

NATO STANDARD

ATrainP-4

**TRAINING IN NATO RULES
OF ENGAGEMENT**

Edition B, Version 1

SEPTEMBER 2022



NORTH ATLANTIC TREATY ORGANIZATION

ALLIED TRAINING PUBLICATION

**Published by the
NATO STANDARDIZATION OFFICE (NSO)
© NATO/OTAN**

INTENTIONALLY BLANK

NORTH ATLANTIC TREATY ORGANIZATION (NATO)

NATO STANDARDIZATION OFFICE (NSO)

NATO LETTER OF PROMULGATION

2 September 2022

1. The enclosed Allied Training Publication ATrainP-4, Edition B, Version 1, TRAINING IN NATO RULES OF ENGAGEMENT, which has been approved by the nations in the MILITARY COMMITTEE JOINT STANDARDIZATION BOARD, is promulgated herewith. The agreement of nations to use this publication is recorded in STANAG 2597.
2. ATrainP-4, Edition B, Version 1, is effective upon receipt and supersedes ATrainP-4, Edition A, Version 1, which shall be destroyed in accordance with the local procedure for the destruction of documents.
3. This NATO standardization document is issued by NATO. In case of reproduction, NATO is to be acknowledged. NATO does not charge any fee for its standardization documents at any stage, which are not intended to be sold. They can be retrieved from the NATO Standardization Document Database (<https://nso.nato.int/nso/>) or through your national standardization authorities.
4. This publication shall be handled in accordance with C-M(2002)60.



Dimitrios SIGOULAKIS
Major General, GRC (A)
Director, NATO Standardization Office

INTENTIONALLY BLANK

RESERVED FOR NATIONAL LETTER OF PROMULGATION

INTENTIONALLY BLANK

INTENTIONALLY BLANK

INTENTIONALLY BLANK

TABLE OF CONTENTS

CHAPTER 1

1.1. TRAINING STANDARD 1-1

1.2. DEFINITIONS 1-1

1.3. DETAILS OF THE PUBLICATION..... 1-1

1.3.1. Objective of this publication 1-1

1.3.2. Responsibilities..... 1-2

1.3.3. Objectives of training 1-2

1.3.4. Instruction and training principles 1-2

1.3.5. Evaluation of training 1-3

1.4. COORDINATION..... 1-3

ANNEX A LEARNING OBJECTIVES AND MAIN TEACHING POINTS A-1

ANNEX B TEMPLATE FOR TRAINING IN NATO ROE B-1

ANNEX C NATO ROE TRAINING EXERCISE SCENARIO.....C-1

ANNEX D UNIT LEVEL NATO ROE TRAINING GUIDANCED-1

ANNEX E GLOSSARY OF ABBREVIATIONS AND REFERENCE LIST..... E-1

INTENTIONALLY BLANK

CHAPTER 1

1.1. TRAINING STANDARD

1.1.1. This NATO training standard for NATO Rules of Engagement Training is to ensure that all Personnel who may be involved in NATO/NATO-led operations receive training on the following four Learning Objectives (LO): (LO1) understand what NATO ROE are; (LO2) understand the relationship between self-defence and NATO ROE; (LO3) understand NATO ROE and the use of force in NATO/NATO-led operations; and (LO4) commanders and staff understand the procedures for developing, drafting, issuing and changing NATO ROE for a NATO/NATO-led operation.

1.1.2. Nations must ensure that training is provided to Personnel to the above listed training standard. The main teaching points in the Annexes represent guidance on how to achieve the standard. The positions contained in the Annexes do not necessarily represent the position of any individual nation, do not establish state practice, and may be adapted, in whole or in part, by nations as they conduct training.

1.1.3. The teaching points proposed and developed in this publication, are intended for operationally experienced Personnel from all of the disciplines involved in the planning and execution phases of NATO-led operations.

1.2. DEFINITIONS

1.2.1. NATO ROE are ROE derived from MC 0362/2, NATO Rules of Engagement (2019). ROE are directives to military forces (including individuals) that define the circumstances, conditions, degree, and manner in which force, or actions which might be construed as provocative, may be applied.

1.2.2. The term "Personnel" is defined as all members of the armed forces as determined by each nation, who may be involved in NATO/NATO-led operations.

1.3. DETAILS OF THE PUBLICATION

1.3.1. Objective of this publication

1. The objective of this publication is to provide guidance to nations and NATO Headquarters on the NATO standard of ROE training. This training is to be provided to commanders, staffs, units and individuals to prepare them for participation in NATO-led operations and exercises. This NATO standard provides an outline with examples for NATO ROE training programs. Annex A lists Learning Objectives to be followed by nations and NATO Headquarters when conducting training in NATO ROE. These Learning Objectives (LOs) explain the main teaching points used in delivering ROE training that meets the training standard. Annex B offers a template for training in

NATO ROE for nations to use in the preparation of their national training documents. Annex C represents an example of a NATO ROE training exercise scenario. Annex D represents training guidance for unit level training on NATO ROE. Annex E contains NATO ROE reference material containing abbreviations used throughout this ATrainP-4 and information about other NATO Doctrines related to NATO ROE.

2. Nations ratifying STANAG 2597 and its NATO Standard, Allied Training Publication-4, Training in NATO Rules of Engagement continue to be guided by their respective national interpretations of international law.

1.3.2. Responsibilities

1. NATO ROE training is a national responsibility for NATO member nations and NATO partner nations to assure interoperability and prepare their forces for participation in NATO-led operations or exercises.

2. The responsibility to train staff assigned to NATO headquarters (HQ) rests with the appropriate HQ.

1.3.3. Objectives of training

1. The overall objective of NATO ROE training is to ensure that Personnel properly understand, develop and/or apply NATO ROE commensurate with their position and responsibility.

2. The training objectives are:

- a. To provide Personnel with the individual knowledge they require to perform their assigned duties during the operational planning and execution phases in accordance with their responsibilities for NATO ROE;
- b. To ensure awareness of the potential consequences of breaches of NATO ROE;
- c. To enable commanders and staff to understand the procedures and staff processes for developing, managing and evaluating NATO ROE during all phases of NATO-led operations.

1.3.4. Instruction and training principles

1. The following instruction and training principles are to be applied:

- a. Personnel engaged in the development and staffing of NATO ROE for NATO/NATO-led operations are to be trained in NATO ROE.
- b. Personnel deploying on NATO/NATO-led operations must receive instruction on mission-specific NATO ROE prior to the conduct of operations to the level required of their role.
- c. NATO ROE training should be commensurate with the degree of responsibility of Personnel and their operational role. Therefore, commanders and staff will require specialised NATO ROE training depending on what their responsibilities will be in NATO-led operations or exercises.

- d. Nations should ensure that NATO ROE training is delivered by instructors with training in NATO operational planning. The strategic, operational, and tactical aspects of NATO ROE during the different phases of NATO operations should be described with an emphasis on the role of military judgement to ensure tactical actions align with strategic goals and the desired end-state.
- e. NATO ROE training should include realistic scenarios and case studies, exercises and practical field training. When preparing units for NATO/NATO- led operations, specific emphasis should be placed upon practical field training and the application of mission-specific ROE for NATO-led forces.
- f. Nations should include NATO ROE training in their military education, individual and collective training, and exercises.

1.3.5. Evaluation of training

Nations are encouraged to evaluate their national NATO ROE training programmes and to tailor the evaluation to the specific needs of their audience. The effectiveness of NATO ROE training should be evaluated at all levels of command. Lessons learned and identified and after action reports should be incorporated into the development of training programmes. Nations are encouraged to use a combination of methods to evaluate the knowledge of the training audience. Evaluation methods may include classroom assessment, test papers and field training scenarios.

1.4. COORDINATION

Nations should regularly inform each other of their NATO ROE training programmes to provide opportunities for joint Alliance and coalition training and to improve interoperability.

INTENTIONALLY BLANK

ANNEX A LEARNING OBJECTIVES AND MAIN TEACHING POINTS
--

A.1. BASIC TRAINING

LO 1. Introduction to NATO ROE

Aim: The aim of this learning objective is to ensure that Personnel understand what NATO ROE are.

The main teaching points for this learning objective are:

- 1.1 Understand the definition of NATO ROE
- 1.2 Be familiar with the MC 0362/2 structure and content
- 1.3 Understand the purpose and function of NATO ROE
- 1.4 Understand the need for compliance with NATO ROE
- 1.5 Understand the relationship between law and NATO ROE

LO 2. The Relationship between Self-Defence and NATO ROE

Aim: The aim of this learning objective is to ensure that Personnel understand the relationship between self-defence and NATO ROE.

The main teaching points for this learning objective are:

- 2.1 Be aware of the MC 0362/2 description of self-defence and know that the legal basis for use of force in self-defence is an issue of national law
- 2.2 Know that national laws differ with respect to the use of force in self-defence
- 2.3 Understand the relationship between self-defence and NATO ROE
- 2.4 Be aware of the NATO anticipation of extending self-defence protection to all forces participating in a NATO-led operation
- 2.5 Understand the NATO concepts Defensive Force ROE, PDSS and PRDSS
- 2.6 Understand the relationship between self-defence and Commanders' control of the use of force

LO 3. NATO ROE and the Use of Force

Aim: The aim of this learning objective is to ensure that Personnel understand NATO ROE and the use of force as developed from the principles and concepts contained in MC 0362/2.

The main teaching points for this learning objective are:

- 3.1 Be familiar with MC 0362/2 principles on the use of force
- 3.2 Understand the different application of NATO ROE in peacetime and armed conflict operations.
- 3.3 Understand the MC 0362/2 concepts of “minimum force” and “deadly force”
- 3.4 Understand the MC 0362/2 definition of “attack” in the context of NATO ROE series 42
- 3.5 Understand the MC 0362/2 definition and methodology for determining “hostile act (not constituting actual attack)” and “hostile intent (not constituting an imminent attack)”

A.2. ENHANCED TRAINING

LO 4. Developing NATO ROE

Aim: The aim of this learning objective is to ensure that commanders and staff understand the procedures for developing, drafting, issuing and changing NATO ROE for a NATO/NATO-led operation.

The main teaching points for this learning objective are:

- 4.1 Understand how NATO ROE functions as a command and control (C2) tool
- 4.2 Recognise the inter-relationships of the NATO authorities and commands responsible for developing NATO ROE
- 4.3 Understand the NATO operations planning process (OPP) and relationship between the OPLAN and NATO ROE
- 4.4 Understand the NATO Standing ROE concept¹
- 4.5 Distinguish the factors and considerations affecting the development of NATO ROE
- 4.6 Know how NATO ROE are drafted and promulgated
- 4.7 Have a general overview of Annex A to MC 0362/2 and understand structure of NATO ROE
- 4.8 Understand specific messages format required to establish mission specific ROE
- 4.9 Understand role of national caveats, restrictions and limitations
- 4.10 Understand the commander’s role in developing and applying NATO ROE
- 4.11 Distinguish and understand the security classification of NATO ROE

¹ See Addendum 1 to MC 0362/2 (RESTRICTED) for further explanation.

<p>ANNEX B TEMPLATE FOR TRAINING IN NATO ROE</p>
--

- This template develops the Learning Objectives and Main Teaching points addressed in Annex A. It is intended to assist nations to meet the standard for training in NATO ROE and to enhance understanding of MC 0362/2, NATO Rules of Engagement, 2019.
- Training in NATO ROE is a national responsibility. Nations are invited to use these training standards based on this template in order to ensure Personnel are properly trained in NATO ROE.
- The training materials contained in this template are recommendations. Individual nations are free to amend and translate any portion of the template used to train their forces in NATO ROE.
- Instructors should consult their chain of command and specialist advisors for additional support and guidance on nationally approved content for training in NATO ROE.
- Training based on this template should be further supported by practical training, described in Annex C.
- Explanation of used abbreviations and supporting NATO doctrine contained in this template correspond with Annex E.

Slide	1.
Topic:	LO 1: Introduction to NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Introduction to NATO ROE
(Learning Objective 01)

Suggested text for the instructors' notes

The aim of this learning objective is to ensure that Personnel understand what NATO ROE are.

Slide	2.
Topic:	LO 1: Introduction to NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Outline

- NATO ROE definition
- MC 0362/2
- Structure of MC 0362/2 and its Annex A
- Purpose & function of NATO ROE
- Use of force and actions which may be construed as provocative
- Compliance with NATO ROE
- Law & NATO ROE

Suggested text for the instructors' notes

The main teaching points for this learning objective are:

- Understand the definition of NATO ROE
- Be familiar with MC 0362/2 structure and content
- Understand the purpose and function of NATO ROE
- Understand that NATO ROE regulates both use of force and actions which may be construed as provocative and what these actions are
- Understand the need for compliance with NATO ROE
- Understand the relationship between law and NATO ROE

Slide	3.
Topic:	LO 1: Introduction to NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

NATO ROE Definition

- “Rules of Engagement (ROE) for NATO forces are guidance and directives to NATO Commanders and the forces under their command or control:
 - a. Defining the circumstances, conditions, degree and manner for the use of force, and/or
 - b. Describing and regulating behaviour and actions of NATO forces that may be construed as provocative, in peacetime, crisis or conflict.”

Suggested text for the instructors’ notes

This NATO definition of ROE can be found in MC 0362/2, Part I, para 1.

[NOTE TO INSTRUCTOR]

NATO defines ROE as “guidance and directives” although in some nations they may be considered orders and in others as guidance. Instructors should confirm their national position on whether NATO ROE are considered orders or whether they must be transformed by national authorities into orders to become binding upon Personnel.

Slide	4.
Topic:	LO 1: Introduction to NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

MC 0362/2

- MC 0362/2 is the single NATO publication for ROE
- MC 0362/2 contains a compendium of strategic and operational ROE and NATO policy for approving and implementing these rules for all NATO/NATO-led operations
- Mission specific ROE developed from MC 0362/2 are applicable to all NATO/NATO-led forces at all times and in all places

Suggested text for the instructors' notes

MC 0362/2 provides the policies and procedures to create mission specific ROE, have it approved by the NATO chain of command, and released for use at operational and tactical levels of NATO/NATO-led forces.

MC 0362/2 is used to develop NATO ROE for all types of NATO/NATO-led operations and all types of forces.

