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SADC MPSO 1

**INTER-STATE DEFENCE
AND SECURITY COMMITTEE**

INSTRUCTIONS FOR OFFICERS COMMANDING ON THE CONDUCT OF MARITIME PEACE SUPPORT OPERATIONS

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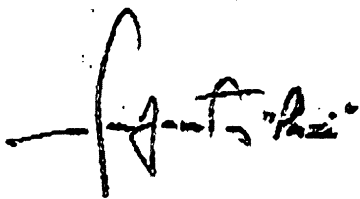
INSTRUCTIONS FOR OFFICERS COMMANDING ON THE CONDUCT OF MARITIME PEACE SUPPORT OPERATIONS

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(F.A. DOS SANTOS)
CHAIRMAN: STANDING MARITIME COMMITTEE OF THE ISDSC: ADMIRAL

June 2002

PREFACE

1. Purpose

- a. It has been agreed by the Organisation of African Unity (OAU) and the Southern African Development Community (SADC) that a sub-regional conflict prevention mechanism should be established. For this purpose, the Inter-State Defence and Security Committee (ISDSC) was established by the member countries of SADC.
- b. The purpose of this publication is to provide a common doctrine for the Multi-National Maritime forces of SADC, when engaging in such Peace Support Operations (PSOs) as specified in chapters VI, VII and VIII of the United Nations Charter.
- c. Doctrine has been defined as the fundamental principles by which military forces guide their actions in support of objectives. It is important to note, however, that although doctrine is authoritative, it still requires judgement in its application. As all doctrine is dynamic this publication will continue to be revised as more operational experience is gained.
- d. This publication is therefore not intended to be prescriptive but is aimed to serve as an aide memoire to the Officer Commanding of SADC maritime forces involved in the execution of PSOs. It will, however, still require further reading/consultation with relevant experts on the unique nature of any specific Peace Support Operation embarked upon.
- e. This publication was successfully used during Exercise BLUE CRANE and it is hoped that it will form part of a PSO pack carried by all SADC warships deployed in future Peace Support Operations.

2. Scope

This publication is divided into seven chapters to facilitate easy reading and quick reference: *Chapter 1* - Overview of Peace Support Operations; *Chapter 2* - Command and Control; *Chapter 3* - Planning and Preparation for Peace Support Operations; *Chapter 4* - Encountering Vessels at Sea; *Chapter 5* - Legal Aspects of Peace Support Operations; *Chapter 6* - Logistics and *Chapter 7* - Human Resources. The Appendices include examples of the UN Mandate, a Status of Forces Agreement, Typical UN PSO Organisation, Hailing Procedures and a list of relevant publications that should be carried on board warships deployed for Peace Support Operations.

3. Acknowledgements

The following documents and publications were used in compiling this publication:

- a. White Paper on South African Participation in International Peace Missions.
- b. International Rules of Warfare and Command Responsibility presented at an ICRC Seminar.
- c. The United Nations Charter.
- d. Draft of the SANDF Joint Warfare Publication 106 Part 2 Peace Support Operations.
- e. Paper on Men of War for Missions of Peace by Cdr D.L.W Sim (RN).
- f. Paper by Centre for Naval Analyses on Blue Hulls : Multinational Naval Co-operation and the United Nations.
- g. UN Peace Support Operations : A Manual.
- h. SANDF Participation in United Nations Peace Support Operations (Draft Directive Dec 94).
- i. Bi-MNC Directive for NATO Doctrine for Peace Support Operations.
- j. Joint Pub 3-07.3 Joint Tactics, Techniques, and Procedures for Peacekeeping Operations.
- k. SAN Staff Paper for CTG on Peacekeeping Operations and the Role of the SAN.
- l. The British armed forces Joint Warfare Publication 3-50 - Peace Support Operations.
- m. The British armed forces Joint Warfare Publication 0-01 - British Defence Doctrine.
- n. EXTAC 1011 Humanitarian Operations.
- o. Multinational Maritime Operations Manual (MMOps).
- p. The Geneva Conventions of 12 August 1949.

- q. Protocols Additional to The Geneva Conventions of 12 August 1949.
- r. Essentials of the Law of War.
- s. International Law concerning the Conduct of Hostilities.
- t. Handbook on the Law of War for Armed Conflict
- u. Humanitarian Law in Armed Conflicts.
- v. The Commander=s Handbook on the Law of Naval Operations.
- w. International Law concerning the Conduct of Hostilities - Collection of Hague Conventions and some other International Instruments.
- x. CFCD 108 Canadian Naval Boarding Operations Manual.
- y. BR 2070 Boarding Officers Pack.
- z. Memorandum of Understanding between SADC and UNHCR.
- aa. Protecting Refugees: questions and answers by UNHCR.
- ab. Inputs from all International Observers and SADC participants during Exercise BLUE CRANE.

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CHAPTER 1

OVERVIEW OF PEACE SUPPORT OPERATIONS

101 Introduction

1. The United Nations (UN) was established in the shadow of two major world conflicts within the space of 25 years. The failure of the League of Nations to avert the second of these world wars led to the formulation of the UN Charter, signed on 26 June 1945, propounding in strong unambiguous language the need for the maintenance of international peace and security by the regulation of force in the conduct of international relations.
2. Over the years the UN has developed its peacekeeping doctrine. At the height of the rivalry between East and West, there still existed a common interest amongst the UN members to contain conflicts and prevent them from escalating into direct superpower confrontation; to manage the Cold War rivalries related to the de-colonisation process; and in some cases to enable governments that had enmeshed their forces in untenable situations beyond their borders to withdraw them without loss of prestige. The goals of peacekeeping during this period were limited: to effect and maintain cease-fires and stabilise situations on the ground, so that efforts could be made at the political level to resolve the conflict by peaceful means. This approach shaped peacekeeping for over four decades.
3. The closer co-operation between nations at the end of the Cold War saw a dramatic increase in the demand for UN peacekeeping operations. The UN Council became the focal point of initiatives to terminate or control conflict situations. This opened the door to a comprehensive settlement that went far beyond cease-fires and separation of forces in order to address the causes of the conflict. To assist with the implementation of these settlements, the UN fielded multi-dimensional operations which included, in addition to the military component which had always been prevalent in peacekeeping, a wide range of civilian experts to monitor and assist in such areas as human rights, civilian police, elections, rehabilitation of civic institutions and the re-integration of combatants to normal life.
4. The end of the Cold War also led to a wave of nationalistic, ethnic, religious and civil wars. The world's population, acutely aware of the resultant human suffering through the global communications media, felt a moral responsibility to try to alleviate these tragedies. People turned to their governments, which in turn looked to the UN and through it established new and exceedingly complex Peace Support Operations.

102 Key Concepts

1. *Peace Support Operations (PSO)*
The term "peace support operations" is widely used to cover "peacekeeping" and "peace enforcement" operations. The UN has also accepted the meaning as such. The term "peace support operations" should therefore be used to refer to all military activities in support of a peace mission. This includes military activities in support of predominantly political activities, such as "preventive diplomacy", "peacemaking" and "peace building".

Peace Support Operations (PSO) can be defined as multi-functional operations involving military forces and diplomatic and humanitarian agencies. They are designed to achieve humanitarian goals or a long-term political settlement and are conducted in support of a UN or regional organisation mandate. These include peacekeeping, peace enforcement, conflict prevention, peacemaking, peace building and humanitarian operations.

2. *Peacekeeping*

“Peacekeeping operations” describe the activities of the United Nations in the field. Modern peacekeeping operations now normally involve both military and civilian personnel, who are tasked with monitoring and assisting with the implementation of agreements reached between belligerent parties. Such activities are also mandated under Chapter VI of the UN Charter. They take place with the consent of the conflicting parties and do not involve the use of force (other than in self-defence) by the peacekeepers.

- a. Peacekeeping operations are based on the key principles of consent, legality, impartiality and the non-use of force except in self-defence and require a significant degree of local co-operation. Peacekeeping forces normally have no mandate to prevent violations of an agreement by the active use of force.
- b. Tasks include observation and monitoring, supervision of truces and cease-fires, interposition between belligerent forces, demobilisation and disarmament, humanitarian relief and its protection, operational mine clearance and projects to support civilian authority.
- c. Additional mandates are required in the event the use of force becoming a necessity to protect humanitarian operations during continuing warfare, protection of civilian populations in designated safe areas and pressing the parties to achieve national conciliation at a pace faster than they are ready to accept. Such additional mandates cannot be combined with existing mandates requiring the consent of the parties, impartiality and the non-use of force, which are the hallmarks of a peacekeeping operation.

3. *Conflict Prevention*

Is primarily a political/diplomatic process, mandated under Chapter VI of the UN Charter in order to prevent disputes from developing between parties, or existing disputes from escalating into open conflict, or to limit the escalation of conflict when it occurs. Conflict prevention can also include fact-finding missions, consultation, warnings, inspections and monitoring. Notwithstanding the fact that the military could be requested to provide limited support for efforts towards “preventive diplomacy” (transport, protection *etc*), this is not primarily a military responsibility.

4. *Peacemaking*

Is primarily a diplomatic process/activity that is conducted with the aim of bringing hostile parties to a negotiated agreement through peaceful means. This process, also mentioned under Chapter VI of the UN Charter, could include activities such as the brokering of cease-fire agreements or more comprehensive peace accords. They can include the provision of good offices, mediation, conciliation, diplomatic pressure, isolation and sanctions. Again military support (transport, protection, *etc*) could be requested to support the diplomatic process. However, as in the case of “preventive diplomacy”, “peace making” is not primarily a military responsibility.

5. *Peace Building*

“Peace building” may occur at any stage in the conflict cycle, but it is critical in the aftermath of a conflict. Peace building includes activities such as the identification and support of measures and structures that will promote peace and build trust and the facilitation of interaction among former enemies in order to prevent a relapse into conflict. This includes mechanisms to identify and support structures that tend to consolidate peace, advance a sense of confidence and well-being and support economic reconstruction. In essence, “peace building” is mainly a diplomatic/developmental process. Although the military might be requested to support this process, “peace building” does not constitute a military operation in the true sense of the word. It is important that the military involved in “peace missions” will have knowledge of the role of the different role players within the “peace building” process, but as in the case of “preventive diplomacy” and “peace making”, “peace building” is not primarily a military responsibility.

6. *Humanitarian Operations*

a. Humanitarian operations are conducted to relieve human suffering. Military humanitarian activities may accompany, or be in support of, humanitarian operations conducted by specialised civilian organisations. Humanitarian operations may be conducted in the context of a PSO, or as a completely independent task.

b. *Humanitarian Assistance*

The international community provides “humanitarian assistance” (in the form of emergency food and medical supplies, health care, sanitation, shelter, etc.) to people at risk in a wide variety of regions and countries. With increasing recognition of the importance of human security over state security, it is unavoidable that humanitarian concerns will also be prominent in contemporary “peace missions”. Indeed, many of the civilian actors in “peace missions” will be attending to humanitarian (rather than political) concerns. Their work may be motivated by a singular desire to alleviate human suffering, rather than to contribute to the overall peace process. The military, when engaged in “peace support operations” should therefore be aware of the humanitarian dimension and of the role of actors such as the International Committee of the Red Cross, the UN High Commissioner for Refugees, the World Food Programme and a variety of NGOs working in the humanitarian field.

c. *Humanitarian Intervention* Civilians often provide humanitarian assistance with the negotiated consent of governments and local authorities. There is often an imperative for “humanitarian intervention” where humanitarian access is denied the international community as a result of unresolved-armed conflict and that the military has a distinct role to play in the coercive or protective creation of “humanitarian space”. Humanitarian interventions may resemble other forms of peace support operations (in terms of an international mandate, multinational forces etc.) but they are not, strictly speaking, part of a peace mission with an overarching political objective and imperative.

7. *Peace Enforcement*

“Peace Enforcement” describes activities where, in terms of Chapter VII of the UN Charter, the Security Council deems it necessary to use armed force to maintain or restore international peace and security in situations where the peace is threatened, where a breach of the peace occurs, or where there is an act of aggression. The use of armed force will only be authorised when all other peaceful means have failed. Although “peace enforcement” still forms part of the overall political/diplomatic process (the “peace mission”), the military will obviously play a leading role in the process of achieving set military objectives (as determined and authorised by the UNSC).

- a. Peace Enforcement (PE) operations are undertaken when the consent of any of the major parties to the conflict is uncertain. They are designed to maintain and re-establish peace or to enforce the terms specified in the mandate.
 - b. Peace Enforcement operations need to be approached like a military operation, it requires a thorough military appreciation, clear strategic direction and an effective chain of command, able to give proper political and military delegation at the strategic, operational and tactical levels.
 - c. For political or military reasons it is normally necessary to involve several nations in the conduct of a peace enforcement operation.
 - d. PE tasks include peace restoration by impartial actions, conflict containment by interposition and forcible separation of warring factions. Other tasks are the establishing or protecting designated safe areas, guaranteeing or denying movement and embargo or sanction enforcement. A peace enforcement force need not necessarily be large, but it must be prepared, if necessary, to impose its will in accordance with pre-determined rules of engagement; it therefore requires a combat capability. Its size, equipment, organisation and support must be appropriate to the level of resistance anticipated.
8. *Differences Between Peacekeeping and Peace Enforcement*
- a. Both peacekeeping and peace enforcement are classified as peace support operations. As noted in the definitions these operations take place under vastly different circumstances involving the variables of consent, force and impartiality.
 - b. A force tailored for peacekeeping may lack sufficient combat power for peace enforcement operations. A force tailored for peace enforcement can accomplish peacekeeping missions provided belligerent parties accept their presence. A contingent that has been conducting operations under a peace enforcement role should not be used in a peacekeeping role in that same mission area, because the impartiality and consent divides have been crossed during the peace enforcement operation.
 - c. The logic of peacekeeping flows from political and military premises that are quite distinct from those of enforcement; and the dynamics of the latter are incompatible with the political process that peacekeeping is intended to facilitate. To blur the distinction between the two can undermine the validity of the peacekeeping operation and endanger the personnel.

103 Framework for Peacekeeping

1. *United Nations Charter*
 - a. The UN Charter was drafted at the San Francisco Conference in 1945 and was designed to regulate the use of force in international relations. The UN Charter established six principal organs: the General Assembly, the Security Council, the Economic and Social Council, the Trusteeship Council, the International Court of Justice and the Secretariat. It is the Security Council (or in exceptional cases the General Assembly) who authorises and sets the mandate of a peace support operation. The Secretariat manages the implementation of these decisions using resources made available to him by the General Assembly.
 - b. The first article of the Charter deals with the promotion of human rights and states that a main purpose of the UN is “to maintain international peace and security”. The Charter provides the terms of reference for the various elements of the UN in fulfilling this responsibility. The three chapters of the Charter most relevant to the conduct of PSO are Chapters VI, VII and VIII.

- i. *Chapter VI.* Chapter VI of the UN Charter provides for the pacific settlement of disputes by a variety of peaceful measures, including negotiation, enquiry, mediation, conciliation, arbitration and judicial settlement (Art 33).
 - ii. *Chapter VII.* Chapter VII is essentially coercive and designed to deal with threats to peace, breeches of the peace and acts of aggression. Through chapter VII, the UN Security Council is empowered to investigate alleged violations and then determine measures to be taken against the states concerned. These measures can include provisional ones without prejudice to the rights, claims, or positions of the parties concerned (Art 40), political and economic pressure (Art 41) and the use of force (Art 42).
 - iii. *Chapter VIII.* Chapter VIII deals with the pacific settlement of local disputes through regional arrangements by regional agencies, provided that such arrangements or agencies and their activities are consistent with the purpose and principles of the United Nations. Furthermore, no enforcement action may be taken by such regional organisations without the authorisation of the Security Council.
2. *Forces for Peace Support Operations*
- a. The United Nations has no standing military forces to employ in support of its resolutions and therefore is required to make use of its member States to facilitate or achieve a required United Nations goal (troop contributing countries).
 - b. Once a decision has been made to undertake an operation, the UN can ask member states to furnish forces under article 25, which states that “the members of the UN agree to accept and carry out the decisions of the Security Council in accordance with the present Charter”. Forces are offered by the respective ambassadors and the Secretary General selects contingents in consultation with the host government and other interested parties. There is a recent trend for host governments (especially in Africa) to request forces from the same region to intervene.
 - c. It is the duty of the UN Under-Secretary to the Secretary General (USSG) responsible for Peacekeeping Affairs, assisted by the Military Advisor to the Secretary General, to create and organise a peacekeeping force. The military advisor, who is typically a general officer from a nation other than the permanent members of the Security Council, has no executive authority, but is simply a co-ordinator who, can recommend action.
 - d. There is provision for the establishment of a Military Staff Committee which will advise and assist the Security Council on all questions relating to the Security Council’s military requirements for the maintenance of international peace and security, the employment and command of forces at its disposal, the regulation of armaments and possible disarmament. This Council is further responsible under the Security Council for the strategic direction of any armed forces placed at the disposal of the Security Council.
 - e. The Peacekeeping forces that are voluntarily supplied by the troop contributing countries can be arbitrarily withdrawn and is a noticeable weakness in the system.

104 Mandate

1. The peacekeeping force will operate within a mandate that describes the scope of operations. The mandate by nature is political and often imprecise, resulting from diplomatic negotiation and compromise. The mandate is therefore more often than not susceptible to different interpretations by the parties in the conflict as well as by the countries contributing to the PSO.
2. The basis for all UN PSOs is the mandate given by the Security Council.

3. The Mandate may
 - a. nominate the force commander and ask for the Security Council's approval;
 - b. recommend the size of the force;
 - c. list those countries that are prepared to provide contingents immediately and those with which negotiations are still proceeding (troop contributing countries);
 - d. outline proposals for the movement and maintenance of the force, including countries that might provide transport aircraft, shipping and logistics units;
 - e. propose a time limit for the operation; and
 - f. make recommendations concerning the financing of the force.

Note:

At Appendix A is an example of a UN mandate.

105 Status of Forces Agreement (SOFA)

1. The SOFA proceeds from the mandate in respect of peacekeeping operations. With the advice of the concerned military commander, the diplomatic elements establish stationing agreements that are often referred to as SOFAs. The purpose of a status of forces agreement is to establish the legal position of a peacekeeping force and of its members in a host country and to define the relationship of the force and of its members with the government and the citizens of the host country. On the basis of a status of forces agreement between the United Nations and a particular host country, appropriate detailed regulations can be drawn up to cover the special needs and circumstances of the situation affecting the status of forces in that country. Such sets of regulations, to cover administrative and operative activities of the peacekeeping force, are supplementary to the SOFA itself.
2. Whenever an operation involves a host nation, each participating UN nation should be covered by a SOFA or a memorandum of understanding. The UN entry into the host nation may precede negotiation and conclusion of a SOFA. Sometimes there may be an exchange of Diplomatic Notes, a verbal agreement by the host authorities to comply with the terms of the model SOFA even though not signed, or just nothing at all.
3. As a minimum, the SOFA should include the following main points:
 - a. The status of the UN Force and its members.
 - b. Entry and departure permits to and from the host nations.
 - c. Identity documents.
 - d. The right to carry arms as well as the authorised type of weapons.
 - e. Freedom of movement, both on and off duty, for members of the PSO.
 - f. Legal jurisdiction over members of the PSO.
 - g. The use of airports, harbours and road networks in the host nation.
 - h. The right for the peacekeeping force to operate its own communications system.
 - i. Postal regulations and customs clearance procedures.
 - j. Authority to fly UN and national flags.
 - k. Uniform regulations.
 - l. Permission to operate vehicles without special registration.
 - m. Applicability of "The Convention of the Privileges and Immunities of the United Nations".
 - n. Matters of jurisdiction.
 - o. Military police actions and authority.
 - p. Tax and duty regulations.
 - q. General supply and maintenance matters (imports of equipment; commodities; local procurement of provisions; and petroleum, oils and lubricants).
 - r. Matters of compensation (with respect to the host nation's property).
 - s. The force has authority to gather, record and report such information as is necessary to ensure the protection and security of the force and to monitor all regional forces and/or activities to record and evaluate their compliance and non-compliance with the mandates or agreements being monitored

by the force.

Note:

At Appendix B is an example of the UN model SOFA.

106 Rules of Engagement

1. Rules of Engagement (ROE) are the primary tools used to regulate the use of force.
2. Definition of a ROE. ROE are directives issued by a competent military authority to delineate the circumstances and limitations under which forces will initiate and/or continue combat engagement with other forces encountered. They are the means by which the use of force is regulated in the context of applicable political and military policy and domestic and international law.
3. ROE establish a framework, which encompasses national policy goals, mission requirements and the rule of law.
4. ROE therefore address essentially three aspects present in any PSO, namely the political, military and legal aspects.
 - a. *Political.* ROE ensure that the national policy and objectives are reflected in the action of the Commanders in the field, particularly under circumstances in which communication is not possible. In this regard, the ROE may restrict the use of particular weapons and the engagement of certain targets.
 - b. *Military.* ROE provide the parameters within which the commander must operate in order to accomplish his assigned mission. They provide a ceiling on operations to ensure that actions do not trigger undesired escalation.
 - c. *Legal.* ROE provide restraints on a commander's action consistent both with domestic and international law and may, under certain circumstances, impose greater restrictions on action than those required by law. Commanders must therefore be acutely aware of the legal issues surrounding the mission.
5. ROE should not be used as a mechanism through which to convey strategy or doctrine. The commander should express his battlefield philosophy through the battle order and his personal communicated guidance to subordinates.
6. ROE should not restate the law of armed conflict, but only emphasise aspects of the law of armed conflict, which are particularly relevant to a specific operation.
7. Tactics and ROE are complimentary, not synonymous. Prescribing tactics in ROE only serves to limit flexibility. ROE are designed to provide boundaries and guidance for the use of force that are neither tactical control measures nor substitutes for the exercise of the commander's military judgement.
8. ROE must be understandable, memorable and applicable, as it is only then that they are effective. Well-formulated ROE anticipate the circumstances of an operation and provide unambiguous guidance to members of a force before they confront any threat.
9. Commanders must assess the threat, to include both conventional and non-conventional means and make recommendations for specific ROE through the chain of command. While negotiations are being held to gain the consent of the parties in the conflict for interposition by the peacekeeping force, care must be taken to ensure that all parties understand the PSO ROE.
10. Each national force in multi-national force will have its own ROE. A UN sponsored Peace Support

Operation has common UN ROEs which apply to the multi-national force.

11. To avoid mutual interference, the Commander should be informed of the intentions of those forces operating under their national ROE. This is particularly important with respect to self-defence, hostile acts and hostile intent. National ROE should be considered and accounted for when planning operations and assigning tasks to units. Units should not be placed in situations where their ROE (UN or National) prevent them from responding appropriately, thereby endangering themselves, other friendly units, or elements not in the Multi-national Forces, or jeopardising the success of the mission.
12. All troops must be briefed upon arrival in the area of operations and kept up-to-date on the following points:
 - a. SOFA or similar legal documents.
 - b. ROE as promulgated by the Force Commander.
 - c. Closing checkpoints to prevent entry into the buffer zone.
 - d. Deployment to positions.
 - e. How to act in foreseeable emergencies when force may have to be used.
 - f. How to handle individuals seeking political asylum or humanitarian assistance (HA).

107 Life Cycle of a UN Peace Support Operation

1. Standby Phase

The standby phase begins with when the Secretary General (SG) decides that a particular situation may require UN involvement. Before formal notification to the General Assembly, a UNHQ fact-finding and technical survey team is dispatched to the problem area to report on the political, diplomatic and military situation. The result of this reconnaissance, coupled to the proposed operational force structure required to conduct the mission, will provide the basis for the initial budget estimate required supporting the SG's recommendation to the General Assembly.

2. Warning Phase

The warning phase is initiated when the Security Council approves the UN Resolution calling for the creation of a Peace Support Mission. Simultaneously, the estimated preliminary budget and manpower requirements based upon the initial survey, are approved. Before the actual mounting of the operation, a comprehensive budget must be developed, reviewed by the Advisory Committee on Administrative and Budgetary Questions and approved by the General Assembly.

