



CHAIRMAN OF THE JOINT CHIEFS OF STAFF INSTRUCTION

J-3
DISTRIBUTION: A, C, S

CJCSI 3121.01B
13 June 2005

STANDING RULES OF ENGAGEMENT/STANDING RULES FOR THE USE OF FORCE FOR US FORCES

References: Enclosures K and Q.

1. Purpose. To provide guidance on the standing rules of engagement (SROE) and establish standing rules for the use of force (SRUF) for DOD operations worldwide. Use of force guidance contained in this instruction supersedes that contained in DOD Directive 5210.56.

2. Cancellation. CJCSI3121.01A, 15 January 2000, CJCSI 3121.02, 31 May 2000 and CJCSI 3123.01B, 01 March 2002 are canceled.

3. Applicability.

a. The SROE (enclosures A through K) establish fundamental policies and procedures governing the actions to be taken by US commanders and their forces during all military operations and contingencies and routine Military Department functions occurring outside US territory (which includes the 50 states, the Commonwealths of Puerto Rico and Northern Marianas, US possessions, protectorates and territories) and outside US territorial seas. Routine Military Department functions include AT/FP duties, but exclude law enforcement and security duties on DOD installations, and off installation while conducting official DOD security functions, outside US territory and territorial seas. SROE also apply to air and maritime homeland defense missions conducted within US territory or territorial seas, unless otherwise directed by the Secretary of Defense (SecDef).

b. The SRUF (Enclosures L through Q) establish fundamental policies and procedures governing the actions to be taken by US commanders and their forces during all DOD civil support (e.g., military assistance to civil authorities) and routine Military Department functions (including AT/FP duties) occurring within US territory or US territorial seas. SRUF also apply to land homeland defense missions occurring within US territory and to DOD forces, civilians and contractors performing law enforcement and security duties at all DOD installations (and off-installation while conducting official DOD security functions, within or outside US territory, unless otherwise directed by the SecDef). Host nation laws and international agreements may limit US forces' means of accomplishing their law enforcement or security duties.

**Note: The pagination
of these extracts do not
match the SROE.**

4. Policy. IAW Enclosures A (SROE) and L (SRUF).
5. Definitions. Definitions are contained in Joint Pub 1-02 and the enclosures. Enclosures K and G list ROE/RUF references that provide additional specific operational guidance.
6. Responsibilities. The SecDef approves and the Chairman of the Joint Chiefs of Staff (CJCS) promulgates SROE and SRUF for US forces. The Joint Staff, Operations Directorate (J-3), is responsible for the maintenance of this instruction, in coordination with OSD.
 - a. Commanders at all levels are responsible for establishing ROE/RUF for mission accomplishment that comply with ROE/RUF of senior commanders, the Law of Armed Conflict, applicable international and domestic law and this instruction.
 - b. Standing Rules of Engagement (SROE).
 - (1) Self-Defense. Unit commanders always retain the inherent right and obligation to exercise unit self-defense in response to a hostile act or demonstrated hostile intent. Unless otherwise directed by a unit commander as detailed below, military members may exercise individual self-defense in response to a hostile act or demonstrated hostile intent. When individuals are assigned and acting as part of a unit, individual self-defense should be considered a subset of unit self-defense. As such, unit commanders may limit individual self-defense by members of their unit. Both unit and individual self-defense includes defense of other US Military forces in the vicinity.
 - (2) Mission Specific ROE.
 - (a) Supplemental measures allow commanders to tailor ROE for mission accomplishment during the conduct of DOD operations. There are two types of supplemental measures:
 1. Those supplemental measures that specify certain actions that require SecDef approval (001-099 in Enclosure I).
 2. Those supplemental measures that allow commanders to place limits on the use of force during the conduct of certain actions (100-599 in Enclosure I). Enclosure I provides ROE supplemental measures guidance.
 - (b) Supplemental measures may also be used by unit commanders to limit individual self-defense by members of their unit, when in the context of exercising the right and obligation of unit self-defense.
 - (c) Commanders at all levels may use supplemental measures to restrict SecDef-approved ROE, when appropriate. US commanders shall notify the SecDef, through the CJCS, as soon as practicable, of restrictions (at all levels) placed on Secretary of Defense-approved ROE/RUF. In time critical situations, make SecDef notification concurrently to the CJCS. When concurrent notification is not possible, notify the CJCS as soon as practicable after SecDef notification.

(3) SROE are designed to be permissive in nature. Therefore, unless a specific weapon or tactic requires Secretary of Defense or combatant commander approval, or unless a specific weapon or tactic is restricted by an approved supplemental measure, commanders may use any lawful weapon or tactic available for mission accomplishment.

c. Standing Rules for the Use of Force (SRUF).

(1) Self-Defense. Unit commanders always retain the inherent right and obligation to exercise unit self-defense in response to a hostile act or demonstrated hostile intent. Unless otherwise directed by a unit commander as detailed below, military members may exercise individual self-defense in response to a hostile act or demonstrated hostile intent. When individuals are assigned and acting as part of a unit, individual self-defense should be considered a subset of unit self-defense. As such, unit commanders may limit individual self-defense by members of their unit. Both unit and individual self-defense includes defense of other US Military forces in the vicinity.