Slide	5.
Topic:	LO 1: Introduction to NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Structure and Basic Contents of MC 0362/2

- Five Parts
 - Part One: Overview
 - Part Two: Applicable Legal framework
 - Part Three: Principles Concerning the Use of Force
 - Part Four: Handling of Captured Persons
 - Part Five: Political Direction to Military Authorities
 - Part Six: ROE Structure and Procedures
- Six Annexes
 - A. Compendium of ROE
 - B. Guidance on the use of ROE in Air Operations
 - C. Guidance on the use of ROE in Land Operations
 - D. Guidance on the use of ROE in Maritime Operations
 - E. Guidance on the use of ROE for Cyberspace Operations
 - F. Guidance on the use of formatted ROE messages
 - G. Definitions and Amplifying Guidance on the Meaning of Terms
 - H. List of Abbreviations

Suggested text for the instructors' notes

MC 0362/2 provides written guidance on the use of force, including definitions. The Annexes provide detailed guidance on NATO ROE development and on the use of NATO ROE in operations.

Parts 1-4 define what NATO ROE are and how they apply to the individual, while Parts 5 and 6 are more directed to commanders and staff officers.

Slide	6.
Topic:	LO 1: Introduction to NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

<p>Compendium of NATO ROE</p> <ul style="list-style-type: none"> • Annex A to MC 0362/2 provides a compendium of possible NATO ROE • The “Rules” are grouped into a number of “Series” which cover different aspects of military actions • Every “Rule” is written either as a prohibition or authorisation • Example: <ul style="list-style-type: none"> Series 37. Use of Electronic countermeasures Rule 370. Use of Electronic countermeasures is prohibited Rule 374. Unrestricted use of Electronic countermeasures is authorised
--

Suggested text for the instructors’ notes

Annex A of the MC 0362/2 provides a compendium of ROE from which mission specific ROE may be chosen.

NATO ROE exist in a pre-written catalogue of “Rules” (message forms) in a numeric order. They range from geographic positioning, detention, harassment and counter-harassment, to attack.

It must be emphasised that some NATO ROE authorise actions and others restrain actions. NATO ROE are intended to regulate all actions that can be construed as provocative at all levels: strategic, operational, and tactical.

Slide	7.
Topic:	LO 1: Introduction to NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Purpose and Function of NATO ROE

- NATO ROE provide political authority and military direction for the conduct of NATO/NATO-led operations
- NATO ROE are used to control the threat or use of force or actions which might be construed as provocative, both in peacetime, prior to the commencement and in armed conflict situations
- By authorising or prohibiting certain actions or means, NATO ROE define the employment of military forces: when, where, how, how much and against whom force may be used
- NATO ROE are not used to assign concrete tasks or missions
- With the exception of self-defence, NATO ROE provide the sole authority to NATO/NATO-led forces to use force

Suggested text for the instructors' notes

NATO ROE are the means by which the NAC authorises SACEUR in the conduct of military operations. They are not used to assign missions or tasks; NATO missions and tasks are specified in the SACEUR's OPLAN.

It is important to note that the OPLAN must do three things: deploy the force, employ the force and sustain the force.

NATO ROE provide parameters within which NATO/NATO-led forces are employed in order to accomplish an assigned mission. For instance, in high intensity conflict, the ROE enable domination of the battle space. In post-conflict situations, NATO ROE are designed to reduce violence during the NATO/NATO-led operations.

The MC 0362/2 distinguishes peacetime and prior to the commencement of an armed conflict NATO ROE from armed conflict NATO ROE by referring to the authorisation of the use of force in peacetime and the limitations of the use of force during armed conflict. However, for policy reasons that have emerged from NATO's recent operations, this distinction is no longer as certain.

Current NATO ROE, whether in peacetime or armed conflict, are a mixture of authorisations and limitations. As a result, any use of force other than in self-defence requires ROE.

NATO ROE are sets of prohibitions and permissions that define:

WHEN force may be used. For instance, to board vessels, prevent interference with freedom of movement, defend military facilities, or attack opposing forces.

WHERE force may be used or Forces may operate. For instance, NATO ROE may limit operations to a specific geographic area.

HOW force may be used to achieve the desired ends. For instance, prohibiting or restricting use of specific weapons in designated circumstances or use of riot control agents.

HOW MUCH force may be used. NATO ROE may limit the degree, intensity and the necessary duration of the use of force. An example is limiting the use of force to the “use of force not including deadly force.”

AGAINST WHOM force may be used. For instance, interfering with NATO/NATO-led mission, persons demonstrating hostile intent (not constituting an imminent attack) against NATO/NATO-led forces, or attacking forces declared hostile.

Examples of provocative actions not including the use of force are entry into contested geographical areas, ordering diversions, and conduction of simulated attacks.

See Learning Objective 02 concerning the relationship between self-defence and NATO ROE.

Slide	8.
Topic:	LO 1: Introduction to NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Use of force and actions which may be construed as provocative

- NATO ROE regulates both the use of force and other actions which may be construed as provocative
- Use of force are actions which are likely to cause death or injury, or to damage or destroy material or immaterial property
- Provocative actions which do not include the use of force are actions which are expected to cause the situation to escalate or to otherwise have an impact on the operation

Suggested text for the instructors' notes

Use of force is not a NATO Term agreed terminology. For the purpose of the MC 0362/2 and this STANAG, use of force is defined as actions which are likely to cause death or injury, or to damage or destroy material or immaterial property. This includes both defensive and offensive actions by military individuals or units, based either on NAC authorised ROE or inherent right of self-defence.

Provocative acts that do not include the use of force include information operations such taking control over a radio station to distribute information intended to influence the audience; the use of jammers to interfere with mobile phone signals or navigation systems; conducting military exercises in the vicinity of an adversary's border, and conducting simulated attacks.

Slide	9.
Topic:	LO 1: Introduction to NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Compliance with NATO ROE

- NATO ROE must be adhered to by all forces engaged in a NATO/NATO-led operation.
- Within implemented ROE, it remains the commander's responsibility to ensure that forces use only the degree of force that is lawful under the circumstances
- Thus, commanders are responsible for ensuring that subordinates act within the bounds of NATO ROE
- Both commanders and subordinates may be held responsible for any non-compliance with NATO ROE through national disciplinary and other processes

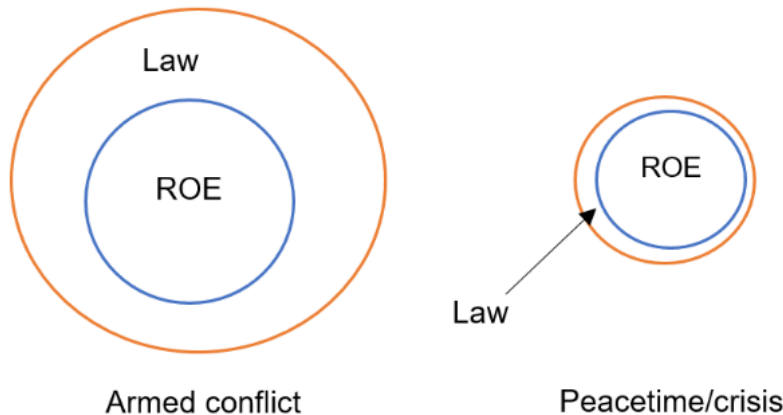
Suggested text for the instructors' notes

Commanders have a central role in the dynamic process of NATO ROE development, application, review and modification. Commanders have a responsibility to request clarification as well as modification when necessary to accomplish the mission.

Commanders should be aware of further political statements / indications that may be contained in NATO ROE. See Learning Objective 04.

Slide	10.
Topic:	LO 1: Introduction to NATO ROE
Suggested image on the slide:	

Relationship between ROE and applicable law:
ROE must always be within the law



Suggested text for the slide:

Law and NATO ROE

- International law defines the limits for the use of force during NATO/NATO-led operations
- NATO ROE are not the law but reflect the law and policy applicable to NATO/NATO-led operations
- While NATO ROE must not go beyond the limits defined by law, they may impose greater limitations on the use of force or provocative actions than those required by law
- Personnel participating in NATO/NATO-led operations remain bound by their national laws and cannot be obliged to execute tasks or operations which would constitute a breach of their national laws

Suggested text for the instructors' notes

The conduct of NATO/NATO-led operations is controlled by international law, to include the applicable provisions of the law of armed conflict (LOAC) and human rights law.

Whether under ROE or in self-defence, any use of force by NATO forces must comply with applicable international and national law.

NATO ROE, and the application of them, never permit use of force that violates applicable international law. However, NATO ROE may impose greater limitations on the use of force or provocative actions than those required by law.

During peacetime, the ability to use force including deadly force in a last resort is limited to what is strictly necessary and proportional, and the ROE will help define these circumstances. Although the ROE need not authorise the use of force in all situations where it would be lawful, the limited scope for using lawful force means that the ROE are likely cover most of these situations. This is illustrated by the circle on the right.

During armed conflict, LOAC enables military forces to use force in a wider range of circumstances, and the ROE are more robust. However, for political or operational reasons, the ROE are unlikely to reflect the full range of LOAC. As a result, the effect of the ROE will generally be to impose limitations, restrictions, or clarifications on the otherwise lawful use of force. The relationships may be illustrated as depicted on the slide.

Personnel participating in NATO/NATO-led operations must adhere to their own national laws. They are not obliged to execute tasks or operations that would constitute a breach of their national laws. National law may limit the use of force in certain types of military operations or in certain situations. For example, some nations' laws do not permit the use of force or deadly force to protect property.

When national laws are at variance with NATO ROE, nations participating in NATO/NATO-led operations must inform the NAC and the SACEUR of the inconsistencies as early as possible. Any such national restrictions and/or instructions, often called "national caveats," must not be more permissive than the use of force authorised for the operation. See also Learning Objective 02 for a discussion on self-defence and Learning Objective 04 concerning national caveats.

Slide	11.
Topic:	LO 1: Introduction to NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:
Summary
<ul style="list-style-type: none">• NATO ROE provide guidance on the use of force and all other provocative actions across the spectrum of NATO/NATO-led operations• MC 0362/2 represents the NATO publication for ROE• NATO ROE contain political and military direction for the conduct of NATO/NATO-led operations• NATO ROE are a command and control tool• NATO ROE comply with international law• In the application of NATO ROE, Personnel remain bound by their national law

Suggested text for the instructors' notes
--

None.

Slide	12.
Topic:	LO 2: The Relationship between Self-Defence and NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

The Relationship between Self-Defence and NATO ROE
(Learning Objective 02)

Suggested text for the instructors' notes

The aim of this learning objective is to ensure that Personnel understand the relationship between self-defence and NATO ROE.

Slide	13.
Topic:	LO 2: The Relationship between Self-Defence and NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Outline

- MC 0362/2 description of self-defence
- Self-defence and NATO ROE
- Defence of others
- MC 0362/2 definition of Defensive Force ROE
- PDSS and PRDSS
- Self-defence and Commanders' control of the use of force

Suggested text for the instructors' notes

The main teaching points for this learning objective are:

- Be aware of the MC 0362/2 concept of self-defence and know that the legal basis for use of force in self-defence is an issue of national law
- Know that national laws differ with respect to the use of force in self-defence
- Understand the relationship between self-defence and NATO ROE
- Be aware of the anticipation to protect other forces participating in a NATO-led operation, particularly NATO forces, without this introducing a NATO rule of "extended self-defence"
- Understand the purpose of defensive ROE introduced by the MC 0362/2, and the concepts of PDSS and PRDSS
- Understand the relationship between self-defence and Commanders' control of the use of force

Slide	14.
Topic:	LO 2: The Relationship between Self-Defence and NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Introduction

- Any use of force during NATO/NATO-led operations must be authorised by NATO ROE or in self-defence and must comply with applicable international and national law

Suggested text for the instructors' notes

See Part III (p. 6) of MC 0362/2.

When the use of force is not justified by self-defence, force may only be exercised within the constraints of and permissions authorised by NATO ROE. See Learning Objective 01 slide 7 and Learning Objective 03 slide 26.

Slide	15.
Topic:	LO 2: The Relationship between Self-Defence and NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

MC 0362/2 Description of “Self-Defence”

- “Self-defence encompasses the use of necessary and proportional force by NATO forces and personnel, including deadly force, to defend themselves against attack or an imminent attack. NATO ROE address use of force beyond what nations permit under self-defence.”

Suggested text for the instructors’ notes

NATO ROE do not limit self-defence, but individual and unit self-defence nonetheless continue to apply during armed conflict. Individuals and units act in accordance with international and national law and policy when exercising self-defence.

This description of individual and unit self-defence, found in MC 0362/2 para 8, is used as a baseline for planning purposes for NATO/NATO-led forces. The concepts of individual and unit self-defence are distinct from state self-defence (e.g. see Article 51 UN Charter), which is not dealt with in the MC 0362/2. The aim of this description is to provide a general definition of self-defence for use in discussions and planning, which may differ from national definitions. See Learning Objective 04.

Note that the terms necessary and proportionate used in relation to self-defence have a different meaning from the LOAC principles. With regard to self-defence, “necessary” means that use of force is indispensable for securing self-defence, while “proportional” means a response commensurate with the perception of the level of the threat posed.² Any force used must be limited to the degree, intensity, and duration necessary for self-defence and no more.

² In LOAC, an attack is proportionate when it is not expected to cause incidental loss of civilian life, injury to civilians, damage to civilian objects, or a combination thereof, which would be excessive in relation to the concrete and direct military advantage anticipated (Article 51(5)(b) of Additional Protocol I).

Slide	16.
Topic:	LO 2: The Relationship between Self-Defence and NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Self-Defence and NATO ROE

- NATO ROE do not limit the right of self-defence
- In exercising this right, individuals and units will act in accordance with international and national law and policy
- Personnel must be aware of their national interpretation of the concept of self-defence

Suggested text for the instructors' notes

NATO Member States have varying interpretations on the source, scope, and application of self-defence. For instance, some Nations' laws do not permit the use of deadly force to protect property. Members of the force must follow their national laws on self-defence and NATO commanders must be aware of any differing national restrictions or permissions.

Lessons from past NATO operations highlight the importance to train and exercise, at national and NATO levels, on the relationship between LOAC obligations and self-defence, as a way to help determine the rules applicable to the use of force in defence.

If you have any questions about your national rules on self-defence, ask your national chain of command.

[NOTE TO INSTRUCTOR]

The legal basis for the use of force in self-defence is an issue of national law. Present your nation's rule on individual self-defence and provide examples of how it will articulate in concrete situations with the application of LOAC.