3. Mounting Phase

This phase begins with approval of the budget by the General Assembly. The costs of Peace Support Operations are normally considered to be the collective responsibility of the Member States of the United Nations. Each Member State is required to pay its share, which is assessed on the basis of that Member State's ability to pay. The Department of Peacekeeping Operations (DPKO) is given general responsibility for the technical and operational control of the mission, while the Field Operations Division is responsible for the budget execution. Action during this phase includes the following:

- a. Logistical planning, including
 - i. deployment schedules;
 - ii. self-sustaining period;

- iii. determining air/sea lift requirements; and
 - iv. initiating local/international contracts for logistical support.
- b. Deployment of an advance command and control element.
 - c. Preparation of military units by contributing nations.
4. *Deployment Phase.* The deployment phase includes:
- a. *Movement/Transportation.* The Field Administration and Logistics Division (FALD) will co-ordinate all transportation into and out of the theatre of operations.
 - b. *Arrival Inspection.* The UN will accept financial responsibility for Contingent Owned Equipment (COE). To determine its liability, the UN requires contributing nations to prepare a schedule of the assessed value of the COE deployed with the contingent. This schedule, to be prepared prior to deployment, is known as an Arrival Inspection and provides details of all vehicles, stores and equipment authorised by the UN to be taken into the mission area.
5. *Sustainment Phase*
Initially, larger missions rely heavily on military based logistic support upon deployment (possible period of up to 120 days) and then gradually transition to civilian and contractor support when it is cost effective to do so. Rotation of contingents also takes place during this phase.
6. *Redeployment/Withdrawal Phase*
Prior to the completion of the mandate, redeployment planning will be conducted in order to phase out the operation. This planning is usually in greater detail than the deployment phase. The redeployment phase is conducted in three stages; namely Stocks draw down planning, Repatriation inspection procedures and Transportation planning.

108 Principles and Fundamentals of Peace Support Operations

1. Each Peace Support Operation is unique, but commanders can maximise the effectiveness of their forces by employing them based upon an understanding of certain principles and fundamentals that remain constant from one PSO to another.
2. *Principles.* The following broad enduring principles should be used to maximise the effectiveness of a force:
 - a. *Objectives.* Direct all support towards clearly defined objectives. (Senior authorities shall determine the overall objective or desired end state, which must be clearly articulated to avoid misunderstandings). Ensure subordinate objectives are discreet, clear and realistic. Commanders should understand specific conditions that could result in mission failure, as well as those that mark success.
 - b. *Unity of Effort.* Few missions will be the responsibility of a single organisation. Therefore, PSO is more effective if military, civilian and governmental agencies agree on objectives and procedures. National forces will, however, retain *unity of command* within their contingents. Avoiding redundancy and duplication of effort will maximise results while minimising costs. Unity of effort is best achieved through communicating effectively, actively co-ordinating support and co-operating whenever possible.
 - c. *Perseverance.* Forces should be prepared for protracted operations that involve performing mundane tasks. The military operations departments should develop plans to transition responsibilities to follow-on organisations.
 - d. *Security.* When forces are assigned to provide support in hostile environments, security must remain a primary concern at all times. Security includes protecting own forces, non-military

personnel providing HA and the recipients. The inherent right of self-defence, from unit level to individual level, applies in all peace support operations.

- e. *Minimum Use of Force/Restraint.* The use of force must be carefully controlled, since unnecessary force would undermine the acceptability of the operation and could increase the level of violence in the area. Commanders shall ensure force (governed by ROE) is used prudently and judiciously. The following principles apply to ROE during PSO:
 - i. Modify ROE via appropriate channels.
 - ii. Ensure personnel understand and adhere to the ROE.
 - iii. Include ROE training in preparation for deployment.
 - f. *Legitimacy.* Although PSO forces may be supporting international agencies, they should promote and affirm the host government's ability to care for its people. Adhering to the principle of legitimacy will make it easier to accomplish the mission successfully. While the peacekeeping force enjoys certain immunities, its members must respect the host country's laws and customs. Peace Enforcement operations, however, could be conducted without the invitation of the host government.
 - g. *Responsiveness.* HA missions are conducted to alleviate suffering and should
 - i. be conducted quickly and efficiently; and
 - ii. provide rapid and tailored support to the recipients' needs.
 - h. *Simplicity.* Focusing on essential matters fosters efficiency in planning and execution. Streamline the HA mission with simple standardised orders and procedures, prioritisation, pre-positioning and prepared crisis action plans and modules.
 - i. *Flexibility.* HA missions are fluid in nature; therefore, forces must be able to quickly adapt to changing situations and requirements. Command and control may be centralised, but execution is always decentralised, sometimes over vast expanses. Flexibility during HA should be facilitated while planning.
 - j. *Economy.* Economy is best achieved when HA support is provided by non-military agencies/organisations. Whenever possible, allow non-military support to be provided first and consider the following:
 - i. HA missions are expensive.
 - ii. Forces may be required to provide different forms of support.
 - iii. Available resources may need to be stretched to minimise waste.
 - k. *Impartiality/Neutrality.* Impartiality is essential to retain the trust and confidence of the parties in dispute and of the host government (not valid for peace enforcement operations). The mantle of neutrality may provide protection for naval forces conducting HA operations. In those cases where naval forces intend to apply this principle, ensure
 - i. all factions believe that violence against HA forces personnel is not in their best interest;
 - ii. application of the principle is continual and unwavering; and
 - iii. HA forces personnel and equipment are easily identifiable.
3. *Fundamentals.* The following fundamentals are relevant for most PSO:
- a. *Organising to Support.* Expeditionary forces may be required to reorganise to provide support and should consider the following factors prior to reorganising:
 - i. Nature and scope of the mission.
 - ii. Assigned responsibilities and tasks.
 - iii. Forces available.
 - iv. Hydrography/topography/climate.

- v. Threat.
 - vi. Time available.
 - vii. Requirements established by own National Commander.
 - viii. Media coverage.
 - ix. Interaction with NGOs/PVOs and international organisations (IOs).
 - x. Condition of available port and/or airfield.
- b. *Mission*. The Commanders should request clarification if specific tasks are not understood or are inadequately defined. Essential elements of HA mission statements are the following:
- i. Desired end state (objective).
 - ii. Timeframe.
 - iii. Identification of strategic level agencies and specific guidance promulgated.
 - iv. Security requirements.
 - v. Types of support to be provided to PVOs, NGOs and IOs.
 - vi. Unique forces and equipment available for the mission.
- c. If the mission statement is unclear, "mission creep" may develop whereby expectations increase beyond the type and amount of support the forces were originally tasked to provide or can provide.
- d. *Desired End State*. The desired end state is determined at the national command authority level or higher. It describes the required condition that, when achieved, attains the strategic and political objectives. The military objectives must be formulated within the constraints of these objectives. Understanding the end state can help to
- i. determine measures of effectiveness;
 - ii. identify phases of the operation; and
 - iii. prepare to transition responsibilities to other services or agencies and ultimately back to the host government.

109 Maritime Operations

1. Maritime involvement in PSOs may involve supporting sealift, surface forces (often with organic aircraft for coastal surveillance operations), submarine forces, amphibious forces, or provision of individual observers.
2. The use of naval forces in PSOs may be somewhat more limited in scope than that of land forces. It may also extend beyond simply establishing a physical presence between the naval ships of the parties to the conflict. To be most effective, naval forces should have access to the territorial waters adjacent to the parties to the conflict. The psychological and stabilising effect of a visible naval presence is significantly reduced if there is a requirement to conduct PSOs from beyond the limits of the territorial waters. Additionally, the response time for dealing with flare-ups would be markedly increased by the inability to operate within the territorial waters.
 - a. Naval vessels may further contribute to the maintenance of peace by providing a staging platform for personnel and equipment destined for PSOs ashore and for sustaining this force. This is particularly significant in the early stages of the operation before significant shore-based assets have been flown in. Similarly, amphibious deployment of ground forces is necessary where adequate landing facilities are unavailable or the tactical situation renders their use impractical.

- b. Naval vessels engaged in PSOs may be tasked with accompanying “neutral” shipping into and out of the danger area adjacent to territories of the parties to a conflict. The same is true for ships of the parties to a conflict that continue commercial shipments from their ports. Such shipments and the peacekeeping forces that accompany them, require an agreement between the parties to the conflict that the escort policy is in effect. In the absence of any agreement, protection offered by peacekeeping forces in this role is for the purpose of providing safety for “neutral” merchant shipping. This protection is authorised under the international law concept of collective self-defence.
- c. Naval vessels may assist in the maintenance of peace by providing “neutral” territory aboard in which representatives of the parties to the conflict may meet for supervised negotiations.
- d. Naval vessels engaged in PSOs may be tasked with maritime interception operations, which may include the stopping, boarding, searching and possible diverting or redirecting of commercial and/or military vessels to enforce sanctions.
- e. The open sea beyond a coastline provides a near equivalent of a prohibited border zone on land and comparatively simple controls within territorial seas can simplify the problem of identification. The degree of physical protection is dependent on the ease with which operatives can make landings. A rugged coastline with inaccessible cliffs and treacherous offshore currents obviously needs less observation than an easily approached area with wide beaches offering good access to the interior. Observation and surveillance of an irregular coastline is difficult and peacekeeping forces must use surveillance devices and reconnaissance.
- f. The employment of maritime sea and air surveillance is used to effect close and continuous observation of areas above, on and below selected areas of the world’s seas and oceans. Maritime surveillance is used to ensure compliance with provisions of the Terms of Reference (TOR) and to provide early warning of potentially dangerous or hostile actions to friendly forces. Additionally, maritime forces can be employed in the role of visit, board, search and seizure to ensure compliance with provisions of the TOR.
- g. Coastal control is the employment of forces to ensure the unimpeded use of an offshore area or, conversely, to deny the use of an offshore area to parties not authorised to enter in accordance with specific peacekeeping truce agreements. Offshore areas for PSOs will normally refer to agreed on territorial seas, as international waters (beyond a nation’s territorial sea limits) are not subject to peacekeeping controls as would be an inland buffer zone or land area marked by demarcation lines. Coastal control is accomplished by conducting surveillance and intercept operations.
- h. Offshore assets, primarily petroleum production platforms and deep water offshore port facilities, require protection. These assets are vital not only because of their gas and petroleum productions, but also for their potential use as remote heliports, surveillance platforms and logistic support bases.
- i. Harbour defence is the protection of harbour approaches, harbours, anchorage and ports from external threats. Harbour defence measures include surveillance, intercept and vessel movement control. Port security is safeguarding vessels, harbours, ports, waterfront facilities and cargo from internal threats such as accidents, civil disturbances, sabotage and disasters. Port security also includes port safety; both are closely related, mutually supportive and often concurrently conducted.

- j. Mine countermeasures, a concern for all naval peacekeeping efforts, are specialised area procedures designed to ensure access to, or transit of, oceans and waterways. Mine countermeasures include all means used to prevent or reduce the danger from mines to surface ships and submarines.
- k. Search and Rescue (SAR) is the use of aircraft, surface craft, submarines, specialised rescue teams and equipment to search for and rescue personnel in distress on land or at sea.

3. *Interoperability*

Interoperability, at many levels, is essential to the success of any multi-national operation. At the highest level, nations must be willing and able to organise themselves into a common force and to accommodate each other's operational methods by understanding their doctrine, culture and interests. At the operational and tactical levels, national elements of the force must be able to exchange information well enough to maintain a common picture of events and be able to support and sustain each other. Achieving and maintaining a sufficient degree of interoperability will be a primary objective of the multi-national command regardless of whether the structure is parallel, integrated, or based on a lead nation. The extent of achievable interoperability will vary depending upon the composition of the Multi-national Force.

4. *Shared Doctrine and Publications*

Although shared doctrine and publications are fundamental to any successful multi-national operation, only formal alliances have developed common doctrine and procedures published in a complete set of supporting publications. As a remedy, a series of unclassified tactical publications, (known as "Multinational Maritime Manuals") which provide a common, albeit simplified, set of doctrine, tactics and procedures for use in multi-national operations have been developed under the auspices of the North Atlantic Treaty Organisation (NATO).

5. *Tactical Information*

If the capabilities of the Multi-national Force are to be co-ordinated in a unified effort, all participants require a common tactical picture. This picture must include the disposition, position and movements of friendly, neutral and opposing forces and meteorological and oceanographic data. In particular, all units will require adequate threat warnings and targeting information. The quality of the tactical picture in different units will vary depending upon sophistication and level of interoperability between the different command and control (C²) systems. In most cases, automatic data processing and exchange systems will need augmentation by simple voice reporting procedures.

6. *Seamanship*

Safe seamanship within the Multi-national Maritime Forces will require exchange of equipment and procedural information and the establishment of a training program. At a minimum, the Maritime Commander must consider the impact of the following on his force:

- a. *Collision Avoidance*. Simple safety procedures must be made available to resolve confusion quickly when uncertainty develops among ships manoeuvring in close proximity to one another.
- b. *Replenishment at Sea (RAS)*. All units working together in a common area and mission should be prepared for replenishment from a common support vessel.
- c. *Towing*. The ability to tow or be towed by other units of a multi-national force may expand the range of options open to the Maritime Commander in the event that a ship suffers a major breakdown or damage, allowing him to minimise the impact of the casualty on the mission.

- d. *Personnel Transfer.* Medical evacuations and other personnel exchanges are likely to be regular occurrences in a multi-national force. Units should therefore be capable of conducting transfers quickly and safely by boat and/or jackstay.

7. *Helicopter Operations*

Ship borne helicopters have become an intrinsic part of maritime operations. Consequently, wherever possible, all units should have a capability to receive aboard and give support to, helicopters. This implies operational training and arrangements in manoeuvres, procedures, safety rules and fuel types. At a minimum, units should be equipped and trained to safely conduct the transfer of personnel and material by helicopter hoist.

8. *Search and Rescue (SAR)*

The Multi-national Maritime Commander should integrate maritime force search and rescue procedures. A detailed inventory of SAR capabilities in the maritime force is essential to ensure adequate measures for the preservation of life at sea.

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CHAPTER 2

COMMAND AND CONTROL

201 Introduction

The planning and conduct of PSO will usually be joint and, when appropriate, involve civilian agencies. Maritime and air forces have particular diplomatic, deterrent, enforcement or intelligence gathering functions while land forces will generally conduct the detailed control of the operation at the tactical level. Maritime and air forces will thus help create the conditions for the conduct of land operations and their joint efforts will be designed to create an environment that assists the civilian agencies to achieve the mission. Other involved agencies may range from large international organisations such as the International Committee of the Red Cross (ICRC), or mature specialist Non-Government Organisations (NGOs), such as the International Save the Children Alliance or small local NGOs, who may act as a bridge between relief and development. The involvement of civilian agencies will place an emphasis on Civil-Military Co-operation (CIMIC).

202 United Nations Headquarters in New York

1. The overall direction of PSOs is retained by the Security Council through the UN Secretary General (SG) at the United Nations Headquarters (UNHQ) in New York. The UNSG has command of all Peacekeeping Operations. This arrangement recognises the key role of the Security Council in establishing a PSO, while it allows the SG some flexibility and discretion in implementing Security Council resolutions. Day-to-day responsibility for PSOs is delegated to the Under Secretary General (USG) for Peacekeeping Operations who ensures the proper conduct of UN PSOs.
2. The USG is responsible for the Department of Peace Keeping Operations (DPKO) and the planning/execution of PSOs. He/she arranges for such basic requirements as cease-fire, SOFA and other political actions related to the setting-up of PSOs. The Field Administration and Logistic Division (FALD) within the DPKO is responsible for establishing and providing administration and logistic support to UN operations and provides direction to field missions.
3. Within the DPKO, the Military Advisor (MA) of the UN has a role of providing advice to the USG on military matters that have an effect on the political negotiations. He also deals with member state's permanent missions regarding their contributions.
4. There is provision for the establishment of a Military Staff Committee which will advise and assist the Security Council on all questions relating to the Security Council's military requirements for the maintenance of international peace and security, the employment and command of forces at its disposal, the regulation of armament and possible disarmament. This Council is further responsible under the Security Council for the strategic direction of any armed forces placed at the disposal of the Security Council.
5. The membership of the Military Staff Committee is as follows:
 - a. The Chiefs of Staff of the permanent members of the Security Council or their representatives.
 - b. Any invited member of the UN not permanently represented on the Committee when the efficient discharge of the Committee's responsibilities requires the participation of that member in its work.

203 United Nations Force Headquarters

1. Command of the PSO in the field is exercised by the Special Representative of the Secretary General (SRSG), by a Force Commander, a Chief Military Observer or a Chief of Staff appointed by the Secretary General with the consent of the Security Council. The Commander is directly responsible to the Secretary General.
2. The Force Commander is appointed by and responsible to, the Secretary General who co-ordinates and

obtains the consent of the Security Council. The Force Commander conducts day-to-day operations but refers all policy matters to the Secretary General. The Force Commander is normally selected from the nations that traditionally contribute peacekeeping forces and whose qualifications are acceptable to the Security Council. The Force Commander must also be acceptable to the host nation and all the parties involved in the conflict.

- a. Staff size must be closely controlled because of finance (the General Assembly will question any alleged or perceived extravagance when voting on a force's budget) and because host nations may be concerned about large operations and information staffs.
 - b. When a peacekeeping force includes an observer group in its mission, the force headquarters staff may be expanded to provide oversight for the observers.
3. Each Peace Support operation will have its own Headquarters, whose composition must be representative of the contingents comprising the operation. There is no standard staff organisation common to all UN force headquarters. Minor differences reflect local requirements or the preferences of the officers who created the headquarters. The staff is grouped into three main categories: Force Commander's personal staff, military staff and civilian staff.
 - a. The Force Commander's personal staff normally consists of a military assistant, a political adviser, a legal adviser, a public affairs officer, an interpreter and liaison officers from the armed forces of the parties in the conflict.
 - b. The military staff normally consists of a Chief of Staff, a deputy Chief of Staff and an operations staff which will include intelligence (known as information gathering vice intelligence to preserve neutrality), plans, training, engineer, communications, air traffic control, security, police operations, observer groups, administration, logistics and health services.
 - c. The civilian staff, provided by the UN Secretariat in New York, at a minimum consists of a Chief Administrative Officer (CAO). The CAO deals directly with the Field Administration and Logistic Division (FALD) within the DPKO at UN Headquarters in New York.
 4. The Force Commander with the Chief Administrative Officer (CAO), in accordance with the procedures prescribed to him within the limits of the budgetary provisions for the operation and the financial rules and regulations of the United Nations, arranges for the following:
 - a. The billeting and provision of food for the military component; the establishment, maintenance and operation of service institutes providing amenities for members of the operation and other UN personnel as authorised by the commander.
 - b. The transportation of personnel and equipment; the procurement, storage and issue of supplies and equipment, which are not directly provided for by the participating governments.
 - c. Maintenance and other services required for the operation; the establishment, operation and maintenance of telecommunication and postal services.
 - d. The provision of medical, dental and sanitary services for its personnel.
 5. The foregoing is achieved through the co-ordinated effort of the military logistics staff of the operation and the civilian staff. Formulation of provision systems and review of requirements are the responsibility of the military Chief Logistics Officer and his staff and the responsibility for procurement and timely delivery of provisions rests with the civilian Chief Procurement Officer.

204 Military Command and Control

1. *Command Relationships*
 - a. Command is central to all military actions and unity of command is central to unity of effort. A

common understanding of command relationships will facilitate the required unity of effort. Various multi-national directives which delineate the degree of authority that may be exercised by a Multi-national Force Commander and procedures that ensure unity of effort will set forth command relationships.

- b. Most nations are not willing to relinquish command of their forces to other countries. The challenge of the Force Commander will therefore be to arrange the best possible working relationship with the multi-national forces placed under his operational control. In developing this relationship, it is important to remember that multi-national operations do offer political legitimacy, especially in peace support operations.
- c. The military personnel of a PSO, although remaining in their national service, are, during the period of their assignment to the operation, international personnel under the authority of the UN and subject to the instructions of the Force Commander, through the chain of command. The functions of the PSO are exclusively international and its members are expected to discharge those functions and regulate their conduct with the interest of the UN only in view.
- d. The earlier the Force Commander gains operational control over the multi-national forces allocated to him, the more flexibility he will have in conducting operations.

2. *UN-Sponsored Operations*

UN-sponsored operations have the following command relationships:

- a. The most effective command relationship has one Force Headquarters and one Force Commander responsible for the PSO. The Force Commander usually will be given operational control (OPCON) over all military units assigned to the peacekeeping force and have general responsibility to ensure that parent forces take all necessary action for the good order and discipline of the force. The Force Commander may make investigations, conduct inquiries and request information, reports and consultations.
- b. A national contingent consists of a nation's (troop contributing country) entire contribution: its units as well as its staff officers at the Force Headquarters. National contingent commanders report directly to the Force Commander.
- c. Each unit commander is ultimately responsible for supervising and co-ordinating the accomplishment of his mission, communicating changes to the mission and responding to committed units' needs and requirements.
- d. *Good order and Discipline*
 - i. The national contingent commanders are responsible for disciplinary action within their own contingents in accordance with their national codes of military law (ie SANDF's MDC). Authority for national contingent commanders to carry out their national laws in the host country's territory should be included in the SOFA for the PSO.
 - ii. In the event of a major disciplinary breach, the Force Commander should discuss the matter with the relevant national contingent commander and may, if necessary, refer the matter, through the SG, to the troop-contributing government concerned.

e. *Operations and Logistics*

- i. The Force Commander has operational control with the exception of purely national administrative matters, such as postings and discipline.
- ii. The Force Commander and his staff will deal directly with the national contingent commanders.
- iii. Should a national contingent commander fail to resolve a matter with the UN Force Commander, they will refer the matter to a higher authority; such matters include orders that are illegal under national or international law or are outside the mandate of the mission to which the contributing nation had agreed with the UN. Such matters also include guidance and constraints placed on national contingent commanders by their national military commanders.
- iv. The national contingent commander is the most senior military officer from his national military force. He is not necessarily a unit commander and, when not, he may fill an appointment on the Force Headquarters' staff (*ie* Maritime Sector Commander). In addition to his duties as a staff officer he is also responsible for national contingent matters, such as discipline.
- v. When large peacekeeping forces are spread over a wide area, it may be necessary to establish UN area headquarters. Additions such as these are particularly important where the complexity of the situation demands increased staff support.

Note:

An organigram indicating the various levels of Command and Control for a PSO is available at Appendix C.

3. *Non-UN-Sponsored Operations*

- a. Non-UN-sponsored operations may be set up in a number of ways. The decision will largely depend on the time available, parties to co-operate. Ways that these impromptu operations may be set up include:
 - i. a single headquarters to co-ordinate both political and military activities; and
 - ii. two headquarters, one to control military operations and one for political direction. This arrangement requires increased attentiveness to preserve unity of effort.
- b. *Command and Control of Military Units and Individual Observers*
 - i. The national geographic combatant commander should always have command and control over his own national forces assigned to PSOs in the Area of Responsibility (AOR). In rare situations when this does not occur, such as when an executive agent is designated, the national combatant commander will usually provide support as directed by his national government. Since these operations may impact on other operations being conducted in an AOR, the executive agent must keep the geographic combatant commander informed.
 - ii. On a case-by-case basis, national military units are assigned under the Operational Control (OPCON) of a peacekeeping Force Commander. These units fall under the assigned peacekeeping Force Commander's OPCON upon entering the area of the PSO.
 - iii. The national contingent commander provides the link between his national units under OPCON of the peacekeeping Force Commander and the geographic combatant commander who provides the national support (as required) for that nations contingent of the peacekeeping force.

4. *Commanders' Directives*

- a. The Force Commander's directive should clearly outline who is empowered to give orders to contingents and under what circumstances. A unit commander must be assured that the orders have the authority of the Force Commander and the sanction of the UNSG, or, in the case of a non-UN PSO, the appropriate authority.
- b. As a corollary, unit commanders cannot accept orders for the conduct of operations from other sources, whether they come from the host nation, parties to the dispute/conflict or from his own government through the national contingent commander, except in the limited sphere of discipline and matters of domestic concern. An exception may occur in a non-UN force when national contingents are placed directly under their ambassadors to the host nation.
- c. National contingent commanders may issue their own directives based on an analysis of the force mandate and the Force Commander's directive. Although each directive is unique, the subjects that each commander's directive should cover are the following:
 - i. Authority, by the Force Commander, for appointment as a peacekeeping unit commander.
 - ii. Appointment of subordinate commanders, especially those detached from the main body.
 - iii. Decision on whom is authorised to issue instructions and directives to the unit and under what circumstances.
 - iv. The degree of command and control the Force Commander has over national contingents by covering such topics as the
 - (1) power of the Force Commander to direct operations;
 - (2) applicability of national laws and regulations to personnel within contingents;
 - (3) sub-unit AOR and tasks;
 - (4) methods of operation and deployment;
 - (5) reserve forces;
 - (6) states of readiness; and
 - (7) succession to command.
 - v. Although the following items will have been negotiated with UN Headquarters or the non-UN Force Headquarters before the contingent's deployment, they should be repeated in the unit commander's directive:
 - (1) Location of unit headquarters.
 - (2) Unit composition.
 - (3) Identification; *ie*, the wearing of UN or non-UN identification headgear, badges and armbands and the marking of vehicles and positions.
 - (4) Duration of duty.
 - (5) Relationship with the host government and its local administration, armed forces and police.
 - (6) Powers of search and seizure and rights of entry into property.
 - (7) Relations with local forces and liaison with mediation missions.
 - (8) Relations with the media and circumstances when information of operational and domestic matters may be given to the media and through whom.
 - (9) Security against possible attacks as well as information and communications security.
 - (10) Regulations and restrictions to be observed off duty.

