

THE INTERIM REPORT ON THE REVIEW OF THE GUIDELINES FOR U.S.-JAPAN DEFENSE COOPERATION

SUBCOMMITTEE FOR DEFENSE COOPERATION
HONOLULU, HAWAII
JUNE 7, 1997

I BACKGROUND OF THE REVIEW OF THE “GUIDELINES FOR U. S. -JAPAN DEFENSE COOPERATION”

The U.S.-Japan alliance is indispensable for ensuring the security of Japan and continues to play a key role in maintaining the peace and stability in the Asia-Pacific region. It also supports the positive engagement of the United States in the region. The alliance reflects such common values as respect for freedom, democracy, and human rights, and serves as a political basis for wide-ranging cooperation, including bilateral efforts to build a more stable international security environment.

The “U.S.-Japan Joint Declaration on Security” issued by Prime Minister Hashimoto and President Clinton in April, 1996, reconfirmed that the U.S.-Japan security relationship remains the cornerstone for achieving common security objectives, and for maintaining a stable and prosperous environment in the Asia-Pacific region as we enter the twenty-first century. The stable and prosperous environment fostered by the alliance benefits all in the region.

The “Guidelines for U.S.-Japan Defense Cooperation” (the Guidelines) approved by the 17th Security Consultative Committee (SCC) on November 27, 1978, resulted from studies and consultations on a comprehensive framework for cooperation in the area of defense. U.S. and Japanese officials have since pursued a variety of bilateral programs, including studies on bilateral defense planning. Such programs have increased the credibility of bilateral security arrangements.

Although the Cold War has ended, instability and uncertainty persist in the region. Accordingly, the maintenance of peace and stability in areas surrounding Japan has assumed greater importance for the security of Japan. In view of the changes in the post-Cold War environment, the Governments of the United States and Japan decided to examine ways to enhance their defense cooperation based on the achievements made under the Guidelines. The two sides have been considering:

- ...cooperation under normal circumstances;
- ...actions in response to an armed attack against Japan; and
- ...cooperation in situations in areas surrounding Japan that will have an important influence on Japan’s peace and security (situations in areas surrounding Japan).

II THE AIM OF THE NEW GUIDELINES

One of the most important aims of the new Guidelines is to establish a framework for effective responses to an armed attack against Japan or to situations in areas surrounding Japan through bilateral cooperation. The new Guidelines will provide a general framework and policy direction for the roles and missions of the two countries and ways for mutual cooperation and coordination, both under normal circumstances and in contingencies. After they are issued this autumn, the new Guidelines will provide guidance for bilateral programs to be conducted by U.S. and Japanese officials.

III STATUS OF THE GUIDELINES REVIEW / BASIC PREMISES AND PRINCIPLES

In June , 1996, the two Governments reconstituted the Subcommittee for Defense Cooperation (SDC) under the auspices of the SCC, to conduct the review of the Guidelines on the basis of Japan's "National Defense Program Outline" of November, 1995, and the "U.S.-Japan Joint Declaration on Security. "Since July, 1996, representatives at a variety of levels of the two Governments have engaged in the review. In September, 1996, the SCC approved the "Progress Report on the Guidelines Review for U.S-Japan Defense Cooperation" submitted by the SDC, and directed the SDC to proceed with the intention to complete the review by autumn of 1997.

The Guidelines review and programs under the new Guidelines will be conducted in accordance with the following basic premises and principles.

1. The rights and obligations under the U.S-Japan Treaty of Mutual Cooperation and Security and its related arrangements, as well as the fundamental framework of the U.S.-Japan alliance, will remain unchanged.
2. Japan will conduct all its actions within the limitations of its Constitution and in accordance with such basic positions as the maintenance of its exclusively defense-oriented policy and its three non-nuclear principles.
3. All actions taken by the United States and Japan will be consistent with basic principles of international law, including the peaceful settlement of disputes and sovereign equality, and relevant international agreements such as the Charter of the United Nations.
4. The review and work under the new Guidelines will not obligate either Government to take legislative, budgetary or administrative measures. However, since the objective of the review and work under the new Guidelines is to establish an effective framework for bilateral cooperation, the two Governments are expected to reflect in an appropriate way the results of these efforts, based on their own judgments, in their specific policies and measures. All actions taken by Japan will be consistent with its laws and regulations then in effect.