Slide	17.
Topic:	LO 2: The Relationship between Self-Defence and NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Defence of others

- It is anticipated that all forces participating in any NATO-led military operation will extend protection to other friendly forces, particularly to NATO-Nation forces, under the same self-defence provisions that they apply to their own forces.

Suggested text for the instructors' notes

This explanation is contained in Part II, para 9 of MC 0362/2.

It is anticipated, based on the purposes and principles of the Alliance that all forces participating in any NATO-led military operation will extend protection to other friendly forces, particularly to NATO-Nation forces, under the same self-defence provisions that they apply to their own forces. This paragraph does not create a rule of NATO extended self-defence - the scope of such protection remaining a national prerogative.

Commanders must be aware that some nations' laws or policies on self-defence may not include the use of force to protect

- A) other NATO/NATO-led forces and persons;
- B) persons not belonging to NATO/NATO-led forces (e.g. civilian population); and/or property.

Troop Contributing nations (TCNs) which are restricted in their authority or ability to use force under their national self-defence doctrine and definition to protect other NATO forces should inform the NATO commander and other TCNs. In such a case, these forces should be authorised to take force protection actions through dedicated ROE (cf. para. 60-63).

Slide	18.
Topic:	LO 2: The Relationship between Self-Defence and NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

<p>NATO ROE and Defensive Use of Force</p> <ul style="list-style-type: none"> • Because Troop Contributing nations (TCN) have different rights and obligations for the protection of others and property, defensive NATO ROE is required to maximum uniformity and interoperability when defensive force is used. • A well understood baseline for the authority to use force ensures interoperability for force protection. • Defensive NATO ROE compensate for national divergence and authorise TCN actions.
--

Suggested text for the instructors' notes

This explanation is contained in Part VI, para 59-62, of MC 0362/2.

Because nations differ in their approach to self-defence, there has previously not always been consistency between the nations as to where the right to use force in self-defence ends and the use of force authorised by ROE begins. In order to ensure maximum interoperability, ROE for defensive use of force should be included. Because they intend to overcome TCN restrictions, and in order to avoid limitations being imposed on the use of force in self-defence, these ROE should always be approved.

Although it may extend to other series as well, this applies in particular to the ROE listed in the 33 Series marked with indicator "DEF".

These ROE include:

- a. The authorisation for the use of minimum force for the protection of units participating in or assisting NATO/NATO-led operations in theatre;
- b. The authorisation for the use of minimum force, up to and including deadly force, to protect Persons with Designated Special Status (PDSS);
- c. The authorisation for the use of minimum force, up to and including deadly force, to protect Property with Designated Special Status (PRDSS).

Slide	19.
Topic:	LO 2: The Relationship between Self-Defence and NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

MC 0362/2 concept of “PDSS” and “PRDSS”

- NATO ROE can authorise use of force to defend designated persons and property using MC 0362/2 concepts of PDSS and PRDSS

PDSS = Persons with Designated Special Status

PRDSS = Property with Designated Special Status

Suggested text for the instructors’ notes

Because some nations’ laws or policies on self-defence may not include the use of force to protect persons not belonging to NATO/NATO-led forces (e.g. civilian population) and property, and in order to ensure maximum interoperability, the commanders and staff must consider whether NATO ROE are required to allow such protection for mission accomplishment. In this case, commanders should include NATO ROE to ensure that NATO/NATO-led forces use force uniformly to defend the foregoing from attack or imminent attack.

The MC 0362/2 in this regard refers to “PDSS” or “PRDSS”. These concepts may be included for instance in the “DEF” ROE explained in the slide above, or in the attack ROE to define the categories of persons or property to be protected.

The persons or property designated as PDSS or PRDSS should be identified in a list accompanying the Operational Plan. PRDSS is usually assigned to mission essential military property or other objects such as water purification plants, electrical generators and communication towers.

Personnel must be aware that designation of special status requires NAC approval. This authority may be delegated.

Slide	20.
Topic:	LO 2: The Relationship between Self-Defence and NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Self-Defence and Commanders' Control of the Use of Force

- Commanders may give orders to control the use of force by individuals and units
- Subject to national law and policy, such orders may be able to control the exercise of the right of self-defence

Suggested text for the instructors' notes

Commanders need to ensure their troops understand their right to use force in self-defence as defined by their national law.

[NOTE TO INSTRUCTOR]

Present your nation's position on the relationship between self-defence and Commanders' control of the use of force.

Slide	21.
Topic:	LO 2: The Relationship between Self-Defence and NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Summary

- In NATO/NATO-led operations, actions in self-defence may differ according to national concepts
- Self-defence is a national concept that applies according to your national law (e.g. principle of necessity, proportionality etc.)
- NATO ROE helps assure the commanders of a combined force that force will be used uniformly

Suggested text for the instructors' notes

None.

Slide	22.
Topic:	LO 3: NATO ROE and the Use of Force
Suggested image on the slide:	

None.

Suggested text for the slide:

NATO ROE and the Use of Force
(Learning Objective 03)

Suggested text for the instructors' notes

The aim of this learning objective is to ensure that Personnel understand NATO ROE and the use of force as developed from the principles and concepts contained in MC 0362/2.

Slide	23.
Topic:	LO 3: NATO ROE and the Use of Force
Suggested image on the slide:	

None.

Suggested text for the slide:

Outline

- MC 0362/2 Principles on Use of Force
- NATO ROE in Different Types of Operations
- MC 0362/2 Concept of Use of “Minimum Force”
- MC 0362/2 Definition of “Attack” in the Context of NATO ROE Series 42
- MC 0362/2 Concepts of “Hostile Act (not constituting actual attack)” and “Hostile Intent (not constituting an imminent attack)”

Suggested text for the instructors’ notes

The main teaching points for this learning objective are:

- Be familiar with MC 0362/2 Principles on the Use of Force
- Understand the application of NATO ROE in different types of operations
- Understand the MC 0362/2 concepts of “minimum force” and “deadly force”
- Understand the MC 0362/2 definition of “attack” in the context of NATO ROE series 42
- Understand the MC 0362/2 concepts of “hostile act (not constituting actual attack)” and “hostile intent (not constituting an imminent attack)”

Slide	24.
Topic:	LO 3: NATO ROE and the Use of Force
Suggested image on the slide:	

None.

Suggested text for the slide:

MC 0362/2 Principles Concerning the Use of Force in Peacetime Operations and in Operations Prior to the Commencement of Armed Conflict

- Generally, effort should be made to control a situation without the use of force
- If possible, give warning and opportunity to withdraw or cease threatening actions
- With respect to mission accomplishment, the degree, intensity and duration of the force used must be no more than is strictly necessary and proportional to achieve the objective

Suggested text for the instructors' notes

NATO ROE for peacetime operations and in operations prior to the commencement of armed conflict consist of authorisations and restrictions a commander may use to direct, control and order the use of force to achieve an assigned mission, or to protect NATO-led or non-NATO forces and Personnel.

During periods of tension or crisis, violence, conflict or hostilities may erupt without amounting to an armed conflict.

Generally, NATO ROE in such circumstances will only permit the use of force in response to threats. Reasonable and prudent effort should be made to control a situation without the use of force. When time and conditions permit, the potential hostile forces should be warned and given the opportunity to withdraw or cease threatening actions.

With respect to mission accomplishment, the degree of force used must be no more than that strictly necessary and proportional to carry out duties and accomplish assigned objectives of the mission. Any force used must be limited to the degree, intensity, and duration strictly necessary and proportional to achieve the objective. NATO/NATO-led forces should generally not yield to any effort to impose interference upon its movements but should generally avoid action which may be perceived as provocative or aggressive.

Slide	25.
Topic:	LO 3: NATO ROE and the Use of Force
Suggested image on the slide:	

None.

Suggested text for the slide:

<p>Principles Concerning the Use of Force in Armed Conflict</p> <ul style="list-style-type: none"> • For operations entailing participation in armed conflict, the Law of Armed Conflict (LOAC) applies • Under LOAC, the main rules governing the use of force are based on the principles of distinction, proportionality, precaution, military necessity and humanity
--

Suggested text for the instructors' notes

Because any NATO ROE that violate the law of armed conflict are unlawful, it is important that Personnel are familiar with the law of armed conflict and any other legal regime that may be applicable. NATO ROE are self-imposed rules that must fall within the scope of the law of armed conflict.

[NOTE TO INSTRUCTOR]

Allied Joint Doctrine for Joint Targeting, AJP 3.9, provides information in the NATO procedures on the planning and conduct of operations involving kinetic and non- kinetic means.

See also Allied Training Publication-2, Law of Armed Conflict Training; STANAG 2449, Edition 2. (2019).

Slide	26.
Topic:	LO 3: NATO ROE and the Use of Force
Suggested image on the slide:	

None.

Suggested text for the slide:

NATO ROE in Peacetime Operations and Armed Conflict

- All use of force not in self-defence must be based on the authority to use force reflected in the NATO ROE.
- In peacetime operations, the ability to use force is constrained. NATO ROE will clarify the narrow circumstances for the use of force and other provocative actions, beyond self-defence.
- In armed conflict operations, NATO ROE will generally impose constraints or restrictions on the otherwise lawful use of force.
- Whether in peacetime or armed conflict, NATO ROE are a mixture of authorisations and limitations.

Suggested text for the instructors' notes

The use of force during NATO/NATO-led operations, other than in self-defence, will be based on the mandate and legal framework, and the authority to use force reflected in Annex E (ROE) to the OPLAN (MC 0362/2, Part III, para. 25). This means that if there is no NATO ROE allowing a certain use of force or other provocative action, that action is not permitted. In such circumstances, a commander may decide to request new NATO ROE. New NATO ROE must be authorised by the NAC.

In peacetime operations and before the commencement of armed conflict, the legal framework for the use of force other than in self-defence will vary depending on the operation, and NATO ROE will play an important role in setting out when force or other provocative actions may be used.

In an armed conflict, LOAC applies, and the effect of the ROE will generally be to impose limitations, restrictions, or clarifications (political or operational) on the otherwise lawful use of force, and ensure compliance with relevant law. Care must be taken to ensure that any ROE do not unduly restrict the commander's ability to effectively carry out the mission and obtain military advantage.

Regardless of the type of operation, NATO ROE consist of a mixture of authorisations and limitations.

Concerning the relationship between law and NATO ROE, see Learning Objective 01.

Slide	27.
Topic:	LO 3: NATO ROE and the Use of Force
Suggested image on the slide:	

Series 10-30	Series 33	Rules 421-426	Rules 427-429
Provocative actions and use of minimum force to accomplish designated tasks	Use of force in desig. ops. for defensive purposes and mission accomplishment	Attack against elements constituting a threat to NATO/NATO-led forces	Attack against forces declared hostile

Suggested text for the slide:

Differences in the Use of NATO ROE for Different Types of Operations

- For peacetime operations and operations prior to the commencement of armed conflict, NATO ROE will be drawn from Series 10, 20 and/or 30, and in some cases, Rules 421-426
- For armed conflict, NATO ROE will be drawn from all Series, including the entire 42-Series
- All use of force must be necessary and proportionate, but the application of these concepts depends on the classification of the operation and corresponding law

Suggested text for the instructor's note:

Peacetime operations and operations prior to the commencement of armed conflict will generally be conducted to limit or de-escalate the situation to avoid hostilities. In some cases, however, provocative measures may be authorised in order to determine strengths, capabilities and reactions of enemy forces and to defend NATO/NATO-led forces and operations in situations not covered by the right of self-defence.

Although the NAC and NATO commanders will continue to use the policies and procedures in this document to request, authorise, and implement required ROE after the commencement of armed conflict, the structure and content of ROE messages may differ substantially from those of other operations. For instance, the ROE may be fewer

and less detailed. Furthermore, persons and objects may be designated hostile in accordance with the law of armed conflict and attacked on the basis of this status. Rules 427-429 are used to authorise such attacks.

International law dictates that any use of force by NATO forces must be necessary and proportional; the application of these concepts will vary based upon national policies and be different in peacetime operations, operations outside of armed conflict and operations in armed conflict (MC 0362/2, Part III, para. 24).

Slide	28.
Topic:	LO 3: NATO ROE and the Use of Force
Suggested image on the slide:	

None.

Suggested text for the slide:

<p>NATO ROE Apply the Following Use of Force Concepts</p> <ul style="list-style-type: none"> • Use of Minimum Force not including deadly force • Use of Minimum Force up to and including deadly force • Attack <ul style="list-style-type: none"> ○ Attack in response to hostile intent (not constituting an imminent attack) ○ Attack in response to hostile act (not constituting actual attack) ○ Attack on lawful targets to include objects and persons declared hostile
--

Suggested text for the instructors' notes

Use of force is not agreed NATO terminology. For the purpose of MC 0362/2, use of force is defined as actions that are likely to cause death or injury, or to damage or destroy material or immaterial property. It may encompass a diverse array of defensive and offensive actions by military individuals/units based either on NAC authorised ROE or inherent right of self-defence. (MC 0362/2, Part III, para. 22-23.)

The use of force concepts found in MC 0362/2 are further explained in the following slides.

See also Learning Objective 02.

Slide	29.
Topic:	LO 3: NATO ROE and the Use of Force
Suggested image on the slide:	

None.

Suggested text for the slide:

<p>Use of Minimum Force Not Including Deadly Force</p> <ul style="list-style-type: none"> • For political or other reasons concerning mission accomplishment, the use of force may be limited to use of force not including deadly force • The term “minimum force” signals that the use of force must be limited to that which is absolutely necessary • If this strategic decision is made, for example, the following NATO ROE may be provided: <ul style="list-style-type: none"> Rule 332: “Use of minimum force not including deadly force to prevent the taking possession of or destruction of water facilities is authorised”

Suggested text for the instructors’ notes

NATO ROE are provided for mission accomplishment. In some situations, it may be appropriate to authorise the use of force not including deadly force, either for political or operational reasons, or because the use of deadly force would likely be unlawful in the circumstances prescribed by the ROE. If there is a decision to authorise the use of force not including deadly force, the rule will be drafted as shown in the example above.

The use of the term “Minimum Force” means that force escalation principles should be applied, and that the use of force, whether or not including deadly force, is always limited to that which is absolutely necessary.

[NOTE TO INSTRUCTOR]

Annex A of MC 0362/2 in each of its ROE series explains procedures to follow when the NATO ROE prohibits the use of deadly force in certain situations.

