Rwandanese civil war. Under the terms of the Arusha Peace Agreement and the UN Security Council Resolution mandates, UNAMIR has a commitment to all parties to assist them to achieve peace. Impartiality is the key and all UNAMIR's actions must be aimed at ensuring the furtherance of this objective. However, circumstances could arise where the use of force by UNAMIR personnel would be necessary and justified.

## **PART II**

### **DEFINITIONS**

4. The following key definitions must be clearly understood by all personnel in UNAMIR:

- a. **Force**. The use of physical means to impose one's will. Military force is the use of the physical means provided by formed, armed and disciplined bodies of troops under unified command to achieve the same end and generally implies the potential to use significant levels of violence.
- b. **Self-Defence**. The use of force to protect:
  - (1) oneself and the personnel in one's unit,
  - (2) other UNAMIR military or civilian personnel,
  - (3) non-UNAMIR humanitarian aid personnel,
  - (4) displaced persons, refugees and civilians in sites or among populations under the protection of UNAMIR forces, or
  - (5) other UN-authorized military or civilian personnel,against a hostile act or hostile intent, where there is no other choice or time for deliberation.
- c. **Hostile Act**. A hostile act is an attack or other use of force against those entities listed in paragraph 4.b. above.

- d. Hostile Intent. Hostile intent is the threat of the imminent use of force against those entities listed in paragraph 4.b. above.
- e. Minimum Force. The minimum degree of authorized force which is necessary, reasonable and lawful in the circumstances.
- f. Collateral Damage. Damage to persons or property adjacent to, but not part of an authorized target.
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- h. Deadly Force. This is the ultimate degree of force. Deadly force is that level of force which is intended or is likely to cause death or serious bodily harm regardless of whether death or serious bodily harm actually results.

### PART III

#### INSTRUCTIONS ON THE USE OF FORCE

##### APPLICABILITY

5. The ROE stated in this directive apply to all personnel provided by nations participating in UNAMIR under the provisions of UN Security Council Resolution 925 dated 8 June 1994. These ROE are written in the form of either prohibitions or permissions. Issued as prohibitions, they are orders not to take specific actions. Issued as permissions they are guidance to commanders that certain specific actions may be taken if they are judged necessary to achieve the aim of the mission.

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6. Commanders at all levels are required:
- a. to have this directive translated and disseminated to every subordinate under their command; and
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  - (2) heavy machine guns or cannons (.50 cal, 20mm, etc.); and
  - (3) medium machine guns (ie. FN MAG, M60, etc.).
- b. Sector Commanders:
  - (1) light machine guns; and
  - (2) all personal weapons for automatic fire.
- c. Battalion Commander Down to NCO Level at the Scene of a Threat. Personal weapons for single shot fire.

PRINCIPLES FOR USE OF FORCE

8. When an incident occurs that requires the use of force, the following principles will be adhered to:
- a. if possible, negotiation and warnings must be exhausted before any use of force is initiated;
  - b. only the minimum non-deadly and deadly force consistent with achieving the immediate aim shall be employed;
  - c. except where authorized under paragraph 16, the escalation of force procedures pursuant to

paragraph 15 must be exhausted before the use of any deadly force is initiated;

- d. deadly force is justified only under conditions of extreme necessity and as a last resort when all lesser means have failed or cannot reasonably be employed;
- e. escalation of the level of violence is to be minimized;
- f. collateral damage is to be minimized;
- g. the use of force in retaliation is prohibited; and
- h. use of force shall be controlled by the on-scene commander and is to cease once the aim has been achieved.

#### **AUTHORITY TO USE FORCE**

9. Force may be used as follows:

- a. **Non-Deadly Force**. UNAMIR personnel are authorized to use non-deadly force in the following circumstances:
  - (1) in self-defence (as defined in paragraph 4.b.) against unarmed aggression;
  - (2) against unarmed attempts at infiltration or envelopment of UNAMIR units, compounds or locales;
  - (3) when UNAMIR premises are violated in unarmed attempts to steal UNAMIR property or property under the protection of the UN;
  - (4) when unarmed attempts are made to abduct or detain UNAMIR civilian or military personnel; and
  - (5) when unarmed attempts are made to prevent UNAMIR personnel from carrying out their responsibilities as ordered by their commanders.
- b. **Deadly Force**. UNAMIR personnel are authorized to use deadly force in the following circumstances:

- (1) in self-defence (as defined in paragraph 4.b.) against persons committing a hostile act or exhibiting hostile intent;
- (2) to protect from damage or destruction, property or installations belonging to or under the protection of UNAMIR, including protected sites and the means for the distribution and delivery of humanitarian relief which justify protection through the use of deadly force and which have designated by the unit Commanding Officer, in consultation with the Force Commander, as essential to the success of the UNAMIR mission and for which there is no other way to prevent the damage or destruction.
- (3) to overcome armed attempts to prevent UNAMIR Forces from discharging its duties, when authorized by the Force Commander;
- (4) to resist armed attempts to disarm, abduct or detain UNAMIR military or civilian personnel or other UN-authorized personnel;
- (5) to resist armed attempts to compel UNAMIR personnel to withdraw from protected areas they were ordered to occupy by the Force Commander; and
- (6) to resist armed attempts to cut off a UNAMIR force.

