

S(Misc)111/742/1

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RULES OF ENGAGEMENT FOR SURFACE SHIPS AND  
AIRCRAFT IN OPERATION CORPORATE

1. Attached for your consideration is a draft submission to the Secretary of State, prepared by the Navy Department, setting out the machinery for authorising the Rules of Engagement for surface ships and aircraft. It does not address specific rules for particular operations, which will be submitted for consideration as required once this machinery has been agreed.

2. This submission has been placed as Agenda Item 6 for your meeting scheduled for Tuesday 13 April 1982 at 10.00 am.

## Attachment:

Draft Rules of Engagement for Surface Ships and Aircraft in Operation CORPORATE (19 pages).

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~~Mr. Wright.~~

received late

today.

Now in 14/4

~~Mr. Fyfe~~

(The early draft,

I think)

17/4

12 April 1982

DRAFT

S f S

RULES OF ENGAGEMENT FOR SURFACE SHIPS AND AIRCRAFT  
IN OPERATION CORPORATE

1. You have already approved the Rules of Engagement for SSN's which I forwarded (1) last week. I now make my proposals for Rules concerning surface ships and aircraft. These Rules must be more flexible and broader in scope than those applicable solely to submarines in order to reflect the greater range of options available to surface and air forces. To be comprehensive, they should also permit the control or reversal of any escalation as you consider fit.

2. A set of Rules of Engagement which can be adapted to meet the requirements of Operation CORPORATE is already in existence and well proved in both exercises and operations; its use is familiar to both Fleet and Maritime air units. It therefore makes sense to stick to these Rules rather than attempting to draw up a completely new set. They are promulgated in Fleet Operational and Tactical Instructions (FOTIs) and are divided into three levels: political policy, military policy, and detailed rules.

3. Political Policy. The political policy is promulgated to provide a background against which the Military Commanders can interpret the rules. The three policies in FOTIs, which will need to be amplified by plain language statements including broad tasking instructions such as "Enforce the Exclusion Zone", are:

Note:

1. CDS 2038/1/1 of 6 April 1982.

Page 1 of 19 pages

COS S14(6)

SECRET UK EYES BRAVO

ALQ 050/1		
RECEIVED IN REGISTRY		
DESK OFFICER		REGISTRY
INDEX	PA	Action Taken

- a. ALFA - De escalation. (Play down the issue as much as possible).
- b. BRAVO - Maintenance of the Status Quo.
- c. CHARLIE - Escalation. (Take the initiative even if this involves escalating the level of action within that allowed by the Rules in force).

4. Military Policy. The Military Policy is determined by MOD within the framework of the Political Policy; it states the policy to be followed by subordinate commanders and the priorities in the event of any conflict between execution of the policy and changing circumstances. The Military Policy Rules in FOTIs are listed at Annex A. In order to adapt the rules to the requirements of the current operation those which involve offensive action can readily be limited by stating the specific types of target which may be engaged, the geographic area and the time. A proposed list of suffixes, to be added to the offensive Military Policy Rules to specify the types of target is at Annex B; they parallel those issued to the submarines.

5. Detailed Rules. These are amplifying instructions to control in detail, within the Military Policy, the actions of subordinates. The procedures permit the selection of these Rules to be delegated as far down as the Officers in Tactical Command at sea and the addition of amplifying Rules for

specific operations. On this occasion I recommend that the Commander-in-Chief Fleet be delegated authority to draw up the detailed Rules, clearing them with the MOD before promulgating them to the Task Force.

6. Self Defence. You will recollect from your involvement with the Rules of Engagement for the submarines that, notwithstanding the Rules in force at the time, the Commander of a unit has under International Law the inherent right to use such force in self defence as may be necessary to protect his command and the lives of his men. I have drawn up two additional Rules (207 and 208 in Annex A) to cover this point and to provide more flexibility for defensive response should the occasion warrant it.

*defino?*

7. Recommendation. I recommend that the well-established Rules of Engagement promulgated in FOTIs, with some amplification to suit the present circumstances, be used by surface ships and aircraft in Operation CORPORATE. The actual implementation of the Political Policy and the Military Policy Rules is of course a matter you will wish to clear with the Prime Minister and your colleagues; however informing the Commander-in-Chief Fleet of the intention to use the existing set of Rules, together with details of the amplifying instructions at Annex B, lies, I believe, within your gift. I would be grateful for your



early approval of my recommendation so that the Task Force can be made aware of the situation in ample time before the Rules have to be implemented.

CDS

Annexes:

- A. Military Policy Rules of Engagement from FOTI 0204.
- B. Proposed suffixes to specify types of targets which may be engaged.

