

THE GUIDELINES FOR JAPAN-U.S. DEFENSE COOPERATION
(September 23, 1997)

I. THE AIM OF THE GUIDELINES

The aim of these Guidelines is to create a solid basis for more effective and credible U.S.-Japan cooperation under normal circumstances, in case of an armed attack against Japan, and in situations in areas surrounding Japan. The Guidelines also provided a general framework and policy direction for the roles and missions of the two countries and ways of cooperation and coordination, both under normal circumstances and during contingencies.

II. BASIC PREMISES AND PRINCIPLES

The Guidelines and programs under the Guidelines are consistent with the following basic premises and principles.

1. The rights and obligations under the Treaty of Mutual Cooperation and Security between the United States of America and Japan (the U.S.-Japan Security Treaty) 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 Guidelines and programs under the Guidelines will not obligate either Government to take legislative, budgetary or administrative measures. However, since the objective of the Guidelines and programs under the 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.

III. COOPERATION UNDER NORMAL CIRCUMSTANCES

Both Governments will firmly maintain existing U.S.-Japan security arrangements. Each Government will make efforts to maintain required defense postures. 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.

Both Governments, based on their respective policies, under normal circumstances will maintain close cooperation for the defense of Japan as well as for the creation of a more stable international security environment.

Both Governments will under normal circumstances enhance cooperation in a variety of areas. Examples include mutual support activities under the Agreement between the Government of Japan and the Government of the United States of America concerning Reciprocal Provision of Logistic Support, Supplies and Services between the Self-Defense Forces of Japan and the Armed Forces of the United States of America; the Mutual Defense Assistance Agreement between the United States of America and Japan; and their related arrangements.

1. Information Sharing and Policy Consultations

Recognizing that accurate information and sound analysis are at the foundation of security, the two Governments will increase information and intelligence sharing, and the exchange of views on international situations of mutual interest, especially 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 SCC and Security Sub-Committee (SSC) meetings.

2. Various Types of Security Cooperation

Bilateral cooperation to promote regional and global activities in the field of security contributes to the creation of a more stable international security environment.

Recognizing the importance and significance of security dialogues and defense exchanges in the region, as well as international arms control and disarmament, the two Governments will promote such activities and cooperate 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. They will prepare procedures for cooperation in such areas as transportation, medical services, information sharing, and education and training.

When either or 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.

3. Bilateral Programs

Both Governments will conduct bilateral work, including bilateral defense planning in case of an armed attack against Japan, and mutual cooperation planning in situations in areas surrounding Japan. Such efforts will be made in a comprehensive mechanism involving relevant agencies of the respective Governments, and

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 public and private entities of both countries, starting with U.S. Forces and the Self-Defense Forces. The two Governments will under normal circumstances establish a bilateral coordination mechanism involving relevant agencies to be operated during contingencies.

IV. ACTIONS IN RESPONSE TO AN ARMED ATTACK AGAINST JAPAN

Bilateral actions in response to an armed attack against Japan remain a core aspect of U.S.-Japan defense cooperation.

When an armed attack against Japan is imminent, the two Governments will take steps to prevent further deterioration of the situation and make preparations necessary for the defense of Japan. When an armed attack against Japan takes place, the two Governments will conduct appropriate bilateral actions to repel it at the earliest possible stage.

1. When an Armed Attack against Japan is Imminent

The two Governments will intensify information and 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. Japan will establish and maintain the basis for U.S. reinforcements. As circumstances change, the two Governments will also increase intelligence gathering and surveillance, and will prepare to respond to activities which could develop into an armed attack against Japan.

The two Governments will make every effort, including diplomatic efforts, 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 situations in areas surrounding Japan.

2. When an Armed Attack against Japan Takes Place

(1) Principles for Coordinated Bilateral Actions

- a. Japan will have primary responsibility immediately to take action and to repel an armed attack against Japan 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.
- b. In conducting bilateral operations, U.S. Forces and the Self-Defense Forces will employ their respective defense capabilities in a coordinated, timely, and effective manner. In doing this, they will conduct effective joint operations of their respective Forces' ground, maritime and air services. 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 the capabilities of the Self-Defense Forces.