#### AUTHORITY TO SEARCH AND DETAIN

10. Authority to Stop and Search. UNAMIR personnel are authorized to stop all individuals attempting to enter or who are discovered inside any facilities under UNAMIR protection and to request that the individual submit to a consensual search of himself/herself and his/her vehicle where applicable. Any individual not willing to be searched shall be denied access, escorted from the premises or detained as appropriate. Searches of persons and their property are also authorized for the purposes of security. Such searches may be conducted with the minimal use of force necessary.

11. Authority to Detain. Individuals shall only be detained if they commit a hostile act, display hostile

intent or carry out any activity which would require that force be used against them under paragraph 9.

12. Once detained, only minimal non-deadly force is authorized to prevent the escape of a detainee, unless there is a necessity to act in self-defence, in which case minimum force, up to and including deadly force, is authorized. However, if the individuals flee and the threat of their use of force has thus been removed, further force of any kind shall not be employed to apprehend them.

13. Any individual detained shall be turned over as soon as possible to appropriate civilian authorities as designated by the Force Commander. Any weapons seized from detainees shall be confiscated or rendered militarily ineffective.

14. Treatment of Detainees. Any individuals detained are not Prisoners of War (PW) under the 1949 Geneva Convention. However, all persons detained will be accorded, as a minimum standard, treatment which would be given to a PW. In almost every case, except where extreme operational exigencies demand, a higher standard will be observed. Since the detention should only be for a minimum period of time, many of the procedures under the Geneva Convention accorded to PWs will be inapplicable.

**Note:** Detainees shall not be subject to intimidation, deprivation or humiliation. Medical care and the attention of medical personnel will be provided when required. Detainees will be given rations and shelter equivalent to that of UNAMIR personnel.

#### CHALLENGE AND ESCALATION PROCEDURES

15. Except where a response is required in accordance with paragraph 16, the following procedures are to be followed:

- a. Verbal or Visual Warning. Warn the aggressor to stop the activity, which in normal circumstances, should follow the following sequence:
  - (1) depending on the circumstances, a warning may be given orally, by a sign or by illumination (ie, hand-held red flares, search-lights, etc). The issuance of a warning should also be passed up the chain of command with continuous Situation Reports;

- (2) repeat the verbal or visual warning as many times as is necessary to ensure understanding or compliance;
- b. Charge Weapons if authorized under State B of ROE No. 2 (paragraph 21 refers);
- c. Warning Shots. If the threat continues, employ aimed warning shots in a safe direction so that there is no danger of personal injury or collateral damage;
- d. Non-Deadly Force. If warning shots are ignored, employ minimal non-deadly force;
- e. Deadly Force. If minimal non-deadly force is either not feasible or fails, on order and under the control of a superior, minimal deadly force, such as single aimed shots, may be used until the threat is removed;
- f. Escalation of Deadly Force. Escalatory weapons fire with other weapons systems shall only be on the order of the appropriate commander in accordance with paragraph 7.

#### OPENING FIRE WITHOUT WARNING OR ESCALATION

16. The only circumstance under which it is permissible to use deadly force without warning or escalation is if an armed attack by an aggressor comes so unexpectedly that even a moments delay could:

- a. lead to death or serious injury to UNAMIR personnel or to other UN-authorized military or civilian personnel;
- b. lead to death or serious injury to persons who are under the protection of UNAMIR; or
- c. lead to the immediate damage or destruction of UNAMIR property in the circumstances described in paragraph 9.b.(2).

**PROCEDURES DURING FIRING**

17. Any use of firearms as a means of applying deadly force, shall be aimed fire, ie, fired at the centre of the visible mass of the target. Fire must be controlled and will not be indiscriminate. Automatic fire and firing of support weapons will only be used as a last resort and only as authorized under paragraph 7. Fire for effect will only continue as long as it is necessary to achieve the immediate aim. Through fire control orders, the commander on the scene will indicate and control the fire, preferably directed at the leaders or instigators of the threat. Regular situation reports will be forwarded through the chain of command.

18. Whenever possible, each escalation in the use of force should be authorized by the chain of command of UNAMIR. A request in clear by radio for authorization to fire can have a calming effect on its own. Permission to use higher level of force must be obtained from the appropriate commander in accordance with paragraph 7. The on-scene commander is responsible for assessing the situation and taking action appropriate to the situation.

**PROCEDURES AFTER FIRING**

19. After firing, commanders should ensure the following actions are taken.

- a. **Medical**. Any wounded, including those fired upon by UNAMIR personnel will be given first aid, if such an action can be done without further endangering the lives of UNAMIR personnel.
- b. **Recording**. Details of the incident will be recorded, including:
  - (1) date, time and place of firing;
  - (2) unit and personnel involved;
  - (3) the events leading up to the firing;
  - (4) why UNAMIR personnel opened fire;
  - (5) who or what was fired on;
  - (6) the weapons fired; and
  - (7) the apparent results of the firing.

- c. Reporting. The above information and the current situation will be reported through the chain of command to Force HQ ATTN Force Commander and Chief Operations Officer.

