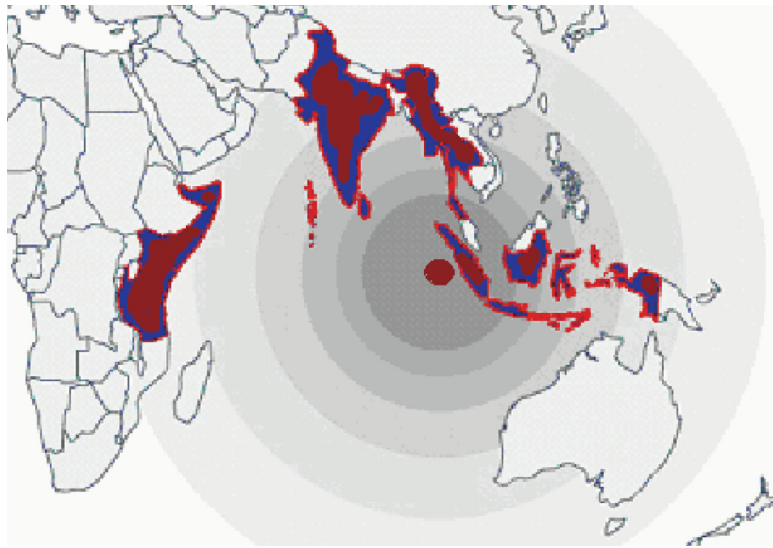


Tsunami Evaluation Coalition (TEC)

The International Community's Funding of the Tsunami Emergency and Relief



Government Funding

Japan

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June 2006

Glm

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Abbreviations

CAP	UN Interagency Consolidated Appeal Process
CEP	Community Empowerment Program
DAC	Development Assistance Committee
GHD	Good Humanitarian Donorship
GOJ	Government of Japan
FAO	Food and Agriculture Organization
HRR	Humanitarian Response Review
IASC	Inter-Agency Standing Committee
ICRC	International Committee of the Red Cross
IDPs	Internally Displaced Persons
IFRC	International Federation of Red Cross and Red Crescent Societies
INSARAG	International Search and Rescue Advisory Group
IOC	Intergovernmental Oceanographic Commission
IOM	International Organisation for Migration
ISDR	International Strategy for Disaster Reduction
JBIC	Japan Bank for International Cooperation
JDR	Japan Disaster Relief Team
JICA	Japan International Cooperation Agency
JICS	Japan International Cooperation System
JOCV	Japan Overseas Cooperation Volunteers
JPF	Japan Platform
MCDA	Military and Civil Defence Assets
MOFA	Ministry of Foreign Affairs
NGO	Non-Governmental Organisation
OCHA	UN Office for the Co-ordination of Humanitarian Affairs
ODA	Official Development Assistance
SDF	Self Defence Forces
TEC	Tsunami Evaluation Coalition
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNIFEM	United Nations Development Fund for Women
UNFPA	United Nations Population Fund
UN HABITAT	United Nations Human Settlements Programme
UNV	United Nations Volunteers Programme
WFP	World Food Programme
WHO	World Health Organization

Unit

1 US \$ = 107.2 Japanese Yen

(Average Monthly Dollar Exchange Rates for DAC Members 2005- 1 January to 31 August)

1. Introduction

1-1 Study Background

The Tsunami Evaluation Coalition (TEC) was constituted in February 2005, tasked to evaluate the international response to the Sumatran Earthquake and the Tsunami Disaster. The TEC is undertaking six thematic evaluations¹, one of which is the *Funding Study* that aims to grasp the overall funding flow from the various governments, UN agencies and NGOs to the disaster-affected areas. This study has been conducted as part of the *Funding Study*, and focuses on the funding provided through Japan's Official Development Assistance (ODA) in response to the Sumatran Earthquake and the Tsunami catastrophe.

1-2 Study Objectives

This study focuses on the flow of donor funding with the following objectives:

- (1) Provision of the overview of the funding flow through the Japan's ODA
- (2) Assessment of the appropriateness of fund allocation within the framework of Good Humanitarian Donorship (GHD)

1-3 Study Questions

This study has the following questions.

- (1) What were the total volume and breakdown of fund for humanitarian and reconstruction assistance, and how was the fund allocated by country, actor and sector?
- (2) What are the pattern and characteristics of pledge, commitment and disbursement in funding?
- (3) How did Japan coordinate internationally and responded to the Flash Appeal?
- (4) How were the humanitarian and reconstruction funds allocated according to the needs of local population and the promotion of beneficiary participation?
- (5) How did Japan make efforts to achieve capacity development for disaster risk reduction, preparedness and mitigation, and link emergency with reconstruction and development?

1-4 Study Methodology

This study is comprised of the following methodologies.

- (1) Literature Review

The existing government statistics, reports, journals, and project documents were closely reviewed to examine the overall funding flow of Japan's ODA, and the process of humanitarian and reconstruction assistance within the framework of GHD.