5. *Special Considerations*

- National commanders of peacekeeping forces must understand the nature of PSOs and their effects on the members of their command. Some special considerations include the following:
- a. Resolving disputes at the lowest possible level.
 - b. Accepting UN-provided supplies common to all contingents rather than demanding own national supplies.

- c. Remembering that not everyone is suitable for every type of duty. Commanders may need to exercise judgement in determining who is selected for, or removed from, a PSO.
- d. Recognising that there are profound and legitimate differences in the worldview, cultural norms, work ethic and standards of professionalism among the many national contingents that make up and support international peacekeeping forces. These differences must be accepted and respected if the international force is to be effective.
- e. Being aware of the potential adverse effect of their force's presence on the local economy. Commanders should resist developing elaborate base camps and support facilities. The policy on hiring local civilians should include consideration of prevailing wages. Leave and pass policy should also consider economic factors. Differences in disposable income among national contingents could be balanced by regulating the amount of money national force personnel are allowed to convert to local currency. Consideration should also be given to establishing a rest and recreation program outside the area of conflict.
- f. Understanding thoroughly the existing ROE by all concerned.
- g. Centralising control to ensure uniform reaction to incidents and preclude hasty actions by inexperienced peacekeepers. Since a commander cannot foresee every eventuality or predict how incidents may develop, junior leaders should be allowed to exercise initiative within the general framework of force policy directives and SOPs.
- h. Ensuring that subordinates keep their superiors informed of situations as they develop and suggest possible courses of action in sufficient time to be evaluated and acted on where required. Timely anticipation of a serious crisis may allow a superior commander or the Force Commander to go to the scene to take charge. However, situations may occur where an incident develops so quickly that the subordinate on the scene must immediately take action before the situation becomes uncontrollable. If this occurs, a detailed, written report should be submitted as soon as possible.

205 Co-ordination during Peace Support Operations

1. General

- a. PSOs are likely to be multi-national in a military sense, but as stated before are also likely to involve a wide range of national and international diplomatic, developmental, humanitarian, relief and media organisations, agencies and individuals. These organisations, agencies and individuals may be privately, internationally or governmentally sponsored. Many of these are highly sensitive to perceived infringements to their independence and Force Commanders must appreciate that their co-ordination can only be by consent and not by direction.
- b. Unit commanders must also appreciate that, even at the lowest level their own actions may be but one element of a variety of diplomatic and humanitarian activities, over which they have no control. The timely and effective co-ordination of the various agencies are likely to prove essential to the successful execution of the peace mission.

- c. Commanders at all levels should therefore seek to establish co-ordination mechanisms that take into account the above mentioned sensitivities yet still impart coherence to all elements of activity in their operational area. The Force Commander's co-ordination mechanisms should embrace military, political, diplomatic, civil, administrative, legal and humanitarian agencies, including the press and other internationally sponsored military and civil contingencies in the area, civil police, administrative representatives and ongoing negotiations with the parties to the conflict.
2. *Liaison*
 - a. Conflict thrives on rumours, uncertainty and prejudice. Liaison is a vital tool of any peace support force and the key to the successful execution of operations. Failure to liaise risks misunderstanding, friction, opposition and escalation of the conflict.
 - b. Liaison between the peace support force, the host nation and the parties to the dispute is important at all levels from the Force Headquarters right down to unit level. Liaison arrangements provide the machinery to make contact, to ensure the timely passage of accurate information, to notify intentions, to co-ordinate activities, to manage crises, to lodge protests and to settle disputes.
 - c. Whilst the Force Headquarters will set up a liaison system and communications with the commanders of the opposing forces, it is equally important to establish contact and good working relations at unit levels.
 3. *Port Authorities*
 - a. Good liaison and interaction with the local Port authorities will ensure easy access and control of shipping in and out of the various ports associated with the PSO.
 - b. The Maritime Commander should also be prepared to render the necessary assistance to the local Port authorities, if required, to ensure the continued operating of the Port. It may be necessary to have trained maritime expertise; *ie* Pilots and tug masters, available in order to bring arrested vessels alongside for further processing.
 4. *Humanitarian Assistance (HA)*
 - a. The Special Representative for the Secretary General (SRSG) may appoint a Deputy SRSG, who is responsible for co-ordinating all humanitarian aspects of the mission.
 - b. Commanders must understand that Non-Government Organisations (NGOs) and Private Voluntary Organisations (PVOs) have valid missions and concerns, which at times may well complicate the peace support mission. Relationships with these non-military organisations should be based on mutual respect, communication and standardisation of support. The humanitarian organisations are to be supported where feasible in compliance with the mandate and military objective.
 - c. The establishing of formal mechanisms could improve civil-military co-ordination during peace support operations. The following are two possible mechanisms:
 - i. *Lead Agency*. A Lead Agency determined by consensus between all agencies or appointed to deal with a specific crisis or situation, *ie* the civilian police may take the lead during a situation concerning the violation of human rights. The lead agency will co-ordinate and controls the combined planning and execution of peace support operations for a specific situation.

- ii. *Civil-Military Operations Centre (CMOC)*. Commanders could establish a CMOC or a Humanitarian Assistance Co-ordination Centre to provide a standing point of contact for all outside agencies. The CMOC may perform liaison and co-ordination between the military support structure, NGOs, PVOs, other agencies and local authorities. Traditionally the CMOC would only co-ordinate with those non-military agencies that require military resources or assistance.

206 Communications

1. The ability to communicate with all military forces, NGOs, PVOs, UN agencies, host nation agencies, civilian police, religious organisations and other organisations involved in the peace support operation, is essential.
2. The communications system has to be diversified to such a degree as to make it possible to exercise operational control at all levels. It is imperative that when communicating, no comments are made on the activities of the parties involved, as they may always be expected to monitor any transmissions.
3. There are three levels of communications:
 - a. *Strategic Level*. The strategic level comprises UN HQ/New York and various UN Missions throughout the World (*ie* United Nations Intervention Force in South Lebanon - UNIFIL). The United Nations provides the telecommunications between these parties.
 - b. *Operational Level*. The operational level line of communication is between the Mission (Force) and the Contingent (Commander Task Group (CTG)) Headquarters. Either the United Nations, the Military, or a combination of both could provide this service.
 - c. *Tactical Level*. The tactical level of communication is between CTG Headquarters and his subordinate units. This service is provided for by the military.
4. *Force Headquarters to UN Headquarters*
 - a. Telecommunications between Force Headquarters and the UN Headquarters in New York are the responsibility of the Chief Administrative Officer (CAO).
 - b. Initially, it may be necessary to make use of the diplomatic links between the host government and New York, until the UN link is established.
 - c. Forces and missions are connected to the civil telephone networks in the host countries, but these are not secure and must be used with discretion.
5. *Force Internal Communications*
 - a. The guiding principle is that the Force command, liaison and administrative nets should be provided by one national contingent because of the following advantages:
 - i. Operators sharing the same native language will man the control station and rear links.
 - ii. Standardisation of voice and telex procedures.
 - iii. Standardisation of equipment and consequent simplicity in repair and maintenance.
 - b. Each peacekeeping force will have an official working language that is determined by the UN Secretariat.
6. *National Contingent Telecommunications*

Each national contingent is responsible for providing its own secure internal communications, including repair facilities.

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CHAPTER 3

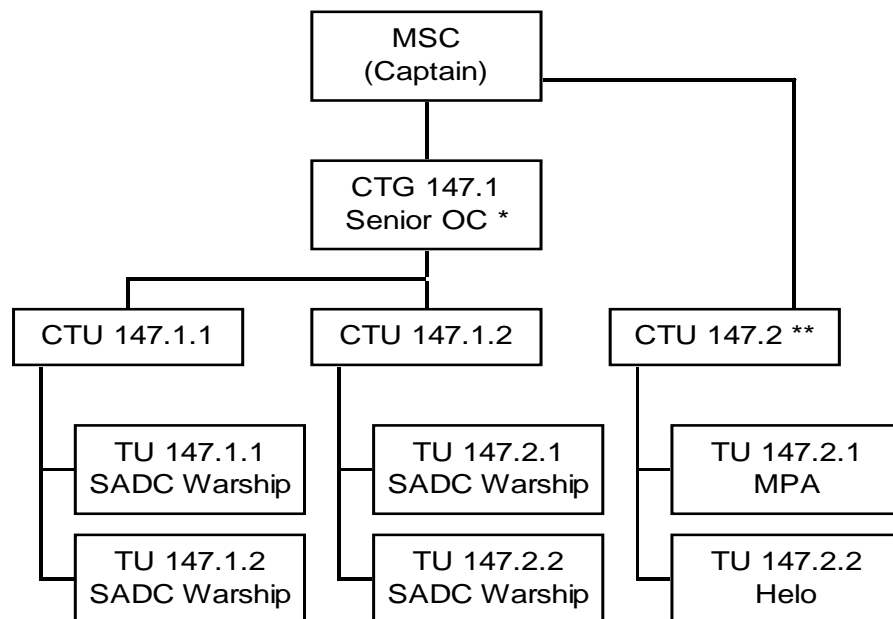
PLANNING AND PREPARATION FOR PEACE SUPPORT OPERATIONS

301 Introduction

1. Most facets of normal military training apply in PSO, although such operations require an adjustment of attitude and approach. Command and Control arrangements, communications, area surveillance and boarding are all used, although clearly there is a different mindset (:::) as in the case of peacekeeping operations for example, the military is not operating with the intention of destroying an enemy. PSO are becoming increasingly specialised, demanding a high level of expertise and knowledge from those involved. Each operation will be unique but the guidance contained in this chapter should be relevant in most cases.
2. Effective Command and Control (C²), as mentioned in Chapter 2, is vital to the success of any PSO. Complexity should be avoided if the difficulties of national differences are not to hinder the operation.
3. Training must take place at every level of involvement, although the contents and intensity at the different levels of training will differ. The importance of unit training cannot be over-emphasised.

302 Command and Control in Maritime Operations

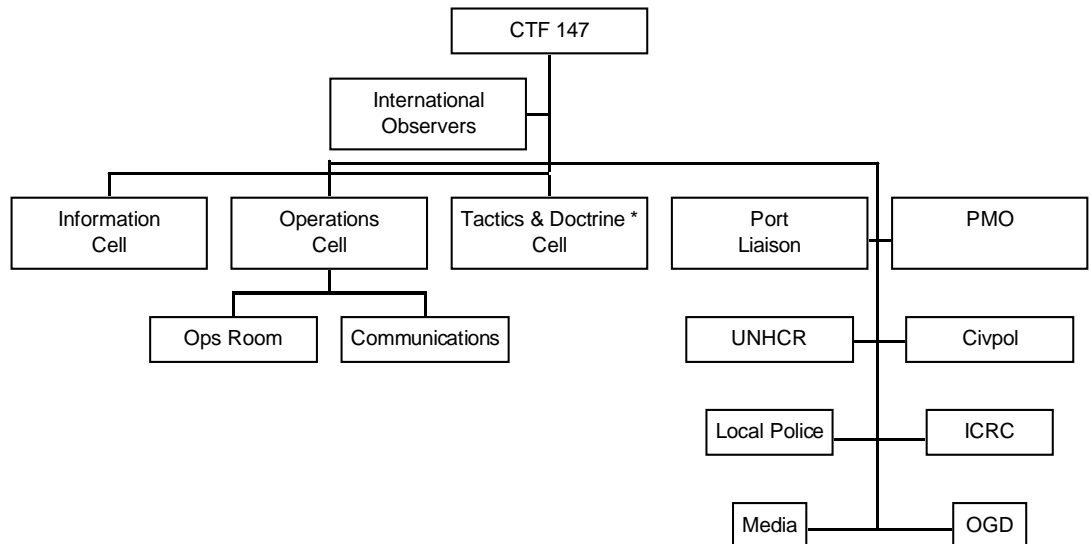
1. The spectrum of PSO covers everything from a large scale Joint and Combined effort (covering a large area) to a small scale purely naval operation. The Maritime Sector Commander (MSC) will need to be quite senior, whatever the scale of his command, to ensure that the additional civilian specialists are properly included. It is most likely that the detailed tactical decisions will be taken at sea while the MSC will play a more strategic role.
2. *Task Organisation.* The following organisation could be used:



* OC of suitable ship capable of suitable communications and plotting.

** Co-ordination of all air assets (except embarked aircraft) needs to be conducted from MSC HQ.

3. The MSC HQ could be manned as follows:



* A Tactics and Doctrine cell was set up during Exercise BLUE CRANE to develop emerging ideas.

4. *MSC Location*

Due to the presence of a significant number of supporting departments the MSC is likely to be located ashore, preferably co-located with the Land and Air Components and Force Commander. Consideration should be given to having the MSC afloat although this will require a properly suitable vessel of at least frigate size or larger.

5. *Communications*

The MSC must address issues such as equipment compatibility, frequency management, procedural compatibility, common terminology, cryptographic and communications security, data link protocols, Identification Friend or Foe equipment and procedures to avoid friendly fire incidents. Many communications issues can be resolved through equipment and personnel exchange and, where security permits, through innovative use of commercial equipment.

6. *Communications Security (COMSEC)*

COMSEC can be provided through the use of special code words and encryption devices. The level of COMSEC required depends on the capability of the threat to intercept and exploit multi-national maritime force communications. During PSO COMSEC requirements should be kept to a minimum, in the interests of openness. If unavoidable, or if a lower level of security is acceptable, the use of commercial cryptographic devices is an option that the MSC may consider to obtain an operational capability not constrained by national security sensitivities.

Note:

An example of a COMPLAN for PSO, that can be adapted as required, depending on the capabilities of the Multi-national Maritime Force, is at Appendix D.

303 Training

1. The multi-national nature of PSO will mean that there will always be a training requirement, even if only to resolve any inter-operability issues. Units should be expected to join the force with at least a basic level of training, so that training can be focused on specific PSO applications and group activity.
2. SADC PSO training should be structured along the following lines:
 - a. *Force Preparation Training*. Basic training given by individual nations to their units and should form a general education on the UN, the relevant laws and general PSO formulation.
 - b. *Pre-Deployment Training*. Before a Task Force (TF) is deployed there should be some group training to TF members which will include specific information on the countries involved, the specific mandate, the military's mission and interoperability exercises.
 - c. *In-deployment Training*. Once in area the skills and techniques taught by member nations will need to be applied to a situation that is unique. This period may need to cover those subjects covered in par b above in the event of a short notice. This level of training is largely aimed at ensuring commonality in capability and effective interoperability.
 - d. *Post-Deployment Training*. Whatever actions member countries feel is necessary to return their units to the required operational fighting efficiency.
3. Units committed to UN operations are expected to be proficient in basic techniques; rarely will there be time to conduct basic unit training. The following is a syllabus of training that should be conducted where possible:
 - a. *Force Preparation Training*
 - i. Background to and principles of PSO.
 - ii. The UN and The Charter.
 - iii. Humanitarian Law.
 - iv. Types of PSO.
 - v. Background knowledge on the SOFA and ROE.
 - vi. Communications and voice procedures.
 - vii. Patrolling and boarding.
 - viii. Negotiations and liaison.
 - ix. Use of force.
 - b. *Pre-Deployment Training*
 - i. The geography, history, economy, political system, armed forces, internal and external influences and culture and customs of the country concerned.
 - ii. The mandate and mission (including military mission).
 - iii. ROE.
 - iv. Weapon training.
 - v. Interoperability confirmation and exercises.
 - c. *In-deployment Training*
 - i. Recognition of equipment and weapons.
 - ii. Mediation.
 - iii. Contingency planning.
 - iv. Health and hygiene hazards.

4. *Standard Operating Procedures (SOPs)*

SOPs are important to ensure common parameters and clear understanding of orders between multi-national maritime forces. These should be planned and exercised prior to any multi-national forces deployment.
5. SADC SOPs for PSOs will be developed from the various Multi-national Maritime Manuals (EXTAC 1000 series), in PSO. Further SOPs and particular communication requirements will be clarified and tested during the pre-deployment training period.
6. *PSO Familiarisation Training*

The specific circumstances of what gave rise to the need for a PSO will also help to identify what training is required. Training in this regard will differ from operation to operation and the intensity of training will be determined, as the situation requires. The following outline, however, should be followed:

 - a. General Principles With Regard To Peace Support
 - i. Relevant definitions, key concepts and the purpose of PSO.
 - ii. Terminology involved in matters pertaining to Peace Support.
 - iii. The purpose and goals of the specific PSO.
 - b. Legal Principles and Rules.
 - c. Command.
 - d. Discipline.
 - e. The Use of Force Principle. (This training would also include the training and application of the ROE).
 - f. Other legal principles and rules
 - i. The United Nations Charter.
 - ii. Universal Declaration on Human Rights.
 - iii. International Covenant on Civil and Political Rights.
 - iv. International Covenant on Economic, Social and Cultural Rights.
 - v. Numerous other treaties that focus on particular categories of persons.
 - vi. Specific instructions and information relating to the operation, such as the relevant SOFA and mandate.

Note:
Much of the necessary details can be found in Chapter 5 and the numerous publications listed in Appendix E.
7. *Other Training*

All members involved in PSOs should receive training or be re-trained in areas where specific knowledge is required, including the following:

 - a. Combat readiness.
 - b. Liaison with the media and Public Relations.
 - c. Dealing with refugees.
 - d. Administrative procedure with regard to the operation.
 - e. First aid.
8. The success of any PSO depends largely on the level of discipline and the professional quality of the members involved. A high level of professionalism can only be achieved by thorough training and re-training until the desired level has been reached. PSOs are unique in the fact that members involved need to be able to change their approach according to the current situation. Only well-trained personnel will be able to deal with these demands successfully.
9. It is important to note that the demand and nature of PSO are changing all the time. Therefore, any

training required will also change from one operation to the next. It is the duty of the command structure to identify the areas in which training is required and to train their members to the required level prior to the commencement of the particular PSO.

CHAPTER 4**ENCOUNTERING VESSELS AT SEA****INDEX**

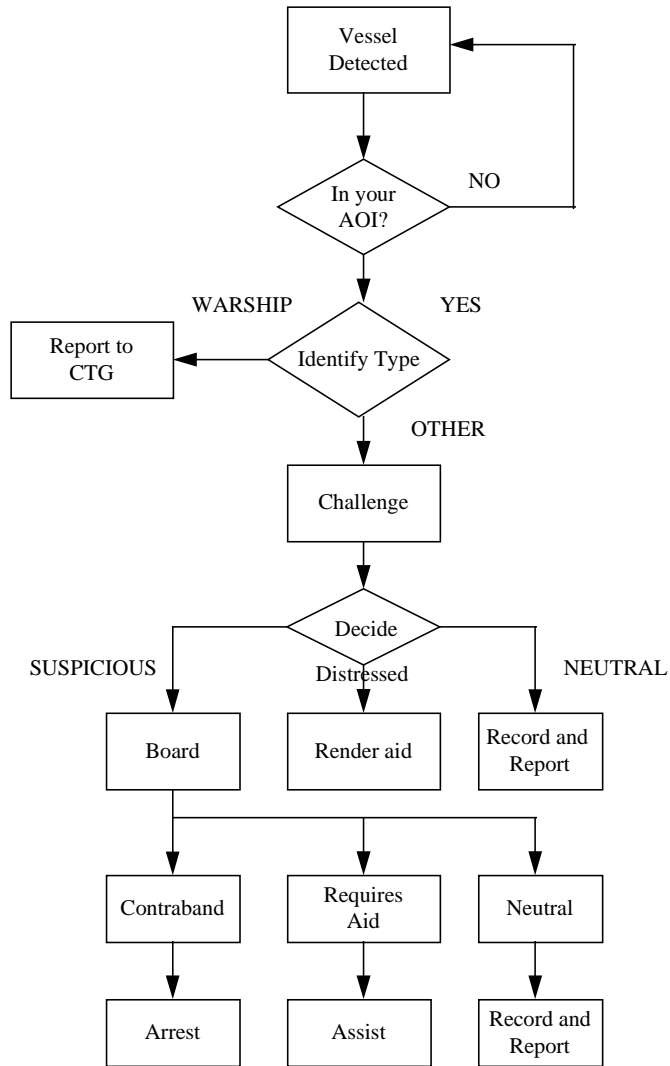
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CHAPTER 4

ENCOUNTERING VESSELS AT SEA

401 Introduction

1. While operating at sea, vessels in support of PSO, will encounter a number of expected and unexpected situations whatever their tasking. Any vessel encountered in the operating area needs to be assessed and will fall into 3 categories:
 - a. “Neutral” ships on innocent passage.
 - b. “Distressed” vessels in distress requiring immediate assistance.
 - c. “Suspicious” vessels that may or may not comply with any given instruction. Such vessels will be boarded and searched by Maritime Forces enforcing the exclusion zone during PSOs.



**Tactical Decision Aid
Fig 4-1**

2. *Prohibition on Interference*

- a. A merchant ship that is on the high seas and flying the flag of a recognised state, is immune from all interference while on the high seas by ships of any state other than her flag state.
- b. The right of visit and search is a “right of war” which generally may only be exercised on the high seas in time of peace by virtue of an express stipulation in an international treaty or in the course of maintaining the security of navigation by a generally recognised usage in the interest of all nations. The authority will therefore have to be included in the mandate before visit and search can occur. Other general recognised exceptions to this rule include
 - i. cases where international crimes have been committed;
 - ii. in execution of a lawful hot pursuit; and
 - iii. where interference is dictated by the exercise of the right of self-defence.

402 **Vessel Identification**

1. *Identification*

Effective monitoring of an area requires the Commander Task Group (CTG) to have an accurate picture of all vessels operating in the Area of Interest (AOI). Whenever patrolling craft detect any vessel, that vessel will need to be properly identified. It is possible that there may be a non-aligned or non-participating warship in the region that must be reported to the appropriate Maritime Sector Commander (MSC). Otherwise all other traffic, whatever its size, will need to be formally identified before any action is taken.

2. *Challenge*

Communicate your presence and intentions to all vessels in your area by whatever means are appropriate (radio, flashing light, loud hailer, or main broadcast). The MSC should issue a standard challenge to be used by all participants (Appendix E). Once communications are established further relevant information (Appendix E) is to be obtained prior to any boarding.

3. *Distressed Vessel*

A vessel may indicate that she has a problem or requires assistance. Problems include all of those that occur at sea (fire, flood, engine failure *etc*), or may be more humanitarian in nature.

4. *“Neutral” Vessels*

Vessels that are on innocent passage, or are not involved in the current operation, should be recorded and reported to CTG as required. Assuming a willingness to communicate freely, the information provided is logical and does not contradict the intelligence profile, a vessel can be presumed to be “neutral”.

5. *Suspicious Vessels*

Intelligence reports, a reluctance to communicate or any other contra indication may lead OCs to believe that the vessel is behaving suspiciously and will require boarding.

403 **General Principles**

1. The key factor in Maritime PSOs is the level of consent/compliance in the vessel encountered. OCs must be aware that operations conducted in benign conditions, with apparently willing vessels, can quickly change to something more sinister. The following guidance is relevant for all operations:

a. *Positioning*

- i. Patrolling vessels must act strictly in accordance with the "Rule of the Road" and the normal practice of good seamanship. Consideration must, however, also be given to the prevailing sea and weather conditions when positioning the boarding vessel. If possible, the encountered vessel should be kept on your own port side to take advantage of International Regulations. The recommended distances for minor warships is about 200 - 400 yards and for major warships is 400 - 600 yards, which should allow for maximum observation of the vessel to be boarded.
- ii. Weapon arcs, whatever the perceived risk, must be kept open at all times.
- iii. To ensure a rapid deployment of the Boarding Parties (BP), it is vital that two boats are available for boarding. This will ensure that there is a redundancy built into the boarding, should one boat become defective.
- iv. Lowering of sea boats and deployment of BP should be conducted out of view from the encountered vessel.
- v. Deployed sea boats must be visible to the boarding vessel at all times and should not be positioned behind the vessel being boarded.

b. *Professionalism*

All operations must be conducted professionally. Encountered vessels must be left in no doubt that they are dealing with a most proficient warship, manned by professionals, who mean business.

c. *Readiness Condition*

While a normal cruising condition is appropriate for vessel identification, all patrolling craft must be prepared to increase their readiness condition at short notice.

d. *Ships in Distress*

Warships and/or military aircraft shall, insofar as it can be effected without serious danger to any such warship or military aircraft, its crew and passengers and in times of armed conflict without serious prejudice to an operation where the warship or military aircraft is engaged at the time-

- i. render assistance to any person found at sea in danger of being lost;
- ii. proceed with all possible speed to the rescue of persons in distress at sea, if informed of their need for assistance, in so far as such action may be reasonably expected of such warship or aircraft.
- iii. after a collision at sea, render assistance to the other ship, its crew and passengers and where the collision involves the warship, if possible, inform the other ship of its name, its flag state and the port at which it will call.