#### PART IV

##### RULES OF ENGAGEMENT

- 20. Rule No. One: Authority to Carry Arms
  - a. State A: No authority; and
  - b. State B: Authority granted to carry weapons.
- 21. Rule No. Two: Status of Weapons
  - a. State A: Weapons will be carried with loaded magazines.
  - b. State B: Weapons will be carried, charged and made safe.
- 22. Rule No. Three: Response to Hostile Intent or Hostile Act without the Use of Fire
  - a. State A: Observe and report but will withdraw in order to preserve own force.
  - b. State B: Stay in place. Make contact and establish liaison with opposing force(s) and/or local authorities concerned.
  - c. State C: Observe and Report. Stay in Place. Warn aggressor of intent to use force and demonstrate resolve by appropriate means without opening fire.
  - d. State D: Observe and Report. Stay in place. Warn aggressor of intent to use force and demonstrate resolve by appropriate means. Demonstrative use of fire is authorized.
- 23. Rule No. Four: Disarmament of Paramilitary Personnel or Civilians
  - a. State A: No authorization granted.

- b. State B: Authorization is granted. In doing so, use minimum force and escalate to include use of deadly force if hostile intent is exhibited or a hostile act is committed. Hand over to appropriate authority at the earliest opportunity.

24. Rule No. Five: Intervention and Warning Shots

- a. State A: Intervention is prohibited.
- b. State B: Intervention with deadly force against positively identified and designated targets only after warning shots have been fired as part of the warning process.

25. Rule No. Six: Control of Weapons Systems

- a. State A: Manning, preparation, movement and firing of weapons in the presence of the forces in conflict is prohibited.
- b. State B: Designated activity in the presence of the forces in conflict is permitted but will be specified by the following notes:
  - (1) Man (type of system);
  - (2) Prepare (type of system);
  - (3) Move (type of system); and
  - (4) Fire (type of system).

26. Normal Rules and States. In the normal, daily situation the following ROE status shall apply:

- a. Rule No. One, State B (Authority granted to carry weapons.);
- b. Rule No. Two, State A (Weapons will be carried with loaded magazines.)
- c. Rule No. Three, State B (Stay in place. Make contact and establish liaison with opposing force(s) and/or local authorities concerned.);
- d. Rule No. Four, State A (No authorization granted.)

- e. Rule No. Five, State A (Intervention is prohibited.); and
- f. Rule No. Six, State A (Manning, preparation movement and firing of weapons in the presence of the forces in conflict is prohibited.)

**Note:** Changes in normal status of the ROE for UNAMIR Forces as a whole, as described in this paragraph, will be ordered by the Force Commander or his delegate. Sector Commanders may order changes in normal status of the ROE for their sectors, if authorized by the Force Commander or his delegate.

## **PART V**

### **CONCLUSION**

27. The aim of this directive is to provide guidance to commanders and soldiers at all levels in the use of force. However, no definitive directive can be created that can detail every possible course of action for every possible situation. It is critical and mandatory that all members of UNAMIR understand these ROE and apply them to any and all situations that develop requiring the use of force.

28. Amendments to this directive will be issued as required and as approved by the UN.

29. This directive will be classified UN RESTRICTED.

### **Annex:**

Annex A Aide-Mémoire for Members of UNAMIR

UNAMIR RESTRICTED

INSTRUCTIONS FOR ALL MEMBERS OF THE UNAMIR MILITARY  
COMPONENT REGARDING OPENING FIRE IN RWANDA

1. You are to avoid the use of force, if it is possible to do so, and your conduct must cause the least possible concern, fear or danger to the local population.
2. Your immediate commander will order any change in the states of weapon readiness. While your commander will normally issue the order to open fire, you have the right to use appropriate force in self-defence to protect yourself and those it is your duty to protect, whenever possible a warning should be given before opening fire (see over).
3. If you have to use force, you must only use the MINIMUM FORCE necessary. MINIMUM FORCE normally involves the following sequential actions:
  - a. open display of weapons;
  - b. verbal warning;
  - c. barring access to the point being protected;
  - d. physical restraint;
  - e. warning shots;
  - f. pointing weapons; and
  - g. firing weapons.

WARNINGS

4. WARNING BEFORE FIRING. Whenever possible a warning should be given before firing. The warning should be given in loud clear voice in ENGLISH/FRENCH or KINYARWANDA:

STOP-HANDS UP/ARRÊTEZ LEVEZ LES MAINS/  
HAGARARA, AMABOKO HEJURU

(PAUSE)

STOP OR I WILL SHOOT/ARRÊTEZ OU JE TIRE/  
HAGARARA, CYANGWA BAKURASE

5. FIRE AFTER WARNING. After warning you may fire on a person in order to avoid death or grievous bodily harm only if:
  - a. the person is carrying a dangerous weapon (e.g. firearm, improvised firing device or machete); AND

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- b. you believe the person is about to attack you, your unit, or any person it is your duty to protect; AND
  - c. the person refuses to stop when called upon to do so; AND
  - d. you believe there is no other way of stopping the person.
6. FIRE WITHOUT WARNING. You may fire without warning on a person in order to avoid death or grievous bodily harm only if that person:
- a. has used or is using a fire arm or other dangerous weapon against you, your unit or persons it is your duty to protect; OR
  - b. is carrying what you believe to be a dangerous weapon, AND is clearly about to use it, AND you believe that there is no other way to protect yourself, your unit, or the persons it is your duty to protect.
7. If you have to fire, you must account for all rounds expended in an after action report submitted in writing to your immediate commander.