¹ The six themes are: 1) Funding; 2) Coordination; 3) Needs assessment; 4) Impact on local and national capacities; 5) Linking relief, rehabilitation and development; and 6) Impact assessment.

(2) Interview

To examine the process of humanitarian and reconstruction assistance within the framework of GHD, interviews were conducted with key individuals at the Ministry of Foreign Affairs (MOFA), Japan International Cooperation Agency (JICA) and Japan Bank for International Cooperation (JBIC) that were closely involved in the Tsunami disaster relief at both policy and implementation levels.

1-5 Report Structure

Based upon the agreed reporting format by the TEC, this report consists of eight chapters. Following the introduction, Chapter Two shows and analyses the trend and characteristics of Japan's ODA fund for Tsunami response, and Chapter Three demonstrates the implementation process of humanitarian and reconstruction assistance in the contexts of policy, funding allocation, linkage of relief and reconstruction, coordination and accountability. Chapter Four explains decision making criteria for Tsunami response, Chapter Five summarises the response strategy, and Chapter Six presents the humane resource system in an emergency situation. Chapter Seven concludes with the general overview of Japan's Tsunami-response based upon the GHD principles, and lesson learnt is addressed in Chapter Eight.

1-6 Study Management Structure

The Japan Country Studies on the ODA and NGO Funding Responses were commissioned by the Japan Managing Committee (JMC), which is composed by representatives of the MOFA, the JICA, and the JBIC. The studies are financed by JICA, which contracted consultants, and assumes the responsibility as the secretariat of the JMC.

The studies were being carried out, and were prepared by the Evaluation Team, consultants from Global Link Management, Inc., in collaboration with JMC and the divisions of the Economic Cooperation Bureau of the MOFA that have been involved in the Tsunami assistance. The list of the core members of the JMC and the Evaluation Team is provided in the Annex II.

2. Overall Fund Allocation and Disbursement

This chapter will illustrate the trend and characteristics of the ODA fund for Tsunami response by presenting statistical analyses.

2-1 Categorizing Humanitarian Assistance and Rehabilitation & Reconstruction

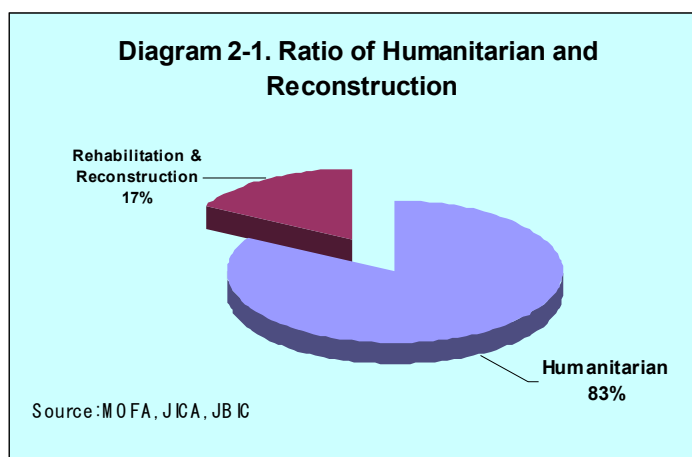
The definition of humanitarian assistance by GOJ principally follows the classification of DAC reporting system (Code 700, 710 and 720) ² for statistical measurements, but practically, it focuses on short-term emergency relief where human security (including human rights) is threatened by natural disaster, conflict, terror or other troubles/accidents, and, thereby, provision of food,

² Code 700 includes Emergency Assistance and Reconstruction. Under this, 710 specifies Emergency Food Aid, and 720 for Other Emergency and Distress Relief. Code 730 is for Reconstruction, which is defined 'short-term rehabilitation and construction work after emergency or conflict'.

medical services, emergency supplies for basic needs is urgently required³.

GOJ has responded and committed to the Tsunami disaster with an amount of US\$603 million by the end of September 2005, which is an unprecedented scale of support to any other disasters the government has made in the past. Out of this, 83% of the total committed funds were allocated to humanitarian

assistance, and 17% for rehabilitation and reconstruction, as shown in Diagram 2-1 and Table 2-4 below.



When the fund for the Japan's Tsunami response is analyzed, it is important to understand the different aid schemes having various purposes at the stages of humanitarian assistance and rehabilitation and reconstruction. The major ODA schemes at two stages are listed below.

(1) Humanitarian Assistance

- Contribution to the International Organizations
- Bilateral Grant Aid by MOFA
- Japan Disaster Relief Team (JDR)
- NGO Support by MOFA

(2) Rehabilitation and Reconstruction

- Technical Cooperation by JICA
- ODA Loans by JBIC
- NGO support by MOFA

Thus, this paper examines both humanitarian assistance, and rehabilitation and reconstruction in the framework of ODA schemes as mentioned above. Table 2-1 illustrates the different schemes and agencies by humanitarian assistance and rehabilitation and reconstruction⁴. The details of each scheme in bilateral aid will be summarised in Annex 1.