IV OUTLINE OF SDC DISCUSSIONS ON U.S.-JAPAN COOPERATION UNDER THE NEW GUIDELINES

The SDC has conducted its study with the objective of identifying ideas and specific items that would contribute to more effective bilateral cooperation. The SDC issues this interim report, which summarizes its work for the public. The report is intended to promote understanding of the review and to provide a basis for domestic discussion. Treatment of these ideas and specific items in this interim report will be further considered in the United States and Japan. This will include examination of the legal and policy aspects of these ideas and specific items.

An outline of SDC discussions on U.S.-Japan cooperation under the new Guidelines follows below. The following ideas and specific items of cooperation are based on SDC's work to date, further work may result in modifications or additions.

1. Cooperation under Normal Circumstances

(1) Basic Defense Postures

Both the United States and Japan will firmly maintain the U.S.-Japan security arrangements. Japan will possess defense capability within the scope necessary for self-defense on the basis of the "National Defense Program Outline." In order to meet its commitments, the United States will maintain its nuclear deterrent capability, its forward deployed forces in the Asia-Pacific region, and other forces capable of reinforcing those forward deployed forces.

(2) Information Sharing and Policy Consultations

Accurate information and sound analysis are at the foundation of security. The two Governments will increase information sharing and exchange of views on international situations of mutual interest, especially those in the Asia-Pacific region. They will also continue close consultations on defense policies and military postures.

Such information sharing and policy consultations will be conducted at as many levels as possible and on the broadest range of subjects. This will be accomplished by taking advantage of all available opportunities, such as the SCC and the Security Sub-Committee (SSC) meetings.

(3) Various Types of Security Cooperation

Each Government will make efforts to promote security dialogues and defense exchanges in the region, as well as international arms control and disarmament. They will cooperate in such efforts as necessary.

When either or both Governments participate in United Nations peacekeeping operations or international humanitarian relief operations, the two sides will cooperate closely for mutual support as necessary. The Governments will prepare procedures for cooperation in such areas as transportation, medical services, information sharing, and education and training.

When either of both Governments conduct emergency relief operations in response to requests from governments concerned or international organizations in the wake of large-scale disasters, they will cooperate closely with each other as necessary.

(4) Bilateral Programs

Both Governments will conduct bilateral work, including bilateral planning, for effective cooperation in case of an armed attack against Japan and in situations in areas surrounding Japan. Such efforts will establish the foundation for bilateral cooperation.

Bilateral exercises and training will be enhanced in order not only to validate such bilateral work but also to enable smooth and effective responses by relevant agencies of the two countries, starting with U.S. Forces and the Self-Defense Forces. A bilateral coordination mechanism involving relevant agencies of the two countries will be established under normal circumstances.

2. Actions in Response to an Armed Attack against Japan

(1) When An Armed Attack against Japan is Imminent

The two Governments will intensify intelligence sharing and policy consultations and initiate at an early stage the operation of a bilateral coordination mechanism. Cooperating as appropriate, they will make preparations necessary for ensuring coordinated responses according to the readiness stage selected by mutual agreement. As circumstances change, they will also increase intelligence gathering and surveillance, and prepare to respond to illegal activities. They will take steps to prevent further deterioration of the situation.

Recognizing that a situation in areas surrounding Japan may develop into an armed attack against Japan, the two Governments will be mindful of the close interrelationship of the two requirements: preparations for the defense of Japan and responses to or preparations for the situation in areas surrounding Japan.