①

UNAMIR  
Force HQ  
C Plans

16 August 1994


5000.8(Plans)

To: Force Comd(through DFC)

Subject: UNAMIR/BRITCON ROE

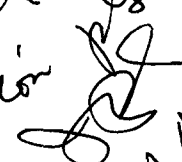
Reference:

- A. BC/1/10 dated 13 Aug 94.
- B. Operational Directive No 2 - ROE dated 22 Jul 94.
- 1. Reference A (enclosure 1) seeks clarification of UNAMIR ROE.
- 2. Enclosure 2 is a proposed response for your endorsement.

  
AD BRIMELOW  
Lt-Col  
C Plans

Enclosures:

- 1. Reference A.
- 2. Draft response to Reference A.

② C Plans  
Proposed response  
signed by FC  
action please.  
  
m/s  
21/8

RESTRICTED

BC/1/10

13 Aug 94

Force Comd (through SO1 Plans)

UNAMIR - ROE CLARIFICATION

Reference:

A. Operational Directive No2 - ROE dated 22 Jul 94.

1. BRITCON UNAMIR is currently under interim, national ROE. As BRITCON is dispersed within a larger force, we would like to ensure that the BRITCON definitive ROE is as close as possible to those at Ref A.

2. For staffing issues to be complete and lead to final promulgation by UK MOD, clarification is requested for the following points:

a. Have the ROE at Reference A now received final clearance from UN New York?

b. Para 4b.(3)&(5) How will this be interpreted? Which personnel and how would locally employed staff be identified (ie how could it be established if someone in civilian clothes fell into one of these categories)? What degree of hostile behaviour and how would it be defined (ie presumably not minor acts such as stone throwing at vehicles)?

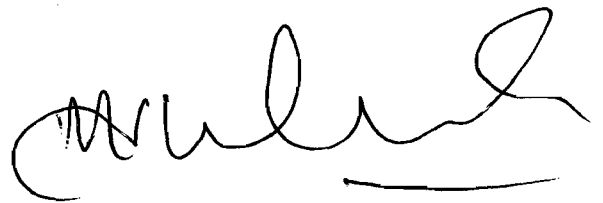
c. Para 4b.(4) What is the definition of protection? How will this be applied and is there a cut-off (eg medical stations, food distribution centres, protected camps, refugees on the road temporarily escorted by UNAMIR personnel)?

d. Para 9b.(2) How would this be implemented? What is the definition of property in this connection (ie essential life saving equipment or everything down to engineer supplies)? Does "damage" include theft? What property would be designated under para 9b.(2)(a)? What justifies protection (para 9b.(2)(b))?

RESTRICTED

e. Para 21 Rule No Two Status of Weapons. Does State A (Weapons will be carried with loaded magazines) mean that the magazines will be in the weapons or carried separately?

2. Dir Land Ops from JHQ SALISBURY (Col Chris Woodhouse) will be in theatre, 13-16 Aug 94 visiting BRITCON; if you are available, this would be an ideal time for a short consultation covering the ROE.

A handwritten signature in black ink, appearing to read 'M Wharmby', with a horizontal line underneath.

M WHARMBY  
Lt Col  
Comd BRITCON

Kigali  
/7 August 94

To: Comd BRITCON

5000.8(PLANS)

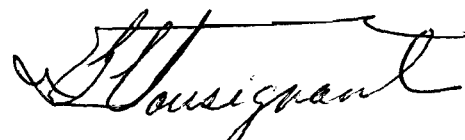
Subject: ROE CLARIFICATION

Reference:

- A. BRITCON ROE (Annex A to SHQ/38/101 dated 31 Jul 94).
- B. BRITCON BC/1/10 dated 13 Jul 94.
- C. Operational Directive No 2 - ROE dated 22 Jul 94.
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- 2. Clarification of ROE sought at Reference B is detailed below:
  - a. Reference C is authorized by Force Comd UNAMIR. Formal UN endorsement is yet to be received.
  - b. All personnel on UNAMIR secured property or installations are to be protected in accordance with the terms of para 4 b (3) and (5) to Ref C. The presence of an individual(s) on UNAMIR property entitles that individual(s) to protection until hostile behaviour by that individual(s) which would attract alternative action is identified. Hostile behaviour is further defined as an act or intent which involves the use of armed or unarmed aggression against individuals entitled to UN protection. The example of stone throwing presented a Ref B should be addressed under the terms of para 15 to Ref

C including the removal of persons or vehicles from the scene if possible.

- c. Protection is defined as those measures which are necessary to ensure the security of persons and property from harm, damage, theft or disruption to the conduct of UNAMIR military and/or humanitarian operations. Priorities should be determined by the local commander. The application of protection is defined at para 9 to Ref C.
- d. Para 9 c (2) to Ref C should be implemented in accordance with the procedures detailed at para 15 to Ref C. UNAMIR property is defined as those sites, installations, materiel or operations which are afforded UNAMIR protection as directed or at the initiative of the unit CO in consultation with the force Comd. Para 9 c(2) (c) refers to operations or property which are essential to the achievement of the designated mission or task.
- e. Rule No 2, state A means that weapons are to be fitted with loaded magazines.