³ In this paper, humanitarian assistance accounts for 710 and 720, but in reality, the funds disbursed for humanitarian assistance can be carried over to rehabilitation and reconstruction stages as well. Thus, considering some difficulties to draw the line between humanitarian and reconstruction stages, it can be regarded that activities for reconstruction can be partially included in humanitarian assistance.

⁴ The details of NGO Support in humanitarian and rehabilitation and reconstruction are explained in the report of Theme 5, NGO Funding.

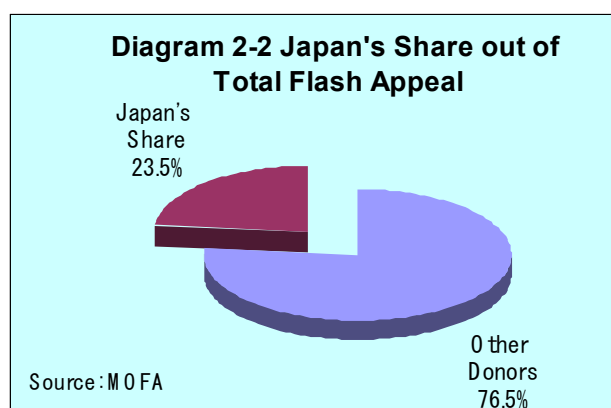
Table 2-1. Scheme and Agency by Humanitarian and Reconstruction Stages

Agency	Humanitarian Assistance	Rehabilitation and Reconstruction
MOFA	① Bilateral Grant Aid Non-project Grant Aid Emergency Grant Aid ② Contribution for International Organisation ③ NGO Support <ul style="list-style-type: none"> • Japan Platform (JPF)⁵ • Grass-roots and Human Security Grant Aid 	① NGO Support <ul style="list-style-type: none"> • Grant Assistance for Japanese NGO Projects
JICA	① Japan Disaster Relief Team (JDR) ② Emergency Supplies	① Technical Cooperation <ul style="list-style-type: none"> • Development Studies • Technical Cooperation Project • Acceptance of Trainees • Japan Overseas Cooperation Volunteers (JOCV)
JBIC		① ODA Loans

2-2 Total Volume and Breakdown of Humanitarian Assistance

The fund for Tsunami response was raised from the special budget called 'Reserve Fund' (for details, see 3-8) set aside specifically for humanitarian assistance. Humanitarian assistance was primarily provided through the MOFA and JICA with several schemes as shown Table 2-1. The total amount for humanitarian aid, US\$499,266,506, was completely disbursed by the end of March 2005.

Japan first announced to provide US\$30 million as initial emergency assistance to Indonesia, Sri Lanka and Maldives on 28th December 2004. Then, it recommitted to support up to US\$500 million on 1st January⁶, followed by the announcement at the ASEAN Leaders' Meeting on 6th January 2005. Out of this, US\$250 million were disbursed through international organizations in response to the Flash Appeal (US\$977 million in total). As Diagram 2-2 shows, Japan's contribution for international organizations accounts for 23.5% of the total amount of the Flash Appeal. Table 2-2 and Diagram 2-3 show the breakdown of Japanese contribution by agency against the Flash Appeal.