404 Naval Boarding Operations

1. Boarding operations may involve the use of maritime surface, sub-surface and air forces in the identification, interrogation, searching and diversion of vessels in a specific area. These operations may be subject to case by case political control and are liable to close public scrutiny. Therefore, the conduct and procedures employed by the parent warship and the BP demand the highest standards of professional conduct.
2. International Naval boarding operations may take place on the high seas or in other nation's waters and may involve interference with the free passage rights of shipping, as well as the possible use of armed force.
3. *The Use of Force*
 - a. *To stop a vessel.* Since the right of boarding a vessel is legally acceptable in terms of the

conventions, it is reasonable to conclude that, if necessary, the use of force to stop a vessel prior to boarding is also acceptable. Thus, if a vessel fails to stop on being signalled to do so, the ROE will control the action to be taken. "Stopping" a vessel includes instructing him to reduce/increase to a speed and/or alter to a course that facilitates boarding.

- b. *Arresting of a vessel.* Where there is prima facie evidence that there has been a breach of the mandate, the Boarding Officer will arrest the Master and the vessel ordered to proceed to the nearest port. It is of vital importance for numerous reasons to leave the arrested Master in charge of the vessel and no attempt must be made by members of the BP to assume command. Steps should be taken to ensure that evidence is not destroyed or tampered with, prior to a more extensive search being carried out alongside.
 - c. *Use of Force.* Force at all times should be applied proportionally as well as meeting the requirement of minimum force. Furthermore, except for PE operations, in most cases, force in self-defence only will be permitted. Furthermore, the use of deadly force should meet the following criteria:
 - i. Deadly force in self-defence may only be used if a member or another "friendly" is about to be killed or seriously injured or to protect resources that are inherently dangerous to others (such as weapons), or if such resources have been designated as "vital to national security".
 - ii. Everything possible must be done to control the situation prior to resorting to deadly force. Deadly force is justified only as a last resort. When possible, physically restrain the individual before escalating to the use of deadly force.
 - iii. Force should always be proportional and should escalate in severity whenever possible. Measure the amount of force that is used against the necessity to protect lives or to accomplish the mission.
 - iv. The following may serve as a guideline for meeting the requirement for escalation of force (known as the 6 "s"):
 - (1) SHOUT a warning.
 - (2) SHOW your weapon.
 - (3) SHOVE and restrain the individual.
 - (4) Warning SHOT (if authorised by the ROE).
 - (5) SHOOT to injure.
 - (6) SHOOT to kill.
4. *Restoring Law and Order*
- a. The boarding of a vessel to restore law and order would normally be undertaken at the request of the Master, or by some other competent authority. It does not, however, follow that co-operation can be expected during or after boarding, as the Master and Officers and indeed a portion of the crew may well be under siege. No boarding will be conducted to restore law and order if the situation is deemed to be hostile. Under this circumstance the vessel is to be escorted to the nearest port.

- b. The decision to board will depend on information received from the vessel. If the Master, or any of his Officers, are still in control of the bridge, the Boarding Officer should endeavour to reach them as soon as possible after boarding. Thereafter he should act as necessary to restore law and order.
- c. Should the situation be completely confused, the BP should muster all personnel on board and place them under guard, on the upper deck, until the troublemakers have been isolated.

5. *Collecting Of Evidence*

Whenever an offence is suspected, or has taken place, it is essential to collect as much reliable evidence as possible in the form of the following:

- a. Accurate fixes of the positions of own and suspect vessels, at the time of the offence, taken by two people, independently and including recently obtained equipment errors.
- b. Accurate fixes at the time of arrest or boarding.
- c. Certified copies of both ships' track charts, when pursuit has been carried out. Legal requirements will demand that any pursuit is continuous and unbroken.
- d. Photographs, which display the date and time, of any items of interest, including anything that is thrown overboard or is being towed.
- e. An accurate narrative, including (if applicable) reference in the narrative to the fact that a photograph was taken.
- f. Tape recordings, where possible, of all significant conversations. Inter ship radio communications should also be recorded either verbally or in writing.
- g. If at all possible, the ideal is that all activities should be recorded on a video recorder that reflects the date and time of the recording.

6. *Boarding Party Tasks*

The BP may be employed for the following purposes:

- a. To establish the identity of a suspicious vessel.
- b. To establish the legality of a vessel's cargo or passengers.
- c. To prevent contravention of a mandated embargo.
- d. To render humanitarian aid.
- e. In support of NGO (with or without NGO representative embarked).

Note:

Although passive or armed resistance may not be considered likely, prior to the execution of a particular boarding, it may be encountered or develop as the boarding unfolds. Therefore, the BP must be trained to deal effectively with these situations and be able to withdraw safely.

7. *Sizes and Types of Vessels That Can Be Effectively Boarded*

- a. *By minor war vessels.* Boarding parties from minor war vessels (eg MCM Vessels or FACMs) would only be effective against vessels that can be easily boarded. Physical aspects that affect the ability to board a vessel include the following:
 - i. Freeboard of the vessel to be boarded.
 - ii. Type of access (*ie* accommodation ladders, pilot ladders, *etc*).
 - iii. Dangerous obstructions (overhanging obstructions, partially exposed propeller, *etc*).
 - iv. Prevailing weather and sea conditions.
 - v. Number of personnel onboard the vessel to be boarded.

- vi. Number of members in the BP.
- vii. Own specialist equipment (boat size and type, ladders, *etc*).
- viii. Previous training and experience of the BP, in particular the RHIB coxswain.
- ix. The ability of the BP to maintain the security over the Vessel of Interest's crew and control over principal spaces such as the bridge, engine room and upper decks.

Note:

The concept of two minor warships working in tandem to conduct boarding of a single Vessel of Interest could be considered.

- b. *By Major War Vessels.* Frigates and above would normally be capable of boarding larger merchant vessels. However, the physical aspects mentioned above must still be considered. Vessels of this size would normally be capable of inserting a BP by means of a helicopter.

8. *Fast Roping*

Specially trained troops may be inserted by helicopter using the fast roping method. This is a specialised operation that could be conducted alone or in tandem with a patrolling vessel. This could be a way of supplementing a minor war vessel's capability to conduct boarding, especially when close to land or in company of larger warships. Be aware, however, that a boarding party inserted by helicopter, are especially exposed to harm such as kidnapping. Visible and effective support, such as the physical presence of a warship, of such a boarding party must always be close at hand before this option is considered.

9. *Actions of Boarding Party Members.* A BP should be deployed as follows:

- a. Numbers 1 and 2 should secure the embarkation point and once all BP members are onboard, secure the mustered crew. The Vessel of Interest's crew should be mustered at a location that can clearly be seen from the patrolling vessel's bridge.
- b. The Boarding Officer and 1 other BP member should make their way straight to the bridge, identify themselves to the Master and expect to see the applicable documentation.
- c. Numbers 5 and 6 should secure and seal the Radio Room. They should then secure the engine room, ensuring that the engines are not operated without specific instructions from the Boarding Officer and prevent any attempt at scuttling or sabotage.

10. *Searching*

BP members must operate in pairs to ensure that they cover each other at all times even as they proceed through doors and hatches. The crew should be used to open doors and hatches.

405 Types of Boarding

1. *Co-operative Boarding*

This is a boarding where no resistance, passive or active, is threatened or envisaged and where the Master and crew of the Vessel of Interest are both co-operative to the instructions from the warship. The boarding may be consensual or the Vessel of Interest may be directed to submit to boarding if it is suspected of being in violation of International laws or the UN Resolution that the Officer Commanding is mandated to enforce.

2. *Uncooperative Boarding*

This is when the master of the Vessel of Interest has an uncooperative attitude and disrupts the intention of the warship to board with any of the following:

- a. Delayed response to VHF Bridge to bridge communications and a general aggressive tone in response to instructions from the warship.
- b. Slowness to rig or lower a ladder.
- c. Delays in altering course or slowing for boarding.
- d. Professing engineering difficulties.
- d. Slowness to muster personnel as requested.

3. *Obstructed Boarding*

This is when a Vessel of Interest refuses boarding and fails to respond to the direction of the warship to facilitate the insertion of the BP. There is no indication of firearms on board the Vessel of Interest and no indication that the crew will actively resist the boarding. Boarding may be obstructed by any of the following actions:

- a. Refusals to stop, slow or manoeuvre to the directed boarding course. Each type of vessel has its own unique sea-keeping and propulsion qualities that affect its ability to comply with the warship's instructions.
- b. Non-compliance with direction to muster crew prior to boarding.
- c. Refusal to lower a ladder.
- d. Manoeuvring to hamper the warships stationing ability.
- e. Manoeuvring to prevent the placement of a RHIB, zodiac or helicopter into a position to insert the BP.

4. *Opposed Boarding*

This is boarding where active resistance is manifestly evident as follows:

- a. Evidence of equipment or obstructions rigged to foul or prevent boarding.
- b. Manning of the upper deck and guard-rails with personnel whose purpose is to fend-off boarders and cut, entangle or foul devices used by the BP for insertion.
- c. The presence of firearms, either suspected by intelligence or evident in the possession of the Vessel of Interest's crew.

5. SADC BPs will not undertake an Opposed boarding unless otherwise directed by a superior authority in extraordinary circumstances. The conduct of obstructed boarding is restricted by the following conditions:

- a. The boat's coxswain and BP have been trained and assessed as competent in obstructed tactics, including (Rigid Hull Inflatable Boat) RHIB insertion using manoeuvring targets.
- b. The freeboard of the Vessel of Interest permits easy access.
- c. Weather and sea conditions permit the safe conduct of the insertion.

6. While the differences between the four boarding types are subtle, each can be directly related to a specific ROE required for the conduct of that particular boarding.

7. When the Vessel of Interest is uncooperative, the OC must weigh up the effect that other, more aggressive and coercive measures such as intimidating VHF communications, searchlight illumination, training main armament, warning shots, non-disabling and disabling fire (as appropriate and authorised by ROE) have had on the Vessel of Interest. Furthermore, the value and necessity of accomplishing the boarding must outweigh the risk involved.

8. An obstructed boarding will require ROE permitting higher levels of intimidation such as warning shots and most likely will require the arrest of the master and/or the crew of the Vessel of Interest, once the BP is inserted. Additionally, each type of boarding will demand a particular weapons policy that will place the BP in an appropriate state of readiness.

406 Weapon Policy

1. *Main Armament.* Main armament should always be ready for use in accordance with current ROE. While guns must not be used or prepared in a way that may be considered escalatory, they must be ready for use at short notice.
2. *Personal Weapons.* While it is policy that all BPs shall be armed, their employment as a matter of policy will ensure that they do not undertake boarding where they can expect to be actively resisted or to come under fire. Weapon policies are promulgated to allow the Boarding Officer to change the readiness of his team during the conduct of the boarding in the event that the on-scene security situation changes. Personal Weapon Policies are defined as follows:
 - a. Policy GREEN - Weapons made safe (uncocked, safeties on, no rounds chambered). All weapons holstered or slung.
 - b. Policy YELLOW - Weapons made safe (safeties on). Rifles, sub-machine guns and shotguns will be carried at the ready. The 9mm pistol, shall be carried with a round chambered and the hammer eased forward by the decocking lever. Personnel not able to draw their pistol in view of the nature of their work (*eg* the Boarding Officer) shall be covered at all times by a sentry.
 - c. Policy RED - Weapons drawn, round chambered and safety off.
3. Policy YELLOW has the impact of demonstrating authority and preparedness of the BP. In certain instances, it may be prudent to board the Vessel of Interest in Policy YELLOW. Once the Boarding Team has embarked and the security and temperament of the crew ascertained, the Boarding Officer may consider reverting to Policy GREEN.
4. During Policy RED, weapons will remain drawn and ready for use at all times unless there is a requirement to restrain a crewmember or to conduct a compartment or container search. When one member of the team holsters or slings his weapon, another member will ensure that he/she covers this individual with a drawn weapon.
5. Prior to boarding, the OC, in accordance with the ROE, shall direct his Boarding Officer with the relevant weapons policy. The Boarding Team is to be clearly briefed by the Boarding Officer as to the level of threat and the Weapons Policy in effect.
6. Code words should be used for ease of communication between the BP and the parent vessel. As a minimum there should be words for "abandon boarding", "BP member taken or injured" and "regroup". BPs should avoid using names and may wish to refer to each other as numbers or job titles or "handles".
7. *Suitable Weapons*
Consideration must be given to the velocity of rounds fired from personal weapons. Shotguns using small gauge shot may be more suitable in the confines of a vessel at sea than the usual high velocity rifled weapons used by the military.

407 Personnel Requirements

1. Ideally a combined team of suitably trained commandos and sailors should board Vessels of Interest. Warship crew size and number of boats available will determine the size and composition of a BP. A BP comprising six commandos and the Boarding Officer should be sufficient to secure a vessel before the specialist boarding party of six sailors embarks to conduct a search or carry out a document inspection.
2. All members of the BP should be in radio contact with each other. The Boarding Officer is to have an independent external communications link with the parent vessel.
3. BPs must at least have a "first aid" capability to deal with casualties.
4. The Boarding Officer must have sufficient authority to take whatever legal action is necessary. In most cases only the patrolling vessel's second in command will be suitable.

5. Boarding Party Skills

Below is an outline of the skills required by the various Officers and ratings.

- a. *Officers.* Boarding Officers should be well versed in boarding techniques and organisation of boarding parties. They should be familiar with mercantile marine practices, merchant ship layout, cargo stowage and manifests. Naval forces belonging to SADC members should ensure that a Boarding Officer's pack is provided as an aide-memoir.
 - b. *Technical Personnel.* Boarding Parties should always include suitably qualified technical personnel who should be familiar with mechanical and electronic equipment used by merchant vessels.
 - c. *All BP Personnel.* All officers and ratings must be completely familiar with equipment, weapons and search techniques used during boardings.
6. *Training*
The following points should be stressed during training and when briefing boarding parties:
- a. No hesitancy or indecision on their part must be apparent.
 - b. All duties must be carried out in an efficient and determined manner.
 - c. All orders given to members of the crew of the boarded vessel are to be firm, clear and precise.
 - d. No fraternisation is permitted between members of the boarding party and the ship's crew. However, useful gossip can be obtained whilst monitoring the crew.
 - e. No hospitality whatsoever is to be accepted from members of the ship's crew.

Note:

Training should include as much practical boarding exercises as possible.

7. Dress For Boarding Parties

It is considered that members of boarding parties can best fulfil their role if they are dressed and equipped as follows:

- a. Working rig/non-skid shoes/suitable personal protection/lifejacket.
- b. Web belt/torch.
- c. Baton and/or personal weapon.
- d. Handcuffs/cable-ties/pepper spray/mace/CS gas.
- e. "First" field dressing.

8. BPs can expect to get wet during boardings and should take appropriate precautions with regard to the weather. Boardings may take in the region of 2 hours to complete. Should a vessel need to be arrested and escorted to the nearest port, arrangements should be made to ensure that BPs are self sufficient *wrt* food and water.

408 Encountering Refugees/Survivors at Sea

1. When confronted with a situation that requires rendering assistance to persons, ships and/or aircraft in distress, SADC vessels should always act with due consideration of the International humanitarian laws and principles.
2. Upon encountering a vessel that may require assistance, the OC should ascertain the following:
 - a. Whether there is an emergency that requires immediate attention.
 - b. The specific circumstances relating to the requirement of assistance.
 - c. The number of and information on the personnel onboard.
 - d. The state of seaworthiness of the vessel.
 - e. Any other relevant information needed to determine the specific nature of the situation.

409 Situation Requiring Immediate Attention

Priority must be to save as many lives as possible, without endangering own ship and/or crew. There are no hard and fast rules as to how best to accomplish this, but the OC must take the best action to resolve the situation expeditiously.

410 Other Situations Requiring Assistance

1. Action to be taken under these circumstances will vary, depending on the specific circumstances of the situation, for example types and number of people onboard, state of the vessel, the request itself, state and make-up of the crew and others.
2. When analysing the circumstances the OC must consider all the relevant factors and make an informed decision, based upon his knowledge and experience at sea.
3. However, when analysing the situation with regard to the specific type of persons onboard, special note must be taken of the specific rules laid down in the International humanitarian laws such as the Geneva Conventions and Protocols.

411 Treatment of Refugees

1. Refugees are those individuals who have been forced by events or persecution to leave their homeland to seek refuge and safety elsewhere, in other words, displaced persons.
2. Refugees are civilians and should be treated according to the principles laid down in the Geneva Conventions with regard to protected persons. These principles stipulate that they should be treated humanely in all circumstances and should enjoy protection, without any adverse distinctions based upon race, sex, religion, *etc.*
3. Refugees are not prisoners of war or hostages and any confinement or restrictions onboard, must be justifiable, based on principles relating to their own safety, matters of security and the safety of the vessel or its crew.
4. The particular mandate to the PSO and agreements between all parties will determine the status and subsequent handling of these displaced persons. The duty of the OC would be, once encountering a possible refugee situation, to relieve the immediate danger and to satisfy the particular needs according to the principles of International humanitarian laws.
5. These persons will then be escorted to a designated area where they will be handed over to the appropriate authorities (UNHCR) that are dealing with refugees or displaced persons, to provide

further humanitarian assistance.

412 General Guidelines to be Followed When Handling Refugees at Sea

1. Vessel Seaworthy

- a. The vessel is to be boarded in order to confirm the information already gathered, such as the types and number of persons onboard, the state of the vessel, weapons onboard, *etc.*
- b. All the details of these observations must be logged in order to be able to supply this information on request in future.
- c. Should the situation require it, a small contingent of the ship's crew can remain onboard to ensure the safe passage of the vessel to the nearest safe port.
- d. The appropriate authorities are to be informed of the situation in order to make the required preparations.
- e. Should the ship be reluctant to proceed to the port, the OC must still act according to the parameters laid down in the mandate and SOFA, as well as the aim of the particular PSO.

2. Vessel Unseaworthy

- a. Should the vessel appear to be unseaworthy, but in no immediate danger of sinking, a BP should be placed on the ship to confirm the state of the vessel. Should it be at all possible to save the stricken vessel, all attempts must be made to do so, always bearing in mind the safety of all involved. If she cannot be saved, appropriate action must be taken to transfer personnel safely from the distressed vessel to the rescue vessel.
- b. Should the damaged vessel be considered a navigational hazard, the appropriate authorities must be informed. Instructions from the appropriate authority may result in the sinking of the damaged vessel.
- c. Ideally and if at all possible, all personnel/refugees should be searched and disarmed prior to being embarked on the rescue vessel. The search should be such, that all objects that may pose a threat to achieving the aim of the PSO, are removed. Should an immediate search not be possible, personnel/refugees should be searched immediately upon embarkation. Any confiscated weapons must be placed in an appropriate magazine/designated secure area.
- d. An accurate log including serial numbers must be kept of all confiscated weapons/equipment with respect to owner, type, calibre and serial number.
- e. It is vital that all personnel/refugees are searched and therefore imperative that each vessel conducting PSOs, carry at least one female onboard. In the likely event that no female searcher is available, women embarked should be kept one side until they can be searched.
- f. Search procedure must be conducted in a professional, impartial, fair, consistent and dignified manner.
- g. After being searched, personnel/refugees should be moved to a safe position, where they can be controlled and given food, water, blankets and medical treatment.
- h. A safety briefing and appropriate measures must be taken to ensure the continued safety of the personnel/refugees. Sufficient crew must be stationed in order to ensure continued control and safety of personnel/refugees. If possible, ship's regulations/routine should be available in printed format, in personnel's/refugees languages.

- i. An accurate name list must be compiled and forwarded to proper authorities for record purposes, enabling them to make the necessary preparations. Information should include the following:
 - i. Number of displaced persons.
 - ii. Names of these persons.
 - iii. Leader's name, if applicable.
 - iv. Any medical requirements.
- j. It is important to note that a person in this situation is usually distressed and unsure. Therefore, as soon as possible, they must be informed of their situation, the PSOs good intentions and the undertaking to ensure their safe arrival at a place of refuge.
- k. Unless otherwise directed, the ship should proceed directly to the position where the transferred persons will be handed over to the appropriate authorities.

413 Additional Safety/Security Measures Onboard

1. Should specific circumstances onboard warrant the implementation of additional safety measures, the OC may order such measures as deemed appropriate. These measures may include additional security/observers during mealtimes, the carrying of batons/small arms by observers/ship's company or separation/isolation of one or more of the personnel/refugees.
2. *Restricted Areas*
Sensitive areas such as crew's quarters, communication and electronic spaces and engineering spaces should be placed out of bounds for the personnel/refugees. Clear rules and regulations with regards to smoking must be communicated and strictly enforced.
3. *Emergencies*
Unless otherwise ordered, personnel/refugees are to remain in their assigned compartments. Familiar crewmembers should join personnel/refugees in their spaces during ship's evolutions and emergencies to provide assistance.

414 Well-being

1. Most personnel/refugees are not familiar with Navy ships and military customs. They are in strange surroundings and uncertain as to their fate. The following should be considered when dealing with them:
 - a. Be attentive to their overall morale. Treat them with dignity and respect.
 - b. Provide them with available information concerning their status and your intentions toward them.
 - c. Request interpreters, if not already available, to help organise and direct shipboard activities.
 - d. Be aware that personnel/refugees morale should improve as their standard of living improves, they become familiar with their surroundings and they recognise the effort from the crew to help them.
2. *Recreation*
A lengthy stay in a ship may cause restlessness or discontent among personnel/refugees. Release of pent-up energy and frustrations could be alleviated by
 - a. divine services suitable for the religion(s) of the personnel/refugees;
 - b. cultural music;
 - c. card and domino games;
 - d. books or magazines in the native language; and/or
 - e. movies and cartoons (carefully selected).
3. *Routine and Involvement*
Establish and adhere to a routine, with slight daily variations to keep people content and occupied. Constant interaction by the crew must be maintained to hold personnel/refugees confidence, with

frequent updates on their situation/intended plans.

4. *Other Considerations*

Planning, imagination and sympathy (considering personnel/refugees are distressed and hopeful people, not prisoners) is beneficial and must be encouraged throughout the crew. Provide a means of feedback from personnel/refugees and use suggestions to improve their quality of life.

5. *Ship's Facilities*

Use of ship's facilities is easier if one person/refugee is used as a point of contact. A recreation and morale representative can co-ordinate and plan recreational programs and the use of available equipment/services/facilities. The following services/facilities may assist in helping to improve morale among the personnel/refugees:

- a. *Ship's Library*. The ship's library should be available for use. If necessary, procure additional reading materials before personnel/refugees embark.
- b. *Daily News Service*. Issue daily news sheets or read news items to the personnel/refugees.

415 Asylum Aboard Warships

1. The Commander of a warship must not receive on board a person who is charged with a non-political crime (except if such a person is in distress at sea) and may expel such person if he has entered the warship without permission.
2. Where, however, a person charged with the commission of a non-political crime has been admitted on board a warship, the territorial authorities
 - a. may not remove him therefrom;
 - b. must "strictly abstain from any act of compulsion" on board the warship; and
 - c. may seek the removal of the criminal through diplomatic channels only.
3. The reception of political offenders is justified by custom as long as they are kept harmless. The principle has evolved that a political offender "ought not be sort out or invited", but if he appears at the side of the ship and asks admittance, he need not be turned away and as long as he is innocuous, the territorial government has no right to either demand his surrender or to expel the ship from internal or territorial waters on account of his reception.
4. A practical problem facing commanders, who are met by requests for asylum, is to distinguish between political and non-political offenders. Consequently, every commander must on receiving such a request immediately communicate it to the MSC who must in turn refer the situation to the Department of Foreign Affairs.
5. This must be done before the offender is received except where such offender is in imminent personal danger.