  
GC TOUSIGNANT  
Maj-Gen  
Force Comd

UNAMIR  
Force HQ  
C Plans

16 August 1994


5000.8(Plans)

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Lt-Col  
C Plans

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RESTRICTED

BC/1/10

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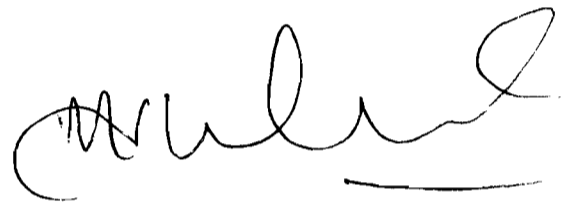
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RESTRICTED

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M WHARMBY  
Lt Col  
Comd BRITCON

17 Kigali  
August 94

To: Comd BRITCON

5000.8(Plans)

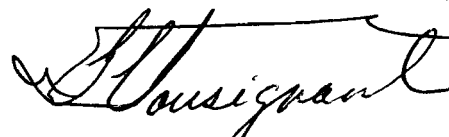
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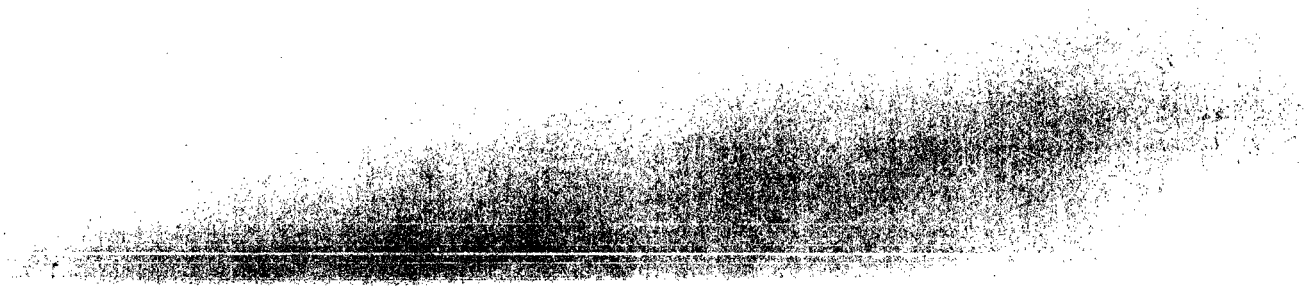
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- e. Rule No 2, state A means that weapons are to be fitted with loaded magazines.

  
GC TOUSIGNANT  
Maj-Gen  
Force Comd



UN RESTRICTED

UNAMIR

File No. 40.3.1

June 1994

See Distribution

From: Force Commander

Subject. OPERATIONAL DIRECTIVE NO. RULES OF ENGAGEMENT (ROE)

GENERAL

\* 1. The conduct of military operations <sup>is</sup> controlled and regulated by the provision of international and national law conventions and precedence. Within this legal framework, it is for the United Nations (UN) to set the parameter within which UN Forces will operate. Rules of Engagement (ROE) are the means by which the UN can provide political and legal direction and guidance to commanders at all levels governing the use of force. The ROE are drafted by the Force, but are approved by the UN and may only be changed with UN authority.

2. Security Council Resolution 918 (1994) dated 17 May 1994 stated:

"Recognizes that UNAMIR may be required to take action in self defence against persons or groups who threaten protected sites and populations, United Nations and other humanitarian personnel or the means of delivery and distribution of humanitarian relief;"

"Reaffirms that, consistent with paragraph 4 of the Res 918 (1994), UNAMIR may be required to take action in forceful means to prevent it from discharging duties, such as contributing to the security of displaced persons, refugee and civilians at risk in Rwanda, United Nations and other humanitarian personnel and helping protect the means of delivery and distribution of humanitarian relief, and thus be adequately equipped and provided the rules of engagement to do so;"

3. UNAMIR is a peace-keeping force, without commitments to either party in the Rwandese civil war. Under the terms of the Arusha Peace Agreement and the UN Mandate, UNAMIR has a commitment to all parties in assisting them to achieve peace. Impartiality is the key in this regard and all UNAMIR's actions must be aimed at

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ensuring the furtherance of this objective. However, circumstances could arise where the use of force by UNAMIR personnel would be justified. When this occurs, the nature of peace-keeping will demand that such actions by UNAMIR will be applied with restraint:

\* Use of ~~Minimum~~ Force.

4. The ROE stated in this directive apply to all personnel from all nations providing personnel to UNAMIR. The ROE are written in the form of prohibitions or permissions. Issued as prohibitions, they are orders not to take specific actions. Issued as permission, they will be guidance to commanders that certain specific actions may be taken if they are judged necessary in achieving the aim of the mission. Commanders at all levels are required to translate this directive and to also ensure its dissemination to every soldier under their command. In addition

\* they are to ensure that <sup>troops under</sup> their command understands this directive.