(2) Mission Specific RUF.

(a) Commanders may submit requests to the SecDef, through the CJCS, for mission-specific RUF, as required.

(b) Commanders at all levels may restrict SecDef-approved RUF, when appropriate. US commanders shall notify the SecDef, through the CJCS, as soon as practicable, of restrictions (at all levels) placed on Secretary of Defense-approved ROE/RUF. In time critical situations, make SecDef notification concurrently to the CJCS. When concurrent notification is not possible, notify the CJCS as soon as practicable after SecDef notification.

(3) Unlike SROE, specific weapons and tactics not approved within these SRUF require SecDef approval.

7. Summary of Changes. This instruction is a comprehensive update and replacement of the existing SROE and addresses SecDef guidance, USNORTHCOM establishment and USSTRATCOM/USSPACECOM reorganization. In addition, SRUF guidance is added to allow this single instruction to provide guidance for worldwide US military operations. Existing combatant commander standing ROE/RUF guidance should be reviewed for consistency. Existing SecDef-approved mission-specific ROE/RUF remain in effect, unless otherwise noted.

8. Procedures.

a. Guidance for the use of force for self-defense and mission accomplishment is set forth in this document. Enclosure A (less appendixes) is UNCLASSIFIED and is intended to be used as a ROE coordination tool in developing combined or multi-national ROE, if necessary. Enclosure L is UNCLASSIFIED and intended to be used with US law enforcement agencies and organizations as a RUF coordination tool in developing combined RUF, if necessary.

b. Combatant commander requests for ROE supplemental measures and combatant commander requests for mission-specific RUF will be submitted to the SecDef, through the CJCS, for approval.

c. Combatant commanders will also provide the following, when applicable:

(1) Notification to the SecDef, through the CJCS, as soon as practicable, of restrictions (at all levels) placed on Secretary of Defense-approved ROE/RUF. In time critical situations, make SecDef notification concurrently to the CJCS. When concurrent notification is not possible, notify the CJCS as soon as practicable after SecDef notification.

(2) Notification of all supplemental measures, not requiring SecDef approval, to the SecDef through the CJCS, as soon as practicable.

d. Geographic combatant commanders may augment these SROE/SRUF, as necessary, through theater-specific ROE/RUF in order to reflect changing political and military policies, threats and missions specific to their respective areas of operations.

e. Ensure that operational ROE/RUF currently in effect are made available on appropriately classified command web sites.

9. Releasability. This instruction is approved for limited release. DOD components, including the combatant commands and other Federal agencies may obtain this instruction through controlled Internet access at <http://www.js.smil.mil/masterfile/sjsimd/jel/Index.htm>. Joint Staff activities may access or obtain copies of this instruction from the Joint Staff local area network.

10. Effective Date. This instruction is effective upon receipt for all US commanders and supersedes all other nonconforming guidance. It is to be used as the basis for all subsequent mission-specific ROE/RUF requests to SecDef and guidance promulgated by combatant commanders.

11. Document Security. This basic instruction is UNCLASSIFIED. Enclosures are classified as indicated.

//SIGNED//

RICHARD B. MYERS

Chairman of the Joint Chiefs of Staff

Enclosures:

- A -- Standing Rules of Engagement for US Forces
Appendix A -- Self-Defense Policies and Procedures
- B -- Maritime Operations
Appendix A -- Defense of US Nationals and their Property at Sea
Appendix B -- Recovery of US Government Property at Sea
Appendix C -- Protection and Disposition of Foreign Nationals in the Control of US Forces
- C -- Air Operations
- D -- Land Operations
- E -- Space Operations
Appendix A -- Hostile Acts and Hostile Intent Indicators in Space Operations
- F -- Information Operations
- G -- Noncombatant Evacuation Operations
- H -- Counterdrug Support Operations Outside US Territory
- I -- Supplemental Measures
Appendix A -- General Supplemental Measures
Appendix B -- Supplemental Measures for Maritime Operations
Appendix C -- Supplemental Measures for Air Operations
Appendix D -- Supplemental Measures for Land Operations
Appendix E -- Supplemental Measures for Space Operations
Appendix F -- Message Formats and Examples
- J -- Rules of Engagement Process
- K -- ROE References
- L -- Standing Rules for the Use of Force for US Forces
- M -- Maritime Operations Within US Territory
- N -- Land Contingency and Security-Related Operations Within US Territory
- O -- Counterdrug Support Operations Within US Territory
- P -- RUF Message Process
- Q -- RUF References

ENCLOSURE A
STANDING RULES OF ENGAGEMENT FOR US FORCES

1. Purpose and Scope.

a. The purpose of the SROE is to provide implementation guidance on the application of force for mission accomplishment and the exercise of self-defense. The SROE establish fundamental policies and procedures governing the actions to be taken by US commanders during all military operations and contingencies and routine Military Department functions. This last category includes Antiterrorism/Force Protection (AT/FP) duties, but excludes law enforcement and security duties on DoD installations, and off-installation while conducting official DoD security functions, outside US territory and territorial seas. SROE also apply to air and maritime homeland defense missions conducted within US territory or territorial seas, unless otherwise directed by the SecDef.