SECTION 1 ENGAGEMENTTable 1 General Rules Applicable to all Ships, Submarines and Aircraft

DESIG	MEANING	REMARKS	POLITICAL
<u>MILITARY POLICY</u>			
100	Every effort is to be made to avoid conflict eg open range, alter course, turn away, maintain weapons fore and aft, switch off weapon control sensors.	Commanding Officers/Aircraft Captains are to be aware that action in their immediate vicinity may be that of a junior or inexperienced Commander and not an accurate reflection of national intent.	A
101	Weapon systems are not to be discharged at units which have discharged weapons at own or friendly vessels until efforts have been made to pass a warning that if firing is continued, it will be returned. If enemy fire continues, fire may then be returned in self defence or defence of own forces.		A
102	Commanding Officers and Aircraft Captains are to respond to any aggression with tactful firmness and are to exhibit a determination to meet any escalation, though not to exceed that already carried out by the enemy.		B

SECTION 1 ENGAGEMENT (cont)Table 1 General (cont)

DESIG	MEANING	REMARKS	POLITICAL
103	When the enemy is about to engage with weapons, minimum force is to be used to prevent the successful employment of those weapons. Excessive or untimely use of force would have serious military or political consequences.		B
104	Commanding Officers and Aircraft Captains may take such actions as is necessary to achieve their military task, but are not to exceed it.	A limit to the action which may be taken may be set by an amplifying instruction.	B C
105	Force is to be used to prevent the successful use of the enemy's weapon systems. The necessity to prevent successful engagement by the enemy is of paramount importance.	Degree of force permissible is laid down in other Rules.	C
106	Carry out unrestricted offensive operations using conventional weapons.		

SECTION 2 SURVIYABILITY

Table 1 General Rules Applicable to all Ships, Submarines and Aircraft

DESIG	MEANING	REMARKS	POLITICAL POLICY
<u>MILITARY POLICY</u>			
200	If detected, the immediate aim is to break contact. This is to have overriding priority.	For patrol submarines:- a. Evasion is to continue as long as battery state allows. b. If forced to surface and positively identified by potentially hostile forces, withdraw from patrol. c. Report position, forces, last broadcast number and any threatening actions.	A
201	Authority is delegated to establish a boundary between your force/unit and those of hostile unit(s).	Delegation requires MOD approval. See para 28 and Fighting Instructions Vol 2. The Commander to whom authority is delegated is responsible for informing the hostile units of the establishment of the boundary.	B
202	Authority is delegated to attempt to warn off all enemy units which constitute a threat.	Delegation requires MOD approval. See para 28.	B

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Table 1 General (cont)

DESIG	MEANING	REMARKS	POLICY
203	Authority is delegated to attempt to warn hostile units in the manner described in para 28.	Delegation requires MOD approval. The Commander to whom authority is delegated is responsible for informing hostile units concerned.	B C
204	Protect national shipping/aircraft using the minimum force necessary.	Action is limited to Rules of Engagement in force.	B
205	Authority is delegated to attack any ship, submarine or aircraft that demonstrates hostile intent as defined in Annex A. para 4.	Delegation requires MOD approval. See para 28.	C
206	Authority is delegated to assume that one attack by an enemy unit is the first in a planned multiple attack. All threatening units may be attacked in order to prevent a pre-emptive attack and to ensure survivability.	Delegation requires MOD approval. See para 28.	C

Table 1 General (cont)

DESIG	MEANING	REMARKS	POLITICAL
207	For the purpose of self defence attack on one unit may be considered an attack on all other units in company.	Delegation requires MOD approval.	A B C
208	Notwithstanding other Rules which may be in force the commander of a unit has the inherent right to use such force in self defence as may be necessary to protect his command and the lives of his men.	To be signalled to reinforce the right of self defence at all times.	A B C

SECTION 3 MARKING COUNTERMARKING HARASSMENTTable 1 General Rules applicable to all Ships, Submarines and Aircraft

DESIG	MEANING	REMARKS	POLITICAL POLICY
301	<p><u>MILITARY POLICY</u></p> <p>The force/unit is to be positioned so that it can neutralise the enemy with least hazard to itself, eg. inside minimum missile range or outside gun range, or having regard to enemy's ASW capabilities.</p>		B
302	<p>Harassment is to be carried out to a similar extent, and in a similar degree to any which is received by units within the force.</p>		B