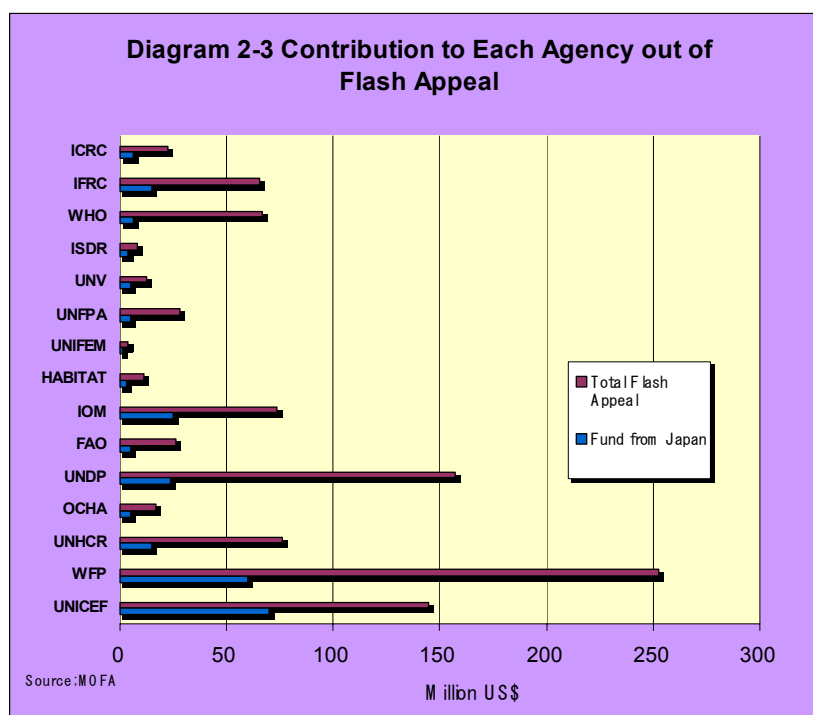


⁵ The JPF is a channelling organization to support Japanese NGOs specializing in emergency and disaster relief, funded by the MOFA and donations (private funds). Currently the JPF has 20 NGOs registered. For details, see the report of 'Theme 5, NGO Funding, Case of Japan'.

⁶ US\$500 million was estimated based on the exchange rate in January, 2005 which was US\$1=¥100. However, this report analyses the total volume of assistance by the DAC exchange rate, i.e. US\$1=¥107.2. Therefore, it has to be noted that there is a discrepancy between the volume pledged in January and the figure analysed in this report.

Table 2-2. Japn's Share out of Flash Appeal (US\$)			
Agency	Amount of Appeal	Japan's Share	Proportion of Japan's Share (%)
UNICEF	144,534,880	70,000,000	48.4
WFP	252,400,000	60,000,000	23.8
UNHCR	75,847,600	15,000,000	19.8
OCHA	16,765,563	5,000,000	29.8
UNDP	157,100,000	24,500,000	15.6
FAO	26,510,475	5,000,000	18.9
IOM	73,800,000	25,000,000	33.9
UNHABITAT	11,000,000	3,000,000	27.3
UNFEM	3,587,500	1,000,000	27.9
UNFPA	28,100,000	5,500,000	19.6
UNV	12,500,000	5,000,000	40.0
ISDR	8,000,000	4,000,000	50.0
WHO	67,060,220	6,000,000	8.9
Others, NGO	99,769,229	-	-
Sub Total	976,975,467	229,000,000	23.4
FRC	65,810,000	15,000,000	22.8
ICRC	22,390,000	6,000,000	26.8
Grand Total	1,065,175,467	250,000,000	23.5

Source: MOFA

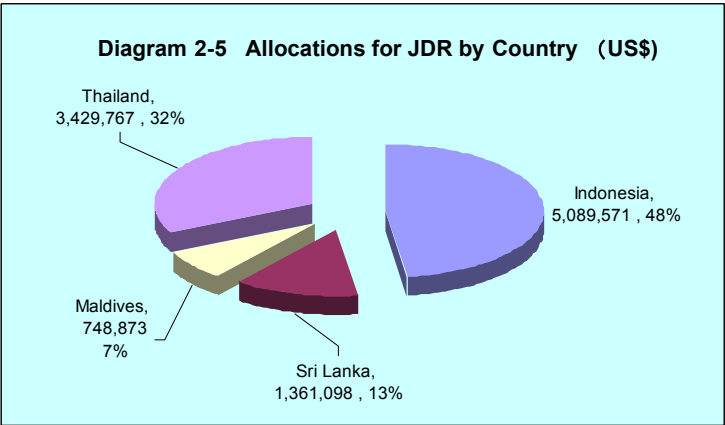
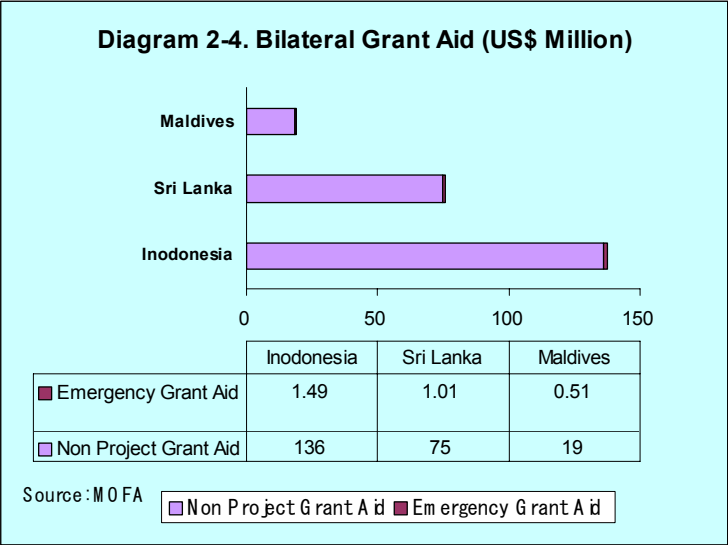


Meanwhile, approximately US\$250 million were provided as bilateral Grant Aid to the governments of Indonesia, Sri Lanka and Maldives⁷. Bilateral Grant Aid consists of Non-project

⁷ The government of Thailand requested disaster relief for medical services, rescue and emergency supplies, but declined the grant aid, emphasising that those funds should be used for more severely-affected countries.

