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21 ANNEX.

SECRETARY OF STATE

RULES OF ENGAGEMENT FOR SURFACE SHIPS AND AIRCRAFT
 IN OPERATION CORPORATE

1. You have already approved the Rules of Engagement for SSN's which CDS forwarded (1) last week. In CDS's absence this morning I chaired a meeting of the Chiefs of Staff Committee at which we agreed 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

Note:

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

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COS S14(6)

SECRET UK EYES BRAVO

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U.K. EYES "B"



will need to be amplified by plain language statements including broad tasking instructions such as "Enforce the Exclusion Zone", are:

- 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 we 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. Two additional Rules (207 and 208 in Annex A) have been drawn up to cover this point and to provide more flexibility for defensive response should the occasion warrant it.



7. Recommendation. We 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. As you will be aware, the rules are designed to cover the full spectrum of possibilities, and their approval in this submission does not authorise their implementation. 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. We would be grateful for your early approval of the attached rules so that the Task Force can be made aware of the situation in ample time before they have to be implemented.

13th April 1982

for 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 SURVIVABILITYTable 1 General Rules Applicable to all Ships, Submarines and Aircraft

DESIG	MEANING	REMARKS	POLITICAL
<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 units(s).	Delegation requires MOD approval. 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.	B
203	Authority is delegated to attempt to warn hostile units.	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

SURVIVABILITY

SECTION 2 ~~ENGAGEMENT~~ (cont)

Table 1 General (cont)

DESIG	MEANING	REMARKS	POLITICAL
205	Authority is delegated to attack any ship, submarine or aircraft that demonstrates hostile intent.	Delegation requires MOD approval.	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.	C
207	For the purpose of self defence attack on any 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
<u>MILITARY POLICY</u>			
301	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.		
302	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.		

SECTION 4 TERRITORY LAW AND AUTHORITYTable 1 General Rules Applicable to all Ships, Submarines and Aircraft

DESIG	MEANING	REMARKS	POLITICAL
<u>MILITARY POLICY</u>			
401	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

SECTION 5 SURVEILLANCE, SHADOWING, COUNTER SURVEILLANCE IDENTIFICATION EVASION DECEPTIONTable 1 General Rules Applicable to all Ships, Submarines and Aircraft

DESIG	MEANING	REMARKS	POLITICAL
<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	POLITICAL
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 demonstratably 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
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 BLOCKADETable 1 General rules Applicable to all Ships, Submarines and Aircraft

DESIG	MEANING	REMARKS	POLITICAL
<u>MILITARY POLICY</u>			
601	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.		B
602	The policy behind the blockade is to prevent the entry or exist 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.	The degree of force will be limited by other Rules.	C

PROPOSED SUFFIXES TO RULES TO SPECIFY TYPES OF TARGETS WHICH
MAY BE ENGAGED

		<u>IMPLICATIONS</u>
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 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.
QUEBEC	All vessels within designated area.	Non ARGENTINIAN vessels may be attacked.
ROMEO	All aircraft within designated area.	Non ARGENTINIAN vessels may be attacked.



BRAZIL

URUGUAY

BUENOS AIRES

ARGENTINA

CHILE

MAR DEL PLATA
PUERTO BELGRANO

TRELEW

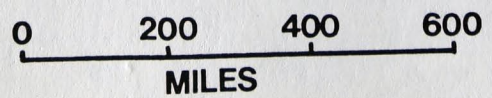
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MO 5/21 Annex

PSO/CDS

RULES OF ENGAGEMENT FOR SURFACE SHIPS AND AIRCRAFT
IN OPERATION CORPORATE

The Secretary of State has seen A/CDS's minute of 13th April (COS S14(6)). He agrees that the Rules set out in the Annex to that minute should be used by surface ships and aircraft in Operation Corporate. This is on the basis set out in para 7 of A/CDS's minute, in particular the Secretary of State's approval does not authorise their implementation. - 16

2. You will wish to know that the Secretary of State commented that he thought the Rules were extremely well set out and very clear.

(D B OMAND)
 PS/S of S

14th April 1982