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CHAPTER 5

LEGAL ASPECTS OF PEACE SUPPORT OPERATIONS

501 Introduction

1. There are certain basic and general rules relating to the legal principles and rules to be applied before the commencement of and during PSO. However, the scope for the law applicable to these operations is so vast, that it is impossible to provide the rules and principles to be applied in any specific scenario. Usually the application of the law in these circumstances is the result of on the spot, or if required and time permits, lengthy research conducted by legal personnel. The law pertaining to PSO has not yet developed to the extent that a quick reference method is available. Each situation that occurs must be dealt with in accordance with the specific circumstances and will require the interpretation of existing laws and customs with regard to PSO.
2. Certain aspects of a legal nature are, however, very prominent in any PSO. It is unlikely that the OC will be a legal expert on PSO, but it is important for the OC to be aware of their existence. It is therefore imperative that Legal Officers are part of the operational planning process, part of the MSCs staff and carried onboard warships if possible, to advise command on legal aspects. If Military Legal Personnel are not available, immediate access to legal advice *must* be available.

502 Status of Forces Agreement (SOFA)

1. The UN Model SOFA is the benchmark SOFA and should be used as a guideline for the drawing up of all SOFAs.
2. Prior to deployment, a SOFA should, where possible, be agreed upon with the host nation. The SOFA should establish the legal position of a PSO Force and its members with the government and citizens of the host country. The SOFA, which has the standing of a treaty, usually addresses the following fundamental issues:
 - a. Status/Foreign Criminal Jurisdiction.
 - b. Claims.
 - c. Force Security/Use of Deadly Force.
 - d. Entry/Exit Requirements.
 - e. Customs and Taxes.
 - f. Contracting.
 - g. Vehicle Registration/Insurance/Drivers' Licences.
 - h. Communications Support.
3. The mandate, SOFA, ROE as well as national and international laws, conventions and agreements, will control the conduct of the PSO. When no local accord can be agreed upon, the 1946 "Convention on the Privileges and Immunities of the UN" can be used as a default regime to provide for the privileges and immunities of UN personnel and matériel.

Note: The UN Model SOFA has been included at Appendix B.

503 Period of Deployment

No specific time limit for operational deployment is set out in the UN Charter. If circumstances are of such a nature that the lengthy deployment of an individual can pose a risk to the success of the operation, the further deployment of such a member may be reconsidered. The fairness (or unfairness) regarding a member's period of deployment, must be dealt with along the usual lines by making use of the divisional system. PSOs are generally lengthy processes and recent UN deployments indicate that deployments for such an operation are generally between 6 and 12 months.

504 Rules of Engagement (ROE)

1. ROE are directives that delineate the circumstances and limitations under which force may be used and usually reflect the following considerations:
 - a. Operational capabilities/imperatives.
 - b. Political and diplomatic considerations of government authorising the use of force.
 - c. Legal parameters that govern the use of force.
2. ROE will reflect political, military and legal restraints. These rules should never inhibit a commander's ability to take all necessary steps to protect his force.
3. It is of utmost importance that all members, who participate in the PSO, are aware of the content and share a common and *correct interpretation of the ROE*. For example, terms such as "hostile act" which are susceptible to more than one interpretation, must be defined, explained and understood by everybody.
4. In order to ensure that ROE are legally and tactically sound, versatile, understandable and easily executable, both the Military Legal Officer and command must understand the full breadth of policy, legal and mission concerns they embrace and collaborate closely in their development and implementation, including training. Military Legal Officers must become familiar with mission and operational concepts force and weapon systems capabilities and constraints and "battlefield" operating systems. Command must familiarise themselves with the international and domestic legal limitations on the use of force and the Laws of Armed Conflict. Above all, military legal personnel and command must talk the same language to provide effective ROE.

505 Safety of UN Personnel

1. The "Convention on the Safety of United Nations and Associated Personnel, 1994" deals with the responsibility of states to take all appropriate measures to ensure the safety and security of UN and associated personnel within their territory. In this regard UN and associated personnel shall not
 - a. be the object of an attack; or any action that prevents them from discharging their mandate; or
 - b. if captured or detained in the course of the performance of their duties, they shall not be subjected to interrogation and they shall be promptly released and returned to the UN or another appropriate authority.
2. The Convention provides for certain specific crimes against UN and associated personnel, namely
 - a. murder, kidnapping or other attack upon the person or liberty;
 - b. a violent attack upon the official premises, the private accommodation or the means of transportation;
 - c. a threat to commit any such attack with the objective of compelling a physical or juridical person from doing any act; and
 - d. an attempt to commit any such act.
3. The Convention applies to all PSO except a PSO authorised by the Security Council as an enforcement action under Chapter VII of the Charter in which the personnel are engaged as combatants against organised armed forces and to which the Law of Armed Conflict applies.

506 Law of the Sea

The “UN Law of the Sea Convention, 1982” is a fundamental document, containing essentially a codification of all the laws and legal principles pertaining to the sea. It is an extensive document, requiring proper interpretation and research in order to apply the principles accurately. The OC should consult a Military Legal Officer if there are any aspects requiring clarity.

507 Relations with Outside Agencies

Commanders at all levels should make a careful assessment of other agencies operating within their area of responsibility. This may include diplomatic and military representatives and forces from other political authorities. The outside agencies involved in the PSO should be laid down in the mandate, SOFA and other agreements. Account should be taken of their identity, role, interests, intentions and methods of operations and the need for co-ordination for unity of effort.

508 Non-Government Organisations (NGOs)

These are a wide range of non-profit making organisations that are motivated by religious and humanitarian values. These organisations are usually independent of governments, the commercial sector and the UN. The NGO sector includes thousands of extremely diverse organisations, each with its own style, mission, quality and expertise. National and International donors use them to assist as non-political responses to complex emergencies. Effective co-operation will have a major impact on the success of the mission.

509 International and Intergovernmental Organisations

1. The International Committee of the Red Cross (ICRC) upholds the following principles:
 - a. Humanity.
 - b. Impartiality.
 - c. Neutrality.
 - d. Independence.
 - e. Voluntary Service.
 - f. Unity.
 - g. Universality.
2. The *International Organisation for Migration* is committed to the principle that humane and orderly migration benefits migrants and society.
3. Amnesty International works to prevent violations of fundamental human rights by governments.
4. The *Corporate and Civil Sector* consists of multi-national business, finance institutions and civil companies which might be operating within a complex emergency or who are engaged in post conflict reconstruction activities.
5. The above-mentioned outside agencies are principally involved with humanitarian operations, although in cases of dire emergency, military forces may be required to conduct relief operations. More normally however, military forces work to create the conditions in which the other agencies can operate.
6. Because of the necessary co-operation and the frequent overlapping of their respective mandates, the military forces and the humanitarian organisations must know and operate within their respective mandates.

510 Restraint in the Use of Weapons and Pyrotechnics

1. Article 35 of Protocol I to the Geneva Conventions of 12 August 1949, states the following:
 - a. In any armed conflict, the right of the parties to the conflict to choose methods and means of warfare is not unlimited.
 - b. It is prohibited to employ weapons, projectiles and material and methods of warfare of a nature to cause superfluous injury or unnecessary suffering.
 - c. It is prohibited to employ methods or means of warfare, which are intended, or may be expected, to cause widespread, long-term and severe damage to the natural environment.

Notes:

In this regard, the following international law instruments, amongst others, should also be referred to:

- a. Declaration Renouncing the Use, in Time of War, of Explosive Projectiles under 400 grams Weight, 1868.
 - b. Declaration Prohibiting the Use of Expanding Bullets (Hague Declaration), 1899.
 - c. Hague IX Convention respecting the Bombardment of Naval Forces in Time of War, 1907.
 - d. Protocol for the Prohibition of the Use of War of Asphyxiating Poisonous or Other Gases and of Bacteriological Methods of Warfare, 1925.
 - e. Convention for the Protection of Cultural Property in the Event of Armed Conflict, 1954.
 - f. Convention on the Prohibition of Military and any other Hostile use of Environmental Modification Techniques, 1976.
 - g. Convention on Prohibitions or Restrictions on the Use of Certain Conventional Weapons, which may be deemed to be Excessively Injurious or to have Indiscriminate Effects, 1980.
 - h. Convention on the Prohibition of the Development, Production, Stockpiling and Use of Chemical Weapons, 1993.
 - i. Convention on the Prohibition of the Use, Stockpiling, Production and Transfer of Anti-personnel Mines and on their Destruction, 1997.
2. These fundamental rules form part of the Law of Armed Conflict/Humanitarian Law and are also applicable to PSO and especially to PE operations.
 3. Other principles which are to be applied, when deciding on the means of warfare or conflict, include the following:
 - a. The principle of Self-defence.
 - b. Proportionality in the use of weapons.
 - c. Target discrimination.
 - d. Minimum force.
 - e. No unnecessary suffering.
 - f. The issue of collateral damage.
 4. A number of weapons and types of ammunition are either forbidden or their use restricted by the Law of War. These weapons include the following:
 - a. Weapons or ammunition which have indiscriminate effects.
 - b. Weapons or projectiles with the nature of causing superfluous injury or unnecessary suffering.
 - c. Free-floating mines, unless they self-destruct within one hour after control over them has been lost.
 - d. Torpedoes that do not self-destruct if they miss the mark.
 - e. Projectiles that leave undetectable fragments in the body.
 - f. Anti-personnel mines.
 - g. Blinding weapons.
 - h. Poisonous Gases/Chemical Weapons.
 - i. Bacteriological weapons.

5. To restrict civilian casualties and damage, the means of combat and weapons must be adapted to the target, the environment of the defence position, always keeping in mind the objective of the operation.
6. With regard to the choice of weapons, consideration must be given both in the planning and conduct of operations to the choice of weapons. The ROE or the superior commander's orders may preclude the employment of some weapons, but even when restrictions are not imposed, commanders must make judgements about targeting based on a consideration of many factors such as:
 - a. *The accuracy of the weapons system.* This may vary depending on whether the fire is direct or indirect, observed or not, adjusted fire or initial round, on a designated target or an opportunity mission, precision guided or free fall.
 - b. *The nature of the target.* Is it a point target or an area of engagement, an isolated and clearly military target or one in close proximity to civilians, protected places or hazardous areas?
 - c. *The terminal effects of the weapons.* What is wanted? The choice may be wide. Do they explode or penetrate, burn or blast, are they air burst, point detonating or delayed initiation, are they designed to kill, maim or just disable?
 - d. *The area of effect.* What is the danger area? Is it an area of blast, splinter or ricochet? What unintended damage could occur?
 - e. *The need for control measures.* For example, mine fields must be marked and recorded.

511 Circumstances Warranting the use of Force

1. There are as a general rule, only two circumstances under which force may legitimately be used, namely self-defence in terms of art 51 of the Charter and/or in consequence of a Security Council resolution in terms of art 42 of the Charter.
2. Article 2(4) of the United Nations Charter, 1945 stipulates that "all members shall refrain in their international relations from the threat or use of force against the territorial integrity or political independence of any state". In essence this provision finally declares all use of force *per se* as unlawful.
3. However, in terms of article 51 of the Charter, the inherent right of self-defence, including the right to use force in self-defence preserved. This right carries with it the proviso that an armed attack must have occurred against a member and the right to use force in terms of this exception only exists until the Security Council has taken the necessary measures to restore international peace and security.
4. In terms of art 42 of the Charter, once the Security Council has determined that there is a threat to international peace and security and that all pacific measures have failed or will not be successful, it may take "such action by air, sea or land forces as may be necessary to maintain or restore international peace and security. Such actions may include demonstrations, blockade, or other operations by air, sea or land forces of Members of the United Nations".
5. In all other circumstances, the use of force by a member will be deemed to be unlawful, which in turn will trigger a legitimate use of force in self-defence by the victim.

512 Right of Approach and Visit

1. As a general principle, vessels in international waters are immune from jurisdiction of any nation other than the flag nation. Under international law, however, a warship or other duly authorised ship may *approach* any vessel in international waters to verify its nationality. Unless the vessel involved is itself a warship or government vessel of another nation, it may be stopped, boarded and examined on condition that there is a reasonable suspicion that the vessel is involved in one of the following:
 - a. Piracy.
 - b. Slave trade.
 - a. Unauthorised broadcasting.
 - b. Without nationality.
2. The right to stop, board and examine vessels may also be established by a Security Council Resolution or international agreement.
3. The procedure for warships exercising the right of approach and visit is similar to that used in exercising the right to visit and search during armed conflict.
4. Visit and search is the means by which warships may determine the true character (enemy or neutral) of merchant ships outside neutral territory, the nature of their cargo, the nature of their mission and other facts relevant to the conflict/PSO.
5. When there are no specific instructions or ROE with regard to visit and search, the following procedure should be followed:
 - a. Visit and search should be exercised with all possible tact and consideration.
 - b. The warship to conduct the visit and search must hoist its national flag and then summon the vessel by means of international flag signal or by firing a blank.
 - c. If the summonsed vessel takes flight, she may be pursued and brought to by force, if necessary. The rules with regard to the use of minimum force are to be applied at all times.
 - d. An officer who, with his Boarding Party, may be armed at the OC's discretion, usually conducts the visit and search.
 - e. The true character of the vessel must first be established by examining the papers containing information with regard to her cargo, manner of deployment, destination, *etc.* If there is doubt, the crew may be questioned and the cargo searched.
 - f. All findings must be logged in the visited ship's logbook and confirmed by signature of the boarding officer. The name of the visiting warship and her Officer Commanding should not be disclosed.
6. The rules and principles explaining the right of approach and visit are laid down in Part V of the San Remo Conference on International Law applicable to Armed Conflicts at Sea.
7. The Commander must act within his mandate and according to the rules laid down in the SOFA and ROE, with the intention of doing what is necessary to accomplish the operation successfully. In the case of resistance, he must act according to the principles of self-defence, proportionality and the use of minimum force, *etc.*

513 Repression of Piracy

1. Piracy is defined as an international crime consisting of illegal acts of violence, detention, plundering, robbing or pillaging committed for private ends by the crew or passengers of a private ship or aircraft in or over international waters against another ship or aircraft or persons on board.

2. Piracy can only be committed on or above international waters, including the high seas, Economic Exclusion Zones and the contiguous zone. Similar acts committed in internal waters, territorial seas or archipelagic waters are crimes within the jurisdiction of that particular country and do not constitute piracy.
3. International Law has long recognised a general duty amongst all nations to co-operate in the repression of piracy. This duty was included in the 1958 Geneva Convention on the High Seas 1982.
4. Only warships, military aircraft or other ships or aircraft on governmental service may seize a pirate ship or aircraft.
5. Any and all states have jurisdiction to try offenders for the crime of piracy, as it is one of the crimes that is considered to be international crimes.

514 Protection of Persons and Property at Sea and Maritime Law Enforcement

1. International Law recognises the use of force in peacetime under certain circumstances to protect private property and persons at sea from acts of unlawful violence. The general principles with regard to individual and collective self-defence are applicable.
2. Naval Commanders may sometimes be called upon to assist in the enforcement of Maritime Laws. The suppression of illicit traffic in narcotic drugs can serve as an example. Involvement in this field is very complex and Commanders should seek assistance from higher or relevant authority, including expert legal advice.
3. Under normal circumstances, the enforcement of Maritime Law is a Police Function and it is preferable that these matters should be dealt with on an interdepartmental basis in support of the responsible policing authority.

515 Refugees and Asylum

1. These are those individuals who have been forced by events or persecution to leave their homeland and seek asylum elsewhere, in other words, displaced persons.
2. Certain fundamental guarantees are set out in art 75 of Protocol I to the Geneva Conventions. Persons under power of a party to the conflict and who do not benefit from more favourable treatment according to the Conventions, shall be treated humanely in all circumstances and shall enjoy protection without any adverse distinction based upon race, sex and religion. Furthermore, certain acts are expressly forbidden such as murder, torture and corporal punishment.
3. These persons must be treated with dignity and according to the principles of humanitarian laws.
4. Certain further principles with regard to women and children are set out in articles 76 and 77 of Protocol I to the Geneva Conventions.
5. In the case of enemy civilians; on the territory of a Party to the conflict; and in that of protected persons in occupied territory, the principle is that *if the Detaining Power deems it necessary, for imperative reasons of security, to take safety measures concerning protected persons, it may, at the most, subject them to assigned residence or to internment.*
6. There are many conditions for the above situation, which are set out in articles 79 to 135 of the Fourth Geneva Convention.

516 Legal Principles and Rules

1. Although “Peace Support” sounds like the opposite of “armed conflict”, it is extremely important to

know and understand the general principles and rules relating to the Law of Armed Conflict (LOAC) when preparing for a PSO.

2. In terms of common art 3 in the Geneva Conventions, the following acts are and must remain prohibited at *all times* and in *all places* and constitute the minimum standard of humane treatment:
 - a. Violence to life and person, in particular murder of all kinds, mutilation, cruel treatment and torture.
 - b. Taking of hostages.
 - c. Outrages upon the personal dignity, in particular, humiliating and degrading treatment.
 - d. The passing of sentences and the carrying out of executions without previous judgement pronounced by a regularly constituted court, affording all the judicial guarantees that are recognised by civilised peoples.
3. *Other Legal Principles and Rules*

Other legal principles and rules applicable to PSO include the following:

 - a. The United Nations Charter.
 - b. Universal Declaration on Human Rights.
 - c. International Covenant on Civil and Political Rights.
 - d. International Covenant on Economic, Social and Cultural Rights.
 - e. Numerous other treaties that focus on particular categories of persons.
 - f. Specific instructions and information relating to the operation would be set out in the relevant SOFA and mandate.

517 The Military Disciplinary Code (MDC)

It is important that all military members involved in the PSO are aware of the fact that they still fall under the Legal System of their home country, regardless of whether they are conducting duties in another country or not.

518 Command

1. It is every commander's responsibility to become knowledgeable in the field of PSO. The required skills of the commander goes far beyond pure academic knowledge but extends to a very different but, extremely important field namely, the understanding of the nature of the role and jurisdiction of the Peace Support Force under his/her command.
2. A Peace Support Force is expected to foster an atmosphere, which is conducive to justice, negotiation, compromise and reconciliation. It would be very easy for a military force to become part of the problem, rather than the solution, if its leadership does not understand their role.
3. The commander needs to arm himself with the necessary skills, which would assist him in achieving his/her goals within this atmosphere of compromise. Nowadays, politics form an inseparable part of PSO, to such an extent that the commander has no choice but to have knowledge of and become a part of the political situation and interaction.
4. Another example of skills required would be the ability to interact with the civilian population of the country where the operation is taking place. The atmosphere of compromise and reconciliation demands a certain amount of "public relation skills" and the commander will have to lead with confidence and by example.

5. It is the responsibility of the commander to ensure that his men involved in the PSO are sufficiently trained. Taking part in a specialised operation requires specialised personnel, trained to be able to cope with the complex demands. It is possible that criminal prosecution can follow where the commander is found to have been negligent in the training of his men, which negligence led to the committing of an offence. The importance of this responsibility is expressed by the fact that a direct instruction is given to the commander in *inter alia* article 87 of the Additional Protocol I under the heading “Duty of Commanders”. In article 87(2) the following is stated:
".....commanders shall ensure that members of the armed forces under their command are aware of their obligations under the conventions and this Protocol".
6. Furthermore and specifically in the case of PE operations, in terms of art 57 of Additional Protocol 1 to the Geneva Conventions, commanders shall
 - a. do everything feasible to verify that the objectives to be attacked are neither civilians nor civilian objects and are not subject to special protection;
 - b. take all feasible precautions in the choice of means and methods of attack with a view to avoiding and in any event minimising, incidental loss of civilian life, injury to civilians and damage to civilian objects.
 - c. Refrain from deciding to launch any attack which may be expected to cause incidental loss of civilian life, injury to civilians, damage to civilian objects or a combination thereof, which would be excessive in relation to the concrete and direct military advantage anticipated, and/or
 - d. Cancel or suspend an attack if it becomes apparent that the objective is not a military one or is subject to special protection or that the attack may be expected to cause incidental loss of civilian life, injury to civilians, damage to civilian objects or a combination thereof, which would be excessive in relation to the concrete and direct military advantage.

519 Discipline

1. In order to be an effective force, it needs to be a disciplined force, especially under operational circumstances. As mentioned in the preceding paragraphs, the soldiers, although they are conducting duties in a foreign country, are still subject to their own military disciplinary code. Any act that would have been deemed an offence in their country would be deemed an offence if committed on foreign soil. Offences committed whilst performing operational duties, are deemed more serious than similar offences committed in non-operational circumstances and sentences are more severe.
2. Before uniform personnel are deployed as part of a PSO, a sound knowledge of their Military Discipline Code (MDC) is essential.
3. Effective and fast legal action in disciplinary matters is of extreme importance during PSOs. Disciplinary matters usually result in the involved member being sent back to his home unit as he is seen to be a threat to the successful completion of the Operation. Swift legal action would support this cause and eventually lead to effective action taken in the interest of justice.
4. Before deployment, all members must know that part of the LOAC relates to War Crimes. Members must know the extreme consequences of committing these acts and must also be made aware of their responsibility to report incidents that may constitute war crimes.

CHAPTER 6

LOGISTICS

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CHAPTER 6

LOGISTICS

601 Introduction

1. During PSO, conducted under the auspices of the UN, all contributing countries may have to support their respective forces for an initial period of up to 120 days. This is required to allow the UN to establish a logistic infrastructure.
2. The establishing of a logistic infrastructure is a long process and will be explained in brief later in this chapter. Various factors, *ie* Host Nation support (HNS), availability and/or capability of a lead nation need to be taken into account in the establishing of this.

602 UN Support to National Contingents

1. The establishing of UN logistic support to deployed forces is a cumbersome operation and is dependent on various factors. The UN may provide logistic support to a deployed mission in one or more of the following ways:
 - a. Directly from the UN budget and contributing nations.
 - b. The main contributing nation and private sector resources contracted by the UN.
 - c. The nation requesting peacekeeping support.
 - d. Civilians or resources contracted directly by the contributing nation.
2. The type of logistic support that will be provided by the UN under one or more of the above will include the following:
 - a. *Administrative Services*. Including managerial, administrative and clerical support.
 - b. *Supply support*. Obtaining needed goods and materials to supply these throughout the mission. This includes food, clothing, military equipment, recreational equipment and whatever else is required.
 - c. *Transportation Logistics*. Include supplying transport as needed.
 - d. *Equipment Maintenance*. Requires that all vehicles and equipment be maintained in working order.
 - e. *Technical Support*. Includes the provisioning of water and accommodation that may have to be constructed for particular missions.
 - f. *Aviation Support*. The provision of aviation and air services.
 - g. *Communications Logistics*. Provision of signals and communications needs.
 - h. *Personnel Needs*. Includes the administration of personnel, which includes welfare needs, recreational needs and the provision of amenities.
 - i. *Security Services*. Includes the establishing and maintaining of military police and security services.
 - j. *Accounting Service*. Provide budgeting and financial services.
 - k. *Medical Services*. Includes the provision of all health services and dental needs.
3. Items that are unique to a certain country participating in the mission may have to be provided by that nation. The cost of the service/item can be claimed from the UN depending on the arrangement as agreed upon by the various participating nations.
4. Requirements will be directed at the mission HQ who will arrange for it to be satisfied. Common items like fuel, water and food may be contracted with local suppliers and delivered to the various deployed units/nations.

603 Equipment Required

1. Should vessels be deployed as part of a PSO where the possibility exists that refugees may be encountered, the following should be considered during the deployment:
 - a. Additional life jackets.
 - b. Blankets.
 - c. Towels.
 - d. Additional life rafts.
 - e. Medical support onboard, including additional medical supplies.
 - f. Additional illuminating ammunition/pyrotechnics.
 - g. Scrambling nets.
 - h. Additional sea boats.
 - i. Robinson stretchers.
 - j. Additional food that is easy to prepare.
 - k. Ensure that air support is available to evacuate seriously injured refugees.
 - l. Additional Oscar-men.
 - m. Capability to securely stow arms that may be confiscated from refugees or other parties encountered.
 - n. No passengers.

CHAPTER 7**HUMAN RESOURCES****INDEX**

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CHAPTER 7

HUMAN RESOURCES

701 Personnel Administration

1. The national contingents as a whole will be under the administrative control of their respective National Contingent Commanders for administration and discipline.
2. *Personnel Office (PO)*
National contingents may wish to deploy their own PO at the Force Headquarters (HQ) to attend to the administrative control of their own personnel, and to liaise with their own National Defence HQ. The PO will act according to its own National Defence doctrine. During the deployment phase the PO will be under operational control of the Force Commander. However, the PO will remain under the administrative command of their respective National Defence Chiefs.