b. Unit commanders at all levels shall ensure that individuals within their respective units understand and are trained on when and how to use force in self-defense. To provide uniform training and planning capabilities, this document is authorized for distribution to commanders at all levels and is to be used as fundamental guidance for training and directing of forces.

c. The policies and procedures in this instruction are in effect until rescinded. Supplemental measures may be used to augment these SROE.

d. US forces will comply with the Law of Armed Conflict during military operations involving armed conflict, no matter how the conflict may be characterized under international law, and will comply with the principles and spirit of the Law of Armed Conflict during all other operations.

e. US forces performing missions under direct control of heads of other USG departments or agencies (e.g., Marine Corps Embassy Security Guards and other special security forces), operate under use of force policies or ROE promulgated by those departments or agencies, when authorized by the SecDef. US forces always retain the right of self-defense.

f. US Forces Operating With Multinational Forces.

(1) US forces assigned to the operational control (OPCON) or tactical control (TACON) of a multinational force will follow the ROE of the multinational force for mission accomplishment, if authorized by SecDef order. US forces retain the right of self-defense. Apparent inconsistencies between the right of self-defense contained in US ROE and the ROE of the multinational force will be submitted through the US chain of command for resolution. While a final resolution is pending, US forces will continue to operate under US ROE.

(2) When US forces, under US OPCON or TACON, operate in conjunction with a multinational force, reasonable efforts will be made to develop common ROE. If common ROE cannot be developed, US forces will operate under US ROE. The multinational forces will be informed prior to US participation in the operation that US forces intend to operate under US ROE.

(3) US forces remain bound by international agreements to which the US is a party even though other coalition members may not be bound by them.

g. International agreements (*e.g.*, status-of-forces agreements) may never be interpreted to limit US forces' right of self-defense.

2. Policy.

a. Unit commanders always retain the inherent right and obligation to exercise unit self-defense in response to a hostile act or demonstrated hostile intent.

b. Once a force is declared hostile by appropriate authority, US forces need not observe a hostile act or demonstrated hostile intent before engaging the declared hostile force. Policy and procedures regarding the authority to declare forces hostile are provided in Appendix A to Enclosure A, paragraph 3.

c. The goal of US national security policy is to ensure the survival, safety, and vitality of our nation and to maintain a stable international environment consistent with US national interests. US national security interests guide global objectives of deterring and, if necessary, defeating armed attack or terrorist actions against the US, including US forces, and, in certain circumstances, US persons and their property, US commercial assets, persons in US custody, designated non-US military forces, and designated foreign persons and their property.

d. Combatant Commander Theater-Specific ROE.

(1) Combatant commanders may augment these SROE as necessary by implementing supplemental measures or by submitting supplemental measures requiring SecDef approval to the CJCS. The mechanism for requesting and disseminating ROE supplemental measures is contained in Enclosure I.

(2) US commanders shall notify the SecDef, through the CJCS, as soon as practicable, of restrictions (at all levels) placed on Secretary of Defense-approved ROE/RUF. In time-critical situations, make SecDef notification concurrently to the CJCS. When concurrent notification is not possible, notify the CJCS as soon as practicable after SecDef notification.

3. Definitions and Authorities.

a. Inherent Right of Self-Defense. Unit commanders always retain the inherent right and obligation to exercise unit self-defense in response to a hostile act or demonstrated hostile intent. Unless otherwise directed by a unit commander as detailed below, military members may exercise individual self-defense in response to a hostile act or demonstrated hostile intent. When individuals are assigned and acting as part of a unit, individual self-defense should be considered a subset of unit self-defense. As such, unit commanders may limit individual self-defense by members of their unit. Both unit and individual self-defense includes defense of other US military forces in the vicinity.

b. National Self-Defense. Defense of the United States, US forces, and, in certain circumstances, US persons and their property, and/or US commercial assets from a hostile act or demonstration of hostile intent. Unit commanders may exercise National Self-Defense, as authorized in Appendix A to Enclosure A, paragraph 3.

c. Collective Self-Defense. Defense of designated non-US military forces and/or designated foreign nationals and their property from a hostile act or demonstrated hostile intent. Only the President or SecDef may authorize collective self-defense.

d. Declared Hostile Force. Any civilian, paramilitary or military force or terrorist(s) that has been declared hostile by appropriate US authority. Policy and procedures regarding the authority to declare forces hostile are provided in Appendix A to Enclosure A, paragraph 3.

e. Hostile Act. An attack or other use of force against the United States, US forces or other designated persons or property. It also includes force used directly to preclude or impede the mission and/or duties of US forces, including the recovery of US personnel or vital USG property.

f. Hostile Intent. The threat of imminent use of force against the United States, US forces or other designated persons or property. It also includes the threat of force to preclude or impede the mission and/or duties of US forces, including the recovery of US personnel or vital USG property.

g. Imminent Use of Force. The determination of whether the use of force against US forces is imminent will be based on an assessment of all facts and circumstances known to US forces at the time and may be made at any level. Imminent does not necessarily mean immediate or instantaneous.