TABLE 1 General Rules Applicable to all Ships, Submarines and Aircraft

DESIG	MEANING	REMARKS	POLITICAL POLICY
401	<u>MILITARY POLICY</u> Authority is delegated to promulgate Amplifying Instructions from the Rules of Engagement as long as they lie within the Military Policy in force.	This rule is designed to give flexibility to the OTC and when appropriate will be issued by the authority responsible for originating ROE signals to the OTC info other authorities involved.	N A
402	Maritime International Law is not to be broken even at the expense of failing to achieve the aim.		A
403	Maritime International Law is not to be broken unless it is necessary in order to achieve the aim.		C

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SECTION 5 SURVEILLANCE, SHADOWING, COUNTER SURVEILLANCE IDENTIFICATION EVASION DECEPTION

Table 1 - General rules applicable to all Ships, Submarines and Aircraft

DESIG	MEANING	REMARKS	POLITICAL POLICY
	<u>MILITARY POLICY</u>		
500	In the event of surveillance by intruders, discontinue the exercise or operation.	Types of intruder may be designated as: a. Fishing Boats b. Merchant Vessels c. AGIs d. Aircraft e. Helicopters f. Minor Warships g. Major Warships h. Submarines	A
501	Surveillance and shadowing are to be covert. The requirement to remain undetected is to have overriding priority over surveillance objectives or procurement of intelligence.	This policy is to be used when the consequences of detection are militarily unacceptable or would cause political embarrassment.	A
502	Surveillance and shadowing are to be covert. Every means to be used to avoid detection when in contact with potentially hostile forces.	This policy is normally ordered for covert operations on the high seas where detection although undesirable is unlikely to cause any significant military or political embarrassment.	A

## SECTION 5 SURVEILLANCE, SHADOWING, COUNTER SURVEILLANCE IDENTIFICATION EVASION DECEPTION (cont)

Table 1 - General (cont)

DESIG	MEANING	REMARKS	CRITICAL POLICY
503	Surveillance and shadowing are to be covert as far as possible. Risk of possible detection complying with the Reporting Procedure is acceptable.	This rule is particularly applicable to submarines whose position may be established, but not accurately localised, by intercept of reporting messages, ie on H/F.	B
504	Surveillance and shadowing is to be covert as long as possible but once detection and recognition by the enemy has been achieved it is to become demonstrably overt.		B
505	Surveillance and shadowing is to remain covert if possible but the aim is to identify the target and maintain contact.		B
506	Surveillance and shadowing may be overt, or covert. The requirement to remain undetected need not have priority over other operational objectives, eg detection by potential hostile forces may be invited in order to gain tactical intelligence.		B

## SECTION 5 SURVEILLANCE, SHADOWING, COUNTER SURVEILLANCE IDENTIFICATION EVASION DECEPTION (cont)

Table 1 - General (cont)

DESIG	MEANING	REMARKS	CRITICAL POLICY
503	Surveillance and shadowing are to be covert as far as possible. Risk of possible detection complying with the Reporting Procedure is acceptable.	This rule is particularly applicable to submarines whose position may be established, but not accurately localised, by intercept of reporting messages, ie on H/F.	B
504	Surveillance and shadowing is to be covert as long as possible but once detection and recognition by the enemy has been achieved it is to become demonstrably overt.		B
505	Surveillance and shadowing is to remain covert if possible but the aim is to identify the target and maintain contact.		B
506	Surveillance and shadowing may be overt, or covert. The requirement to remain undetected need not have priority over other operational objectives, eg detection by potential hostile forces may be invited in order to gain tactical intelligence.		B

## SECTION 5 SURVEILLANCE, SHADOWING, COUNTER SURVEILLANCE IDENTIFICATION EVASION DECEPTION (CONT)

Table 1 - General (cont)

DESIG	MEANING	REMARKS	POLITICAL POLICY
507	Surveillance and shadowing is to be overt.	It is militarily or politically important that the enemy is aware of the presence of shadowing forces.	B C
508	Counter surveillance is to be overt. Every effort is to be made to chase the intruder from his objectives and area.		C



SECTION 6 BLOCKADE

Table 1 General rules applicable to all Ships, Submarines and Aircraft

DESIG	MEANING	REMARKS	POLITICAL POLICY
601	<p><u>MILITARY POLICY</u></p> <p>The policy behind the blockade is to prevent the entry or exit of specified shipping (eg, nationality, block, type of trade, merchant or warship) by using the minimum force consistent with the achievement of the aim.</p>		B
602	<p>The policy behind the blockade is to prevent the entry or exit of specified shipping (eg, nationality, block, type of trade, merchant or warship). The degree of force used is secondary to the achievement of the aim.</p>	<p>The degree of force will be limited by other Rules.</p>	C