- c. The United States will introduce reinforcements in a timely manner, and Japan will establish and maintain the basis to facilitate these deployments.

(2) Concept of Operations

a. Operations to Counter Air Attack against Japan

U.S. Forces and the Self-Defense Forces will bilaterally conduct operations to counter air attack against Japan.

The Self-Defense Forces will have primary responsibility for conducting operations for air defense.

U.S. Forces will support Self-Defense Forces' operations and conduct operations, including those which may involve the use of strike power, to supplement the capabilities of the Self-Defense Forces.

b. Operations to Defend Surrounding Waters and to Protect Sea Lines of Communication

U.S. Forces and the Self-Defense Forces will bilaterally conduct operations for the defense of surrounding waters and for the protection of sea lines of communication.

The Self-Defense Forces will have primary responsibility for the protection of major ports and straits in Japan, for the protection of ships in surrounding waters, and for other operations.

U.S. Forces will support Self-Defense Forces' operations and conduct operations, including those which may provide additional mobility and strike power, to supplement the capabilities of the Self-Defense Forces.

c. Operations to Counter Airborne and Seaborne Invasions of Japan

U.S. Forces and the Self-Defense Forces will bilaterally conduct operations to counter airborne and seaborne invasions of Japan.

The Self-Defense Forces will have primary responsibility for conducting operations to check and repel such invasions.

U.S. Forces will primarily conduct operations to supplement the capabilities of the Self-Defense Forces. The United States will introduce reinforcements at the earliest possible stage, according to the scale, type, and other factors of the invasion, and will support Self-Defense Forces' operations.

d. Responses to Other Threats

- i. The Self-Defense Forces will have primary responsibility to check and repel guerrilla-commando type attacks or any other unconventional attacks involving military infiltration in Japanese territory at the earliest possible stage. They will cooperate and coordinate closely with relevant agencies, and will be supported in appropriate ways by U.S. Forces depending on the situation.

- ii. U.S. Forces and the Self-Defense Forces will cooperate and coordinate closely to respond to a ballistic missile attack. U.S. Forces will provide Japan with necessary intelligence, and consider, as necessary, the use of forces providing additional strike power.

(3) Activities and Requirements for Operations

a. Command and Coordination

U.S. Forces and the Self-Defense Forces, in close cooperation, will take action through their respective command-and-control channels. To conduct effective bilateral operations, the two Forces will establish, in advance, procedures which include those to determine the division of roles and missions and to synchronize their operations.

b. Bilateral Coordination Mechanism

Necessary coordination among the relevant agencies of the two countries will be conducted through a bilateral coordination mechanism. In order to conduct effective bilateral operations, U.S. Forces and the Self-Defense forces will closely coordinate operations, intelligence activities, and logistics support through this coordination mechanism including use of a bilateral coordination center.

c. Communications and Electronics

The two Governments will provide mutual support to ensure effective use of communications and electronics capabilities.

d. Intelligence Activities

The two Governments will cooperate in intelligence activities in order to ensure effective bilateral operations. This will include coordination of requirements, collection, production, and dissemination of intelligence products. Each Government will be responsible for the security of shared intelligence.

e. Logistics Support Activities

U.S. Forces and the Self-Defense Forces will conduct logistics support activities efficiently and properly in accordance with appropriate bilateral arrangements.