4. Procedures.

a. Principles of Self-Defense. All necessary means available and all appropriate actions may be used in self-defense. The following guidelines apply:

(1) De-escalation. When time and circumstances permit, the forces committing hostile acts or demonstrating hostile intent should be warned and given the opportunity to withdraw or cease threatening actions.

(2) Necessity. Exists when a hostile act occurs or when a force demonstrates hostile intent. When such conditions exist, use of force in self-defense is authorized while the force continues to commit hostile acts or exhibit hostile intent.

(3) Proportionality. The use of force in self-defense should be sufficient to respond decisively to hostile acts or demonstrations of hostile intent. Such use of force may exceed the means and intensity of the hostile act or hostile intent, but the nature, duration and scope of force used should not exceed what is required. The concept of proportionality in self-defense should not be confused with attempts to minimize collateral damage during offensive operations.

b. Pursuit. Self-defense includes the authority to pursue and engage forces that have committed a hostile act or demonstrated hostile intent, if those forces continue to commit hostile acts or demonstrate hostile intent.

c. Defense of US Persons and Their Property, and Designated Foreign Persons.

(1) Within a Foreign Nation's US-Recognized Territory, Airspace or Seas. The foreign nation has the principal responsibility for defending US persons and property within its territory, airspace or seas. Detailed guidance is contained in Enclosures B, C and D.

(2) Outside territorial seas. Nation of registry has the principal responsibility for protecting civilian vessels outside territorial seas. Detailed guidance is contained in Appendix A to Enclosure B (Maritime Operations).

(3) In International Airspace. Nation of registry has the principal responsibility for protecting civil aircraft in international airspace. Detailed guidance is contained in Enclosure C (Air Operations).

(4) In Space. Detailed guidance is contained in Enclosure E (Space Operations).

d. Piracy. US warships and aircraft have an obligation to repress piracy on or over international waters directed against any vessel or aircraft, whether US or foreign flagged. For ship and aircraft commanders repressing an act of piracy, the right and obligation of unit self-defense extend to the persons, vessels or aircraft assisted. Every effort should be made to obtain the consent of the coastal state prior to continuation of the pursuit if a fleeing pirate vessel or aircraft proceeds into the territorial sea, archipelagic waters or airspace of that country.

e. Operations Within or in the Vicinity of Hostile Fire or Combat Zones Not Involving the United States. US forces should not enter or remain in areas in which hostilities (not involving the United States) are imminent or occurring between foreign forces, unless directed by proper US authority.

f. Right of Assistance Entry.

(1) Ships and, under certain circumstances, aircraft have the right to enter a foreign territorial sea or archipelagic waters and corresponding airspace without the permission of the coastal state when rendering emergency assistance to those in danger or distress from perils of the sea.

(2) Right of Assistance Entry extends only to rescues where the location of those in danger is reasonably well known. It does not extend to entering the territorial sea, archipelagic waters or territorial airspace to conduct a search.

(3) For ships and aircraft rendering assistance on scene, the right and obligation of unit commanders to exercise unit self-defense extends to and includes persons, vessels or aircraft being assisted. The extension of self-defense in such circumstances does not include interference with legitimate law enforcement actions of a coastal nation. Once received on board the assisting ship or aircraft, however, persons assisted will not be surrendered to foreign authority unless directed by the SecDef.

ENCLOSURE I SUPPLEMENTAL MEASURES

1. Purpose and Scope. Supplemental measures enable commanders to tailor ROE for specific missions. This enclosure establishes the procedures for formulation of, request for, and approval of supplemental measures. Appendices A through E to Enclosure I list supplemental measures for commanders to use when requesting and authorizing supplemental ROE measures.

2. Policy. IAW Enclosure A.

a. The goal in formulating ROE is to ensure they allow maximum flexibility for mission accomplishment while providing clear, unambiguous guidance to the forces affected. ROE must be properly crafted and commanders properly trained to avoid any hesitation when determining whether and how to use force.

b. Operational ROE supplemental measures are primarily used to define limits or grant authority for the use of force for mission accomplishment. However, unit commanders may issue supplemental measures to limit individual self-defense by members of their units. The use of force for mission accomplishment may sometimes be restricted by specific political and military goals that are often unique to the situation. Developing and implementing ROE is a dynamic process that must be flexible enough to meet changes in the operational situation. In addition to ROE, a commander must take into account the assigned mission, the current situation, the higher commander's intent and all other available guidance in determining how to use force for mission accomplishment.

c. The SROE are fundamentally permissive in that a commander may use any lawful weapon or tactic available for mission accomplishment, unless specifically restricted by approved supplemental measures or unless the weapon/tactic requires prior approval of the SecDef or a combatant commander. Thus, other commanders are authorized to employ the full range of supplemental measures set forth in measures 200 through 699 for mission accomplishment, unless specifically constrained by more restrictive measures promulgated by higher authority.

d. Although normally used to place limits on the use of force for mission accomplishment, supplemental measures may also be used specifically to authorize a certain action if clarity is required or requested.