5. Amendments to this directive will be issued as required and as approved by the UN.

6. This directive will be classified UN RESTRICTED.

DEFINITIONS

7. The following key definitions must be clearly understood by all personnel in UNAMIR.

a. Force. The use of physical means to impose one's will. Military force is the use of the physical means provided by formed, armed and disciplined bodies of troops under unified command to the same end and generally implies the use of significant levels of violence. However, the whole raison d'être of peace-keeping is that peace should be achieved without the use of military force. Peace-keeping is substantially different from peace enforcement under Chapter VII of the UN Charter. UN peace-keeping operations, including UNAMIR, will be carried out by unarmed military and police observers and armed forces only equipped for self-defence.

b. Self Defence. Action to protect oneself or one's unit, when faced with an instant and overwhelming need, leaving no choice of means and no time for deliberation.

c. Hostile Intent. Hostile intent is an action(s) which appears to be preparatory to an aggressive action against personnel or equipment of Peace-keeping Forces and/or property under their responsibility.

UN RESTRICTED

- d. Hostile Act. A hostile act is any aggressive action against personnel or equipment of Peace-keeping Forces and/or property under their responsibility.
- e. Minimum Force. The minimum authorized degree of force which is necessary, reasonable and lawful in the circumstances.
- f. Collateral Damage. Damage to persons or property adjacent to, but not part of an authorized target.
- g. Positive Identification. Assured identification by a specific means can be achieved by any of the following methods: visual, electronic support measures, track behavior, flight plan correlation, thermal imaging, passive acoustic analysis or IFF procedures.
- h. Armed Force. The use of fire arms and other weapons (ie batons, bayonets, CS Gas, etc) including warning shots.
- i. Unarmed Force. The use of physical force short of the use of firearms or other weapons (ie batons, bayonets, CS gas, etc).
- j. UNAMIR Installation. UNAMIR installations are:
- (1) Compounds or structures surrounded by a fence or wall containing UN personnel, UN stores and Equipment or UN property.
  - (2) Vital Points/Installation, Key points/Installations protected by UN troops. ie installations into which UN troops will not allow any entry unless to persons presenting themselves through the normal entrances/exits and after going through proper identification checks.
  - (3) Displaced Persons/Refugee Camps established under UN auspices and guarded/protected by UN troops.
- k. Threat. A threat under the circumstance is defined as:
- (1) The directing of a weapon(s) to any UNAMIR installation will be considered as hostile intent and must lead to preparedness by troops to respond to any fire from that weapon(s).

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- ✦ (2) Any firing at the UN troops protecting/guarding/escorting displaced persons/refugees, authorized persons or store equipment will be considered as a hostile act and must lead to an immediate response by fire.

1. Humanitarian Convoy. A convoy carrying humanitarian relief items under UNAMIR protection.

AUTHORITY

- ✦ 8. The general guideline on the delegation of authority for the use of different types of weapons in self defence is as follows:

a. Force Commander or Commander Officiating in his absence.

- (1) Heavy Support Weapons (ie rocket launchers, artillery pieces, light mortars, etc);
- (2) Heavy Machine Guns or Cannons (.50 cal, 20mm etc);
- (3) Medium Machine Guns ie FN MAG, M60 etc).
- (4) Light machine guns: and
- (5) Personal Weapons in automatic fire role.

b. Battalion Commander down to NCO level at the scene of a threat. Personal weapons for single shot fire.

9. Where the situation permits, the subordinate HQs must inform Force HQ before resorting to armed force. Where this is not possible, the commander at the threatening incident must use his discretion, based on these guidelines.

CONCEPT

10. UNAMIR personnel may use their weapons:

- a. To defend themselves, UN protected Humanitarian Convoys, other UN lives, or persons under their protection against direct attack, acting always on the orders of the officer or SNCO at the threatening incident;
- b. To defend the possession of property of installations belonging to or under the protection of the UN from damage, theft or destruction:

UN RESTRICTED

c. To resist attempts by forceful means to prevent this Force from discharging its duties, acting under the personal authority of the Force Commander or his authorized replacement only; and

d. To resist deliberate military or para-military incursions into United Nations protected areas (ie UN displaced persons/ Refugee camps.

PRINCIPLES

11. When an incident occurs, that requires the use of force, the following principles will be adhered to:

a. Only minimum force consistent with achieving the immediate aim will be employed;

b. If possible, prevention by negotiation must be exhausted before any use of force is initiated.

c. If possible, verbal warning and an escalation of unarmed force must be exhausted before any use of armed force is initiated;

d. If possible, warning shots should precede "fire for effect" (fire for effect is firing at the centre of mass of the target);

e. If a threatening situation develops where firing for effect seem the only option, it will be initiated only after all the warning procedures above have been exhausted, except if there is an immediate threat as per para 10 where a delay would cause casualties or destruction of property in which case fire for effect may be initiated under the order of the senior commander present without delay;

f. In firing for effect, the guiding principles must be minimum force. Care must be taken <sup>that collateral damage is minimized</sup> (ie action which will cause collateral damage is prohibited) and that no escalation of the level of violence is initiated by UNAMIR.

\* RETALIATION IS PROHIBITED. Each action should be met with a like action from UNAMIR;

g. Fire must be controlled by the senior commander present and is to cease, once the aim has been achieved; and

h. After the firing incident, the senior commander present must transmit a full report at the earliest opportunity to Force HQ followed by a detailed written report.

12. When possible, each escalation in the use of force should be authorized by the chain of command of UNAMIR. A request in clear by radio for authorization to fire can have a calming effect on its own. Permission to use higher level of force must be obtained from the appropriate commander as per para 8. The senior commander on the spot is responsible for assessing the situation.