(2) When An Armed Attack against Japan Takes Place

Japan will take primary responsibility for the immediate actions necessary to repel aggression as soon as possible. The United States will provide appropriate support to Japan. Such bilateral cooperation may vary according to the scale, type, phase, and other factors of the armed attack. This cooperation may include preparations for and execution of coordinated bilateral operations, steps to prevent further deterioration of the situation, surveillance, and intelligence sharing.

In bilateral operations, U.S. Forces and the Self-Defense Forces will employ their respective defense capabilities in a coordinated, timely, and effective manner. The Self-Defense Forces will primarily conduct defensive operations in Japanese territory and its surrounding waters and airspace, while U.S. Forces support Self-Defense Forces operations. U.S. Forces will also conduct operations to supplement functional areas which exceed the capacity of the Self-Defense Forces.

Bilateral operations will be developed based on the Concept of Operations in the Guidelines and the principles for coordinated bilateral action described above. They will take into account such factors as new operational concepts, progress in equipment and technology, and new types of threats such as ballistic missile attacks. Particular attention will be paid to the importance of joint operations of the respective forces.

Building on the Guidelines, cooperation and coordination in the following functions will be enhanced:

- (a) Command and coordination
- (b) Coordination mechanism
- (c) Mutual communication / electronics
- (d) Intelligence activities
- (e) Logistic activities (including supply, transportation, maintenance, facilities, and medical services)

Roles fulfilled not only by U.S. Forces and the Self-Defense Forces but also by other government agencies, and improved C4I (command, control, communications, computers, and intelligence) systems will be taken into consideration.

3. Cooperation in Situations in Areas Surrounding Japan

(1) Preparations for Responses and Steps to Prevent Further Deterioration of Situations

When situations in areas surrounding Japan are anticipated, the two Governments will intensify intelligence sharing and policy consultations and initiate at an early stage the operations of a bilateral coordination mechanism. Cooperating as appropriate, they will make preparations necessary for ensuring coordinated responses according to the readiness stage selected by mutual agreement. As circumstances change, they will also increase intelligence gathering and surveillance, and prepare to respond to illegal activities. They will take steps to prevent further deterioration of the situation.

(2) Functions and Fields for Bilateral Cooperation

In situations in areas surrounding Japan, the two Governments will take appropriate responsive measures. They will undertake mutual support activities in accordance with appropriate arrangements. Examples of items of cooperation for consideration that the SDC has discussed to date are outlined below, and listed in the Annex. The Annex is not an exhaustive list of all items of cooperation. Further work may result in modifications or additions.

(a) Humanitarian activities

Each Government, at its own discretion, will conduct humanitarian relief operations with the consent and cooperation of the authorities in the affected area. The two Governments will cooperate as necessary, taking into account their respective capabilities.

The two Governments will cooperate in dealing with refugees as necessary. When there is a flow of refugees into Japanese territory, Japan will take primary responsibility to respond to the flow and the United States will provide appropriate support.

(b) Search and rescue

The two Governments will cooperate in search and rescue operations at sea in areas surrounding Japan as appropriate.

(c) Activities for ensuring the effectiveness of economic sanctions for the maintenance of international peace and stability

Each government, at its own discretion, will contribute to activities for ensuring the effectiveness of economic sanctions for the maintenance of international peace and stability. The two Governments will cooperate with each other as appropriate, taking into account their respective capabilities.

(d) Noncombatant evacuation operations

In crisis situations, the two Governments will evacuate their respective nationals to safe haven, as circumstances permit. While each Government is responsible for evacuating its own nationals, as well as for dealing with the authorities of the affected area, upon the other's request each Government may inform the other of requirements and capabilities where appropriate.

(e) Japan's support for U.S. Forces activities

i Use of facilities: Based on the U.S.-Japan Security Treaty and its related arrangements.