To improve the effectiveness of logistics and to alleviate functional shortfalls, the two Governments will undertake mutual support activities, making appropriate use of authorities and assets of central and local government agencies, as well as private sector assets. Particular attention will be paid to the following points in conducting such activities:

i. Supply

The United States will support the acquisition of supplies for systems of U.S. origin while Japan will support the acquisition of supplies in Japan.

ii. Transportation

The two Governments will closely cooperate in transportation operations, including airlift and sealift of supplies from the United States to Japan.

iii. Maintenance

Japan will support the maintenance of U.S. Forces' equipment in Japan; the United States will support the maintenance of items of U.S. origin which are beyond Japanese maintenance capabilities. Maintenance support will include the technical training of maintenance personnel as required. Japan will also support

U.S. Forces' requirement for salvage and recovery.

iv. Facilities

Japan will, in case of need, provide additional facilities and areas in accordance with the U.S.-Japan Security Treaty and its related arrangements. If necessary for effective and efficient operations, U.S. Forces and the Self-Defense Forces will make joint use of Self-Defense Forces facilities and U.S. facilities and areas in accordance with the Treaty and its related arrangements.

v. Medical Services

The two Governments will support each other in the area of medical services such as medical treatment and transportation of casualties.

V. COOPERATION IN SITUATIONS IN AREAS SURROUNDING JAPAN THAT WILL HAVE AN IMPORTANT INFLUENCE ON JAPAN'S PEACE AND SECURITY (SITUATIONS IN AREAS SURROUNDING JAPAN)

Situations in areas surrounding Japan will have an important influence on Japan's peace and security. The concept, situations in areas surrounding Japan, is not geographic but situational. The two Governments will make every effort, including diplomatic efforts, to prevent such situations from occurring. When the two Governments reach a common assessment of the state of each situation, they will effectively coordinate their activities. In responding to such situations, measures taken may differ depending on circumstances.

1. When a Situation in Areas Surrounding Japan is Anticipated

When a situation in areas surrounding Japan is anticipated, the two Governments will intensify information and intelligence sharing and policy consultations, including efforts to reach a common assessment of the situation.

At the same time, they will make every effort, including diplomatic efforts, to prevent further deterioration of the situation, while initiating at an early stage the operation of a bilateral coordination mechanism, including use of a bilateral coordination center. 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 enhance their readiness to respond to the circumstances.

2. Responses to Situations in Areas Surrounding Japan

The two Governments will take appropriate measures, to include preventing further deterioration of situations, in response to situations in areas surrounding Japan. This will be done in accordance with the basic premises and principles listed in Section II above and based on their respective decisions. They will support each other as necessary in accordance with appropriate arrangements.

Functions and fields of cooperation and examples of items of cooperation are outlined below, and listed in the Annex.

(1) Cooperation in Activities Initiated by Either Government

Although either Government may conduct the following activities at its own discretion, bilateral cooperation will enhance their effectiveness.

a. Relief Activities and measures to Deal with Refugees

Each Government will conduct relief activities 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 decide how to respond and will have primary responsibility for dealing with the flow; the United States will provide appropriate support.

b. Search and Rescue

The two Governments will cooperate in search and rescue operations. Japan will conduct search and rescue operations in Japanese territory; and at sea around Japan, as distinguished from areas where combat operations are being conducted. When U.S. Forces are conducting operations, the United States will conduct search and rescue operations in and near the operational areas.

c. Noncombatant Evacuation Operations

When the need arises for U.S. and Japanese noncombatants to be evacuated from a third country to a safe haven, each Government is responsible for evacuating its own nationals as well as for dealing with the authorities of the affected area. In instances in which each decides it is appropriate, the two Governments will coordinate in planning and cooperate in carrying out their evacuations, including for the securing of transportation means, transportation and the use of facilities, using their respective capabilities in a mutually supplementary manner. If similar need arises for noncombatants other than of U.S. or Japanese nationality, the respective countries may consider extending, on their respective terms, evacuation assistance to third country nationals.

d. Activities for Ensuring the Effectiveness of Economic Sanctions for the Maintenance of International Peace and Stability

Each Government will contribute to activities for ensuring the effectiveness of economic sanctions for the maintenance of international peace and stability. Such contributions will be made in accordance with each Government's own criteria.