#### TYPES OF FORCE

13. There are two types of force, Unarmed force and Armed force.

a. Unarmed Force. Unarmed force involves the use of all means, short of the use of fire arms or other weapons, to discharge the duties mandated to UNAMIR. Examples are use of physical means like wrestling, use of vehicles to block, etc. UNAMIR personnel are authorized to use unarmed force under the following circumstances:

- (1) When the safety of UN personnel is threatened with unarmed threats;
- (2) When infiltrations or envelopments are attempted without firing;
- (3) When UN installations/displaced persons camps are violated;
- (4) In self-defence from unarmed attack;
- (5) When unarmed attempts are made to abduct or arrest UN civilians or military personnel or displaced persons/refugees.
- \* (6) When unarmed attempts are made to steal UN property/Relief Items or property under charge of the UN; and
- (7) When unarmed attempts are made to prevent UNAMIR personnel from carrying out their responsibilities as ordered by their commanders

b. Armed Force. Armed Force is the use of any weapon of fire-arm. Examples are the use of CS gas to deny entry into a UN installation/UN displaced persons/refugee camps, the use of bayonet to disperse a crowd, the use of aimed shots to defend a convoy from armed attack. UNAMIR personnel are authorized to use armed force against armed persons as follows:

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- (1) In self defence;
- ✱ (2) Against attempts to disarm UNAMIR personnel;
- (3) When other UN personnel are in mortal danger;
- (4) When other lives are in mortal danger; (ie displaced persons)
- (5) In defence of UNAMIR installations, displaced persons/refugee camps under UN protection, UNAMIR convoys/Humanitarian Relief convoys under armed attacks.
- (6) When attempts are made to compel UNAMIR personnel by armed force to withdraw from a position they were ordered to occupy by their superiors;
- (7) When attempts are made with the use of armed force to penetrate a UN premises, installation, Displaced persons/refugee camps, or cut off a UN force convoy.
- (8) When attempts by force are made to prevent UNAMIR personnel from carrying out missions assigned them by their commanders, and
- (9) When attempts are made to abduct or arrest UN civilians or Military personnel, displaced persons/  
✱ refugee in a UN camp, using force.

CRIMINAL ACTS

14. The recent history of Rwanda is burdened with civil war, dislocation of large elements of the population as a result of the civil war, terrorism, ethnic and political violence, armed banditry and virtual economic collapse. The potential for a dramatic rise in armed banditry during the UNAMIR mandate, due to the high unemployment, mass deprivations and desertion from the army, is very high.

15. For the most part, the maintenance of law and order, and therefore responding to control criminal activity, is the responsibility of the local police, monitored by the UNAMIR UN Civilian police (UNCIVPOL) monitors. However, the ability of the local police may be questionable in view of the war. As a very real possibility, UNAMIR military personnel may be required to assist UNCIVPOL and local authorities, in maintaining law and order. In these circumstances, these rules of engagement would be used in support of the local authorities and UNCIVPOL. In these

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circumstances, military personnel or units would be placed in support of UNCIVPOL, who would act to support the local police/Gendarmerie in the maintenance of law and order.

CRIMES AGAINST HUMANITY

17. UNAMIR has witnessed the brutal ethnically/politically motivated massacres of innocent civilians during the war and these are likely to continue. This will morally and legally require UNAMIR to use all available means to halt these atrocities. Examples are summary executions, massacres, attacks of displaced persons or refugees in UN camps, ethnic riots, attacks on demobilized soldiers, etc. During such occasions, UNAMIR military personnel will follow the ROE outlined in this directive, in support of UNCIVPOL and local authorities or in their absence, UNAMIR will take the necessary action to prevent the commitment of any further crimes against humanity.

RULES OF ENGAGEMENT

18. RULES NUMBER ONE: AUTHORITY TO CARRY ARMS.

- a. STATE A: AUTHORITY.
- b. STATE B: AUTHORITY GRANTED TO CARRY WEAPONS.

19. RULE NUMBER TWO: STATUS OF WEAPONS

- a. STATE A: WEAPONS WILL BE CARRIED WITH LOADED MAGAZINES.
- b. STATE B: WEAPONS WILL BE CARRIED AND CHARGED AND MADE SAFE.

20. RULES NUMBER THREE: RESPONSE TO HOSTILE INTENT OR HOSTILE ACT WITHOUT THE USE OF FIRE.

- a. STATE A: OBSERVE AND REPORT BUT WILL WITHDRAW IN ORDER TO PRESERVE OWN FORCE.
- b. STATE B: STAY IN PLACE. MAKE CONTACT AND ESTABLISH LIAISON WITH OPPOSING FORCE(S) AND/OR LOCAL AUTHORITIES CONCERNED.
- c. STATE C: OBSERVE AND REPORT. STAY IN PLACE. WARN AGGRESSOR VERBALLY OF INTENT TO USE FORCE AND DEMONSTRATE RESOLVE BY APPROPRIATE MEANS  
\* ← WITHOUT OPENING FIRE.