Slide	30.
Topic:	LO 3: NATO ROE and the Use of Force
Suggested image on the slide:	

None.

Suggested text for the slide:

Use of Minimum Force Up To and Including Deadly Force

- Previously, use of “minimum force” included, by definition, the authority to use up to and including “deadly force”.
- The inclusion of “minimum force” now signals that force escalation principles should be applied, and the degree of force use should be kept to a minimum. The ROE will specify whether deadly force is authorised.
- Deadly Force is defined as “force intended or likely to cause death, or serious injury resulting in death”.
- Example:
 - Rule 332: “Use of minimum force up to and including deadly force to prevent the taking of possession or destruction of radio tower is authorised”

Suggested text for the instructors’ notes

The use of the term “Minimum Force” means that force escalation principles should be applied, and that the use of force, whether or not including deadly force, is always limited to that which is absolutely necessary. As a result, the force used must be limited to the degree, intensity, and duration necessary to achieve the objective, within limitations provided by applicable international and national law.

The expression “Use of Minimum Force, up to and including deadly force” reflects the existence of a legal authority to use deadly force. Deadly force should be read to mean “force intended or likely to cause death, or serious injury resulting in death” (Annex F of MC 0362/2). Outside of an armed conflict, the use of the term ‘deadly force’ must always be understood as in last resort when strictly necessary and proportionate.

Slide	31.
Topic:	LO 3: NATO ROE and the Use of Force
Suggested image on the slide:	

None.

Suggested text for the slide:

Attack in the Context of NATO ROE Series 42

- Under NATO ROE Series 42, NATO/NATO-led forces and Personnel may be authorised to attack:
 - in response to hostile intent (not constituting an imminent attack)
 - in response to hostile act (not constituting actual attack)
 - on lawful targets to include objects and persons declared hostile

Suggested text for the instructors' notes

In the context of NATO ROE Series 42, the term “attack” is generally used to mean the use of force by NATO/NATO-led forces against DESIG persons, forces, or targets. Note, however, that when referred to as “actual attack” or “imminent attack,” “attack” means the use of force against NATO/NATO-led forces (or DESIG forces or personnel). These authorisations and controls are distinct from (and hence do not overrule or in any way effect) the definition of “attack” as that term is used concerning self-defence.

See Learning Objective 02 for the discussion of attack on NATO/NATO-led forces in the context of self-defence.

Slide	32.
Topic:	LO 3: NATO ROE and the Use of Force
Suggested image on the slide:	

None.

Suggested text for the slide:

<p>Hostile Intent (not constituting an imminent attack) and Hostile Act (not constituting actual attack)</p> <ul style="list-style-type: none"> • NATO ROE can authorise NATO/NATO-led forces to attack designated forces and individuals demonstrating hostile intent (not constituting an imminent attack) and designated forces and individuals who commit or directly contribute to a hostile act (not constituting actual attack) • In the case of actual and imminent attacks, force may be used in self-defence. • These ROE are formulated to exclude the regulation of self-defence and therefore require a different legal basis for the use of force authorised.
--

Suggested text for the instructors' notes

Rules 421 to 424 permit attack against designated forces or individuals who demonstrate hostile intent (HI) (not constituting an imminent attack) and designated forces and individuals who commit or directly contribute to a hostile act (HA) (not constituting actual attack) against NATO/NATO-led forces or designated forces or Personnel.

In case of actual or imminent attacks, use of force in self-defence is permitted and therefore not regulated by NATO ROE. "Imminent" means a condition that is manifest, instant and overwhelming; usually refers to a threat to which defensive action is immediately required (see Annex F of MC 0362/2).

Because the NATO hostile attack and hostile intent ROE authorise the use of force beyond situations amounting to an attack or threat of attack, self-defence cannot be the legal basis for the use of force under these ROE. See Annex A to Addendum 1 to MC 0362/2 (RESTRICTED) for further explanation.

Nations may need to issue guidance to their commanders to clarify the differences between national and NATO definitions of the terms “HA” and “HI” whenever Rules 421, 422, 423 and/or 424 are authorised. This is imperative where national concepts and usage are based on self-defence whilst the NATO concept contained herein is that of an offensive use of force based on ROE.

[NOTE TO INSTRUCTOR]

Use examples from your current national practice.

Slide	33.
Topic:	LO 3: NATO ROE and the Use of Force
Suggested image on the slide:	

None.

Suggested text for the slide:

Summary

- Except for use of force in self-defence, NATO ROE provide the sole authority on use of force to accomplish the mission in all NATO/NATO-led operations
- Current NATO ROE, whether in peacetime or armed conflict, are a mixture of authorisations and limitations
- MC 0362/2 provides different series of ROE on provocative actions, use of force for mission accomplishment and attack
- Personnel should be aware of MC 0362/2 key concepts and terminology for use of force in NATO/NATO-led operations:
 - “minimum force” and “deadly force”
 - “attack” in the context of NATO ROE series 42
 - “hostile act (not constituting actual attack)” and “hostile intent (not constituting an imminent attack)”

Suggested text for the instructors' notes

None.

Slide	34.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Developing NATO ROE
(Learning Objective 04)

Suggested text for the instructors' notes

The aim of this learning objective is to ensure that commanders and staff understand the procedures for developing, drafting, issuing and changing NATO ROE for a NATO/NATO-led operation.

Slide	35.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Outline

- NATO ROE as a commander's tool
- NATO authorities and commands responsible for developing NATO ROE
- Operations planning process; OPLAN & NATO ROE
- Factors and different considerations affecting development of NATO ROE
- NATO Standing ROE
- Drafting and promulgating NATO ROE
- Structure of Annex A to MC 0362/2 and example of ROE
- NATO ROE specific messages (ROEREQ, ROEAUTH, ROEIMPL)
- Dormant, spare, and retained ROE
- National Caveats, restrictions and limitations
- The commander's role in developing and applying NATO ROE
- Security Classification

Suggested text for the instructors' notes

The main teaching points for this learning objective are:

- Understand how NATO ROE functions as a command and control (C2) tool
- Recognise the interrelationships of the NATO authorities and commands responsible for developing NATO ROE
- Understand the operations planning process and relationship between OPLAN & NATO ROE
- Understand the NATO Standing ROE concept
- Distinguish the factors and considerations affecting the development of NATO ROE
- Know how NATO ROE are drafted and promulgated
- Have a general overview of Annex A to MC 0362/2 and understand structure of NATO ROE
- Understand specific messages format required to establish mission specific ROE
- Understand role of national caveats, restrictions and limitations
- Understand the commander's role in developing and applying NATO ROE
- Distinguish and understand the security classification of NATO ROE

Slide	36.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

NATO ROE as a Commander's Tool

- NATO ROE are a tool for command and control
- The use of force in NATO/NATO-led operations not in self-defence requires NATO ROE
- Commanders at all levels are responsible for the application of force by their subordinates and must therefore understand the implications of the development and application of NATO ROE
- Numerous and detailed ROE enables detailed command
- Mission command fits better with broader ROE
- The Commander's ability to control the use of force is also determined by other operational orders and procedures, as well as by the applicable legal framework

Suggested text for the instructors' notes

ROE are commonly viewed as a Commander's tool for command and control. ROE define the parameters for how and with which tools (ways and means) the subordinate commands should use force and other provocative measures to achieve the mission end-state (end).

There are different ways to use ROE to command and control military forces, and these should reflect the Commander's overall approach to military command. Command approaches can be roughly divided into two categories:

- Detailed command is a form of centralised command, where detailed orders such as ROE enable top level control of the execution of tasks. If the ROE are too detailed, they are at risk of becoming tactical orders and a tool for "tactical generals".
- Mission command is based on the principle that the Commander will decide what is to be achieved, but leaves to subordinate Commanders to decide how it should be done. If this approach is taken, the ROE are likely to be less explicit, but they should nonetheless be sufficiently detailed to provide subordinate Commanders with a clear image of their room for manoeuvre.

The use of ROE as a C2 tool is also influenced by the relationship between ROE and other sources of guidance and direction on the use of force in NATO operations. Such

sources may include Tactical Directives, SOPs, Restricted Target Lists (RTL), and No-Strike Lists (NSL).

Detailed and comprehensive ROE may mean that most of the use of force direction for the operation is provided in one place, making it easier to locate and apply. However, very detailed ROE can make it challenging to achieve the necessary consensus in the NAC. More general ROE, whereby the details are set out in SOPs, etc., can make it difficult to locate all use of force direction for an operation. The benefit is that documents such as SOPs may be within the authority of the Commander to change, leaving him or her greater discretion.

Commanders and their staff must be aware of which approach they adhere to and apply this coherently.

Slide	37.
Topic:	LO4: Developing NATO ROE
Suggested image on the slide:	



Suggested text for the instructors' notes

The North Atlantic Council (NAC) is the principal political decision-making body and oversees the political and military process relating to security issues affecting the whole Alliance.

These political decisions are influenced by UN Security Council Resolutions (UNSCRs), actions by other international organisations and the national perspectives of the member nations of the Alliance.

Suggested text for the slide:

Responsible Authorities and Commands

- NATO ROE Development is a cooperative political / military process
 - Driven bottom-up
 - Approved/ authorized top-down
- NAC authorises the goals of NATO/NATO-led operations
- SACEUR directs subordinate commands to provide their input on the ROE development

The NAC gives direction on the goals to be achieved during the NATO/NATO-led mission.

In the NATO ROE Development process, SACEUR, who directs Allied Command Operations (ACO), then directs subordinate commands to provide their input to the multi-phased NATO military staff process for NATO ROE Development.

Slide	38.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

<p>Operations Planning Process</p> <ul style="list-style-type: none"> • NATO ROE development is integral to Operations planning • The NATO Crisis Response System Manual is the key NATO publication guiding the operations planning at the Political Military level (NATO HQ) • MC 133/5 sets out the NATO Operations Planning Process • The Comprehensive Operations Planning Directive (COPD) lays down the process at military strategic through to the tactical level • NATO ROE are the result of a continuous and collaborative planning effort

Suggested text for the instructors' notes

The NATO Crisis Response System Manual (NCRSM), updated annually, depicts what happens at the political strategic level (NATO HQ) at each of the six phases of the crisis response planning process. The NCRSM holds a vast amount of information, such as alert states and Crisis Response Measures.

MC 133/5, the Operations Planning Process provides the policy for how the military instrument of power will go about planning, based on the NCRSM six phases.

The Comprehensive Operations Planning Directive (COPD) represents key NATO publication for operational planning, giving detailed guidance for the military strategic down to the tactical level.

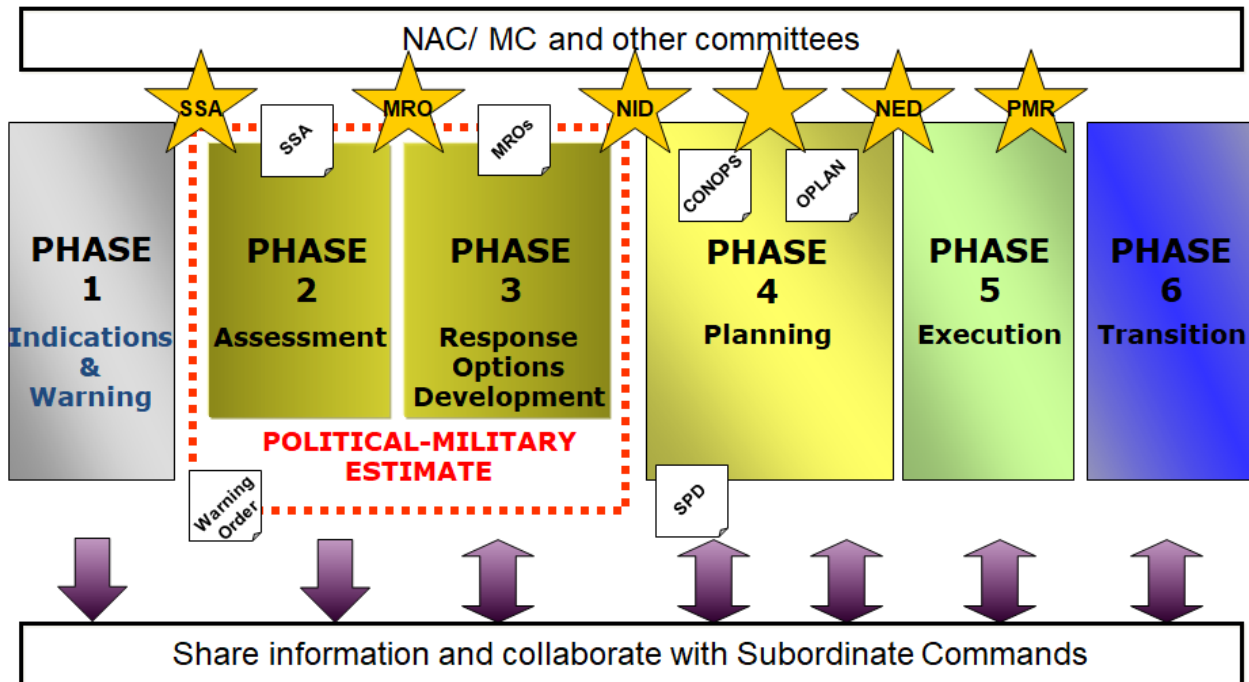
COPD outlines the procedures and responsibilities governing the preparation, approval, implementation, assessment and review of operations plans to ensure a common approach to operations planning.

It details the path of the Alliance operations planning process and it translates political direction into military operational reality.

Consideration of the application of the military instrument of power begins whenever the NAC is concerned about a developing situation. The creation of NATO ROE are the result of a continuous planning sequence that begins with the monitoring of a situation, the development of Military Response Options (MROs), Mission Analysis and Courses of

Action development, the formulation of the Concept of Operations (CONOPS) and concludes with the delivery of an approved OPLAN with Annex E providing the operational NATO ROE. NATO ROE are developed to meet the requirements of the Strategic Planning Directive issued by SACEUR.

Slide	39.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	



Suggested text for the slide:

None.

Suggested text for the instructors' notes
--

Here is the 6-Phase theoretical process matrix on 'how NATO works' in a crisis. In other words, it is the way in which indications and warnings, once accepted, launch a process whereby military and civil advice is married to political guidance through the committees' structure. This results in comprehensive and coordinated recommendations being provided for NAC decision-making.