Additionally, the two Governments will cooperate with each other as appropriate, taking into account their respective capabilities. Such cooperation includes information sharing, and cooperation in inspection of ships based on United Nations Security Council resolutions.

(2) Japan's Support for U.S. Forces Activities

a. Use of Facilities

Based on the U.S.-Japan Security Treaty and its related arrangements, Japan will, in case of need,

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.

b. 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 around 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.

(3) 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 affected by situations in areas surrounding Japan.

With the involvement of relevant agencies, cooperation and coordination will significantly enhance the effectiveness of both Forces' activities.

VI. BILATERAL PROGRAMS FOR EFFECTIVE DEFENSE COOPERATION UNDER THE GUIDELINES

Effective bilateral cooperation under the Guidelines will require the United States and Japan to conduct consultative dialogue throughout the spectrum of security conditions: normal circumstances, an armed attack against Japan, and situations in areas surrounding Japan. Both sides must be well informed and coordinate at multiple levels to ensure successful bilateral defense cooperation. To accomplish this, the two Governments will strengthen their information and intelligence sharing and policy consultations by taking advantage of all available opportunities, including SCC and SSC meetings, and they will establish the following two mechanisms to facilitate consultations, coordinate policies, and coordinate operational functions.

First, the two Governments will develop a comprehensive mechanism for bilateral planning and the establishment of common standards and procedures, involving not only U.S. Forces and the Self-Defense Forces but also other relevant agencies of their respective Governments.

The two Governments will, as necessary, improve this comprehensive mechanism. The SCC will continue to play an important role for presenting policy direction to the work to be conducted by this mechanism. The SCC will be responsible for presenting directions, validating the progress of work, and issuing directives as necessary. The SDC will assist the SCC in bilateral work.

Second, the two Governments will also establish, under normal circumstances, a bilateral coordination mechanism that will include relevant agencies of the two countries for coordinating respective activities

during contingencies.

1. Bilateral Work for Planning and the Establishment of Common Standards and Procedures

Bilateral work listed below will be conducted in a comprehensive mechanism involving relevant agencies of the respective Governments in a deliberate and efficient manner. Progress and results of such work will be reported at significant milestones to the SCC and the SDC.

(1) Bilateral Defense Planning and Mutual Cooperation Planning

U.S. Forces and the Self-Defense Forces will conduct bilateral defense planning under normal circumstances to take coordinated actions smoothly and effectively in case of an armed attack against Japan. The two Governments will conduct mutual cooperation planning under normal circumstances to be able to respond smoothly and effectively to situations in areas surrounding Japan.

Bilateral defense planning and mutual cooperation planning will assume various possible situations, with the expectation that results of these efforts will be appropriately reflected in the plans of the two Governments. The two Governments will coordinate and adjust their plans in light of actual circumstances. The two Governments will be mindful that bilateral defense planning and mutual cooperation planning must be consistent so that appropriate responses will be ensured 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

The two Governments will establish under normal circumstances common standards for preparations for the defense of Japan. These standards will address such matters as intelligence activities, unit activities, movements and logistics support in each readiness stage. When an armed attack against Japan is imminent, both Governments will agree to select a common readiness stage that will be reflected in the level of preparations for the defense of Japan by U.S. Forces, the Self-Defense Forces and other relevant agencies.

The two Governments will similarly establish common standards for preparations of cooperative measures in situations in areas surrounding Japan so that they may select a common readiness stage by mutual agreement.

(3) Establishment of Common Procedures

The two Governments will prepare in advance common procedures to ensure smooth and effective execution of coordinated U.S. Forces and Self-Defense Forces operations for the defense of Japan. These will include procedures for communications, transmission of target information, intelligence activities and logistics support, and prevention of fratricide. Common procedures will also include criteria for properly controlling respective unit operations. The two Forces will take into account the importance of communications and electronics interoperability, and will determine in advance their mutual requirements.

2. Bilateral Coordination Mechanism

The two Governments will establish under normal circumstances a bilateral coordination mechanism involving relevant agencies of the two countries to coordinate respective activities in case of an armed attack

against Japan and in situations in areas surrounding Japan.