3. Objectives. This enclosure establishes the procedures for formulation of, request for, and approval of supplemental measures. Supplemental measures are intended to:

a. Provide enough of the framework underlying the policy and military guidance to enable the commanders to appropriately address unforeseen situations when immediate decisions and reactions are required. Commanders must never forget that ROE are a tool to guide them through their decision-making process and can never substitute for their sound judgment.

- b. Provide clear and tactically realistic military policy and guidance to commanders on the circumstances in which use of force can be used for mission accomplishment.
- c. Enable subordinate commanders to request additional measures needed to carry out their mission.

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Enclosure I

ENCLOSURE J RULES OF ENGAGEMENT PROCESS

1. Purpose and Scope. Developing and implementing effective ROE are critical to mission accomplishment. This enclosure provides guidelines for incorporating ROE development into the crisis action planning (CAP) and deliberate planning processes by commanders and staff at all levels. All supplemental measures not specifically requiring Presidential, SecDef or combatant commander approval (001-199) are available for use by commanders unless expressly withheld by higher authority.

2. ROE Development.

a. General Guidelines.

(1) ROE are an operational issue and must directly support the operational concept. Once assigned a mission, the commander and staff must incorporate ROE considerations into mission planning. Operations planning and ROE development are parallel and collaborative processes that require extensive integration.

(2) As missions develop and requirements emerge, it is natural to need to request supplemental measures from higher headquarters for mission accomplishment. The issues addressed throughout the planning process will form the basis for supplemental ROE requests requiring SecDef or combatant commander approval in support of a selected course of action (COA). ROE development is a continuous process that plays a critical role in every step of crisis action and deliberate planning.

(3) Due to the operational nature of ROE, the Director for Operations (J-3) and his staff are responsible for developing ROE during crisis action planning. Likewise, the Director for Strategic Plans and Policies (J-5) should play a large role in ROE development for deliberate planning.

(4) As an expert in the law of military operations and international law, the Staff Judge Advocate (SJA) plays a significant role, with the J-3 and J-5, in developing and integrating ROE into operational planning.

(5) ROE should be classified at the lowest level possible to ensure widest distribution to US forces.

b. Task Steps. The following steps can be used to assist staffs in developing and implementing ROE during planning.

(1) Mission Analysis.

(a) Review the SROE, including any current combatant commander theater-specific ROE.

(b) Review supplemental ROE measures already approved for the mission by higher headquarters, and determine the need for existing authorizations.

(c) Review higher headquarters planning documents for political, military and legal considerations that affect ROE. Consider tactical or strategic limitations on the use of force imposed by:

1. Higher headquarters in the initial planning documents.
2. U.S. law and policy.
3. International law, including the UN Charter.
4. HN law, policy and agreements.
5. For multinational or coalition operations:
 - a. Foreign forces ROE, NATO ROE, NORAD ROE and other RUF policies.
 - b. UN Security Council resolutions or other mission authority.

(d) Internal review of developed ROE by command ROE review team prior to submission for execution or approval, as appropriate.

(e) Desired End State. Assess ROE requirements throughout pre-conflict, deterrence, conflict and post -conflict phases of an operation. ROE should support achieving the desired end state.

(2) Planning Guidance.

(a) Review commander's planning guidance for considerations affecting ROE development.

(b) Ensure ROE considerations derived from commander's planning guidance are consistent with those derived from initial planning documents.

(3) Warning Orders. Incorporate instructions for developing ROE in warning orders, as required. Contact counterparts at higher, lower and adjacent headquarters, and establish the basis for concurrent planning.

(4) Course of Action (COA) Development. Determine ROE requirements to support the operational concept of each proposed COA.

(5) COA Analysis.

(a) Analyze ROE during the wargaming process. In particular, assess each COA to identify any ROE normally retained by a higher headquarters that must be delegated to subordinate commanders. Identify ROE required by decision and decisive points.

(b) Refine ROE to support synchronizing each phase of proposed COAs.

(6) COA Comparison and Selection. Consider ROE during the COA comparison process, including affects if ROE supplements are not authorized as requested.

(7) Commander's Estimate. Identify Presidential or SecDef-level ROE required to support recommended COA.

(8) Preparation of Operations Order (OPORD).

(a) Prepare and submit requests for all supplemental ROE measures IAW Enclosure A. Normally, the OPORD should not be used to request supplemental measures.

(b) Prepare the ROE appendix of the OPORD IAW CJCSM 3122.03 (JOPES Volume II: Planning Formats and Guidance). The ROE appendix may include supplemental ROE measures that are already approved.

(c) Include guidance for disseminating approved ROE that is consistent with SecDef-approved guidance. Consider:

1. Developing "plain language" ROE.
2. Creating ROE cards.
3. Issuing special instructions (SPINS).
4. Distributing ROE to multinational forces or coalitions.
5. Issuing ROE translations (for coalitions).