Japan will provide additional facilities and areas in a timely and appropriate manner, and ensure the temporary use by U.S. Forces of Self-Defense Forces facilities and civilian airports and ports.

ii Rear area support: Japan will provide rear area support to those U.S. Forces that are conducting operations for the purpose of achieving the objectives of the U.S.-Japan Security Treaty. The primary aim of this rear area support is to enable U.S. Forces to use facilities and conduct operations in an effective manner. By its very nature, Japan's rear area support will be provided primarily in Japanese territory. It may also be provided on the high seas and international airspace surrounding Japan which are distinguished from areas where combat operations are being conducted.

In providing rear area support, Japan will make appropriate use of authorities and assets of central and local government agencies, as well as private sector assets. The Self-Defense Forces, as appropriate, will provide such support consistent with their mission for the defense of Japan and the maintenance of public order.

(f) U.S.-Japan operational cooperation

As situations in areas surrounding Japan have an important influence on Japan's peace and security the Self-Defense Forces will conduct such activities as intelligence gathering surveillance and minesweeping to protect lives and property and to ensure navigational safety. U.S. Forces will conduct operations to restore the peace and security in areas surrounding Japan. With the involvement of relevant agencies, cooperation and coordination will significantly enhance the effectiveness of both forces' activities.

(ANNEX)

EXAMPLES OF ITEMS OF COOPERATION FOR CONSIDERATION IN SITUATIONS IN AREAS SURROUNDING JAPAN

Functions and Fields		Example of Items of Cooperation	
Humanitarian activities		<ul style="list-style-type: none"> - transportation of personnel and supplies to the affected area - medical services, communications and transportation in the affected area - relief and transfer operations for refugees, provision of emergency materials to refugees 	
Search and rescue		<ul style="list-style-type: none"> - search and rescue operations at sea in areas surrounding Japan - information sharing on search and rescue 	
Activities for ensuring the effectiveness of economic sanctions for the maintenance of international peace and stability		<ul style="list-style-type: none"> - inspection of ships and related activities - information sharing 	
Noncombatant evacuation operations		<ul style="list-style-type: none"> - information sharing(requirements and capabilities) - use of Self-Defense Forces facilities and civilian ports and airports - customs, immigration and quarantine upon entry into Japan - assistance in such matters as temporary accommodations, transportation and medical services in Japan 	
Japan's support for U.S.Forces activities	Use of facilities	<ul style="list-style-type: none"> - use of Self-Defense Forces facilities and civilian ports and airports for supplies and other purposes - reservation of spaces for loading/unloading of personnel and materials and of storage areas at Self-Defense Forces facilities and civilian ports and airports - extension of operating hours for Self-Defense Forces facilities and civilian ports and airports - use of Self-Defense Forces airfields by U.S.aircraft - provision of training and exercise areas - construction of temporary structures inside U.S.facilities and areas 	
	Rear area support	Supply Transportation	<ul style="list-style-type: none"> - Supply - provision of materials (except weapons and ammunition)and POL(petroleum, oil and lubricants)to U.S.vessels and aircraft at Self-Defense Forces facilities and civilian ports and airports - use of vehicles and cranes for transportation of materials, personnel and POL - provision of materials (except weapons and ammunition) and POL to U.S.facilities and areas
		Transportation	<ul style="list-style-type: none"> - land, sea and transportation inside Japan of materials, personnel and POL - sea transportation to U.S vessels on the high seas

Functions and Fields		Example of Items of Cooperation	
Japan's support for U.S. Forces activities	Rear area support	Maintenance	<ul style="list-style-type: none"> - repair and maintenance of U.S. vessels, aircraft and vehicles - provision of repair parts - temporary provision of tools and materials for maintenance
		Medical services	<ul style="list-style-type: none"> - medical treatment of casualties inside Japan - transportation of casualties inside Japan - provision of medical supply
		Security	<ul style="list-style-type: none"> - security of U.S. facilities and areas including joint use facilities and areas - sea surveillance around U.S. facilities and areas - security of transportation routes inside Japan. - information sharing on security situations in Japan.
		Communications	<ul style="list-style-type: none"> - provision of frequencies (including for satellite communications) and equipment for communications among relevant Japanese and U.S. agencies
		others	<ul style="list-style-type: none"> - support for port entry/exit by U.S. vessels - loading/unloading of materials at Self-Defense Forces facilities and civilian ports and airports - sewage disposal, water supply, and electricity inside U.S. facilities and areas, - temporary increase of workers at U.S. facilities and areas
Japan-U.S. operational cooperation	Surveillance	<ul style="list-style-type: none"> - intelligence sharing 	
	minesweeping	<ul style="list-style-type: none"> - minesweeping operations in Japanese territorial waters and on the high seas - information sharing 	
	sea and air space management	<ul style="list-style-type: none"> - maritime coordination in response to increased sea traffic around Japan - air traffic control and air space management in areas surrounding Japan 	