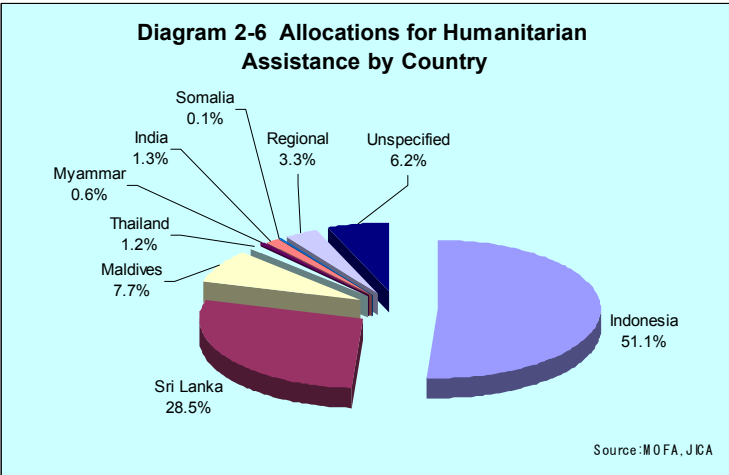
Grant Aid and Emergency Grant Aid⁸. Diagram 2-4 shows the share of Grant Aid received by each Tsunami-affected country. Indonesia, being the most severely affected country, received the largest share followed by Sri Lanka and Maldives.

As for the JDR and Emergency Supplies, the total fund amounted to US\$10,629,309. Diagram 2-5 shows the allocations for four countries where the JDR has operated. The volume of fund by country was mainly decided in proportion to the aftermath of catastrophe and the extent of damage. Thus, Indonesia was provided nearly half portion (48%), followed by Thailand (32%), Sri Lanka (13%) and Maldives (7%).



2-3 Fund Allocations by Country, Actor and Sector in Humanitarian Assistance

Diagram 2-6 and Table 2-4 show the allocation of humanitarian assistance by country. Indonesia has more than half of the fund (51.1%) followed by Sri Lanka (28.5%), Maldives (7.7%), India (1.3%) and Thailand (1.2%). Some portions were also contributed to Myanmar and Somalia through the international organizations.



⁸ Non-project Grant Aid provides financial support for the governments of disaster-affected countries to purchase materials, equipments and services throughout emergency, relief to reconstruction stages, whereas Emergency Grant Aid supports disaster relief and emergency fix in a short-term.

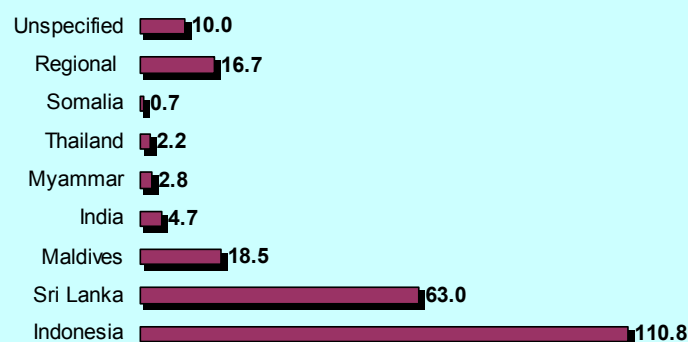
Country allocations through the UN agencies and IOM (except IFRC and ICRC funded non-earmarked by country) in Diagram 2-7 indicate that half was allocated for Indonesia (\$110.8 million) out of the total UN and IOM contributions (US\$229,000), followed by the major recipients such as Sri Lanka (US\$63 million), and Maldives (US\$18.5M).

As shown in Table 2-5, the major implementing actors funded by the GOJ are the governments of Tsunami-affected countries, international organizations (UN, IOM, and IFRC/ICRC), and NGOs (both Japanese and local ones). Diagram 2-8 shows the funds allocated for these implementing actors. More than half of the funds (US\$250.4 million) went to the international organisations, and a large portion of the remaining half (US\$243.1 million) was for the governments of affected-countries that were provided bilateral Grant Aid. And the rest, US\$5.6 million was contributed to NGOs.

The sector allocation with geographic focus in Table 2-6 covers funds from the MOFA, the JDR and NGOs funded by the MOFA, but not by the international organizations⁹. In this Table, 93.4% of the funds were ‘unspecified’. This consists of bilateral Grant Aid by the MOFA, which is cash transfer without earmarking, i.e. it is unspecified at the time of disbursement, but the funds are utilised and specified for several sectors by both the recipient governments and GOJ afterwards. However, when the ‘unspecified’ (bilateral Grant Aid) portion is excluded, as Diagram 2-9 shows, major sectors include health (48.5%), shelter and non-food items (23.0%), logistics (12.2%), and the initial rehabilitation of essential facilities (7.3%).