(9) ROE Request and Authorization Process. Commanders will request and authorize ROE, as applicable, IAW Enclosure A.

(10) ROE Control. The ROE process must anticipate changes in the operational environment and modify supplemental measures to support the assigned mission. Commanders and their staffs must continuously analyze ROE and recommend modifications to meet changing operational parameters.

(a) Ensure that only the most current ROE serial is in use throughout the force.

(b) Catalog all supplemental ROE requests and approvals for ease of reference.

(c) Monitor ROE training.

(d) Modify ROE as required. Ensure that a timely, efficient staff process exists to respond to requests for and authorizations of ROE changes.

3. Establish ROE Planning Cell. Commanders may use a ROE planning cell to assist in developing ROE. The following guidelines apply:

a. The J-3 is responsible for the ROE planning cell and, assisted by the SJA, develops supplemental ROE.

b. ROE are developed as an integrated facet of crisis action and deliberate planning and are a product of the Operations Planning Group (OPG) or Joint Planning Group (JPG), or equivalent staff mechanism.

c. An ROE planning cell can be established at any echelon to refine ROE derived from the OPG or JPG planning and to produce the most effective ROE requests and/or authorizations possible.

APPENDIX B

SAMPLE ROE CARDS¹

Peace Enforcement: KFOR (Albania, April 1999)

TASK FORCE HAWK ROE CARD

(The contents of this card are unclassified for dissemination to Soldiers)

NOTHING IN THESE RULES PROHIBITS OUR FORCES FROM EXERCISING THEIR INHERENT RIGHT OF SELF DEFENSE.

- 1. AT ALL TIMES, USE NECESSARY FORCE, UP TO AND INCLUDING DEADLY FORCE:**
 - a. In response to an immediate threat of serious bodily injury or death against yourself, other NATO Forces, or the Friendly Forces of other nations.**
 - b. To prevent the immediate theft, damage, or destruction of: firearms, ammunition, explosives or property designated as vital to national security.**
- 2. AT ALL TIMES, USE FORCE LESS THAN DEADLY FORCE:**
 - a. In response to a threat less than serious bodily injury or death against yourself, other NATO Forces, or the Friendly Forces of other nations.**
 - b. To prevent the immediate theft, damage, or destruction of any NATO military property.**
- 3. WHEN THE SITUATION PERMITS, USE A GRADUATED ESCALATION OF FORCE, TO INCLUDE:**
 - a. Verbal warnings to “Halt” or “ndalOHnee”**
 - b. Show your weapons.**
 - c. Show of force to include riot control formations.**
 - d. Non-lethal physical force.**
 - e. If necessary to stop an immediate threat of serious bodily harm or death, engage the threat with deliberately aimed shots until it is no longer a threat.**
- 4. SOLDIERS MAY SEARCH, DISARM, AND DETAIN PERSONS AS REQUIRED TO PROTECT THE FORCE. DETAINEES WILL BE TURNED OVER TO APPROPRIATE HOST NATION AUTHORITIES ASAP.**
- 5. WARNING SHOTS ARE STRICTLY PROHIBITED.**
- 6. TREAT ALL EPWs WITH DIGNITY AND RESPECT. RESPECT THE CULTURAL AND RELIGIOUS BELIEFS OF ALL EPWs.**
- 7. DO NOT RETAIN WAR TROPHIES OR ENEMY SOUVENIRS FOR YOUR PERSONAL USE.**
- 8. DO NOT ENTER ANY MOSQUE, OR OTHER ISLAMIC RELIGIOUS SITE UNLESS NECESSARY FOR MISSION ACCOMPLISHMENT AND DIRECTED BY YOUR COMMANDER.**
- 9. IMMEDIATELY REPORT ANY VIOLATIONS OF THE LAW OF WAR, OR THE RULES OF ENGAGEMENT TO YOUR CHAIN OF COMMAND, MPs, CHAPLAIN, IG, OR JAG OFFICER REGARDLESS OF WHETHER FRIENDLY FORCES OR ENEMY FORCES COMMITTED THE SUSPECTED VIOLATION.**
- 10. THE AMOUNT OF FORCE AND TYPE OF WEAPONS USED SHOULD NOT SURPASS THAT AMOUNT CONSIDERED NECESSARY FOR MISSION ACCOMPLISHMENT. MINIMIZE ANY COLLATERAL DAMAGE.**

¹ For additional examples of ROE cards from past operations, see www.jagcnet.army.mil/clamo.

Peace Enforcement: KFOR (Kosovo, June 1999)

Front Side

KFOR RULES OF ENGAGEMENT FOR USE IN KOSOVO

SOLDIER'S CARD

To be carried at all times.

MISSION. Your mission is to assist in the implementation of and to help ensure compliance with a Military Technical Agreement (MTA) in Kosovo.

SELF-DEFENSE.

- a. You have the right to use necessary and proportional force in self-defense.
- b. Use only the minimum force necessary to defend yourself.

GENERAL RULES.