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- d. STATE D: OBSERVE AND REPORT. STAY IN PLACE. WARN AGGRESSOR VERBALLY OF INTENT TO USE FORCE AND DEMONSTRATE RESOLVE BY APPROPRIATE MEANS. DEMONSTRATIVE USE OF FIRE IS AUTHORIZED.

21. RULE NUMBER FOUR: DISARMAMENT OF PARAMILITARY OR CIVILIANS.

- a. STATE A: NO AUTHORIZATION GRANTED.
- b. STATE B: AUTHORIZATION IS GRANTED. IN DOING SO, USE OF MINIMUM FORCE AND ESCALATE TO INCLUDE USE OF FIRE (IFF) HOSTILE INTENT OF ACT IS COMMITTED. HAND OVER TO APPROPRIATE AUTHORITY AT THE EARLIEST OPPORTUNITY.

22. RULE NUMBER FIVE: INTERVENTION AND WARNING SHOTS

- a. STATE A: INTERVENTION IS PROHIBITED.
- b. STATE B: INTERVENTION BY FIRE FOR EFFECT AGAINST POSITIVELY IDENTIFIED AND DESIGNATED TARGETS ONLY AFTER WARNING SHOTS HAVE BEEN FIRED AS PART OF THE WARNING PROCESS.

23. RULE NUMBER SIX: CONTROL OF WEAPONS SYSTEMS.

- a. STATE A: MANNING, PREPARATION, MOVEMENT AND FIRING OF WEAPONS IN THE PRESENCE OF THE FORCES IN CONFLICT IS PROHIBITED.
- \* b. STATE B: DESIGNATED ACTIVITY IN THE PRESENCE OF THE ~~FORCES~~ IN CONFLICT IS PERMITTED BUT WILL BE SPECIFIED BY THE FOLLOWING NOTES:

- (1) MAN (TYPE OF SYSTEM).
- (2) PREPARE (TYPE OF SYSTEM).
- (3) MOVE (TYPE OF SYSTEM).
- (4) FIRE TYPE OF SYSTEM)

24. Normal Rules and States. In the normal, daily situation the following ROE status applied:

- a. Rule No 1: State B (AUTHORITY GRANTED TO CARRY WEAPONS);
- b. Rule No 2: State A (WEAPONS WILL BE CARRIED AND CHARGED AND MADE SAFE;

UN RESTRICTED

- c. Rule No 3: State B (STAY IN PLACE. MAKE CONTACT AND ESTABLISH LIAISON WITH OPPOSING FORCE(S) AND/OR LOCAL AUTHORITIES CONCERNED);
- d. Rule No 4: States B (AUTHORIZATION IS GRANTED. IN DOING SO, USE MINIMUM FORCE AND ESCALATE TO INCLUDE USE OF FIRE IF HOSTILE INTENT OF ACT IS COMMITTED. HAND OVER TO APPROPRIATE AUTHORITY AT THE EARLIEST OPPORTUNITY);
- e. Rule No 5: State A (INTERVENTION IS PROHIBITED);
- f. Rule No 6: State A (MANNING, PREPARATION, MOVEMENT AND FIRING OF WEAPONS IN THE PRESENCE OF THE FORCES IN CONFLICT IS PROHIBITED).

25. Thus to recap normal status:

26. Changes in normal status of ROE as described in para 21 for the Force as a whole will be ordered by the Force Commander or in his absence by his designated replacement. Unit commanders may request changes in normal status which will be authorized by the Force Commander or his designate. Unit commanders may order changes in normal status for units or sub units under their command if authorized by the Force Commander or his representative.

#### CHALLENGING PROCEDURE

26. The following challenging procedure is to be followed in all cases except where the immediate threat to self-defence dictates immediate firing:

- a. Warn the aggressor verbally to stop.
- b. Repeat the verbal warning as many times as necessary to ensure understanding.
- c. Charge weapons if authorized.
- d. Fire warning shots into the safe ground ensuring ricochet is impossible; and
- e. If warning shots are ignored, open fire, on order and under the control of a superior with single aimed fire for effect until the protection task is complete. Escalate fire for effect with other weapons systems on order only of the appropriate commander.

OPENING FIRE WITHOUT CHALLENGING

<sup>27</sup>  
 28. The only circumstances under which it is permissible to open fire without challenging are if an attack by an aggressor comes so unexpectedly that even a moments delay could.

- \* a. Lead to ~~dead~~<sup>death</sup> or serious injury to personnel.
- b. Lead to death or serious injury to persons who are under the protection of UNAMIR; and
- c. Lead to the theft, damage or destruction of UNAMIR property or property UNAMIR has been mandated to protect.

ACTION BEFORE OPENING FIRE

28. On all occasions before opening fire, UNAMIR personnel will be guided by the principle of minimum force. Commanders will always give a verbal warning before commencing to fire and warning shots should be fired before resorting to fire for effect, except in the circumstances outlined in para 27, where fire for effect will be opened immediately. In normal circumstances, the following sequence should be applied:

- a. Warning. Depending on the circumstances, a warning may be given orally, by a sign or by illumination (ie hand-held red flares, search-lights, etc). Warning should also be passed up the chain of command with continuous Situation Reports;
- b. Warning Shots. If the threat continues, warning shots should be fired into a safe area where there is no danger of ricochet or collateral damage; and
- c. Fire for Effect. If the above measures have had no effect on the situation, UNAMIR