In principle, NAC decisions are normally required to move the process from Phase to Phase, as indicated by the stars. However, acceleration of the earlier phases of the process is perfectly feasible when circumstances so require. This might include merging Phases 2 and 3 together in the interest of time and crisis management effectiveness.

The process comprises 6 Phases:

Phase 1 - indications and warning of a potential or actual crisis. This could also be based on external request for support (e.g. by the UN). In this phase, NAC will issue an initial NAC direction to provide an assessment on options and their implications for possible NATO involvement in a crisis.

Phase 2 - initiates the political military estimate (PME) process that could include an assessment of the developing crisis and of its potential or actual implications for Alliance security or interests by the NATO Military Authorities (NMA) and the Operations Policy Committee (OPC). This phase may include the initial development of a Comprehensive Strategic Political-Military Plan (CSPMP), as necessary.

Phase 3 - continues the PME process, including the further development by the OPC of a CSPMP as necessary. Based on the results of the PME process, the Council may select one of the response options by providing 'NAC Initiating Directive' (NID) to the NATO Military Authorities (NMA) to conduct operations planning for the chosen option.

Phase 4 – formal Planning as directed by the NID. In this phase, SACEUR's CONOPS and OPLAN would be provided through the MC, to NAC, including to consider executing the mission. The NAC will issue the NAC Execution Directive (NED), which gives SACEUR the green light to commence the operation.

Phase 5 - Execution of NAC decisions. The Periodic Mission Review reports on progress in achieving the desired outcomes

Phase 6 - Transition to theatre exit and cessation of NATO's role. Normally a new OPLAN is required for Phase 6

Slide	40.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

<p>NATO OPLAN & ROE</p> <ul style="list-style-type: none"> • For each operation, a strategic OPLAN (approved by the NAC) and an operational OPLAN (approved by SACEUR) are produced • The NATO ROE staffing and approval process may be independent from the staffing of an OPLAN, but it is always linked to it • Mission specific ROE are an integral part of the OPLAN and are designed to facilitate mission accomplishment • Authorisation to use force to accomplish the mission is contained in Annex E to OPLAN • When the OPLAN is put into effect it becomes an “Operation Order” (OPORD)

Suggested text for the instructors’ notes

An Operation Plan (OPLAN) is a “plan for a single or series of connected operations to be carried out simultaneously or in succession. It is the form of directive employed by higher authority to permit subordinate commanders to prepare supporting plans and orders. The designation "plan" is usually used instead of "order" in preparing for operations well in advance. An operation plan may be put into effect at a prescribed time, or on signal, and then becomes the operation order.”

An Operation Order (OPORD) is a “directive, usually formal, issued by a commander to subordinate commanders for the purpose of effecting the coordinated execution of an operation.” (AAP-06 NATO GLOSSARY OF TERMS AND DEFINITIONS, 2019)

The NATO ROE staffing and approval process may be independent from the staffing of an OPLAN, but it is always linked to the development or revision of the relevant OPLAN.

The NAC authorises NATO ROE and sends that authorisation to SACEUR. SACEUR then implements those NATO ROE by including them in the OPORD. It is only at that point that they are available to the commander for mission accomplishment.

As a product of the NATO operational planning process, NATO ROE are the responsibility of the operational staff. Subject matter experts will contribute: the legal advisor (LEGAD), political advisor (POLAD), gender advisor (GENAD), and civilian advisor (CIVAD).

Slide	41.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Key Areas for NATO ROE Development

- Concept of Operations (OPLAN Annex A)
- Task Organisation & Command Relationships (OPLAN Annex B)
- Forces, Missions and Tasks (OPLAN Annex C)
- Use of Force (OPLAN Annex E)
- Legal (OPLAN Annex AA)
- Targeting (OPLAN Annex II)

Suggested text for the instructors' notes

These are key areas where NATO ROE are addressed in the OPLAN.

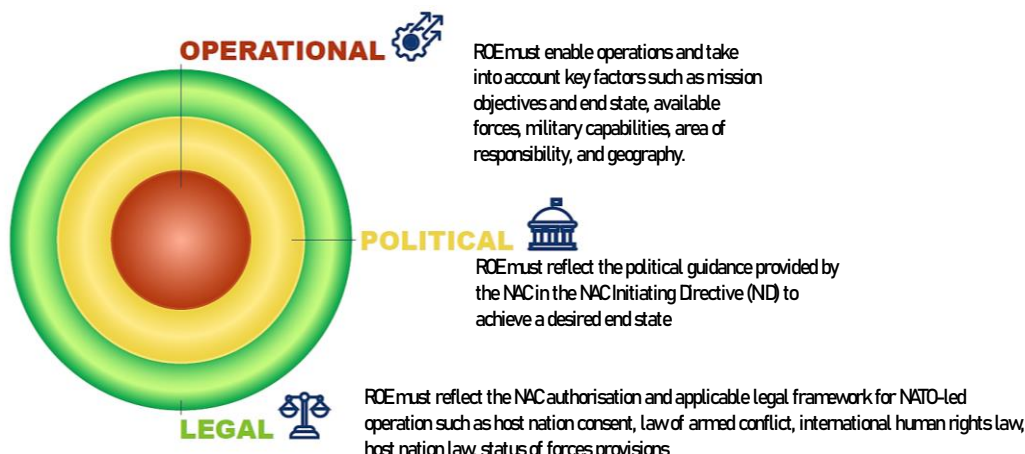
INFO OPS and PSYOPS, CIMIC, Force Protection are other areas that may be considered in developing NATO ROE.

Because the potential use of force is central to the military contribution to a comprehensive approach, the development of NATO ROE will be affected by the design of the entire OPLAN.

[NOTE TO INSTRUCTOR]

Dependent on the audience, attention may be invited to one or more of these annexes.

Slide	42.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	



Suggested text for the slide:

Factors Affecting development of NATO ROE

- Legal considerations
- Political considerations
- Operational considerations

Suggested text for the instructors' notes

The NAC provides SACEUR direction on the goals to be achieved when undertaking NATO/NATO-led operations.

The other complementary factors that influence the creation of NATO ROE are:

Legal considerations

The ROE developed must reflect the NAC authorisation and the applicable legal framework for the NATO/NATO-led operation (which may include a UNSC mandate, host nation consent, law of armed conflict, international human rights law, host nation law, status of forces provisions).

Political considerations:

The ROE developed must reflect the political guidance provided by the NAC in the NAC Initiating Directive (NID) to achieve a desired end state.

Operational considerations

The ROE developed must enable mission accomplishment by taking into account key factors such as mission objectives and end state, available forces, military capabilities, area of responsibility, and geography.

Slide	43.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

<p>Legal Considerations for NATO ROE Development</p> <ul style="list-style-type: none"> • The legal considerations for developing NATO ROE include: <ul style="list-style-type: none"> ○ the NAC authorisation to plan (NID) ○ the legal basis for initiating the operation (for instance, a UNSC mandate, Article 51 of the UN Charter, Host Nation Consent, or Customary International Law) ○ the law relevant for conducting the operation (for instance, if applicable: LOAC, international human rights law, law of the sea, environmental law, status of forces provisions, host nation law, space law)
--

Suggested text for the instructors' notes

This slide shows some of the issues that may be necessary to consider during NATO ROE development.

For example, the legal basis for initiating the NATO/NATO-led operation Unified Protector provided the authority to use “all necessary measures” but formulated a limitation on operations within the Libyan territories by stating “excluding a foreign occupation force of any form on any part of Libyan territory” (see UNSCR 1973). When authorising the operation, even though the mandate contained in UNSCR 1973 did not exclude ground elements, the NAC made a decision in the NAC Initiating Directive (NID) to have “no boots on the ground” during this air and maritime operation.

Host Nation Consent with the presence of NATO/NATO-led forces on its territory, usually captured in Host Nations Agreements, provides a legal framework for NATO to engage in operations to the extent agreed by the host nation. Operations based on Host Nation Consent may include, for example, security assistance operations, non-combatant evacuation operations (NEOs), disaster relief operations, or other humanitarian assistance. A practical example is Special Operations Forces (SOF) executing defined Military Assistance tasks to mentor and train HN Special Police.

Such operations may include participation throughout all phases of a specified police tasks, but usually under Host Nation jurisdiction and authorities.

The rules of Customary International Law have been developed as a result of state practice and their acceptance as law; they are legally binding on states. See STANAG 2449 ed. 2 on Training in LOAC.

The legal classification of the operation will place legal limitations on the development of the NATO ROE. This can result in restrictions or limitations of activities of the NATO/NATO-led force. For instance, the use of force permitted by NATO ROE will be different during peacetime operations and operations in armed conflict.

One issue to be aware of is the complex operations involving both armed conflict and law enforcement paradigms, because it may be challenging to conduct operations under both at the same time. It would therefore require relevant training and equipment of involved troops. The NATO ROE may have to cover both legal regime scenarios at the same time, e.g. use of tear gas as a riot control agent covering law enforcement tasks versus controlling that tear gas is not used as a means of war under the armed conflict part of the operation.

Slide	44.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Political Considerations for NATO ROE Development

- What are NATO's policy objectives and constraints?
- What are the policy objectives and constraints of Partner and Host Nations?
- What are the Political Policy Statement (PPS) and Political Policy Indicators (PPI)?

Suggested text for the instructors' notes

SACEUR makes recommendations on the PPS and PPIs to the North Atlantic Council during operational planning. Those developing NATO ROE must consider these questions when designing the Operation Plan.

After receiving SACEUR's recommendation, the NAC will provide guidance on its political policy in a PPS and PPIs.

The use of force framework will be guided by international law, NATO policy direction and, if applicable, national law. In addition to the considerations on the slide, the anticipated impact on civilians and civilian infrastructures, the sensitivity of the operation to collateral damage and the appropriate PPI may also affect the development of NATO ROE.

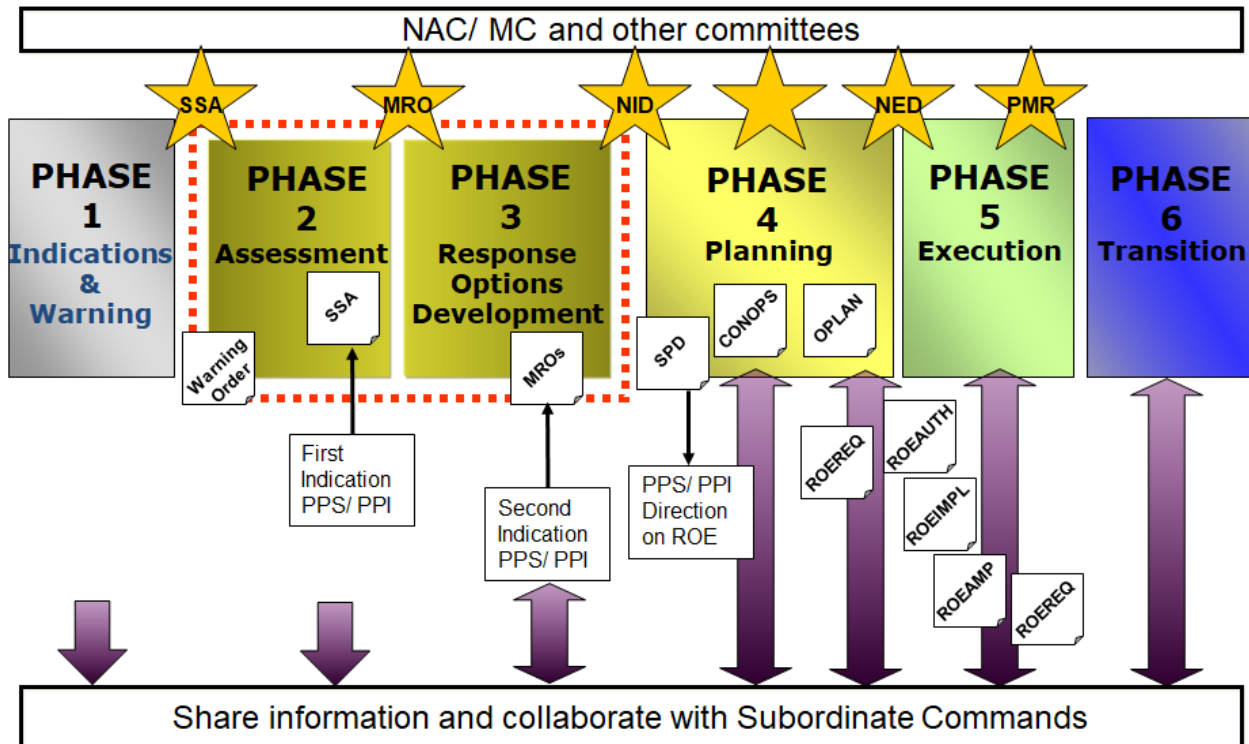
The aim of the NAC's PPS is to reflect the overall policy that will be incorporated into the authorised ROE and provide the proper context for the mission. PPS enables commanders to respond appropriately as the situation develops. For this reason, PPS may change as the mission objectives change.

The PPS will be complemented by PPI, which guide the interpretation and application of appropriate NATO ROE. The PPI clarify how the situation is expected to develop when the ROE are employed, that is, whether the situation should de-escalate, the situation should remain as it is, or whether escalation is acceptable. This will affect, for instance, the degree of force used to ensure mission accomplishment and the authorisation level of attack on designated hostile forces. Beyond the limits set by LOAC, this may also impose stricter limitations to the use of force when it is expected to cause collateral

damage, beyond the limits set by LOAC. The PPS and PPI will be stated in the NATO ROE (Annex E of the OPLAN).

Often during NATO operations, policy considerations may narrow the otherwise lawful use of force. For example, during Operation Unified Protector in Libya, the NAC invoked an “expectation of zero civilian casualties”. Consequently, no target was approved for engagement if there was the likelihood that there would be a single civilian casualty, even though the proposed strike may have met LOAC requirements of the principle of “proportionality.” In Afghanistan, in order to address domestic Afghan policy concerns, limitations were placed on the use of Close Air Support in civilian populated areas, the conduct of night raids, and detention.

Slide	45.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	



Suggested text for the slide:

None.

Suggested text for the instructors' notes

The most important question that SACEUR answers in the SACEUR's Strategic Assessment (SSA) is whether or not the use of the military instrument of power is appropriate for NATO in response to the situation at hand. Note that it is a "strategic assessment" and not necessarily a strategic military assessment. It may, therefore, be appropriate to make recommendations for the PPS or even the PPI. SACEUR needs to be assured that the Nations have the clearest information available in order to make informed decisions that could result in the commitment, and loss of resources.