- a. Use the minimum force necessary to accomplish your mission.
- b. Hostile forces/belligerents who want to surrender will not be harmed. Disarm them and turn them over to your superiors.
- c. Treat everyone, including civilians and detained hostile forces/belligerents, humanely.
- d. Collect and care for the wounded, whether friend or foe.
- e. Respect private property. Do not steal. Do not take "war trophies".
- f. Prevent and report all suspected violations of the Law of Armed Conflict to superiors.

CHALLENGING AND WARNING SHOTS.

- a. If the situation permits, issue a challenge:
 - In **English**: "NATO! STOP OR I WILL FIRE!"
 - Or in **Serbo-Croat**: "NATO! STANI ILI PUCAM!"
 - (Pronounced as: "NATO! STANI ILI PUTSAM!")
 - Or in **Albanian**: "NATO! NDAL OSE UNE DO TE QELLOJ!"
 - (Pronounced as: "NATO! N'DAL OSE UNE DO TE CHILLOY!")
- b. If the person fails to halt, you may be authorized by the on-scene commander or by standing orders to fire a warning shot.

Peace Enforcement: KFOR (Kosovo, June 1999)

Reverse Side

OPENING FIRE.

- a. You may open fire only if you, friendly forces or persons or property under your protection are threatened with deadly force. This means:
 - (1) You may open fire against an individual who fires or aims his weapon at, or otherwise demonstrates an intent to imminently attack, you, friendly forces, or Persons with Designated Special Status (PDSS) or property with designated special status under your protection.
 - (2) You may open fire against an individual who plants, throws, or prepares to throw, an explosive or incendiary device at, or otherwise demonstrates an intent to imminently attack you, friendly forces, PDSS or property with designated special status under your protection.
 - (3) You may open fire against an individual deliberately driving a vehicle at you, friendly forces, or PDSS or property with designated special status.
- b. You may also fire against an individual who attempts to take possession of friendly force weapons, ammunition, or property with designated special status, and there is no way of avoiding this.
- c. You may use minimum force, including opening fire, against an individual who unlawfully commits or is about to commit an act which endangers life, in circumstances where there is no other way to prevent the act.

MINIMUM FORCE.

- a. If you have to open fire, you must:
 - Fire only aimed shots; and
 - Fire no more rounds than necessary; and
 - Take all reasonable efforts not to unnecessarily destroy property; and
 - Stop firing as soon as the situation permits.
- b. You may not intentionally attack civilians, or property that is exclusively civilian or religious in character, except if the property is being used for military purposes or engagement is authorized by the commander.

Armed Conflict: DESERT STORM (Iraq, 1991)

DESERT STORM
RULES OF ENGAGEMENT

ALL ENEMY MILITARY PERSONNEL AND VEHICLES TRANSPORTING THE ENEMY OR THEIR SUPPLIES MAY BE ENGAGED SUBJECT TO THE FOLLOWING RESTRICTIONS:

- A. Do not engage anyone who has surrendered, is out of battle due to sickness or wounds, is shipwrecked, or is an aircrew member descending by parachute from a disabled aircraft.
- B. Avoid harming civilians unless necessary to save US lives. Do not fire into civilian populated areas or buildings which are not defended or being used for military purposes.
- C. Hospitals, churches, shrines, schools, museums, national monuments, and other historical or cultural sites will not be engaged except in self defense.
- D. Hospitals will be given special protection. Do not engage hospitals unless the enemy uses the hospital to commit acts harmful to US forces, and then only after giving a warning and allowing a reasonable time to expire before engaging, if the tactical situation permits.
- E. Booby traps may be used to protect friendly positions or to impede the progress of enemy forces. They may not be used on civilian personal property. They will be recovered and destroyed when the military necessity for their use no longer exists.
- F. Looting and the taking of war trophies are prohibited.
- G. Avoid harming civilian property unless necessary to save US lives. Do not attack traditional civilian objects, such as houses, unless they are being used by the enemy for military purposes and neutralization assists in mission accomplishment.
- H. Treat all civilians and their property with respect and dignity. Before using privately owned property, check to see if publicly owned property can substitute. No requisitioning of civilian property, including vehicles, without permission of a company level commander and without giving a receipt. If an ordering officer can contract the property, then do not requisition it.
- I. Treat all prisoners humanely and with respect and dignity.
- J. ROE Annex to the OPLAN provides more detail. Conflicts between this card and the OPLAN should be resolved in favor of the OPLAN.

REMEMBER

1. FIGHT ONLY COMBATANTS.
2. ATTACK ONLY MILITARY TARGETS.
3. SPARE CIVILIAN PERSONS AND OBJECTS.
4. RESTRICT DESTRUCTION TO WHAT YOUR MISSION REQUIRES.