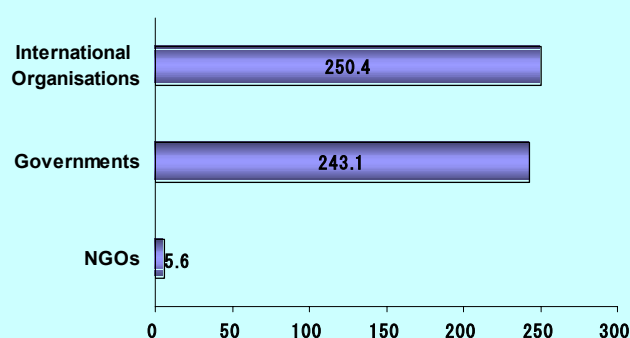
⁹ Although Japan earmarked the countries and sectors when disbursements were made, those international organisations usually handle several sectors. As such, it is impossible to account for their allocation in this table.

Diagram 2-7 Country Allocations through UN Agencies and IOM (US\$ million)



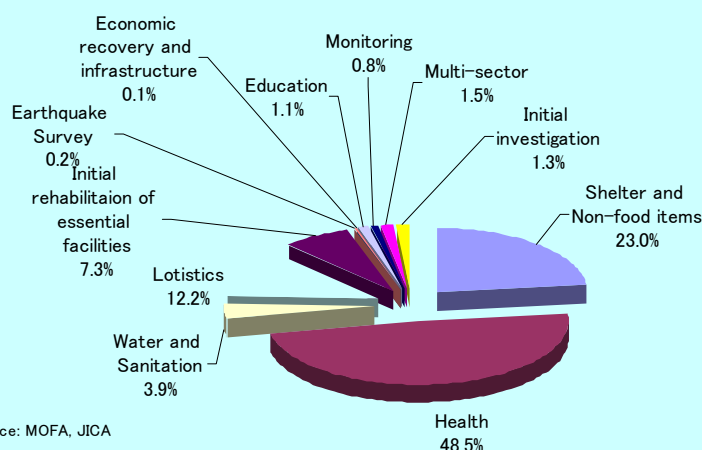
Source: MOFA

Diagram 2-8 Allocations for Humanitarian Assistance by Implementing Actor (US\$ million)



Source: MOFA

Diagram 2-9 Sector Allocation



Source: MOFA, JICA

2-4 Fund Allocation for Rehabilitation/Reconstruction Committed

As stated in 2-2 above, while the funds for humanitarian assistance came from the Reserve Fund, subsequent activities at rehabilitation and reconstruction stages were financed by the ODA budget, which were prepared right after the funds for humanitarian assistance at the emergency stage was allocated. Thus, the ODA budget is of crucial importance in achieving seamless assistance from emergency to rehabilitation and reconstruction.

As shown in Diagram 2-1 and Table 2-3, as of 30 September 2005, 17% (US\$103,777,018) of total fund committed for Tsunami response are for rehabilitation and reconstruction. Among those recipient countries, Sri Lanka receives the biggest portion of the fund because of the ODA Loan provided by JBIC¹⁰ (Diagram 2-10 and Table 2-3).

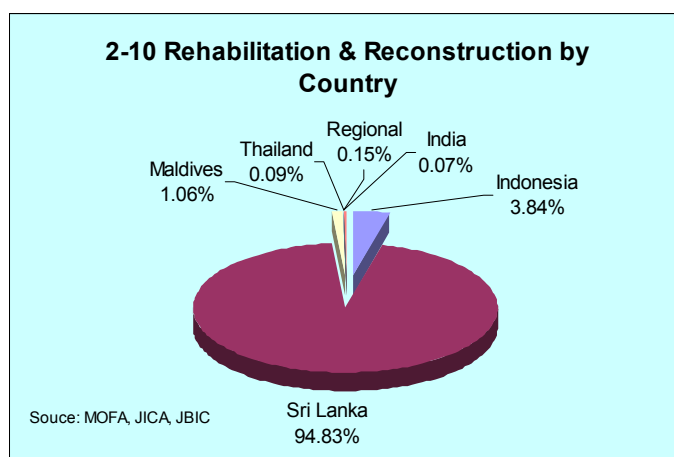
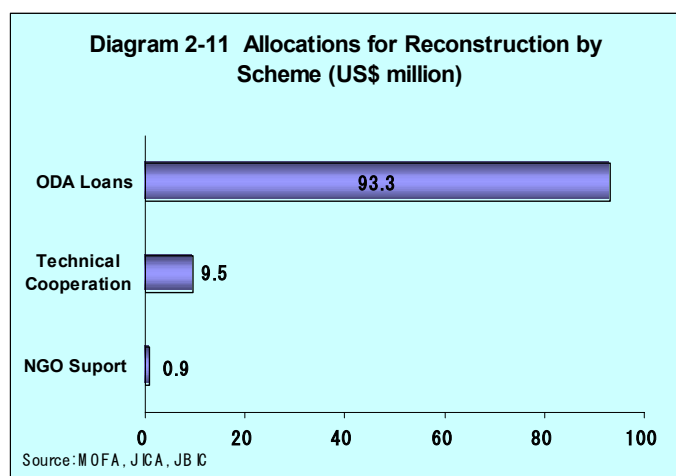


Diagram 2-11 illustrates the fund allocation by scheme. Whereas the ODA loan makes up the large proportion (US\$93.3 million) of total fund committed, technical cooperation accounted for US\$9.5 million and NGO support for US\$0.9 million.