V. TASKS AFTER THE NEW GUIDELINES ARE ISSUED

1. Bilateral Work

After the new Guidelines are issued this autumn, U.S. and Japanese officials concerned will engage in bilateral work listed below with regard to cooperation in case of an armed attack against Japan and in situations in areas surrounding Japan. This will be conducted within the general framework and policy direction of the new Guidelines. In this regard, the two Governments will continue to maintain and improve the scheme for bilateral work. For this purpose, the two Governments will develop a comprehensive mechanism involving not only U.S. Forces and the Self-Defense Forces, but also other relevant agencies in their respective Governments to ensure the effectiveness of bilateral work. Such work will be conducted in a deliberate and efficient manner, and the SCC and the SDC will play an important role in bilateral coordination. Progress and results will be reported at major milestones to the SCC and the SDC in an appropriate manner.

(1) Process of Bilateral Defense Planning and Mutual Cooperation Planning

Bilateral defense planning and mutual cooperation planning will be conducted, assuming various possible situations, with the expectation that results of these efforts will be appropriately reflected in the plans of the two Governments.

Under normal circumstances, the Governments of the United States and Japan will continue to cooperate in order to take coordinated bilateral action smoothly and effectively in the event of an armed attack against Japan. U.S. Forces and the Self-Defense Forces will cooperate in such areas as operations, intelligence and logistics, and conduct bilateral defense planning, taking into account the changes in circumstances.

The two Governments will conduct mutual cooperation planning to ensure smooth and effective responses to situations in areas surrounding Japan. The two Governments will be mindful that bilateral defense planning and mutual cooperation planning should be coordinated and consistent. In this way appropriate responses will be ensured even when a situation in areas surrounding Japan, threatens to develop into an armed attack against Japan or when such a situation and an armed attack against Japan occur simultaneously.

(2) Establishment of Common Standards for Preparations

A common standard for preparations for the defense of Japan will be established under normal circumstances so that the two Governments may select common readiness stages by mutual agreement. These readiness stages will be reflected in preparations for the defense of Japan by U.S. Forces, the Self-Defense Forces, and other relevant agencies. The two Governments will also establish a common standard for preparation of cooperative measures in situations in areas surrounding Japan so that they may select common readiness stages by mutual agreement.

(3) Establishment of Common Procedures

The Governments of the United States and Japan will prepare in advance common procedures necessary to undertake the defense of Japan. Such procedures include matters related to operations, intelligence and logistics, and procedures to prevent fratricide between U.S. and Japanese units. These will include criteria for properly controlling respective unit operations. The two forces will also determine in advance their mutual communications / electronics requirements, paying attention to the importance of interoperability.

2. Bilateral Coordination Mechanism

The Governments of the United States and Japan will establish under normal circumstances a bilateral coordination mechanism involving relevant agencies of the two countries in order to harmonize respective activities in case of an armed attack against Japan and in situations in areas surrounding Japan, and to ensure appropriate bilateral cooperation.

VI. TIMELY AND APPROPRIATE REVIEW OF THE NEW GUIDELINES

The new Guidelines may be reviewed in a timely and appropriate manner as, needed in order to respond properly to changes in situations relevant to the U.S.-Japan security relationship.