The COPD only recommends provision of legal guidance in the Strategic Planning Directive (SPD). It will be up to the Head Planner (J5) whether or not to include indications of ROE at an earlier stage.

What this diagram depicts is building the PPS/ PPI from the SSA onwards, in order for Nations to be clear on what they will eventually receive in the ROEREQ. This way the ROEREQ should contain no surprises.

As such, when Military Response Options (MRO) are developed, they could differ in PPI, which again informs the nations on the decisions they will need to make.

Subordinate Commanders will provide comments on the MRO. It is important for them to provide a view on whether the proposed objectives for each MRO are achievable based upon the PPS/ PPI.

Slide	46.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Political Policy Indicators (PPI)

- **WHISKY – Peace time Posture management:**
 - Political/military strategy is to adapt the posture of NATO forces in peacetime to achieve the political aim.
 - NATO forces may either adopt a neutral posture (W1), or a defensive posture (W2), or an active posture (W3).
- **XRAY – De-escalation:**
 - Political/military strategy is to minimise NATO involvement in the crisis to that necessary to achieve the aim.
- **YANKEE – Maintain status quo:**
 - Political/military strategy is to use NATO forces to maintain current regional balance or return to previous status quo following destabilisation.
 - Significant use of force to support specific objectives may be authorised under PPI YANKEE.
- **ZULU – Risk of Escalation is Acceptable:**
 - Political/military strategy is to authorise the use of force to support achievement of the grand strategy including change of the status quo ante to generate a more favourable environment.
 - Implicit in the approval of PPI ZULU is political recognition that military action may lead to escalation of the crisis.

Suggested text for the instructors' notes

These PPI categories can be found in Part V, para 38 to 42 of the MC 0362/2.

PPI “WHISKY” applies to peacetime activities, while “XRAY”, “YANKEE” and “ZULU” apply to operations. From “W1” to “W3” and “XRAY” to “ZULU”, the level of response increases. The PPI may increase or decrease depending on the current situation or in accordance with planned phases.

Slide	47.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

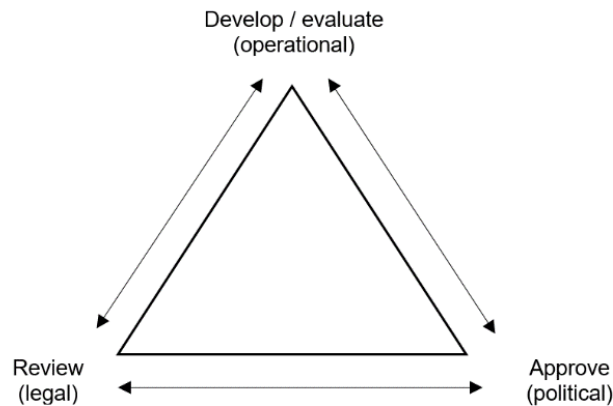
Suggested text for the slide:
<p>Operational Considerations for NATO ROE Development</p> <ul style="list-style-type: none"> • What is the operating environment, and what consequences can be drawn for the legal framework of the operation? • What are the forces and capabilities available? • What are the key military objectives to be fulfilled? • What are the identified effects to be delivered? What kind of legal arrangements/authorisations/ROE do that require?

Suggested text for the instructors' notes
--

These are examples of operational questions that drafters of NATO ROE should be asking when developing NATO ROE. Other examples are mission variables, enemy, terrain, weather, troop support available, civil considerations, etc. In order to produce the best possible ROE, operators, assisted by subject matter experts, take the lead in the ROE development process.

Understanding that SACEUR approves the Operational level plan and that subordinate commanders approve the plans of their subordinates, thorough scrutiny of ROE is essential at every level. Operational level commanders must assess if additional ROE are necessary for the Joint Operations Area, for the employment of assets assigned at the Joint Command level. Similarly, especially in the case of a strategic theatre of multiple Joint Operations Areas, is there a need for additional ROE for the employment of strategic assets?

Slide	48.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	



Suggested text for the slide:

Influence of each factor affecting development of NATO ROE

- NATO ROE drafting teams must understand the flow of this image
- Each of the factors influences the development of NATO ROE
- Each of the factors plays a distinct role in the development of NATO ROE
 - Operational force capabilities/considerations – DEVELOP/EVALUATE
 - Legal – REVIEW
 - Political - APPROVE

Suggested text for the instructors' notes

The NATO ROE process of development consists of three major phases. First, the different command levels develop or evaluate the ROE required, based on operational requirement. Then, the draft NATO ROE are subjected to legal review to ensure that they comply with applicable legal limitations before they finally are given political approval.

It is essential for drafting teams to be familiar with the legal and operational environment in which the NATO/NATO-led force will be operating and with NATO's political and strategic goals developed by the NAC for given NATO/NATO-led operation. Throughout the drafting process, operational planners and the chain of command must continuously review the NATO ROE to ensure that they are in compliance with NATO's objectives and that those NATO ROE are sufficiently flexible to permit the military to accomplish its mandated operations. If the NATO ROE do not properly support the mission, planners/commanders must request a change of NATO ROE through the chain of command.

Slide	49.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Identified Effects to be Delivered and Corresponding Development of ROE;
Examples of Questions to Be Answered When Developing NATO ROE

- Are there any geographical limitations?
- Are there any weapons that NATO does not want used?
- Who else may NATO Forces protect / defend? To what level of force?
- Is it permitted to defend property?
- Are kinetic operations permitted?
- Are information operations / cyber operations permitted?

Suggested text for the instructors' notes

NATO ROE generally reflect multiple elements, ranging from political guidance to operational and legal considerations for the specific mission.

These are examples of questions that may be asked when developing NATO ROE. For instance, the use of anti-personnel mines can be controversial as there are different views within NATO. Although for some NATO nations the laying of mines is not prohibited by law, it can be restricted in NATO ROE for political reasons. Similarly, national views may differ on questions relating to the protection of persons with designated status or protection of property of specific value or status.

Persons with designated status are certain groups of people that NATO/NATO-led forces are set to protect and NATO ROE might give further guidelines on what force to use in order to protect them. Moreover, the NATO ROE might give specific guidance to NATO/NATO-led forces regarding protection of property of specific value or status.

Slide	50.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

NATO Standing Rules of Engagement

- During peacetime, NATO/NATO-led forces may be involved in activities which are not operations with a NAC-approved OPLAN.
- In order to regulate posture management of NATO activities, SACEUR may be granted NATO standing ROE.
- The Standing ROE are used in conjunction with PPI WHISKEY.
- NATO standing ROE on posture management only apply to peacetime and therefore prohibit the use of force, except in self-defence.

Suggested text for the instructors' notes

(See MC 0362/2 Part VI, para 54-58.)

In order to allow SACEUR to properly regulate posture management of NATO activities without specific ROE, SACEUR can be granted standing authority to implement certain Posture Management ROE. These are designated as "NATO standing ROE".

NATO Standing ROE are identified by the indicator "(ST)" at the beginning of the rule. They are focused on behaviour and attitude of the units and individual military members of NATO forces in order to enable forces posture management by SACEUR. The standing ROE are used in conjunction with PPI WHISKEY and are normally set for a neutral (W1) or defensive (W2) posture, although the possibility for an active (W3) posture is not procedurally excluded.

Standing ROE are authorised by the NAC through an appropriate ROE Authorisation (ROEAUTH) message. At least annually, or whenever necessary (for example when a crisis occurs), SACEUR will request that the authorised standing ROE be renewed or revised through issuance of a ROEAUTH message.

Upon receipt of PPI guidance and the ROEAUTH message, SACEUR may thereafter implement the standing ROE, through a ROEIMPL message, keeping the NAC informed.

Standing ROE for NATO activities and declared NATO CRM's must be mutually consistent.

Because the NATO standing ROE on posture management only apply to peacetime, the use of force, except in self-defence, is prohibited.

Slide	51.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Drafting NATO ROE: Essential Considerations

- NATO ROE are developed through a bottom-up approach: tactical to operational to strategic, based on the guidance and parameters provided on the use of force in the SPD. In addition, the operational and strategic levels will need to consider ROE for their level-assigned assets
- Drafting NATO ROE is the responsibility of the operations staff, assisted by SMEs and following the Commander's intent
- NATO ROE must be clear, concise and unambiguous

Suggested text for the instructors' notes

After the assigned mission has been determined and all considerations (policy, operational and legal) have been assessed, the process of drafting NATO ROE can begin. The NATO ROE compendium, from which the drafters may choose, is provided in Annex A to MC 0362/2. They are organised in numbered series that may contain up to twelve rules.

The ROE templates listed in MC 0362/2 are only a menu of possible options with the clear need to develop operation-specific details. The specific circumstances of each operation may require requests for ROE not listed in this document. For the sake of training and interoperability, it is nonetheless recommended not to considerably alter existing rules or series, but rather to use spare rules or series where the existing ones are not appropriate or sufficient.

To the maximum extent possible, NATO ROE are developed for a joint environment. However, when it is necessary to limit the application of the NATO ROE to a specific component, that limitation will be made clear in the text of the NATO ROE.

Drafting the NATO ROE is the responsibility of the operations staffs (i.e. J3/J5) who must identify the ROE needed to carry out the operation in according to the various aspects of the OPLAN. Subject matter experts (SMEs) like political, legal, gender, and civilian advisors will assist with their expertise in order to ensure compliance with legal, political and other considerations.

When drafting NATO ROE, commanders shall ensure internal staff coherence and coordinated development of the NATO ROE with the development of the OPLAN already from the beginning.

Slide	52.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	



Suggested text for the slide:

Structure of Annex A to MC 0362/2

- NATO ROE exist in a pre-written catalogue of “Rules” (message forms) in a numeric order
- The “Rules” are grouped into four “Series”
- Every “Rule” is written either as a prohibition or authorisation

Suggested text for the instructors’ notes

The above image shows that individually numbered Rules can generally be organised into Series (categories). Rules are written as a series of prohibitions and authorisations (permissions) applicable to activities in a wide range of NATO/NATO- led operations.

When issued as prohibitions, the rules are orders to commanders not to take the designated action(s).

When issued as authorisations, they define the limits of the threat or use of force, or of actions which might be construed as provocative, that commanders may take to accomplish their mission. However, authorisation is not an order to take a specific action. It simply provides authority to use force up to a specified threshold should that level of force be required.

Note that there is no series for self-defence, as MC 0362/2 declares self-defence to be a right determined by the nations. NATO ROE are not required for use of force in self-defence.

Series 10, 20 and 30 consist of ROE series regulating “provocative measures” and the use of force for designated purposes such as boarding, seizure or detention. Provocative measures include actions such as positioning of forces, use of electronic countermeasures, and the conduct of simulated attacks.

Series 33 contains rules needed in designated operations for defensive purposes and mission accomplishment. The series include ROE marked “DEF” for defensive, which are ROE intended to compensate for national divergence with regard to protection of others and property and ensure maximum interoperability, particularly for force protection. These should always be approved (see slide 17 in Learning Objective 02).

Series 40 contain only Series 42 “Attack”. The rest of the 40 series are “spare”.

The NATO ROE from 421 to 426 are Rules on attack against elements constituting a threat to NATO/NATO-led forces. These rules help commander of NATO/NATO-led force to respond uniformly to threats (defensive NATO ROE).

The NATO ROE from 427 to 429 are Rules on Attacks of forces declared hostile and thus represent the offensive NATO ROE.

Slide	53.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Example of a Series/Rules from MC 0362/2: Annex A

11. RELATIVE POSITIONING OF OWN FORCES

Purpose: To apply relative positioning limitations on operations by NATO forces.

110. (ST) Positioning of DESIG NATO forces closer than DESIG range of DESIG forces is prohibited.

111. Positioning of DESIG NATO forces relative to DESIG forces is unrestricted.

112. - 119. Spare.

Suggested text for the instructors' notes

This is an example of ROE series from Annex A to MC 0362/2.

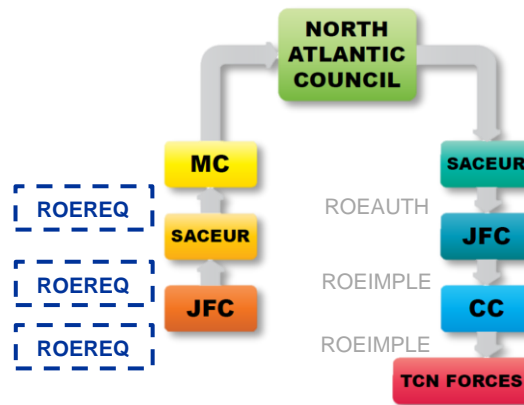
Where DESIG is used, the drafters must designate, for instance the vessels, aircraft, vehicles, persons, area or type of force as appropriate. This means they or the class of vehicle etc. must be identified.

Where 'SPARE' is used in NATO ROE series this means that if ROE drafters do not find a suitable measure in the catalogue provided they can draft and ask for approval of a new rule, as required.

Some rules have the indicator "(ST)" (standing rule) at the beginning of the rule, which highlights those ROE permanently authorised by the NAC and which may be implemented by SACEUR for each peacetime NATO/NATO-led activity, depending on the PPI (W1, W2 or W3) specified by the NAC for each activity.

When multiple rules with the same number are requested during an operation, the SC (SACEUR) will add consecutive letter suffixes (i.e., A, B, C . . . AA, BB, CC . . .) for each proposed rule.

Slide	54.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	



Suggested text for the slide:

The ROE Request – ROEREQ

- ROEREQ are the commander's tool for requesting initial or further authorisations for NATO ROE
- When requesting additional NATO ROE, it is done through ROEREQ message to a higher HQ
- The final ROEREQ will be reviewed by NAC

Suggested text for the instructors' notes

A full analysis of mission requirements must be undertaken before submitting the ROEREQ.

Based on the OPLAN, the mission and tasks, and the development of the situation, the SACEUR will consider the appropriate ROE to be implemented in support of mission accomplishment. SACEUR requests NATO ROE from the NAC via Military Committee through a ROE Request message (ROEREQ).

ROEREQ messages are used by:

- The SACEUR to seek authority through the MC from the NAC to implement, modify or cancel ROE.
- A commander to seek the implementation, modification, or cancellation of ROE by a superior commander.
- Commanders to request authority to implement ROE not listed in the compendium in Annex A to the MC 0362/2 (i.e., Spares).