¹⁰ Sri Lanka Tsunami Affected Area Recovery and Takeoff (STAART) Project [For details, see 3-2-2 (2)] .

Table 2-3 Overall Allocation and Disbursement (US\$)

Donor	Country	Pledged Humanitarian Aid	Committed Humanitarian Aid	Disbursed Humanitarian Aid					Reconstruction Committed			
				31/3/2005	In kind (%)	Grant (%)	Loan	Tied Aid (%)	2005		2006	2007
									Committed	Disbursed		
MOFA	Indonesia	249,799,265	249,799,265	249,799,265	0	100	0	0	296,730	296,730	N/A	N/A
	Sri Lanka	140,790,541	140,790,541	140,790,541	0	100	0	0	545,482	545,482	N/A	N/A
	Maldives	37,689,716	37,689,716	37,689,716	0	100	0	0			N/A	N/A
	Thailand	2,715,321	2,715,321	2,715,321	0	100	0	0			N/A	N/A
	Myanmar	2,800,000	2,800,000	2,800,000	0	100	0	0			N/A	N/A
	India	6,318,480	6,318,480	6,318,480	0	100	0	0	72,758	72,758	N/A	N/A
JICA	Somalia	700,000	700,000	700,000	0	100	0	0			N/A	N/A
	Regional	16,700,000	16,700,000	16,700,000	0	100	0	0			N/A	N/A
	Unspecified	31,123,874	31,123,874	31,123,874	0	100	0	0			N/A	N/A
	Sub Total	488,637,197	488,637,197	488,637,197					914,970	914,970	N/A	N/A
	Indonesia	5,089,571	5,089,571	5,089,571	3.7	96.3	0	n/a	3,689,909	3,689,909	N/A	N/A
	Sri Lanka	1,361,098	1,361,098	1,361,098	10.1	89.9	0	n/a	4,470,308	4,470,308	N/A	N/A
JBIC	Maldives	748,873	748,873	748,873	12.1	87.9	0	n/a	1,105,075	1,105,075	N/A	N/A
	Thailand	3,429,767	3,429,767	3,429,767	2.7	97.3	0	n/a	96,927	96,927	N/A	N/A
	Regional					100	0	n/a	160,277	160,277	N/A	N/A
	Sub Total	10,629,309	10,629,309	10,629,309					9,522,496	9,522,496	N/A	N/A
	Sri Lanka						100		93,339,552	31,455,224	N/A	N/A
	Grand Total	499,266,506	499,266,506	499,266,506					93,339,552	31,455,224	N/A	N/A
									103,777,018	41,892,690	N/A	N/A

Source: MOFA, JICA, JBIC

Table 2-4 Commitments by Geographic Allocations (US\$)

Country	Humanitarian Aid		Reconstruction		Total	
	Amount	%	Amount	%	Amount	%
Indonesia	254,888,836	98.5	3,986,639	1.5	258,875,475	100
Sri Lanka	142,151,638	59.1	98,355,342	40.9	240,506,980	100
Maldives	38,438,589	97.2	1,105,075	2.8	39,543,664	100
Thailand	6,145,089	98.4	96,927	1.6	6,242,016	100
Myanmar	2,800,000	100.0		0.0	2,800,000	100
India	6,318,480	98.9	72,758	1.1	6,391,238	100
Somalia	700,000	100.0		0.0	700,000	100
Regional	16,700,000	99.0	160,277	1.0	16,860,277	100
Unspecified	31,123,874	100.0		0.0	31,123,874	100
Grand Total	499,266,506	83	103,777,018	17	603,043,524	100

Source: MOFA, JICA, JBIC

Table 2-5 Breakdown by Implementing Actor in Humanitarian Assistance (\$US)