702 Personnel Guidelines

1. *Period of Service*
All the specialist personnel (Military Observers, Liaison Officers, Monitor Personnel, Polling Station Officers, etc) should be appointed to the PSO for a minimum period of *twelve months*. All other personnel of a contingent should normally be assigned to the PSO for a period of *six months* or according to the mandate. This aspect should be borne in mind during the recruitment and selection of personnel. These periods of time may vary, depending on the conditions contained in the SOFA.
2. *Selection and Appointment*
The following points should be considered during the selection of personnel:
 - a. All personnel should be medically fit.
 - b. Be of the rank and gender requested by the UN.
 - c. All personnel should be proficient in English. It will be advantageous if they could communicate in the official language of the UN mission.
 - d. All drivers should have at least two years experience in driving standard shift motor vehicles and be in possession of a valid national or international driver's license.
 - e. All personnel should have the ability to work as part of a team consisting of people of different cultural backgrounds.
3. *Leave*
The UN grants leave, when the condition allows it, as below, unless otherwise agreed upon:
 - a. *Vacation Leave*. No normal vacation leave will be granted to members of a contingent during their tour of duty.
 - b. *Compassionate Leave*. Applications for compassionate leave cannot be refused if conditions are outside the control of the member. Authority for the granting of compassionate leave is delegated to the OC for periods of up to fourteen days. All applications must be confirmed through the welfare/chaplains channel. The UN in some circumstances will provide airline tickets.
 - c. *Sick Leave*. Only a medical doctor or sister may award sick leave to a member. These leave forms must be forwarded to the Personnel Office (PO).
 - d. *Special Leave*. No special leave for sport or study purposes will be granted.

- e. *Rest Day Leave.* Commanders can award rest day leave to members under their command. The operational circumstances must be taken into account when approving such leave. It is suggested that this leave be granted at the end of a service period. Members of a contingent are granted 2,5 days per month. Military observers/civilian police are granted 1,5 days per month. The following general conditions apply to the granting of rest day leave:
 - i. Except with regard to leave accruing in respect of the final month of service, leave may not be taken before it is earned.
 - ii. There will be no cash payment for accrued, but unused, leave.
 - iii. Leave must be taken during the tour of duty. Assignments will not be extended for the purpose of exhausting leave entitlements.
 - iv. Leave may be taken in conjunction with compulsory time off. During the final month of service no more than 12 days leave and/or compulsory time off may be approved. During the last week of service no leave shall be granted.
 - v. Leave must normally be taken during the tour of duty at the mission at which it was accrued. Only in exceptional circumstances, such as posting on short notice, will it be possible to authorise the carry-over of accrued leave from one mission to another.
 - vi. No more than 12 days leave may be accumulated for carry-forward from one month to the next.
 - f. Granting of leave is always subject to the exigencies of the service.
 - g. All leave (except sick leave) shall count against the accrued entitlement of “rest day leave” per month.
 - h. After completion of service with the mission, the PO must notify the respective National HQ, in writing, stating the amount of leave taken by each member of the contingent.
4. *Transfers*
No transfers will take place during the deployment period, except when the transfer of the member is necessary, in that it will have a direct effect on the outcome of the PSO. In such a case the transfer will only be granted with the approval of the Force Commander.
5. *Registration of Death*
The SOFA should cover administrative arrangements for the Registration of Births, Marriages and Deaths.
6. *Termination of Service during a mission*
The following procedure will be followed *iro* members whose services are terminated. In all the below mentioned cases, the final administration and remuneration will be done at his/her home unit, and the cost of transportation, *etc* will have to be borne by the Troop contributing nation.
- a. *Incorrect Profile.* Members who do not adhere to the laid down profile/standards, as decided by the Force Commander, should be sent back in accordance with the following:
 - i. The unit commander will identify the member and through the contingent commander, obtain the written decision from the Force Commander.
 - ii. A report will be forwarded, through the personnel channel to the PO, which will, on consideration of the report, request the Rear Headquarters for the member’s transfer and replacement.
 - iii. The member will clear out and return to his/her home unit.

members of a contingent do not require these documents, unless otherwise agreed upon in the SOFA.

16. *Last Will and Testament*

All members must update their last will and testament prior to deployment. The home units are to see that these documents are in safe custody on the members personnel file, or record the place where the will and testament is held.

703 Personnel Control

1. Personnel control will be exercised by means of the following methods:
 - a. *Daily Situation Report (SITREP)*. A daily SITREP is to be signalled to the PO. The PO will consolidate all reports concerning National Contingent personnel and forward them to the National Rear Headquarters.
 - b. *Identification*. Four coloured photos (3cm x 3cm) per member must accompany each member for the compiling of UN ID cards. These arrangements must be finalised during the pre-deployment phase. The following methods of identification must be available:
 - i. National ID card (carried at all times).
 - ii. National Name Tag.
 - iii. UN ID (Carried at all times).
 - iv. National ID "Dog Tag" (Including blood type) is to be worn at all times.
 - c. *Absent without Leave (AWOL)*
 - i. All cases of AWOL must be reported within 24 hours of the person being found to be absent.
 - ii. The payment of the members' allowances must be terminated by the PO, on receipt of the notification of AWOL, after the member has been absent for 72 hours.
 - d. *Casualties*
 - i. Casualties are to be reported in the daily SITREP. Further details are to be signalled in the respective National format.
 - ii. All information regarding a casualty will be communicated to the members' home via the PO and the National Rear Headquarters.
 - iii. Any person who is missing, lost or separated from his unit will be dealt with in the same manner as a casualty.

704 Conduct of Personnel

1. In conducting their official duties in the country in which they are serving, personnel in PSOs must
 - a. perform their duties with the sole interest of the UN in mind, acting so as to recognise the needs and the interests of the host country and its people and acting with strict impartiality, integrity and tact in all their dealings;
 - b. not abuse or exploit individual members of the local population;
 - c. neither solicit nor accept any material reward, honour or gift from any source, other than that of the organisation;
 - d. treat UN property, especially vehicles and other equipment with care and not to trade, sell or use such equipment for personal gain;
 - e. exercise utmost discretion in all matters of official business and secure all information and material designated as confidential; and
 - f. show courtesy and respect to all other UN mission personnel, regardless of their creed, gender, rank or origin.
2. In their private life, personnel must
 - a. ensure that their conduct will not discredit the mission and not damage its credibility, effectiveness and image, in particular by meeting all their personal financial obligations in the host country

- before departing;
- b. not engage in the excessive consumption of alcohol or use of traffic drugs or any other illegal substance; and
- c. show respect and courtesy towards all the populations and for their laws, customs and traditions.

705 Medical Preparation

1. *General.* The UN will do medical preparation through the National medical services, under the following guidelines as set:
 - a. *Initial Medical Examination before Departure.* All personnel being deployed on UN operations must be medically, psychologically and dentally fit for duty. The UN medical standards for a peace support force do not preclude the troop contributing countries from establishing higher qualifying medical standards. However, in no case should a soldier who is unacceptable for national military duties be included in a National contingent.
 - b. *Communicable/Contagious Diseases.* All members of National Contingents will be subjected to tests for communicable/contagious diseases well before deployment for any PSO. In accordance with UN policy, infected personnel will not be allowed to participate in PSO.
 - c. *Immunisation.* It is a national responsibility to ensure that personnel are prepared and appropriately trained in field preventative medicine measures prior to deployment. These include the necessary vaccination, immunisation and malaria prophylactics.

APPENDIX A**SAMPLE UN MANDATE RESOLUTION PASSED BY THE UN SECURITY COUNCIL AT THE XXTH MEETING (DATE)**

The Security Council, noting that the present situation with regard to (country (ies)) is likely to threaten international peace and security and may further deteriorate unless additional measures are promptly taken to maintain peace and to seek out a durable solution.

Considering the positions taken by the parties in relation to the “peaceful intentions” signed at New York on (date).

Having in mind the relevant provisions of the Charter of the United Nations and its article 2, par 4, which reads: All members shall refrain in their international relations from the threat or use of force against the territorial integrity or political independence of any state, or in any other manner inconsistent with the purposes of the United Nations.

1. Calls upon all Member States, in conformity with their obligations under the Charter of the United Nations, to refrain from any action or threat of action likely to worsen the situation in () and (), or to endanger international peace.
2. Asks the Governments of () and (), which have the responsibility for the maintenance and restoration of law and order, to take all additional measures necessary to stop violence and bloodshed in their countries.
3. Recommends the creation, with the consent of the Governments of () and (), of a United Nations' Peacekeeping Force in those countries. The composition and size of the Force shall be established by the Secretary General, in consultation with the Governments of () and (). The Commander of the Force shall be appointed by the Secretary General and report to him. The Secretary General, who shall keep the Governments providing the Force fully informed, shall report periodically to the Security Council on its (the peacekeeping force's) operation.
4. Recommends that the function of the Force should be, in the interest of preserving international peace and security, to use its best efforts to prevent a recurrence of fighting and, as necessary, to contribute to the maintenance and restoration of law and order and a return to normal conditions.
5. Recommends that the stationing of the Force shall be for a period of three months, all costs pertaining to it being met, in a manner to be agreed upon by the Governments providing the contingents and by the governments of () and (). The Secretary General may also accept voluntary contributions for that purpose.
6. Recommends further that the Secretary General designate, in agreement with the Governments of () and (), a mediator, who shall use his best endeavours with the representatives of the communities and also with the aforesaid Governments, for the purpose of promoting a peaceful solution and an agreed settlement of the problem confronting () and (), in accordance with the Charter of the United Nations, having in mind the well-being of the peoples of () and () as a whole and the preservation of international peace and security. The mediator shall report periodically to the Secretary General on his efforts.
7. Requests the Secretary General to provide, from funds of the United Nations, as appropriate for the remuneration and expenses of the mediator and his staff.

APPENDIX B**UN “MODEL” SOFA****I. DEFINITIONS**

1. For the purpose of the present Agreement, the following definitions shall apply:
 - a. “Participating State” means a State contributing personnel to serve in or assist with the United Nations peacekeeping operation.
 - b. “Convention” means Convention on the Privileges and Immunities of the United Nations adopted by the General Assembly of the United Nations on 13 February 1946.
 - c. “Government” means the Government of the host country or Administration having de facto authority over the territory and/or the area of operations.
 - d. “United Nations peace-keeping operation and its members” includes the Special Representative/Commander, civilian component, and military component.
 - e. “Special Representative/Commander” is the individual so designated by the Secretary-General. In this Agreement, any reference to the Special Representative/Commander shall, except in regards to paragraph 23, include any member of the United Nations peacekeeping operation to whom the Special Representative/Commander has delegated a special function or authority.
 - f. “Civilian component” consists of United Nations officials and others assigned by the Secretary-General to assist the Special Representative/Commander or made available by the participating States to serve in the United Nations peace-keeping operation.
 - g. “Military component” consists of military and special civilian personnel made available by the participating States to serve as part of the United Nations peace-keeping operation, including support personnel under the command of their participating State, who, for purposes related to the mandate of the United Nations peace-keeping operation, accompany and assist the operation.

II. APPLICATION OF THE PRESENT AGREEMENT

2. Unless specifically provided otherwise, the provisions of the present Agreement and any obligation previously undertaken by the Government and specifically identified in the document accompanying this Agreement, or any privilege, immunity, facility or concession granted to the United Nations peace-keeping operation or any member thereof apply in the territory only.

III. APPLICATION OF THE CONVENTION

3. The Convention on the Privileges and Immunities of the United Nations of 13 February 1946 shall apply to the United Nations peacekeeping operation subject to the provisions specified in the present Agreement. The United Nations peace-keeping operation, its property, funds and assets, and its members, including the Special Representative/Commander, shall enjoy the privileges and immunities specified in the present Agreement as well as those provided for in the Convention, to which the (host country) is a party.

4. Article II of the Convention, which applies to the United Nations peacekeeping operation, shall also apply to the property, funds and assets of the participating States used in connection with the United Nations peacekeeping operation.

IV. STATUS OF THE UNITED NATIONS PEACE-KEEPING OPERATION

5. The United Nations peacekeeping operation and its members shall refrain from any action or activity incompatible with the impartial and international nature of their duties or inconsistent with the spirit of the present arrangements. The United Nations peacekeeping operations and its members shall respect the laws and regulations of all local laws and regulations. The Special Representative/Commander shall take all appropriate measures to ensure the observance of the obligations.
6. The Government undertakes to respect the exclusively international character of the United Nations peacekeeping operation.

United Nations Flag and Vehicle Markings

7. The Government recognises the right of the United Nations peace-keeping operation to display within the territory the United Nations flag on its headquarters, camps, or other premises, vehicles, vessels and otherwise as decided by the Special Representative/Commander. Other flags or pennants may be displayed only in exceptional cases. In these cases, the United Nations peacekeeping operation shall give sympathetic consideration to observations or requests of the Government.
8. Vehicles, vessels and aircraft of the United Nations peacekeeping operation shall carry a distinctive United Nations identification marking which shall be notified to the Government.

Communication and Postal Services

9. The United Nations peacekeeping operation shall enjoy facilities in respect to communications provided in Article III of the Convention and shall, in co-ordination with the Government, use such facilities as may be required for the performance of its task. Issues with respect to communications which may arise and which are not specifically provided for in this Agreement shall be dealt with pursuant to the relevant provisions of the Convention.
10. Subject to the provisions of paragraph 9:
 - a. The United Nations peace-keeping operation shall have authority to install and operate radio transmitting and receiving stations as well as satellite systems to connect appropriate points within the (host country/territory) of the Government with each other, and with the offices of the United Nations located in other countries and to exchange traffic with the United Nations global telecommunications network. The telecommunications services shall be operated in accordance with the International Telecommunications Convention and Regulations and the frequencies on which any such station may be operated shall be decided upon in co-operation with the Government and shall be communicated by the United Nations to the International Frequency Registration Board. In addition, authorisation is granted for each participating State to install and operate communications equipment for the purpose of contacting its national headquarters.

- b. The United Nations peace-keeping operation shall enjoy, within the (host country/territory), the right of unrestricted communications by radio, (including satellite, mobile and hand-held radio), telephone, telegraph, facsimile or any other means, and of establishing the necessary facilities for maintaining such communications within and between premises of the United Nations peace-keeping operations, including the laying of cables and land lines and the establishment of fixed and mobile radio sending, receiving and repeater stations. The frequencies on which any radio will understand the connections with the local system of telegraphs, telex and the government. It is further understood that the use of the local system of telegraphs, telex and telephones will be charged at the rate most favourable to the United Nations.
- c. The United Nations peace-keeping operation may make arrangements through its own facilities for the processing and transport of private mail, including the transfer of currency and transport of packages and parcels, addressed to or emanating from members of the United Nations peace-keeping operation. The Government shall be informed of the nature of such arrangements and shall not interfere with or apply censorship to the mail of the United Nations peace-keeping operation and shall have the right to receive not only letters but also be entitled to receive and transfer currency from their respective national governments via the mail or other means deemed appropriate by officials of the United Nations peace-keeping operation.
- d. The Government shall exempt official and personnel mail from the military post office of the United Nations peace-keeping operation from customs, duties, taxes, search seizure and inspection.

Travel and Transport

11. The United Nations peacekeeping operation and its members shall enjoy, together with its vehicles, vessels, aircraft and equipment, freedom of movement throughout the (host country/territory). That freedom shall, with respect to large movements of personnel, stores or vehicles through airports or on railways or roads used for general traffic within the territory of the Government, normally be notified to the Government. The Government undertakes, without reimbursement, to supply the United Nations peacekeeping operation, where necessary, with maps and other information, including locations of mine fields and other dangers and impediments, which may be useful in facilitating its movements.
12. Vehicles, including all military vehicles, vessels and aircraft of the United Nations peacekeeping operation, shall not be subject to registration or licensing by the Government.
13. The United Nations peacekeeping operation may use roads, bridges, canals and other waters, port facilities and airfields without the payment of dues, landing or other fees, and tolls, including wharfage charges. However, the United Nations peacekeeping operation will not claim exemption from charges, which are in fact charges for services requested and received.

Privileges and Immunities of United Nations peace-keeping Operations

14. United Nations peace-keeping operations enjoys the status, privileges and immunities of the United Nations as provided for in the present Agreement of the Convention, if applicable. The provision of article II of the Convention which applies to United Nations peace-keeping operation shall also apply to the property, funds and assets of participating States used in the (host country/territory) in connection with the national contingents serving with the United Nations peace-keeping operation provided for in paragraph 4 of the present Agreement. The Government recognises the right of the United Nations peacekeeping operation in particular.
 - a. To import, free of duty, taxes or other charges, inspections, or other restrictions, equipment, provisions, supplies and other goods which are for the use of United Nations peace-keeping operation or for resale in the commissaries provided for hereinafter.

- b. To establish, maintain and operate commissaries and retail sales outlets at its headquarters, camps and posts for the benefit of the members of United Nations peace-keeping operation, but not of locally recruited personnel. The Special Representative/Commander shall take all necessary measures to prevent abuse of such commissaries and retail sales outlets and the sale or resale of such goods to persons other than members of United Nations peace-keeping operation, and he shall give sympathetic consideration to observations or requests of the Government concerning the operation of the commissaries;
- c. To clear ex customs and excise warehouse, free of duty, taxes or other charges, inspections or other restrictions, equipment, provisions, supplies and other goods which are for the use of United Nations peace-keeping operation or for resale in the commissaries and retail sales outlets provided for above;
- d. To re-export or otherwise dispose of such equipment, as far as it is still usable, all un-consumed provisions, supplies and other goods so imported or cleared ex customs and excise warehouse which are not transferred, or otherwise disposed of.

To the end that such importation, clearances, transfer or exportation may be effected with the least possible delay, a mutually satisfactory procedure, including documentation, shall be agreed between United Nations peace-keeping operation and the Government at the earliest possible date.

V. FACILITIES FOR UNITED NATIONS PEACE-KEEPING OPERATION

Premises required for conducting the operational and administrative activities of United Nations peacekeeping operation and for accommodating members of United Nations peacekeeping operation

15. The Government shall provide without cost to the United Nations peacekeeping operation and in agreement with the Special Representative/Commander such areas for headquarters, camps or other premises as may be necessary for the conduct of the operational, logistical, administrative and other activities of the United Nations peace-keeping operation and for the accommodation for the members of the United Nations peace-keeping operation. Without prejudice to the fact that all such premises remains the territory of (host country/territory), they shall be inviolable and subject to the exclusive control and authority of the United Nations. Where United Nations troops are co-located with military personnel of the host country, a permanent, direct and immediate access by United Nations peacekeeping operation to those premises shall be guaranteed.
16. The Government undertakes to assist United Nations peacekeeping operation as far as possible in obtaining and making available, where applicable, water, electricity and other facilities free of charge, or, where this is not possible, at the most favourable rate available to the United Nations, and in the case of interruption or threatened interruption of service, to give as far as is within its powers the same priority to the needs of United Nations peace-keeping operation as to essential government services. Where such utilities or facilities are not provided free of charge, payment shall be made by the United Nations peacekeeping operation and shall be responsible for the upkeep of facilities so provided.
17. The United Nations peacekeeping operation shall be the right where necessary, to generate, within its premises, electricity for its use and distribute such electricity.
18. The Special Representative/Commander alone may consent to the entry of any government officials or of any other person not member of the United Nations peacekeeping operation to such premises.

Provisions, Supplies and Services and Sanitary Arrangements

19. The Government undertakes to assist United Nations peace-keeping operation as far as possible in

obtaining equipment, provisions, supplies and other goods and services from local sources required for its subsistence and operations. In making purchases on the local market, United Nations peacekeeping operation shall make its best efforts, on the basis of observations made and information provided by the Government in that respect, to avoid any adverse effect on the local economy. The Government shall exempt United Nations peacekeeping operation from general sales taxes in respect of all official local purchases.

20. The United Nations peacekeeping operation and the Government shall co-operate with respect to sanitary services and shall extend to each other the fullest co-operation in matters concerning health, particularly with respect to the control of communicable diseases, in accordance with international conventions.

Recruitment and Hiring of Local Personnel

21. The United Nations peacekeeping operation may recruit locally such personnel, as it requires. Upon the request of the Special Representative/Commander, the Government undertakes to facilitate the recruitment and hiring of qualified local staff by the United Nations peacekeeping operation and to accelerate the process of such recruitment.

Currency

22. The Government undertakes to make available to the United Nations peacekeeping operation, against reimbursement in mutually acceptable currency, local currency required for the use of the United Nations peacekeeping operation, including the pay of its members, at the rate of exchange most favourable to the United Nations peacekeeping operation.

VI. STATUS OF THE MEMBERS OF THE UNITED NATIONS PEACEKEEPING OPERATION

23. The Special Representative, the Commander of the military component of the United Nations peacekeeping operations, the head of the United Nations civilian police and such high-ranking members of the Special Representative/Commander's staff as may be agreed upon with the Government shall have the status specified in section 19 and 27 of the Convention, provided that the privileges and immunities therein referred to shall be those accorded to diplomatic envoys by international law.
24. Members of the United Nations assigned to the civilian component to serve with the United Nations peacekeeping operation remain officials of the United Nations entitled to the privileges and immunities of article V and VII of the Convention.
25. Military observers, United Nation civilian police and civilian personnel other than United Nations officials whose names are for the purpose notified to the Government by the Special Representative/Commander shall be considered as experts on mission within the meaning of article VI of the Convention.
26. Personnel of national contingents assigned to the military component of the United Nations peacekeeping operation shall have the privilege and immunities specifically provided for in section 18(a), (b), and (c) of the Convention.
27. Unless otherwise specified in the present Agreement, locally recruited members of the United Nations peacekeeping operation shall enjoy the immunities concerning official acts and exemptions from taxation and national service obligations provided for in section 18(a), (b) and (c) of the Convention.

28. Members of the United Nations peacekeeping operations shall be exempt from taxation on the pay and emoluments received from the United Nations or from a participating State and any income received from outside (host country/territory). They shall also be exempt from all taxes, registration fees and charges.
29. Members of the United Nations peacekeeping operation shall have the right to import free of duty their personal effects in connection with their arrival in (host country/territory). Special facilities will be granted by the United Nations peacekeeping operation. Special facilities will be granted by the Government for the speedy processing of entry and exit formalities for all members of the United Nations peacekeeping operation, including the military component, upon prior notification. On departure from (host country/territory), members of the United Nations peacekeeping operation may, notwithstanding the above-mentioned exchange regulations, take with them such funds as the Special Representative/Commander certifies were received in pay and emoluments from the United Nations of/from a participating State. Special arrangements shall be made for the implementation of the present provisions in the interest of the Government and the members of the United Nations peacekeeping operation.

Entry, Residence and Departure

30. The Special Representative/Commander and members of the United Nations peacekeeping operation shall, whenever so required have the right to enter into, reside in and depart from (host country/territory).
31. The Government of (host country/territory) undertakes to facilitate the entry into and departure from (host country/territory) of the Special Representative/Commander and members of the United Nations peacekeeping operation and shall be kept informed of such movement. For that purpose, the Special Representative/Commander and members of the United Nations peacekeeping operation shall be exempt from passport and visa regulations and immigration inspection and restrictions on entering into or departing from (host country/territory), including registration but shall not be considered as acquiring any right to permanent residence or domicile in (host country/territory).
32. For the purpose of such entry or departure, members of the United Nations peacekeeping operation shall only be required to have (a) an individual or collective movement order issued by or under the authority of the Special Representative/Commander of any appropriate authority of a participating State; and (b) a personal identity card issued in accordance with paragraph 33 of the present Agreement, except in the case of first entry, when the personal identity card issued by the appropriate authorities of a participating State shall be accepted in lieu of the said identity card.

33. The Special Representative/Commander shall issue to each member of the United Nations peacekeeping operation before or as soon as possible after such member's first entry into (host country/territory), as well as to all locally recruited personnel, a numbered identity card, which shall show full name, date of birth, title or rank, service (if appropriate) and photograph. Except as provided for in paragraph 32 of the present Agreement, such identity card shall be the only document required of a member of the United Nations peacekeeping operation.
34. Members of the United Nations peacekeeping operation as well as locally, recruited personnel shall be required to present, but not to surrender, their (United Nations peacekeeping operation) identity cards upon demand of an appropriate official of the Government.