The NAC will, based on Military Committee advice, authorise or deny all or part of the requested ROE and forward its decision to the SACEUR through a ROE Authorisation message (ROEAUTH) or a ROE Denial Message (ROEDENY). NATO ROE may be subsequently revised by the NAC based upon a new SACEUR ROEREQ.

When preparing ROEREQ, always follow MC 0362/2 and try to avoid restating strategy and doctrine, LOAC, tactics, and safety related restrictions.

Slide	55.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

ROEREQ Example

ROEREQ/131//

GENTEXT/1/ROETEXT/ROE ONE THREE ONE (131)/PHYSICALLY
OBSTRUCTING TO PREVENT BOARDING, DETENTION OR SEIZURE OF THE
DESIGNATED HIGH-VALUE UNIT(S) IS AUTHORISED//

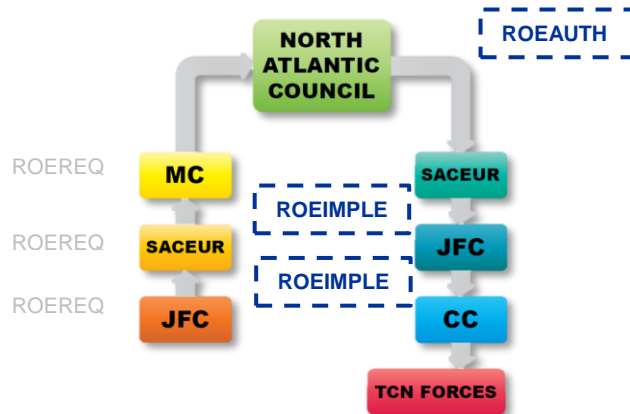
GENTEXT/2/JUSTIFICATION/REQUIRED TO ENABLE DE-ESCALATORY AND
DEFENSIVE ACTIONS TO PROTECT THE DESIGNATED HIGH-VALUE
UNIT(S)//

GENTEXT/3/RISK IF NOT APPROVED/INADEQUATE AUTHORITY TO
PROPERLY DE-ESCALATE SITUATIONS AND PROTECT THE DESIGNATED
HIGH-VALUE UNIT(S), WHICH MAY PREVENT MISSION ACCOMPLISHMENT
AND LEAD TO LOSS OF ALLIANCE CREDIBILITY//

Suggested text for the instructors' notes

This is an example of a requested ROE.

Slide	56.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	



Suggested text for the slide:

Process of promulgating NATO ROE

- Through “ROEAUTH” the NAC authorises those drafted ROE it considers appropriate for mission accomplishment
- SACEUR promulgates NATO ROE through ROE Implementation (ROEIMPL) messages
- ROEIMPL messages are sequenced and must be continuously promulgated
- The NAC may authorise a revision to NATO ROE based upon a “ROEREQ” from SACEUR

Suggested text for the instructors’ notes

Once the development of NATO ROE is finalised (based on OPLAN), the drafted NATO ROE are endorsed by Military Committee (MC) and then either authorised or denied by NAC through “ROEAUTH” messages. That NATO ROE that have been authorised by NAC are then contained in Annex E to OPLAN.

Based on the OPLAN, the mission and tasks and the development of the situation, the SACEUR will consider the appropriate NATO ROE to be implemented in support of mission accomplishment. This emphasises the need for the planners to fully scrutinise the final ROEREQ; it is their responsibility to advise SACEUR that the ROEREQ meets the requirement and that it can be approved for onward transmission to the NAC.

SACEUR will request NAC to approve those rules to be appropriate for the mission accomplishment via ROE Request message (ROERREQ). The NAC will then, based on advice from the Military Committee, authorise all or only part of the requested NATO ROE.

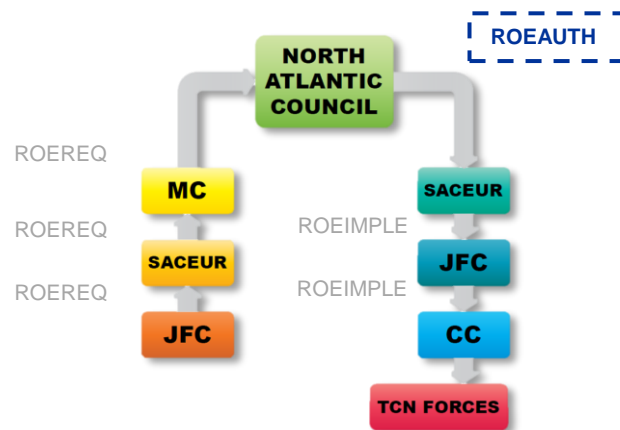
The authorised NATO ROE will then be implemented to each level of subordinate command by SACEUR through NATO ROE Implementation message (ROEIMPL).

When implementing NATO ROE, a commander must act within the NATO ROE authorised, but is not obliged to pass along to subordinates the full range of the authorised NATO ROE.

If the superior authority later withdraws or restricts NATO ROE previously implemented, commanders must immediately update their direction to subordinates to ensure compliance with the updated NATO ROE.

Even within implemented NATO ROE, it remains the commander's responsibility to ensure that forces use only that degree of force which is lawful under the circumstances.

Slide	57.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	



Suggested text for the slide:

ROEAUTH

- ROEAUTH messages are used by the NAC to authorise or to deny NATO ROE
- ROEAUTH messages must contain the entire text of each ROE serial being authorised
- Only authorised NATO ROE can be further implemented and used for mission accomplishment

Suggested text for the instructors' notes

NATO ROE are issued in ROE authorisation messages (ROEAUTH). NATO ROE will be listed in numerical order.

If a requested ROE is denied, ROEDENY will be placed at the start of the serial.

ROEAUTH will normally also contain general statements providing guidance on the implementation of the authorised ROE and may also address the political, diplomatic, and legal frameworks that support the mission.

It is essential that Operations staff at all levels (N/A/G/J3 and 35) are fully aware of what is authorised and what is denied, as this will have an impact on the authority to employ forces. A full military appreciation and reassessment will be required if the authorities and denials differ from what was submitted in the ROEREQ.

Slide	58.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

ROEAUTH Example

- If the ROE is approved, it will have the following format:

```
ROEAUTH/222//  
GENTEXT/ROETEXT/ROE TWO TWO TWO (222)/USE OF ALL  
ILLUMINANTS OR ILLUMINATION SYSTEMS IS AUTHORIZED//
```

Suggested text for the instructors' notes

This is an example of an authorised ROE serial. The ROEAUTH message will contain all ROE serials currently approved.

Slide	59.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Dormant NATO ROE

- Dormant ROE are NATO ROE that have been authorised by the NAC and implemented by SACEUR but which cannot be activated for use until the designated authority determines that specific triggering conditions are met.
- Dormant ROE allow the SACEUR to prepare plans, orders, training, and materiel to be used once the dormant ROE become operative

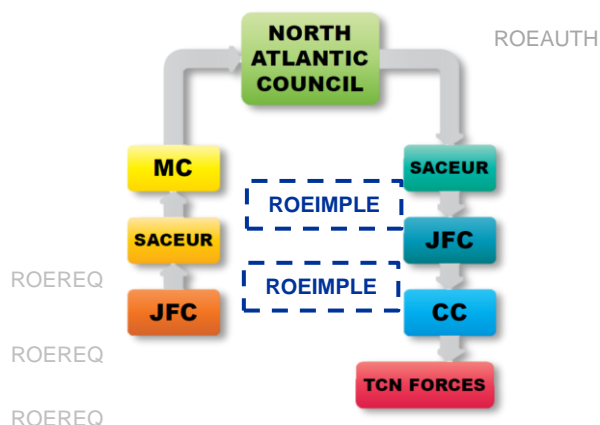
Suggested text for the instructors' notes

Dormant NATO ROE are authorised by the NAC but only implemented at a particular milestone. Such NATO ROE are useful in rapidly evolving operational environments and may, for instance, be part of a branch plan. The NAC must also take into account the naturally uncertain circumstances of military operations.

Therefore, a milestone that describes the circumstances under which a dormant ROE may be declared operative must be formulated in terms of detailed and objective criteria, including at what level the decision that the milestone is met should be made. The NAC may set an expiry date/event after which the dormant ROE may not be implemented. The operative date/event or contingent nature of this ROE must be clearly set out in all references to such dormant NATO ROE.

See Addendum 1 to MC 0362/2 (RESTRICTED) for further explanation.

Slide	60.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	



Suggested text for the slide:

ROEIMPL

- SACEUR promulgates NATO ROE through ROE implementation messages (ROEIMPL)
- Each ROEIMPL message will contain the entire text of every NATO ROE serial that is currently implemented for the operation

Suggested text for the instructors' notes

When implementing NATO ROE for forces, a commander must act within the authorised NATO ROE.

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

Slide	61.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

ROEIMPL Example

ROEIMPL/321B//
GENTEXT/ROETEXT/ROE THREE TWO ONE BRAVO (321B)/USE OF RIOT CONTROL AGENTS WHERE NECESSARY FOR PURPOSES OF MISSION EXECUTION IS AUTHORIZED, BUT ONLY WHERE SUCH USE IS NOT A METHOD OF WARFARE//
AMPN/USE OF RIOT CONTROL AGENTS MUST NOT VIOLATE THE 1993 CHEMICAL WEAPONS CONVENTION/ONE OF THE PERMITTED USES OF RIOT CONTROL AGENTS UNDER THE CHEMICAL WEAPONS CONVENTION IS LAW ENFORCEMENT INCLUDING DOMESTIC RIOT CONTROL PURPOSES//

Suggested text for the instructors' notes

This is an example of an implemented ROE serial. This example also contains amplification on how to apply the ROE serial [see slide 63 on ROE Amplification (AMPN)]. The ROEIMPL message will contain all ROE serials currently implemented.

Slide	62.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Retained NATO ROE - Implementation

- When implementing ROE for forces, a commander must act within the ROE authorised, but is not obliged to pass along to subordinates the full range of the authorised ROE

Suggested text for the instructors' notes

Commanders may either implement the whole mission specific ROE in force or they may narrow them to fit component-specific circumstances. However, they may not exceed the delegated authority.

Retained NATO ROE are not the same as Dormant ROE (see slide 59).

Slide	63.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

<p>ROE Amplification (AMPN)</p> <ul style="list-style-type: none">• AMPN is a clarification instruction contained within a ROEREQ, ROEAUTH or ROEIMPL message.• Clarification for any or all of the ROE may be included in amplification lines that follow each requested, authorised or implemented ROE serial.• The aim of the AMPN is to provide additional information.• Example: AMPN/THIS ROE IS NOT TO BE DELEGATED BELOW CC//
--

Suggested text for the instructors' notes

AMPN provide additional information and guidance with respect to one or more of the ROE measures that have been authorised.

See also slide 61 for another example of an AMPN.

Slide	64.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

National Caveats, Limitations on and Interpretations of NATO ROE

- While consensus will be reached to approve the NATO ROE, individual nations may declare caveats or impose restrictions on their application to reflect their national laws and policies
- Commanders and staff must also be aware that nations may have differing interpretations of NATO ROE
- Such limitations on and interpretations of NATO ROE may impact on the ability of national forces to perform assigned tasks

Suggested text for the instructor's note:

Caveats are defined as: "In NATO operations, any limitation, restriction or constraint of any nation on its military forces or civilian elements under NATO Command and Control or otherwise available to NATO, that does not permit NATO commanders to deploy or employ these assets fully in line with approved OPLAN.

Note: A caveat may apply inter alia to freedom of movement within the joint operations area and/or to compliance with the approved ROE."

NATO Glossary of Terms and Definitions, AAP-06 Edition 2019.

National caveats are a doctrinally accepted way of stating anticipated nations' limitations on the employment of their national forces. National caveats are raised by nations because they confer operational control over national contingents to the NATO Commander. Such caveats should be conveyed to NATO in advance of operations. It is usually done through a Transfer of Authority message.

If national interpretations or policies are more restrictive than those of NATO ROE, the affected forces must comply with their national constraints. If the national interpretations permit more aggressive action than NATO intends, the NATO limitations apply.

It is essential that Operations staff (N/A/G/J3 and 35) are fully aware of caveats, as this will have an impact on the employment of forces. A full military appreciation and reassessment will be required in order for Commanders to be aware of limitations or interpretations affecting forces under their command, and to take this into consideration when planning for the use of those forces.

A nation may raise additional restrictions during deployment of its forces. These restrictions are unanticipated and thus not characterised as caveats. This is done using a so called "Red Card." The Red Card Holder is assigned specific authority by its own nation on the use of national assets. A Red Card Holder is usually established when sensitive means of combat are deployed (e.g. attack helicopters or fighter planes) in area of operations. The Red Card Holder has formal authority to deny the use of national assets to perform a specific mission assigned to that national contingent by the NATO commander.

Slide	65.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Reasons to raise National Caveats

- Legal requirements of nations
 - Constitutional constraints on use of military force
 - National parliamentary authorisation on involvement in a mission
 - International law/Treaty obligations
- Political and policy interests
- Overlap/Gaps between NATO mandate and other coalition operations
- Language, cultural and terminology differences

Suggested text for the instructors' notes

A nation may have various reasons to raise national caveats to NATO ROE. They may be either legal, political or others, such as cultural. When raising a national caveat, the nation notifies SACEUR of the restrictions placed on its forces.

Slide	66.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

<p>Commander's Role in Implementing ROE</p> <ul style="list-style-type: none"> • Commanders must review and understand NATO ROE issued to them • Commanders should ask: <ul style="list-style-type: none"> • Do I have the NATO ROE that I need to: <ul style="list-style-type: none"> – Do what I need to do to accomplish my mission? – Go where I need to go? – Protect those I need to protect? • Which of the NATO ROE do I have to push down to my subordinates? • Are retained ROE held at the right level? • Are ROE in line with applicable law in the area of operations? • Do I need to submit a ROEREQ?

Suggested text for the instructors' notes

Commanders have the responsibility to ensure that the NATO ROE provided are suitable for their mission.

NATO ROE should be continuously reviewed by commanders to ensure that they are clear and lawful, that they are sufficient to address the requirements of the mission, and that they provide commanders with the necessary powers to deal effectively with the threat. If not, commanders must request further authorisations via a ROEREQ.