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ANNEX B TODATEDPROPOSED SUFFIXES TO RULES TO SPECIFY TYPES OF TARGETS WHICH  
MAY BE ENGAGEDIMPLICATIONS

GOLF	All vessels positively identified as ARGENTINIAN warships and submarines (warships are to include only aircraft carrier, cruiser, destroyers, frigates, corvettes and armed patrol craft, MCM vessels, amphibious ships and craft).	Night and low visibility attacks will be seriously hampered.
HOTEL	All aircraft positively identified as ARGENTINIAN combat aircraft (Combat aircraft are to include only fighter, bomber ground attack and LRMP aircraft and armed and ASW helicopters).	Identification problem with all attacks, especially at night and in low visibility.
INDIA	All vessels positively identified as ARGENTINIAN warships, submarines and naval auxiliaries (latter as designated separately).	As GOLF.

IMPLICATIONS

JULIETT All submarines detected  
 which are assessed to be  
 conventional may be presumed  
 to be ARGENTINIAN.

There are unlikely  
 to be non ARGENTINE  
 conventional submarines  
 in the area but only  
 NIMRODS and JEZEBEL  
 fitted SEA KINGS will  
 be able to confirm  
 whether submarine is  
 conventional or nuclear.

KILO All submarines detected may be  
 presumed to be ARGENTINIAN.

As JULIETT and  
 NON ARGENTINE nuclear  
 submarines, if present,  
 may be attacked.

LIMA All aircraft positively  
 identified as ARGENTINIAN AIR  
 FORCE or ARGENTINIAN NAVAL  
 aircraft.

As HOTEL.

MIKE All vessels positively identified  
 as ARGENTINIAN.

As GOLF. Merchant ships  
 may well not be attacked.

NOVEMBER All aircraft positively identified  
 as ARGENTINIAN.

As HOTEL. Civilian  
 aircraft may well not  
 be attacked.

IMPLICATIONS

OSCAR	All merchant vessels which can be positively identified (eg by deck cargo) as carrying military supplies or military personnel.	Non ARGENTINIAN vessels may, if assisting the ARGENTINES, be attacked.
PAPA	All aircraft which can be positively identified (eg by unloading on the ground or by dropping from the air stores or personnel) as carrying military supplies or military personnel.	Non ARGENTINIAN aircraft may, if assisting the ARGENTINES, be attacked.
X QUEBEC	All vessels within designated area.	Non ARGENTINIAN vessels may be attacked.
X ROMEO	All aircraft within designated area.	Non ARGENTINIAN vessels may be attacked.



SECRET  
UK EYES B

NAVY AUXILIARIES

I (2)

08/1447 098E3251 SPECIAL HANDLING

FOR ZPA

IMMEDIATE/PRIORITY 081220Z APR 82

FROM MODUK NAVY  
TO CTF 317  
INFO FOSH  
CTF 311  
HQSTC  
HQ 18 GP  
HQ 1 GP

~~085039~~

67

*Pain Pide*

SECRET UK EYES BRAVO

SIC AAA/19F/JEE

MODUK NAVY AAA/19F/JEE (RULES OF ENGAGEMENT)

FOR THE PURPOSES OF INTERPRETING ROE WHICH WILL BE AUTHORIZED SEPARATELY THE TERM QUOTE ARGENTINE NAVAL AUXILIARIES UNQUOTE SHOULD BE TAKEN AS EMBRACING THE FOLLOWING SHIPS:

TYPE	NAME	PENNANT NO
TANKER	PUNTA MEDANOS ✓	B18
SUPPORT TANKER	PUNTA DELGADA ✓	B16
TRANSPORT	BAHIA AGUIRRE ✓	B2
TRANSPORT	BAHIA BUEN SUCESO ✓	B6
TRANSPORT	BAHIA PARAISO ✓	Q6
TRANSPORT	ISLA DE LOS ESTADOS ✓	B3
TRANSPORT)	CANAL BEAGLE ✓	B3
COSTA SUR)	BAHIA SAN BLAS ✓	B4
CLASS )	CABO DE HORNO ✓	B5
POLAR TRANSPORT	ALMIRANTR IRIZAR ✓	Q5

2. MOST BUT NOT ALL OF THESE ARE DEPICTED IN JANES FIGHTING SHIPS THE LATEST EDITION OF WHICH SHOWS THAT PENNANT NUMBERS ARE NOT DISPLAYED ON SHIPS SIDES

ORIGINATOR: M H LIVESAY  
BRANCH: DNM  
EXTN: 7838  
BT

DSC (NAVY OPS) ✓

DNW

DNW

UK EYES B

SECRET