Uniform and Arms

35. Military members and the United Nations civilian police of the United Nations peacekeeping operation shall wear, while performing official duties, the national military or police uniform of their respective States with standard United Nations accoutrements. United Nations Security Officers and Field Service Officers may wear the United Nations uniform. The wearing of the civilian dress by the above mentioned members of the United Nations peacekeeping operation may be authorised at other times. Military members and civilian police of the United Nations peacekeeping operation and United Nations Security Officers designated by the Special Representative/Commander may possess and carry arms in accordance with their orders.

Permits and License

36. The Government agrees to accept as valid, without tax or fee, a permit or license issued by the Special Representative/Commander for the operation by any member of the United Nations peacekeeping operation, including locally recruited personnel, of any transport or communication equipment and for the practice of any profession or occupation in connection with the functioning of the United Nations peacekeeping operation, provided that no license to drive a vehicle or pilot an aircraft shall be issued to any person who is not already in possession of an appropriate and valid license.
37. Without prejudice to the provisions of paragraph 35, the Government further agrees to accept as valid, without tax or fee, a permit or license issued by the Special Representative/Commander to a member of the United Nations peacekeeping operation for the carrying of use of firearms or ammunition in connection with the functioning of the United Nations peacekeeping operation.

Military Police, arrest and transfer of Custody and Mutual Assistance

38. The Special Representative shall take all appropriate measures to ensure the maintenance of discipline and good order among members of the United Nations peacekeeping operation, as well as locally recruited personnel. To this end, personnel designated by the Special Representative/Commander shall police the premises of the United Nations peacekeeping operation such as areas where its members are deployed. Elsewhere such personnel shall be employed only subject to arrangements with Government and shall liaison with it in so far as such deployment is necessary to maintain discipline and order among members of the United Nations peacekeeping operation.

39. The military police of the United Nations peacekeeping operation shall have the power to detain members of the United Nations peacekeeping operation. Personnel detained shall be transferred to their contingent Commander for appropriate action. The personnel mentioned in paragraph 38 above may detain any other person on the premises of the United Nations peacekeeping operation. Such other person shall be delivered immediately to the nearest appropriate official for the purpose of dealing with any offence or disturbance on such premises.
40. Subject to the provisions of paragraph 23 and 25, officials of the Government may take into custody any member of the United Nations peacekeeping operation:
- a. when so requested by the Special Representative/Commander; or
 - b. when such member of the United Nations peacekeeping operation is discovered in the commission or attempted commission of an offence.

Such person shall be delivered immediately, together with any weapons or other item seized, to the nearest appropriate representative of the United Nations peacekeeping operation, whereafter the provisions of paragraph 45 shall apply *mutatis mutandis*.

41. When a person is detained under paragraph 39 or paragraph 40(b), the United Nations peacekeeping operation or the Government as the case may be make a preliminary on-scene interrogation but may not delay the transfer of custody.
42. The United Nations peacekeeping operation and the Government shall assist each other in carrying out all necessary investigations into offences in respect of which either or both have an interest, in the production of witnesses and in the collection and production of evidence, including the seizure of and, if appropriate, the handing over of items connected with an offence. The handing over of any such items may be made subject to their return within the terms specified by the authority delivering them. Each shall notify the other of the disposition of any case in the outcome of which the other may have an interest or in which there has been a transfer of custody under the provisions of paragraphs 39-41.
43. The Government shall ensure the prosecution of persons subject to its criminal jurisdiction who are accused of acts in relation to the United Nations peacekeeping operation or its members which, if committed in relation to the forces of the Government, would have rendered such acts liable to prosecution.

Jurisdiction

44. All members of the United Nations peacekeeping operation including locally recruited personnel shall be immune from legal process in respect of words spoken or written and all acts performed by them in their official capacity. Such United Nations peacekeeping operation and after the expiration of the other provisions of the present Agreement.
45. Should the Government consider that any member of the United Nations peacekeeping operation has committed a criminal offence, it shall promptly inform the Special Representative/Commander and present to him any evidence available to it. Subject to the provisions of paragraph 23:

- a. If the accused is a member of the civilian component or a civilian member of the military component other than those support personnel under the command of their participating State, the Special Representative/Commander shall conduct any necessary supplementary inquiry and after consultation with the providing participating State, may agree with the Government whether or not criminal proceeding should be instituted. Failing such agreement, the question shall be received as provided in paragraph 51 of the present Agreement.
 - b. Military members of the military component of the United Nations peacekeeping operation shall be subject to the exclusive jurisdiction of their respective participating States in respect of any criminal offences that may be committed by them in (host country/territory).
46. The Secretary-General of the United Nations will obtain assurances from Governments of participating States that they will not be prepared to exercise jurisdiction with respect to crimes or offences which may be committed by members of their national contingents serving with the peacekeeping operation.
47. If any civil proceeding is instituted against a member of the United Nations peacekeeping operation before any court of (host country/territory), the Special Representative/Commander shall be notified immediately, and he shall certify to the court whether or not the proceeding is related to the official duties of such member:
- a. If the Special Representative/Commander certifies that the proceeding is related to official duties, such proceeding shall be discontinued and the provisions of paragraph 51 of the present Agreement shall apply.
 - b. If the Special Representative certifies that the proceeding is not related to the official duties, the proceeding may continue. If the Special Representative/Commander certifies that a member of the United Nations peacekeeping operation is unable because of official duties or authorised absence to protect his interests in the proceeding, the court, shall at the defendant's request suspend the proceeding until the elimination of the disability, but for not more than ninety days. Property of a member of the United Nations peacekeeping operation shall be free from seizure for the satisfaction of a judgement, decisions or order. The personal liberty of a member of the United Nations peacekeeping operation shall be free from seizure for the satisfaction of a judgement, decisions, or order. The personal liberty of the member of the United Nations peacekeeping operations shall not be restricted in a civil proceeding, whether to enforce a judgement decision or order, to compel an oath for any other reason.

Deceased Members

48. The participating State shall have the right to take charge of and dispose of the body of a member of its contingent with the United Nations peacekeeping operation who dies in (host country/territory), as well as that member's personal property located within (host country/territory). In accordance with United Nations procedures.

VII. SETTLEMENT OF DUTIES

49. Except as provided in paragraph 51, any dispute or claim of a private law character to which the United Nations peacekeeping operation or any member thereof is a party and over which the courts of (host country/territory) do not have jurisdiction because of any provision of the present Agreement, shall be settled by a standing claims commission to be established for that purpose. One member of that commission shall be appointed by the Secretary-General of the United Nations, one member by the Government and a chairman jointly by the Secretary-General and the Government. If no agreement as to the chairman is reached within thirty days of the appointment of the first member of the commission, the President of the International Court of Justice may, at the request of either the Secretary-General of the United Nations or the Government, appoint the chairman. Any vacancy on the commission shall be filled by the same method prescribed and shall start as soon as there is a vacancy in the chairmanship. The commissions shall determine its own procedures, provided that any two members shall constitute a quorum for all purposes (except for a period of thirty days after the creation of a vacancy) and all decisions shall require the approval of any two members. The awards of the commission shall be final and binding unless the Secretary-General of the United Nations and the Government permit an appeal to a tribunal established in accordance with paragraph 51. The awards of the United Nations peacekeeping operation, the Special Representative /Commander or the Secretary-General of the United Nations shall use his best endeavours to ensure compliance.
50. Disputes concerning the terms of employment and conditions of services of locally recruited personnel shall be settled by the administrative procedures to be established by the Special Representative/Commander.
51. Any other dispute between the United Nations peacekeeping operation and the Government, and any special that both of them agree to allow from the award of the claims commission established pursuant to paragraph 49 shall, unless otherwise agreed by the parties, be submitted to tribunal of three arbitrators. The provisions relating to the establishment and procedures of the claims commission shall supply, *mutatis mutandis*, to the establishment and procedures of the tribunal. The decision of the tribunal shall be final and binding on both parties.
52. If the Government is a party to the Convention, all difference between the United Nations and the Government of (host country/territory) arising out of the interpretation or application of the present arrangement which involve a question of principle concerning the Convention shall be dealt with in accordance with the procedure of section 30 of the Convention.

VIII. SUPPLEMENTAL ARRANGEMENTS

53. The Special Representative/Commander and the Government may conclude supplemental arrangements to the present Agreement.

IX. LIAISON

54. The Special Representative/Commander and the Government shall take appropriate measures to ensure close and reciprocal liaison at every appropriate level.

XI. MISCELLANEOUS PROVISIONS

55. Wherever the present Agreement refers to the privileges, immunities and rights of the United Nations peacekeeping operation and to the facilities the (host country/territory) undertake to provide to the United Nations peacekeeping operation, the Government shall have the ultimate responsibility for the implementation and fulfilment of such privileges, immunities, rights and facilities by the appropriate local (host country/territory) authorities.
56. The present Agreement concluded for the sole purpose of assisting in the implementation of Security Council/General Assembly resolution (number and date of resolution) and has no bearing upon the respective positions of the parties concerning the status of (host country/territory).
57. The present Agreement shall enter into force on...
58. The present Agreement shall remain in force until the departure of the final element of the United Nations peacekeeping operation from (host country/territory) except that:
 - a. The provisions of paragraph 44, 51 and 52 as applicable shall remain in force.
 - b. The provisions of paragraph 49 shall remain in force until all claims have been settled that arose prior to the termination of the present Agreement and were submitted prior to or within three months of such termination.

STATUS OF FORCES AGREEMENT (SOFA)

AGREEMENT BETWEEN

THE GOVERNMENT OF THE
REPUBLIC OF SOUTH AFRICA

AND

THE GOVERNMENTS OF SOUTHERN
AFRICAN DEVELOPMENT COMMUNITY COUNTRIES

CONCERNING

THE STATUS OF ARMED FORCES
IN THE REPUBLIC OF SOUTH AFRICA

PARTICIPATING IN

EXERCISE BLUE CRANE

PREAMBLE

The Government of the Republic of South Africa and the Government of the Democratic Republic of the Congo (hereinafter jointly referred to as the "Parties" and separately as the "Receiving Party" and the "Sending Party" respectively);

RECOGNISING and re-affirming the principles of strict respect for sovereignty, sovereign equality, territorial integrity, political independence and mutual inter-dependence;

SEEKING to promote peace, stability and well being between their citizens;

REALISING their responsibilities as role players in the effecting of international peace, stability and harmony;

CONVINCED that close co-operation, mutual understanding and collaboration in matters of defence and training will be to their mutual benefit; and

DESIROUS of establishing further ties of friendship and fraternity between their Departments of Defence and their Armed Forces by holding joint training exercises.

HEREBY AGREE as follows:

ARTICLE 1

DEFINITION

In this Agreement unless the context otherwise indicates -

"Agreement" means this Agreement;

"Civil Authority" means the South African Police Service, South African Immigration and Customs, any other law enforcement agency and/or appropriate South African Government official, excluding the South African National Defence Force;

"Exercise" means Exercise Blue Crane to be held in the Republic of South Africa over the period 7 April 1999 until 30 April 1999, including a naval sea-lift exercise to be conducted at a later stage;

"Member" or "Members" means every person who is a member of either of the Defence Forces or a civilian attached to such Defence Force for the purpose of the exercise including exercise controllers, directors, and supporting staff.

"Prosecuting Authorities of the Receiving Party" means the Attorney General of the province in which the offence was committed or occurred.

ARTICLE 2

GENERAL

The Sending Party hereby agrees to provide and send members to South Africa for the purpose of participating in the Exercise. The Receiving Party hereby agrees to host and facilitate the Exercise. The Receiving Party agrees to receive and accept the members of the Sending Party in South Africa.

ARTICLE 3**APPLICATION**

Unless specifically provided otherwise, the provisions of this Agreement and any obligation undertaken by the authorities or any privilege, immunity, facility or concession granted to any member of the Sending Party applies only within the borders of South Africa for the purpose of the Exercise.

ARTICLE 4**OBLIGATIONS**

The Sending Party and its members shall refrain from any action or activity incompatible with the spirit of this Agreement. The Sending Party and its members shall respect the domestic law of South Africa and the Officer Commanding of the members of the Sending Party shall take appropriate measures to ensure the observance thereof.

ARTICLE 5**COMMAND AND CONTROL**

- (1) The members provided by the Sending Party shall form a Military Unit subject to the laws governing the Sending Party's Defence Force. The members of the Sending Party shall remain under the direct command and control of the Officer Commanding of the Sending Party.
- (2) Aspects of specific command and control during the Exercise shall be dealt with jointly by the Officers Commanding of the Defence Forces of the Receiving and Sending Party respectively.

ARTICLE 6**ARMS, EQUIPMENT AND UNIFORM**

- (1) The members of the Sending Party shall wear the uniform, display rank insignia, use equipment and possess and carry the arms and ammunition of the Sending Party's Defence Force during the Exercise.
- (2) The wearing of civilian dress by members of the Sending Party may be authorised by the Officer Commanding of the members of the Sending Party.

ARTICLE 7**ENTRY, RESIDENCE AND DEPARTURE**

- (1) The Receiving Party undertakes to facilitate the entry into and departure from South Africa by members of the Sending Party. Special facilities shall be granted by the Receiving Party for speedy processing of entry and exit formalities for the members of the Sending Party.
- (2) Members of the Sending Party shall whenever so required for the purpose of the Exercise, have the right to enter into, reside in and depart from South Africa. The Receiving Party shall be kept informed of such movement.
- (3) The members of the Sending Party shall be exempted from visa regulations on entering into or departing from South Africa.

- (4) The members of the Sending Party shall be exempted from any regulations governing the residence of aliens in South Africa (including registration), but shall not be considered as acquiring any right to permanent residence or domicile in South Africa.
- (5) For the purpose of entry into or departure from South Africa members of the Sending Party shall be required to be in possession of -
 - (a) an individual or collective movement order issued by or under the authority of the Sending Party, and
 - (b) a personal military identity card issued by the Sending Party.
- (6) Members of the Sending Party travelling in South Africa where such travel is not part of the Exercise shall be required to carry their personal military identity cards and/or passports and to adhere to the provisions of sub Article 7(7).
- (7) Members of the Sending Party shall be required to present, but not to surrender, their personal military identity cards and / or passports as stipulated in sub Article 7(6) to a Civil Authority upon demand.

ARTICLE 8

PRIVILEGES AND IMMUNITIES

- (1) Members of the Sending Party shall have the right to bring in, free of duty, their personal effects in connection with their arrival in South Africa. These provisions shall also apply to the export of personal effects and gifts insofar it be deemed reasonable.
- (2) Members of the Sending Party shall not be allowed to bring in any personal firearms or ammunition to South Africa.
- (3) Upon departure from South Africa, the members of the Sending Party may take with them such funds received as pay or emoluments from the Sending Party.
- (4) The Sending Party may import and export free of duty and taxes, equipment, provisions, supplies and other goods destined for use during the Exercise. Where duties are due to the Receiving Party for inspections undertaken by customs officials at the various inspection points, these duties shall be paid by the Sending Party as arranged.

ARTICLE 9

PERMITS AND LICENCES

- (1) The Receiving Party agrees to accept as valid, without tax or fee, a permit or licence, issued to members of the Sending Party by the Sending Party, for the operation of any transport or communication equipment and for the practice of any profession or occupation in connection with their functioning as members of the Sending Party for the purposes of the Exercise.
- (2) Provisions of sub Article 9(1) shall not apply to the use of military vehicles belonging to the Receiving Party except where agreed to by the Officers Commanding of the members of the Receiving and Sending Party respectively.
- (3) The Receiving Party agrees to accept as valid, without tax or fee, an international drivers licence, issued to members of the Sending Party by the Sending Party, for the operation of any civilian vehicles.

ARTICLE 10**ARREST, TRANSFER OF CUSTODY AND MUTUAL ASSISTANCE**

- (1) Subject to the domestic law in force in the Republic of South Africa officials of the Receiving Party including military police, Civil Authority or a duly authorised member, may take into custody any members of the Sending Party if -
 - (a) requested to do so by the Commanding Officer of the Sending Party; or
 - (b) a member of the Sending Party is suspected of committing any offence; or
 - (c) a member of the Sending Party is suspected of committing any offence under the provisions of the law governing the Sending Party's Defence Force.
- (2) Members of the Sending Party taken into custody under sub Article 10(1), must be handed over to the Sending Party's authorities, together with weapons or items seized, as soon as reasonably possible for deportation or disciplinary measures.

ARTICLE 11**CRIMINAL JURISDICTION**

- (1) Members of the Sending Party are subject to the exclusive jurisdiction of the Sending Party in respect of any military offences that may be committed by them in South Africa.
- (2) Members of the Sending Party shall be immune from the military legal process of the Receiving Party in respect of any offences, with regards to any words spoken or written and all acts performed by them in the performance of the duties.
- (3) Except where otherwise provided for in this Agreement, members of the Sending Party shall be subject to the domestic law of the country of the Receiving Party.
- (4) If the Receiving Party suspects that any member of the Sending Party has committed a criminal offence, the Receiving Party shall promptly inform the Commanding Officer of the Sending Party and present to him or her any available evidence.
- (5) If required by the Prosecuting Authorities of the Receiving Party, the Sending Party agrees to extradite its members, who are to be tried by South African courts for offences committed during the Exercise.

ARTICLE 12**CIVIL JURISDICTION**

- (1) If civil proceedings are instituted against a member of the Sending Party before a court of the Receiving Party, the Commanding Officer of the Sending Party shall be notified immediately, and he or she shall certify to the court whether or not the alleged commission or omission was committed in the performance of the members duties.
- (2) If the Officer Commanding certifies that the proceeding is related to the official duties of the member, such proceedings shall be discontinued and the provisions of Article 13 shall apply.
- (3) If the Officer Commanding certifies that the proceeding is not related to the official duties of the member, the proceeding may continue.
- (4) If any action is instituted against the Sending Party by any institution or person, for services rendered or the supply of any goods or equipment during the Exercise or in respect of the Exercise, the provisions in sub Article (1) shall not apply and the proceedings shall continue.
- (5) If the Officer Commanding certifies that a member of the Sending Party is unable to protect his interests in the proceedings because of official duties or authorised absence, the court shall, subject to the domestic law in force in South Africa and at the defendant's request, suspend the proceedings until the elimination of the disability, but for not more than 90 days.
- (6) Subject to the domestic law in force in South Africa, no member of the Sending Party shall be detained pending a judgement by a competent court in any civil proceeding, or be called upon to enforce a judgement, decision or order or to compel an oath for any other reason.
- (7) Subject to the domestic law in force in South Africa all claims against a member of the Sending Party must be instituted within three years from the incident which gave rise to the claim. All claims not instituted within three years from the incident shall prescribe after this period.

ARTICLE 13**COSTS, INDEMNITY AND SETTLEMENT OF DISPUTES**

- (1) The Parties shall be separately liable for costs for services rendered or the supply of any goods or equipment during the Exercise or in respect of the Exercise, except where written arrangements to the contrary have been made by the Parties on an *ad hoc* basis. The Receiving Party shall not be liable to the Sending Party for costs pertaining to the use of vehicles, aircraft and/or equipment of the Sending Party, or any losses or damages resulting from such use during the Exercise or in respect of the Exercise except where such damage or loss is as a result of gross negligence or wilful misconduct.
- (2) Except as provided in sub Article (1) and (4), any dispute or claim of a civil nature to which the members of the Sending Party is a Party and over which the courts of the Republic of South Africa do not have jurisdiction as a result of the provisions of this Agreement, shall be settled by the Officer Commanding of the members of the Receiving and Sending Parties jointly.
- (3) Any other dispute between the members of the Sending Party and the Receiving Party, shall unless otherwise agreed to by the Parties, be submitted to a tribunal of three arbitrators.
- (4) The Parties shall each appoint a member to the tribunal and jointly appoint the chairperson to the tribunal. The tribunal shall determine its own procedure. Any two members to the tribunal will

constitute a quorum and any decision shall require the approval of any two members. The decisions of the tribunal shall be final and binding on both Parties.

ARTICLE 14

COMMUNICATION AND POSTAL SERVICES

- (1) The Sending Party shall for the purposes of the Exercise utilise facilities in respect of communications provided by the Receiving Party and shall, in co-ordination with the Receiving Party, use such facilities as may be required for the performance of its tasks.
- (2) Issues with respect to communications which may arise and which are not specifically provided for in this Agreement shall be dealt with jointly by the Officer Commanding of the members of the Defence Forces of the Receiving and Sending Parties.
- (3) The telecommunications services shall be operated in accordance with the International Telecommunications Convention and Regulations and the frequencies on which any such station may be operated shall be decided upon by the Receiving Party.
- (4) Subject to the provisions of sub Article (3) members of the Sending Party shall enjoy within South Africa the right of unrestricted communications by radio, telephone, telegraph, facsimile, or any other means, and of establishing necessary facilities for maintaining such communications.
- (5) The use of local system of telegraph, telex and telephones shall be charged at the standard rates applicable in South Africa.
- (6) The Receiving Party shall make arrangements for the processing and transport of private and official mail, including the transfer of currency and transport of packages and parcels, addressed to or emanating from members of the Sending Party. Rates shall be charged at the standard rates applicable in South Africa.

ARTICLE 15

TRANSPORT, FACILITIES AND LOGISTICAL SUPPORT FOR MEMBERS OF THE SENDING PARTY

- (1) During the Exercise, members of the Defence Force of the Sending Party shall, subject to the domestic law in force in South Africa enjoy, together with its vehicles, vessels, aircraft and equipment, freedom of movement throughout South Africa.
- (2) Such movement shall always be with the members of the Receiving Party or with the consent of the Officer Commanding of the members of the Receiving Party.
- (3) The costs of the use of roads, bridges, waters, port facilities and airports by members of the Sending Party shall be payable by the Sending Party at the standard rates, tolls, wharfage charges, landing fees and other fees, applicable in South Africa, except where such services or facilities are provided by the Receiving Party in which case it will be provided free of charge.

- (4) The Receiving Party shall provide vehicles as well as fuel and drivers for such vehicles to the members of the Sending Party during the Exercise, if and when such provision is requested and agreed to, and costs conferred for such vehicles, fuel and drivers shall be payable by the Sending Party at the standard rates of the Receiving Party.
- (5) Any equipment, arms, ammunition or any other object transported by the Receiving Party at the request of the Sending Party shall be done at the risk of the Sending Party.
- (6) The provisions of Section 149 bis of the Defence Act 1957, (Act No 44 of 1957), shall apply to all members of the Sending Party and such members may be required to certify in writing that they know and understand the provisions of the said section.

ARTICLE 16

LOGISTICAL SUPPORT

- (1) The Receiving Party shall provide all reasonable consumables to the members of the Defence Force of the Sending Party for the Exercise and costs conferred thereof shall be payable by the Sending Party, at a restitution basis, at the standard rates of the Receiving Party.
- (2) The Receiving Party shall provide all requested logistical support to members of the Defence Force of the Sending Party for the Exercise at the standard rates of the Receiving Party or as mutually agreed upon by the Officers Commanding of the members of the Receiving and Sending Parties.

ARTICLE 17

EMPLOYMENT OF LOCAL PERSONNEL

- (1) The Sending Party may employ locally such civilians as it requires for the purpose of the exercise or as allocated to it by the Receiving Party.
- (2) Any civilians thus recruited or allocated retain all rights and duties bestowed by relevant Labour Law in South Africa.
- (3) Any civilians thus recruited shall not become members of the Defence Force of the Sending Party.

ARTICLE 18

CURRENCY

The Receiving Party shall make available to the members of the Sending Party against reimbursement at the current exchange rate, local currency required for the use by members of the Sending Party.

ARTICLE 19

STORAGE

- (1) Any equipment, arms, ammunition or any other object stored by the Receiving Party at the request of the Sending Party shall be done at the risk of the Sending Party.

- (2) The Receiving Party undertakes to provide any storage facilities required by the Sending Party at the standard rates applicable to South Africa.

ARTICLE 20

MEDICAL SUPPORT

- (1) The Receiving Party agrees to provide any emergency military medical support needed by members of the Defence Force of the Sending Party during the Exercise.
- (2) The Sending Party shall be liable for costs for any private medical support made use of by it during the Exercise.
- (3) Unless otherwise agreed to by the Parties, *the Receiving Party shall facilitate ad hoc evacuation of any member of the Sending Party* and the Sending Party thereof shall reimburse the costs.

ARTICLE 21

MEDICAL REQUIREMENTS

- (1) Members of the Sending Party, participating in the Exercise, shall be medically fit and psychologically capable to participate in combined military exercises.
- (2) Members of the Sending Party, participating in the Exercise, shall be of a HIV negative medical condition prior to and during the Exercise.
- (3) Members of the Sending Party, participating in the Exercise, shall be immunised before arrival in the country of the Receiving Party.