CFLCC ROE CARD

1. On order, enemy military and paramilitary forces are declared hostile and may be attacked subject to the following instructions:
 - a. Positive Identification (PID) is required prior to engagement. PID is a reasonable certainty that the proposed target is a legitimate military target. If not PID, contact your next higher command for decision.
 - b. Do not engage anyone who has surrendered or is out of battle due to sickness or wounds.
 - c. Do not target or strike any of the following except in self defense to protect yourself, your unit, friendly forces, and designated persons or property under your control:
 - Civilians
 - Hospitals, mosques, churches, shrines, schools, museums, national monuments, and any other historical and cultural sites.
 - d. Do not fire into civilian populated areas or buildings unless the enemy is using them for military purposes or if necessary for your self defense. Minimize collateral damage.
 - e. Do not target enemy infrastructure (public works, commercial communication facilities, dams). Lines of communication (roads, highways, tunnels, bridges, railways, and economic objectives) commercial storage facilities, pipelines, unless necessary for self defense or if ordered by your commander. If you must fire on these objects to engage a hostile force, disable and disrupt but, avoid destruction of these objects, if possible.

CFLCC ROE CARD

2. The use of force, including deadly force, is authorized to protect the following:
 - Yourself, your unit,, and friendly forces
 - Enemy prisoners of war
 - Civilians from crimes that are likely to cause death or serious bodily harm, such as murder or rape
 - Designated civilians and/or property, such as personnel of the Red Cross/Crescent, UN, and US/UN supported organizations.
3. Treat all civilians and their property with respect and dignity. Do not seize civilian property, including vehicles, unless you have the permission of a company level commander and you give a receipt to the property's owner.
4. Detain civilians if they interfere with mission accomplishment or if required for self defense.
5. CENTCOM General Order No. 1A remains in effect. Looting and the taking of war trophies are prohibited.

REMEMBER

- Attack enemy forces and military targets.
- Spare civilians and civilian property, if possible.
- Conduct yourself with dignity and honor.
- Comply with the Law of War. If you see a violation, report it.

These ROE will remain in effect until your commander orders you to transition to post hostiles ROE.

AS OF 311334Z JAN 03

ARMED CONFLICT (STABILITY OPERATIONS): OPERATION IRAQI FREEDOM (IRAQ, 2005)

MNC-I ROE CARD

Law of Armed Conflict Principles:

a. Use of Force. The use of force will be necessary and proportional in order to comply with the LOAC.

b. Only Attack Legitimate Military Targets. All personnel must ensure that, prior to any engagement, non-combatants and civilian structures are distinguished from proper military targets.

c. Minimize Collateral Damage. Military operations will, in so far as possible, minimize incidental injury, loss of life, and collateral damage.

d. Do not target or strike anyone who has surrendered or is out of combat due to sickness or wounds.

e. Do not target or strike hospitals, mosques, churches, shrines, schools, museums, national monuments, and any other historical and cultural sites, civilian populated areas or buildings **UNLESS** the enemy is using them for military purposes or if necessary for your self-defense.

f. Do not target or strike Iraqi infrastructure (public works, commercial communication facilities, dams), Lines of Communication (roads, highways, tunnels, bridges, railways) and Economic Objects (commercial storage facilities, pipelines) **UNLESS** necessary for self-defense or if ordered by your commander. If you must fire on these objects, fire to disable and disrupt rather than destroy.

g. Treat all civilians and their property with respect and dignity. Do not seize civilian property, including vehicles, unless the property presents a security threat. When possible, give a receipt to the property's owner.

- **MNC-I General Order No. 1 is in effect.** Looting and the taking of war trophies are prohibited.
- **ALL personnel MUST report any suspected violations of the Law of War committed by any US, friendly or enemy force.** Notify your chain of command, Judge Advocate, IG, Chaplain, or appropriate service-related investigative branch (e.g. CID, NCI(S)).

THESE ROE ARE IN EFFECT AS OF 27 MAR 07

MNC-I ROE CARD

YOU ALWAYS HAVE THE RIGHT TO USE NECESSARY AND PROPORTIONAL FORCE TO DEFEND YOURSELF

1. You may engage the following individuals based on their conduct:

- Persons who are committing hostile acts against CF.
- Persons who are exhibiting hostile intent towards CF.

2. Positive Identification (PID) is required prior to engagement. PID is a reasonable certainty that the proposed target is a legitimate military target.

3. Escalation of Force Measures (EOF). When time and circumstances permit, EOF Measures assist CF to determine whether hostile act/intent exist in a particular situation. When you are confronted with a hostile act or demonstration of hostile intent that threatens death or serious bodily injury, you may use deadly force without proceeding through EOF measures.

4. Warning Shots. In general, CF may only use warning shots in situations where deadly force is authorized and in EOF situations.

5. The use of force, including deadly force, is authorized to protect the following: (1) yourself, your unit, and other friendly forces; (2) detainees; (3) civilians from crimes that are likely to cause death or serious bodily harm, such as murder or rape; (4) personnel or property designated by the OSC when such actions are necessary to restore order and security.

6. You may DETAIN civilians based upon a reasonable belief that the person: (1) is interfering with CF mission accomplishment; (2) is on a list of persons wanted for questioning, arrest or detention; (3) is or was engaged in criminal activity; or (4) must be detained for imperative reasons of security. Anyone you detain MUST be protected. You MUST fill out a detainee apprehension card for EVERY person you detain.