Procedures for coordination will vary depending upon items to be coordinated and agencies to be involved. They may include coordination committee meetings, mutual dispatch of liaison officers, and designation of points of contacts. As part of such a bilateral coordination mechanism, U.S. Forces and the Self-Defense Forces will prepare under normal circumstances a bilateral coordination center with the necessary hardware and software in order to coordinate their respective activities.

VII. TIMELY AND APPROPRIATE REVIEW OF THE GUIDELINES

The two Governments will review the Guidelines in a timely and appropriate manner when changes in situations relevant to the U.S.-Japan security relationship occur and if deemed necessary in view of the circumstances at that time.

(Annex)

FUNCTIONS AND FIELDS AND EXAMPLES OF ITEMS OF COOPERATION IN SITUATIONS IN AREAS SURROUNDING JAPAN

Functions and Fields		Examples of Items of Cooperation
Cooperation in activities initiated by either Government	Relief activities and measures to deal with refugees	<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, and provision of emergency materials to refugees
	Search and rescue	<ul style="list-style-type: none"> - Search and rescue operations in Japanese territory and at sea around Japan and information sharing related to such operations
	Noncombatant evacuation operations	<ul style="list-style-type: none"> - Information sharing, and communication with and assembly and transportation of noncombatants - Use of Self-Defense Forces facilities and civilian airports and ports by U.S. aircraft and vessels for transportation of noncombatants - Customs, immigration and quarantine of noncombatants upon entry into Japan - Assistance to noncombatants in such matters as temporary accommodations, transportation and medical services in Japan
	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 based on United Nations Security Council resolutions for ensuring the effectiveness of economic sanctions and activities related to such inspections - Information sharing

Functions and Fields		Examples of Items of Cooperation	
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 airports and ports for supplies and other purposes by U.S. aircraft and vessels - Reservation of spaces for loading/unloading of personnel and materials by the United States and of storage areas at Self-Defense Forces facilities and civilian airports and ports - Extension of operating hours for Self-Defense Forces facilities and civilian airports and ports for the use by U.S. aircraft and vessels - Use of Self-Defense Forces airfields by U.S. aircraft - Provision of training and exercise areas - Construction of offices, accommodations, etc., inside U.S. facilities and areas 	
	Rear area support	Supply	<ul style="list-style-type: none"> - Provision of materials (except weapons and ammunition) and POL (petroleum, oil and lubricants) to U.S. aircraft and vessels at Self-Defense Forces facilities and civilian airports and ports - 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 air transportation inside Japan of personnel, materials and POL - Sea transportation to U.S. vessels on the high seas of personnel, materials and POL - Use of vehicles and cranes for transportation of personnel, materials and POL
		Maintenance	<ul style="list-style-type: none"> - Repair and maintenance of U.S. aircraft, vessels and vehicles - Provision of repair parts - Temporary provision of tools and materials for maintenance

Functions and Fields		Examples of Items of Cooperation	
Japan's support for U.S. Forces activities	Rear area support	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 - Seas surveillance around U.S. facilities and areas - Security of transportation routes inside Japan - Information and intelligence sharing
		Communications	<ul style="list-style-type: none"> - Provision of frequencies (including for satellite communications) and equipment for communications among relevant U.S. and Japanese 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 airports and ports - Sewage disposal, water supply, and electricity inside U.S. facilities and areas - Temporary increase of workers at U.S. facilities and areas
U.S.-Japan operational cooperation	Surveillance		<ul style="list-style-type: none"> - Intelligence sharing
	Minesweeping		<ul style="list-style-type: none"> - Minesweeping operations in Japanese territory and on the high seas around Japan, and information and intelligence sharing on mines
	Sea and airspace management		<ul style="list-style-type: none"> - Maritime traffic coordination in and around Japan in response to increased sea traffic - Air traffic control and airspace management in and around Japan