ARTICLE 22

BOARDS OF INQUIRY

- (1) In case of any accident or incident resulting in the injury or death of any member partaking in the Exercise, the Receiving Party undertakes to, and agrees to institute a Board of Inquiry to investigate the circumstances surrounding the cause of such injury or death.
- (2) A member of the Sending Party may be present at such a Board of Inquiry and may question witnesses at the Board of Inquiry.
- (3) The Receiving Party undertakes to furnish the Sending Party with a copy of the findings of the Board of Inquiry upon completion thereof.

ARTICLE 23**WAIVERS AND INDEMNITY**

- (1) The Receiving and Sending Parties waive all claims against each other, arising out of any injury sustained or death suffered by a member or members participating in the Exercise where such injury or death arises or is caused by or during the performance by a member or members of their duties, or while doing anything in connection with the performance of this Agreement except where such injury or death is a result of gross negligence or wilful misconduct on the part of such a member or members.
- (2) The Receiving and Sending Parties waive all claims against each other for damage done or caused to any property owned by them, where such damage was done by a member in the course of their official duty, except where such damage was as a result of gross negligence or wilful misconduct on the part of such a member.
- (3) In cases of death or injury, referred to in sub Article (2) the affected members or their dependants shall be compensated by and in respect of the domestic law of their own countries.
- (4) Notwithstanding any arrangement to the contrary made in this Agreement any member or dependant of members shall retain any right they have to institute claims in their private capacity for such deaths or injuries.
- (5) The Parties hereby agree to indemnify the other for all costs incurred by it in dealing with any claims made against it by any other person for the death of or injury sustained by a member or members participating in the Exercise where such injury or death arises or is caused by or during the performance of their duties, or while doing anything in connection with the performance of this Agreement.
- (6) All claims arising from the Exercise shall prescribe after three years from the incident that gave rise to the claim if such a claim is not instituted during the prescription period.

ARTICLE 24**SUPPLEMENTAL ARRANGEMENTS**

The Officers Commanding of the members of the Parties may conclude supplemental arrangements to this Agreement, provided that such arrangements be in writing and consistent with the provisions of this Agreement.

ARTICLE 25**MISCELLANEOUS PROVISIONS**

- (1) The appropriate authorities of the Parties may establish mutually agreed upon procedures, not inconsistent with this Agreement, for the execution of this Agreement and for effecting its provisions.
- (2) Wherever this Agreement refers to the privileges, immunities and rights of the Sending Party and to the facilities of the Receiving Party, the Receiving Party shall have the ultimate responsibility for the implementation and fulfilment of such privileges, immunities, rights, and facilities by the appropriate local South African authorities.
- (3) This Agreement shall enter into force on the date of signature by both Parties.
- (4) This Agreement shall remain in force until the end of the Exercise or until the departure of the last

element of the Sending Party that participated in the Exercise, provided that the Agreement shall remain valid until and for purposes of the conclusion of any outstanding investigations and legal or other related proceedings.

- (5) Any dispute between the Parties arising out of the interpretation or implementation of this Agreement shall be settled amicably through consultation or negotiation between the Parties to the dispute.
- (6) This Agreement may be amended through an exchange of notes between the Parties through the diplomatic channel.

IN WITNESS WHEREOF the undersigned, being duly authorised by their respective governments, have signed and sealed this Agreement in duplicate in the English language, both texts being equally authentic.

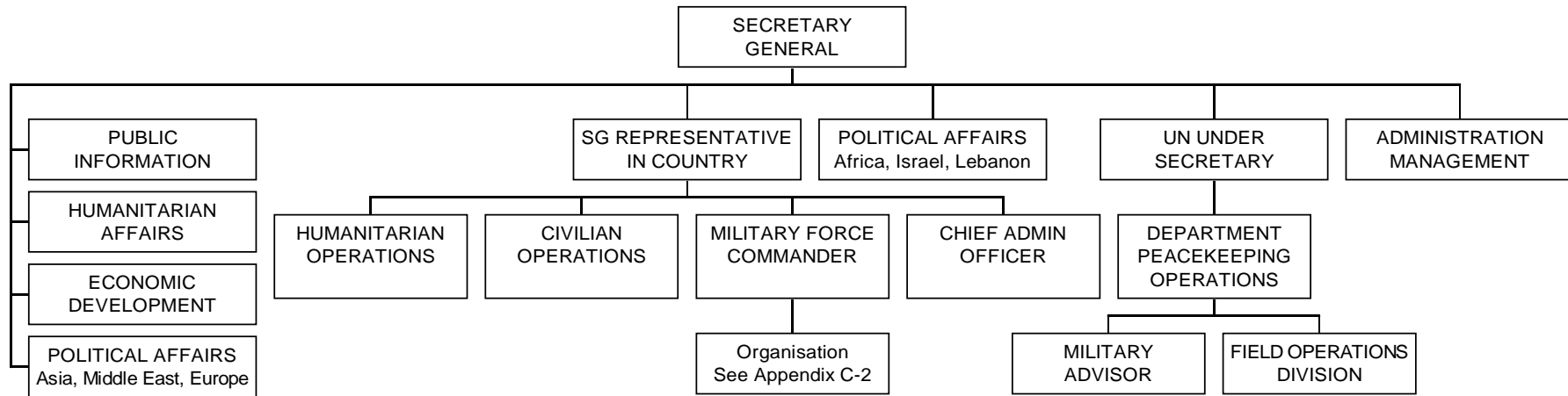
DONE aton this day of in this year Two thousand.

**FOR THE GOVERNMENT OF
 THE REPUBLIC OF
 SOUTH AFRICA**

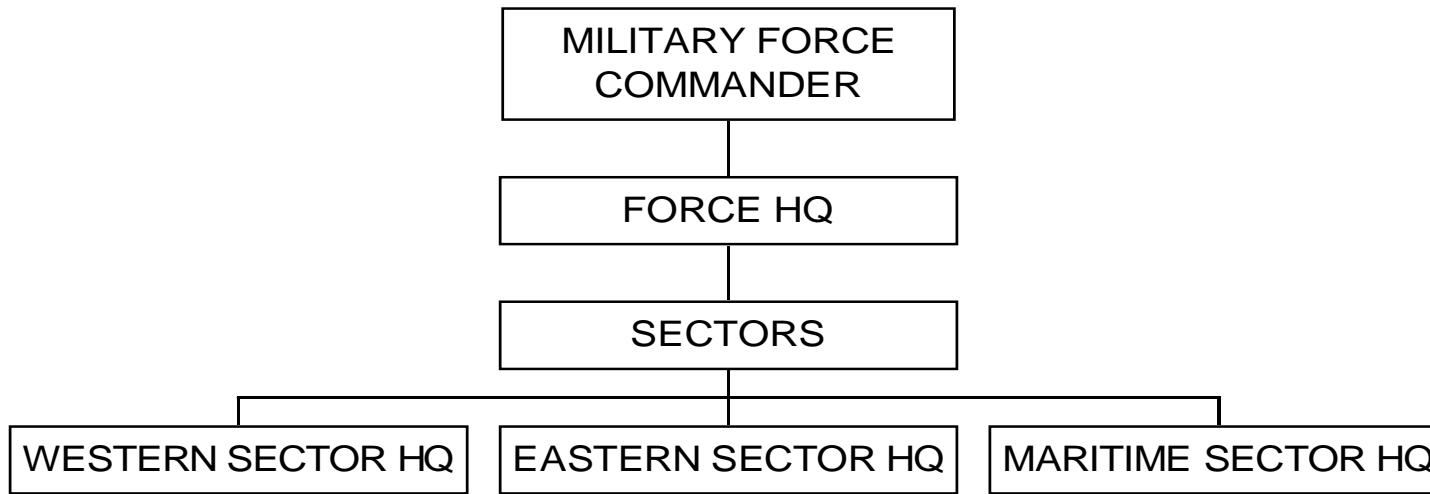
**FOR THE GOVERNMENTS OF
 SOUTHERN AFRICAN DEVELOPMENT
 COMMUNITY COUNTRIES**

APPENDIX C

TYPICAL UNITED NATIONS ORGANISATION FOR PEACEKEEPING



NATIONAL ORGANISATION FOR PEACEKEEPING



APPENDIX D**EXAMPLE COMPLAN**

<i>Line</i>	<i>Circuit Description</i>	<i>Band</i>	<i>Frequency</i>	<i>Mode</i>	<i>Remarks</i>
1	TF Control and Safety Pri	HF	4140,0kHz	J3E	Set Watch 2 hr before sailing
2	TF Control and Safety Sec	HF	6495,0 kHz	J3E	Set Watch 2 hr before sailing
3	TF Control and Safety	INMARSAT: IOR			Comcen Dbn: 460100923
4	TF Air Reporting Net	HF	8975 kHz	J3E	Set Watch 2 hr before take off
5	TF Air Reporting Net Sec	HF	6757 kHz	J3E	Set Watch 2 hr before take off

APPENDIX E**HAILING PROCEDURE****INITIAL CONTACT**

1. As soon as practicable, when within VHF range establish two way communications (Channel 16) with the Master of the vessel using the appropriate challenge. If no reply is received, VHF should be supplemented with flashing light, International signal flag hoist and upperdeck loud hailer where appropriate.

CHALLENGES**CHALLENGE ONE B INITIAL CONTACT CH 16 VHF**

2. “Vessel in position steering course... .. speed... .. , this is... (state name of country) warship flashing you with (white, blue, green, red) light, on your (starboard/port) side, *OVER*”.

CHALLENGE TWO B AFTER VESSEL REPLIES

3. “Vessel , this is ... (state name of country) warship please go to channel ... ” (choose a working channel).

CHALLENGE THREE B ON WORKING CHANNEL

4. “Vessel , this is ... (state name of country) warship, operating in support of the United Nations Resolution I request that you state the following information:
 - a. International callsign.
 - b. Flag.
 - c. Port of Registry.
 - d. Vessel Owner and Agent.
 - e. Cargo onboard.
 - f. Last port of call and date of departure.
 - g. Next port of call and planned date of arrival”.

CHALLENGE FOUR B IF VESSEL IS NEUTRAL

5. “Vessel , this is ... (state name of country) warship, you are clear to proceed directly to your destination of Thank you for your co-operation”.

CHALLENGE FIVE B IF VESSEL IS SUSPICIOUS

6. “Vessel , this is ... (state name of country) warship, I intend to send a boarding party to inspect your manifest and cargo in accordance with the United Nations Security Council Resolution No harm will be done to your vessel, crew or cargo”.

CHALLENGE SIX B BOARDING INSTRUCTIONS

7. *“Vessel, I request that you provide the following additional information:*
- a. *The quantity, origin, and location of dangerous goods in your cargo.*
 - b. *Any hazards due to fumigation.*
 - c. *The number and nationality of your crew and passengers.*
 - d. *The number of women and children.*
 - e. *Any animals onboard.*
 - f. *Any weapons onboard.*
 - g. *The name and nationality of the Captain/Master.*
8. *You are required to:*
- a. *Alter to course*
 - b. *Adjust your speed to knots.*
 - c. *Provide a Pilot ladder to the waterline on your starboard side.*
 - d. *Turn on all interior (and exterior) lights.*
 - e. *Have all spaces unlocked, including cabins, storerooms, and accesses to cargo holds, to have all keys available on the Bridge.*
 - f. *Have all the ship’s papers and crew and passenger identification brought to the bridge.*
 - g. *Muster your crew on the Forecastle/Quarterdeck.*
 - h. *Indicate the number of personnel on watch and their location.*
 - i. *Gather all weapons and place them in your cabin, lock it and have the key on the bridge.*
 - j. *Have the Chief Mate on the bridge”.*

CHALLENGE SEVEN v DIVERSION WHEN CARGO IS INACCESSIBLE OR MANIFEST IS INCOMPLETE

9. *“Vessel This is the Officer Commanding of ... (name of ship) a ... (state name of ship) warship. The visit and search reveals an incomplete manifest and/or inaccessible cargo. You are not authorised to proceed to your intended port. You may return to your port of origin or divert to another port to collect your manifest/render your cargo accessible for inspection. I request you state your intentions”.*

CHALLENGE EIGHT B DIVERSION OF A VIOLATOR

10. *“Vessel This is the Officer Commanding of ... (name of ship) a ... (state name of country) warship. You are in violation of United Nations Security Council Resolution Your vessel must now proceed to (port) where you will be handed over to Be aware that your vessel will be held at such port by authorities until arrangements are made to deal with your cargo. I request you state that you will comply with additional instructions that will be given by this warship escorting you to the destination. My boarding party will remain onboard your vessel during the transit”.*

ESCALATION B INCREASING LEVEL OF FORCE (IN ACCORDANCE WITH RULES OF ENGAGEMENT)

- Level 1 *“I must insist that you co-operate. If you do not, I have authority to use weapons. This signal is the first step of an escalating process that might result in damage to your vessel”.*
- Level 2 *“I intend crossing your bows and making use of a floating hawser to foul your propeller”.*
- Level 3 *“I am prepared to demonstrate my willingness to use my weapons, by firing in front of you”.*
- Level 4 *“I am about to fire across your bows”.* (Fire 300 yards ahead. If no response warn the Master that the range will be reduced).
- Level 5 *“I am about to fire across your bows”.* (Fire 100 yards ahead.)
- Level 6 *“In 5 minutes I will fire my gun into your with non explosive shells. You should evacuate this area”.* (Commence countdown, allowing for interruption by the Master)
- Level 7 (Level 6 plus 5 minutes) *“I am now commencing firing of my gun into your”.* (single inert ordnance).
- Level 8 (Shoot to disable vessel) *“In 1 minute, if you fail to comply with my instructions, I will fire my gun using High Explosive ammunition with the intention of disabling your vessel”.*

APPENDIX F**INSTRUCTIONS TO BOARDING PARTY PERSONNEL**

OPERATION _____

INSTRUCTIONS TO ARMED BOARDING PARTY PERSONNEL

THE WEAPON WITH WHICH YOU HAVE BEEN ISSUED IS FOR SELF-PROTECTION ONLY, that is to defend yourself or other members of the Boarding Party from imminent danger of death or serious injury.

IN ALL SITUATIONS YOU ARE TO USE THE MINIMUM FORCE NECESSARY TO PROTECT YOURSELF OR OTHER PERSONS. Most situations can be resolved without the use of force by presenting a disciplined, confident presence. A baton may be provided as an additional level of protection short of deadly force. **FIREARMS MUST ONLY BE USED AS A LAST RESORT.**

In Policy GREEN

Weapons made safe (uncocked, safeties on, no rounds chambered).

All weapons holstered or slung.

In Policy YELLOW

Your pistol is to remain holstered; unless employed as a sentry or in a security position.

You are to maintain a ready posture with your firing hand in an open position over the pistol grip of the holstered weapon.

A sub-machine gun shall be unslung and carried at the ready position.

Weapons are never to be aimed unless you are about to fire.

In Policy RED

Your weapon is to be cocked and safety released when ordered by myself, the Boarding Officer or you are reacting in self-defence.

WARNING SHOTS ARE NOT AUTHORISED

You must give a clear verbal warning before opening fire as follows:

“NAVY! STOP OR I WILL FIRE”.

YOU MAY ONLY OPEN FIRE IF YOU BELIEVE IT IS NECESSARY TO PRESERVE YOURSELF OR OTHER PERSONS FROM AN IMMEDIATE THREAT OF DEATH OR SERIOUS INJURY

If you open fire, you are to fire only aimed shots and fire no more rounds than are necessary to remove or neutralise the threat.

Your training, common sense and judgement must prevail in determining the necessary action in any given circumstance.

(Officer Commanding)

(Boarding Party Member)

Date _____

APPENDIX G**LIST OF RELEVANT PUBLICATIONS**

1. EXTAC 1000 Maritime Manoeuvring and Tactical Procedures
2. EXTAC 1001 International HOSTAC Vol I (I)
3. EXTAC 1002 International HOSTAC Vol II (I)
4. EXTAC 1003 Replenishment at Sea
5. EXTAC 1004 Voice Procedures and Brevity Code Words
6. EXTAC 1006 Structured Messages
7. EXTAC 1007 Mine Warfare
8. EXTAC 1009 Diving Safety
9. EXTAC 1010 Non-combatant Evacuation Operations
10. EXTAC 1011 Humanitarian Operations
11. EXTAC 1012 Maritime Interdiction Operations
12. EXTAC 1013 Regional Naval Control of Shipping
13. The Geneva Conventions of 12 August 1949
14. Protocols Additional to The Geneva Conventions of 12 August 1949
15. Essentials of the Law of War.
16. International Law concerning the Conduct of Hostilities.
17. Handbook on the Law of War for Armed Conflict.

APPENDIX H**GLOSSARY OF TERMS AND ACRONYMS****A**

ADCON - Administrative Control
 AI - Amnesty International
 AIDS - Acquired Immune Deficiency Syndrome
 AO - Area of Operations
 AOI - Area of Interest
 AOR - Area of Responsibility
 ASAS - Association of Southern African States
 AWOL - Absent Without Leave

B

BP - Boarding Party

C

C² - Command and Control
 C³ - Command, Control, and Communications
 CA - Civil Affairs
 CAO - Chief Administrative Officer
 CASEVAC - Casualty Evacuation
 CCSANDF - Contingent Commander South African
 National Defence Force
 CH - Channel
 CHOP - Change of Operational Control
 CINC - Commander-in-chief
 CIMIC - Civil-Military Co-operation
 CIVPOL - Civilian Police
 CJTF - Commander, Joint Task Force
 CMOC - Civil Military Operations Centre
 COE - Contingent Owned Equipment
 COMCEN - Communications Centre
 COMPLAN - Communications Plan
 COMSEC - Communication Security
 CP - Command Post/Check Point
 CS - Type of Tear Gas
 CTF - Commander Task Force
 CTG - Commander Task Group
 CTU - Commander Task Unit

D

::: - To think/operate outside the nine
 dots (norm)
 Dbn - Durban
 DMZ - Demilitarised Zone

UNCLASSIFIED

DOD - Department of Defence
 DPKO - Department of Peacekeeping
 Operations

E

EI - Essential Elements of Information
 EEZ - Exclusive Economic Zone
 EOD - Explosive Ordnance Disposal
 EXTAC - Experimental Tactics

F

FAC(M) - Fast Attack Craft (Missile)
 FALD - Field Administration and Logistics
 Division
 FC - Force Commander

G

GO - Governmental Organisation
 GPS - Global Positioning System

H

HA - Humanitarian Assistance
 HCR - High Commissioner for Refugees
 HF - High Frequency
 HIV - Human Immuno-deficiency Virus
 HN - Host Nation
 HNS - Host Nation Support
 HOC - Humanitarian Operations Centre
 HOSTAC - Helicopter Operations from
 Ships other than Aircraft
 Carriers
 HQ - Headquarters

I

ICRC - International Committee of the
 Red Cross
 ID - Identity
 IOs - International Organisations
 IOR - Indian Ocean Region
 IMF - International Monetary Fund
 IMO - International Maritime Organisation
 INMARSAT - International Maritime

H-1

ORIGINAL

Satellite
ISDSC - Inter-state Defence and Security
Committee

Operation
NGS - Naval Gunfire Support
NGO - Non-governmental Organisation

J

JF - Joint Force
JFC - Joint Force Commander
JMC - Joint Movement Centre
JOA - Joint Operations Area
JOC - Joint Operations Centre
JTF - Joint Task Force
JWM - Joint Warfare Manual
JWP - Joint Warfare Publication
J3E - Voice Single Side Band (Upper)

L

LA - Legal Advisor
LEP - List of Effective Pages
LF - Landing Force
LIC - Low Intensity Conflict
LO - Liaison Officer
LOAC - Law of Armed Conflict
LOC - Line of Communication
LZ - Landing Zone

M

MA - Military Advisor
MC - Movement Centre
MCMV - Mine Counter Measures Vessel
MDC - Military Disciplinary Code
MEDEVAC - Medical Evacuation
MFO - Multinational Force and Observers
MMOps - Multi-national Maritime Operations
Manual
MNF - Multinational Force
MO - Military Observer
MOA - Memorandum of Agreement
MOU - Memorandum of understanding
MP - Military Police
MPA - Maritime Patrol Aircraft
MSC - Mission Sector Commander

N

NATO - North Atlantic Treaty
Organisation
NBC - Nuclear, Biological, Chemical
NEO - Non-combatant Evacuation

UNCLASSIFIED

O

OAU - Organisation of African Unity
OC - Officer Commanding
OGD - Other Government Departments
OP - Observation Post
OPCON - Operational Control
OPORD - Operational Order
OPSEC - Operational Security

P

PE - Peace Enforcement
PEO - Peace Enforcement Operations
PKO - Peacekeeping Operation
PO - Personnel Officer
POW - Prisoner of War
Pri - Primary
PSO - Peace Support Operation
PUB - Publication
PVO - Private Voluntary Organisations

Q

QNH - Corrected Barometric Pressure
at Sea Level

R

RAS - Refuel at Sea
RB - Reverse Blank
Recce - Reconnaissance
RHIB - Rigid Hull Inflatable Boat
ROE - Rules of Engagement
RV - Rendezvous

S

SAR - Search and Rescue
SADC - Southern African Development
Community
SANDF - South African National Defence
Force
Sec - Secondary
SG - Secretary General
SITREP - Situation Report
SOFA - Status of Forces Agreement

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ORIGINAL

SOP - Standard Operating Procedures
SRSG - Special Representative B
Secretary General

T

TF - Task Force
TOR - Terms of Reference
TU - Task Unit

U

UHF - Ultra High Frequency
UN - United Nations
UNHCR - United Nations High Commission
for Refugees
UNICEF - United Nations Children's Fund
UNIFIL - United Nations Intervention Force
in South Lebanon
USG - Under Secretary General
USSG - Under Secretary to the Secretary General

V

VERTREP - Vertical Replenishment
VHF - Very High Frequency
VOI - Vessel of Interest

W

WCC - World Council of Churches
WFP - World Food Program
WHO - World Health Organisation

X

XO - Executive Officer

Z

Zodiac - Type of Inflatable Boat

APPENDIX I**STANDARD OPERATING PROCEDURES (SOPS)****HELICOPTER VERTICAL REPLENISHMENTS**

1. The following procedures are to be adhered to prior and during VERTREPs:
 - a. Establish communications with the helicopter on the primary and secondary circuit prior to any VERTREP taking place.
 - b. Fire-fighting equipment is to be laid out and tested prior to any VERTREP taking place, and are to be manned during any VERTREP.
 - c. The sea boat is to be slung outboard and ready to launch. Divers are to be dressed and are to have surface swimming gear at the ready, and the boat's crew is to be immediately available. All additional associated rescue equipment is to be tested and at the ready.
 - d. Manoeuvre the ship, shape a course and speed to ensure that
 - i. the helicopter can be operated within the prescribed wind envelopes; and
 - ii. the ship remains in safe waters for the duration of the VERTREP.
 - e. Pass deck checks to the helicopter, including
 - i. the barometric pressure (QNH);
 - ii. ships course (magnetic heading) and speed;
 - iii. relative wind (speed and direction); and
 - iv. pitch and roll on deck.
 - f. The VERTREP Party is to be correctly dressed, with normal working dress, anti-flash gear and shoes.
 - g. The VERTREP area is to be clear of obstructions.
 - h. No gash to be ditched prior to and during operations.
 - i. No headgear is to be worn during the entire VERTREP.
 - j. An earthing strap, attached to a long pole is to be available to earth the lifting strop to the ship once within reach.
2. In addition to the above procedure, during night VERTREPS all upperdeck lights are to be switched on and all obstructions are to be illuminated, however, no lights are to be shone vertically in such a manner as to blind the pilot.
3. Additional information regarding Helicopter Operations from Ships other than Aircraft Carriers is obtained in EXTAC 1001 (Procedures and Handling) and EXTAC 1002 (Helicopter Specifications).

OTHER

4. Individual SADC Nations will need to develop their own individual SOPs for PSOs in accordance with the guidelines laid down in this publication.

List of Effective Pages

<i>Section</i>	<i>Page Number</i>	<i>Effective Change</i>
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Preface	vii, viii	Original
List of Contents	ix (RB)	Original
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Chapter 2	2-i (RB) 2-1 to 2-8	Original Original
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Chapter 6	6-i (RB) 6-1, 6-2	Original Original
Chapter 7	7-i (RB) 7-1 to 7-4 7-5 (RB)	Original Original Original
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Appendix I	I-1 (RB)	Original
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