Commanders may always use less force than is permitted by the NATO ROE when appropriate. Commanders may never permit any action that will exceed the use of force provisions laid out in the applicable ROE.

Slide	67.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

<p>NATO ROE Can Be Changed</p> <ul style="list-style-type: none"> • NATO ROE should be constantly reviewed for correspondence with political direction and proper support for the Commander’s mission • NATO ROE may be altered: <ul style="list-style-type: none"> • If the situation so requires • If it does not support policy • If it jeopardises or does not properly support military operations

Suggested text for the instructors’ notes

The NATO ROE system is designed to be flexible. It includes a process for constant review and amendment to correspond to emerging situations.

The NATO ROE should be changed, for example, when the mission changes, the threat changes, the unit is assigned with new tasks, force capabilities change, or commanders do not believe they have the right NATO ROE for the mission. For instance, NATO forces may, upon the request from the Host Nation, get involved in law enforcement activities that were not initially planned. In such circumstances, Commanders should request new ROE authorising and regulating the use of force and other provocative measures in law enforcement activities.

Requests for new ROE must be approved by NAC, which means that the process may be very time consuming. Furthermore, those developing the ROE would have been of the opinion that the existing ROE are the most appropriate for the missions. Therefore, a request for new ROE is most likely to succeed if it can be demonstrated that there is a situation that the planners had not foreseen and that the current ROE do not fit.

Slide	68.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Commanders' Role in Developing and Applying NATO ROE

- Commanders must understand how NATO ROE affect their ability to accomplish the mission and ensure force protection
- Commanders must understand how the Political Policy Statement (PPS) and Political Policy Indicators (PPI) affect the application of NATO ROE
- In cases where modification or clarification is required, the commander must request action and guidance from higher command

Suggested text for the instructors' notes

Commanders have a central role in the dynamic process of NATO ROE development, application, review and modification. Commanders have a responsibility to request clarification as well as modification when necessary to achieve mission accomplishment.

This specific role is guaranteed via the staff mechanisms that interface the Commander's intent with the functions in charge of enabling this intent (J5, J2-J-35/POLAD/SMEs) for the Commander. The result of this process is to provide the CDR explanations on these responsibilities by the J5-J35, supported by the advice of the LEGAD - and the POLAD if needed.

Commanders should be aware of PPS and PPI that may be contained in NATO ROE. See Slides 44-46 of this Learning Objective O4.

As commanders are responsible for providing Force Protection within their operational areas, they must constantly assess whether the authorised and implemented NATO ROE provide them with a sufficiently available range of force protection measures.

Force Protection is defined as a "set of measures and means to minimise the vulnerability of personnel, facilities, equipment, materiel, operations and activities from threats and hazards in order to preserve freedom of action and operational effectiveness thereby contributing to mission success."

For more information, see Allied Joint Doctrine for Force Protection (AJP-3.14) (April 2015).

Slide	69.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

<p>Security Classification</p> <ul style="list-style-type: none">• Security classification of the mission specific ROE for an operation will be determined by the NAC, taking into account the prevailing political and operational circumstances• ROE Messages (ROERREQ, ROEAUTH, ROEIMPL) will ordinarily take on the same security classification as the OPLAN
--

Suggested text for the instructors' notes

Any amendment to the security classification of the NATO ROE necessary because of its release will be authorised by the NAC at the same time.

Slide	70.
Topic:	LO 4: Developing NATO ROE
Suggested image on the slide:	

None.

Suggested text for the slide:

Summary

- NATO ROE are the means by which the NAC gives authority for the conduct of NATO/NATO-led operations
- ROE must comply with the legal framework(s) applicable in the area of operations
- NATO ROE are the product of the NATO operations planning process
- NATO ROE are found in Annex E to the OPLAN
- Drafting NATO ROE is the responsibility of the operations staff
- NATO ROE are a commander's tool and responsibility

Suggested text for the instructors' notes

None.

ANNEX C NATO ROE TRAINING EXERCISE SCENARIO

C.1. PURPOSE

This Annex C provides an outline of a training exercise in NATO ROE. A training exercise should be used to train commanders and staff as well as to fulfil the unit level training identified in Annex D. Nations should adjust the training exercise to their national policies and needs for training in NATO ROE.

C.2 CONTENT OF THE TRAINING EXERCISE

The scenario depicted in this exercise provides background about a situation involving several nations. The training package contains the following documents:

- a. A geographical map
- b. The historical background of the situation
- c. The UN Security Council Resolutions
- d. The NAC Initiating Directive
- e. The Concept of Operations (CONOPS)
- f. The ROE annex to the NATO Operation Plan (OPLAN)

The map, historical background and CONOPS will allow the audience to have a general understanding of the scenario. The audience will be aware of the location, timelines, the actors, and the intention of the commander on how he or she will address the situation. The training audience will also gain a general understanding of the political factors influencing the situation through the UN Security Council Resolutions. The CONOPS describes in detail the objectives, means and methods the commander intends to utilise to meet those objectives.

C.3 HOW TO USE THE TRAINING EXERCISE

- a. For Training of Commanders and Staff

This training exercise may be used to train commanders and staff who are responsible for developing NATO ROE as part of the operational planning process. For a description of the ROE Development process, see Learning Objective 04 in Annex B. The training audience is required to develop the ROE necessary for the operation described in the CONOPS. The intention of this exercise is for the training audience to plan at the strategic and operational level while recognising the tactical implications of their decisions.

In this exercise, the CONOPS is given. In this CONOPS, the general outline of the conflict and the general objectives of the operation are depicted. The audience is required to draft a ROE annex for an OPLAN based on the information given (the map, historical background, UNSCR and CONOPS).

The training audience needs to consider a variety of issues, such as the constraints given by the UNSCR and how they will affect the development of NATO ROE. The commander's intent plays a vital role in developing the ROE. It is also important to consider the situation and the applicable legal framework in which the operation takes place (see Annex B and its Learning Objective 03 slides 24 – 27). These considerations will affect the development of NATO ROE. This includes any Political Policy Indicators (PPI) that may apply (see Annex B and its Learning Objective 04 slides 44 – 46). The objective is that the training audience is able to understand the process for developing NATO ROE.

b. For Unit Level Training

This exercise may also be used for unit level training. The training audience is provided an ROE matrix developed from the OPLAN and will use it to apply NATO ROE in a series of training vignettes that may arise during the conduct of the NATO operation.

The training is focused on the practical application of the NATO ROE. The training audience does not need to develop the ROE; rather it needs to apply the ROE in the training vignettes. The intention is to train Personnel on the concepts and principles listed in Para 2 in Annex D.

ANNEX D UNIT LEVEL NATO ROE TRAINING GUIDANCE

D.1. INTRODUCTION

This Annex D provides recommendations to nations on conducting unit level training on NATO ROE.

Unit Level training means collective training. The aim of such training is to prepare teams, units and other elements to perform military tasks in accordance with defined doctrine standards.

In order to achieve the standard for training on NATO ROE and to enhance understanding of MC 0362/2, nations are invited to adopt these recommendations when conducting training on NATO ROE.

NATO ROE training remains a national responsibility. The responsibility to train staff assigned to NATO headquarters (HQ) remains with the respective HQ. Due to the changing nature of NATO operations, it has become increasingly important that nations ensure that their Personnel are properly trained in NATO ROE prior to deployment. Personnel should receive appropriate generic training and mission specific instruction on ROE, in a manner chosen by each nation, regardless of their role.

Training on NATO ROE should include a variety of possible missions in which NATO forces may be involved. NATO forces must be capable of operating across the spectrum of operations.

This annex offers recommendations on how nations may prepare and conduct NATO ROE training. It recommends NATO standards that nations should accomplish when conducting their training. Best practices and techniques that nations may use are also provided.

D.2. PURPOSE OF UNIT LEVEL TRAINING

After receiving NATO ROE training, Personnel should possess an understanding of the following information:

- Why all NATO operations will have NATO ROE;
- NATO ROE for all NATO operations will consist of a mixture of authorisations and restrictions, and, with the exception of self-defence, will provide the sole authority to NATO forces to use force;
- Any use of force, under ROE or in self-defence, must comply with applicable national and international law;

- NATO ROE use of force principles;
- NATO concepts of “hostile act (not constituting actual attack)” and “hostile intent (not constituting an imminent attack)”;
- NATO concept of “extended self-defence” as defined in MC 0362/2 Part II;
- That the concept of individual and unit self-defence may differ in each NATION and the relationship between ROE and self-defence is essential to understand; and
- The difference between use of minimum force and use of non-deadly force and the circumstances under which each level of force may be used.

D.3. TRAINING AND EVALUATION

In development of their NATO ROE training programmes nations are encouraged to use following training processes:

- a. **Analysis:** Analysis of missions and the requirements to support these missions;

Nations should utilise the Lessons Learned from recent NATO operations, and exercises when planning their training programme.

- b. **Design:** Design all aspects of training to ensure that training objectives are met;

Training on NATO ROE should be conducted at all levels, with special emphasis at the operational and tactical level.

Nations should ensure that both general and mission specific training in ROE are provided. Generic training on NATO ROE is a fundamental building block to prepare Personnel for mission specific ROE training. Nations should be aware that mission specific training is essential so that Personnel are familiar with the use of force authorisations and limitations that will apply to a given NATO operation. It is the responsibility of commanders to ensure that Personnel deploying on a mission are trained, understanding that in situations of short notice the ability to train in NATO ROE may be limited. Furthermore, the training conducted should correspond to possible mission scenarios.

- c. **Development:** Development of the course, staff, material and apparatus;

Nations should refer to Annex B to AtrainP-2 when developing their ROE training package/programme. Scenarios should match the conflict paradigm. NATO ROE used for training should correspond to the training scenario.

In addition, ROE cards for Personnel may be developed. However, these cards should not be a restatement of the OPLAN or OPORD. Their primary function should be to advise Personnel on the situations they may use force.

- d. **Conduct:** Execution of the training;

Personnel should be briefed on the exercise of NATO ROE as if they were participating in a real mission. In all training scenarios NATO ROE that are used should be similar in nature and scope to those NATO ROE that would be used in an actual mission of that type.

It is desirable that members of the operations, planning, training or legal staff with NATO ROE expertise are present during the execution of the training to ensure proper application of NATO ROE and note any violations. These violations should be addressed and corrected in a timely manner.

- e. **Evaluation:** The assessment whether the training has achieved the learning objectives in the most effective and efficient way;

Nations should conduct Lessons Learned functions, such as an After Action Review (AAR), to identify weaknesses or shortfalls.

- f. **Validation:** To evaluate if the training conducted actually met the operational requirements.

Nations should use the Lessons Learned to correct or modify their training when appropriate.

Further references:

- Bi-SC 75-2, Education & Training Directive
- MC 458/2, NATO Education, Training, Exercise and Evaluation (ETEE) Policy (Final)

INTENTIONALLY BLANK

ANNEX E GLOSSARY OF ABBREVIATIONS AND REFERENCE LIST

This Annex E presents:

1. Glossary of Abbreviations used throughout the ATrainP-4 and its Annexes A - D;
2. Reference list of NATO Doctrine related to development and training in NATO ROE in ATrainP-4 and its Annexes A-D.

E.1. GLOSSARY OF ABBREVIATIONS

AAR	After Action Review
ACO	Allied Command Operations
AJP	Allied Joint Publication
AMPN	Amplification
CC	Component Command(er)
CIMIC	Civil Military Cooperation
CIVAD	Civil Adviser
CONOPS	Concept of Operations
COPD	Comprehensive Operations Planning Directive
CRP	Crisis Response Planning
DESIG	Designated
GENAD	Gender Adviser
GENTEXT	General Text
INFO OPS	Information Operations
JFC	Joint Force Command
JWC	Joint Warfare Centre
LEGAD	Legal Adviser
LOAC	Law of Armed Conflict
MC	Military Committee
NAC	North Atlantic Council
NATO	North Atlantic Treaty Organization
NCRSM	NATO Crisis Response System Manual
NEO	Non-combatant Evacuation Operations
NID	NAC Initiating Directive
OPLAN	Operation Plan
OPORD	Operation Order
OPP	Operations Planning Process
PDSS	Persons with Designated Special Status
POLAD	Political Adviser
PPI	Political Policy Indicator(s)
PPS	Political Policy Statement
PRDSS	Property with Designated Special Status
PSYOPS	Psychological Operation
ROE	Rule(s) of Engagement
ROEAUTH	ROE Authorisation

ROEDENY	ROE Denial
ROEIMPL	ROE Implementation
ROEREQ	ROE Request
ROESUM	ROE Summary
SACEUR	Supreme Allied Commander Europe
SC	Strategic Commander (SACEUR)
SHAPE	Supreme Headquarters Allied Powers in Europe
SOF	Special Operation Forces
UN	United Nations
UNSC	United Nations Security Council
UNSCR	United Nations Security Council Resolution

E.2. REFERENCE LIST OF NATO DOCTRINE RELATED TO DEVELOPMENT AND TRAINING IN NATO ROE

This reference list represents a non-exhaustive list of NATO directives and policies that should be taken into account when developing and training on NATO ROE. Many of these documents will also be relevant during mission execution. NATO ROE must be read in conjunction with related NATO policies, directives, doctrines and other publications such as:

- MC 0362/2 NATO Rules of Engagement
- STANAG 2528, Allied Joint Doctrine for Force Protection AJP-3.14
- STANAG 2285, Allied Tactical Doctrine for Land Targeting AJP-3.9.2
- STANAG 2181, Allied Joint Doctrine for the Military Contribution to Peace Support AJP-3.4.1
- Bi-SC Directive 15-23 Policy on Legal Support
- Bi-SC Directive 40-1 Integrating UNSCR 1325 and Gender Perspective into the NATO Command Structure
- MCM-0016-2012 Children and Armed Conflict
- Bi-SC 80-3 Reporting Directive, Volume III, Operations and Situations Reports (for message formats, chapters 20-22)
- Bi-SC 75-2, Education & Training Directive, 2 October 2013
- MC 458/2, NATO Education, Training, Exercise and Evaluation (ETEE) Policy (Final),
- ACO Directive 80-70 Joint Targeting in ACO
- ACO Manual 80-70 Tactics, Techniques and Procedures to Prosecute Time Sensitive Targets
- Comprehensive Operations Planning Directive – (Current Version)
- AAP 6, NATO Glossary of Terms and Definitions

INTENTIONALLY BLANK

ATrainP-4(B)(1)