Donor	Implementation	Actor	Committed	Country	Sector	Cash	In kind	Service
MOFA	Government	Indonesia	137,693,600	Indonesia	Unspecified	137,693,600		
		JPF NGOs	916,700		Non-food items, Health & sanitation	916,700		
		Grassroots Grant Aid	371,965		Economic recovery & Health	371,965		
	International Organisations	UNICEF	25,000,000		Health, Education Protection, Rights	25,000,000		
		WFP	30,000,000		Food	30,000,000		
		DM	17,950,000		Shelter, Protection	17,950,000		
		UNDP	15,300,000		Shelter, Livelihood	15,300,000		
		UNHCR	13,000,000		Shelter, Non-food items	13,000,000		
		UNFPA	3,000,000		Health, Sanitation, Protection	3,000,000		
		FAO	1,367,000		Food, Livelihood	1,367,000		
		UNOCHA	1,700,000		Coordination	1,700,000		
		WHO	3,500,000		Health	3,500,000		
	Sub total		249,799,265		249,799,265			
	Government	Sri Lanka	75,637,866	Sri Lanka	Unspecified	75,637,866		
		JPF NGOs	1,877,022		Non-food items, Health & sanitation	1,877,022		
		Grassroots Grant Aid	260,250		Health rehabilitation and infrastructure and Health	260,250		
	International Organisations	UNICEF	22,000,000		Health, Education Protection, Rights	22,000,000		
		WFP	17,494,403		Food	17,000,000	494,403	
		DM	7,050,000		Shelter, Protection	7,050,000		
		UNDP	4,000,000		Livelihood	4,000,000		
		UNHCR	2,000,000		Shelter, Non-food items	2,000,000		
		UNFPA	2,000,000		Health, Gender	2,000,000		
		FAO	2,671,000		Livelihood	2,671,000		
		UNOCHA	800,000		Coordination	800,000		
		UNHABITAT	3,000,000		Shelter, Housing	3,000,000		
		WHO	2,000,000		Health	2,000,000		
	Sub total		140,790,541		140,296,138	494,403		
	Government	Maldives	19,166,716	Maldives	Unspecified	19,166,716		
		UNICEF	11,000,000		Health, Education Protection, Rights	11,000,000		
		WFP	1,600,000		Food	1,600,000		
	International Organisations	UNDP	4,000,000		Health rehabilitation and infrastructure	4,000,000		
		UNFPA	500,000		Health	500,000		
		FAO	723,000		Livelihood	723,000		
		UNOCHA	200,000		Coordination	200,000		
		WHO	500,000		Health	500,000		
	Sub total		37,689,716		37,689,716			
	NGO	JPF NGOs	53,078	Thailand	Education, Mental Health	53,078		
		Grassroots Grant Aid	423,243		Health rehabilitation, infrastructure, Food, Mental Health	423,243		
		International Organisations	UNICEF		2,000,000	Health, Education Protection, Rights	2,000,000	
	FAO		239,000		Livelihood	239,000		
	Sub total		2,715,321		2,715,321			
	International Organisations	UNICEF	1,300,000	Myanmar	Health, Education Protection, Rights	1,300,000		
		WFP	300,000		Food	300,000		
		UNDP	1,200,000		Shelter, food	1,200,000		
	Sub total		2,800,000		2,800,000			
	NGO	JPF NGOs	1,618,480	India	Health investigation, Non-food items,	1,618,480		
		UNICEF	4,700,000		Health, Education Protection, Rights	4,700,000		
	Sub total		6,318,480		6,318,480			
	International Organisations	WFP	700,000	Somalia	Food	700,000		
		Sub total				700,000		

Table 2-6 Sector Allocations of Geographic Focus by Donors and Budget (\$US)

Sectors	Countries	Region	Donor Agency	Amount Proposed	Committed	Disbursed	Implementation timeframe
Shelter and Non-food Items	Indonesia	Ache	JICA (JDR)	242,537	242,537	242,537	12.2004-1.2005
	Sri Lanka	North, East	JICA (JDR)	137,127	137,127	137,127	12.2004-1.2005
	Maldives	Malili Island	JICA (JDR)	90,485	90,485	90,485	12.2004-1.2005
	Thailand	Phuket	JICA (JDR)	93,284	93,284	93,284	12.2004-1.2005
	Indonesia	Sumatra	MOFA/JPF	795,329	795,329	795,329	12.2004-1.2005
	Sri Lanka	North, East	MOFA/JPF	1,081,441	1,081,441	1,081,441	12.2004-1.2005
	India	South Andaman	MOFA/JPF	1,309,781	1,309,781	1,309,781	12.2004-1.2005
	Sub Total			3,749,984	3,749,984	3,749,984	
Health	Indonesia	Ache	JICA (JDR)	4,816,269	4,816,269	4,816,269	12.2004-1.2005
	Sri Lanka	North, East	JICA (JDR)	1,127,957	1,127,957	1,127,957	12.2004-1.2005
	Maldives	Malili Island	JICA (JDR)	617,239	617,239	617,239	12.2004-1.2005
	Thailand	Phuket	JICA (JDR)	804,776	804,776	804,776	12.2004-1.2005
	Thailand	N/A	MOFA/ht NGO	177,714	177,714	177,714	1.2005-3.2005
	Indonesia	Sumatra	MOFA/Local NGO	352,409	352,409	352,409	1.2005-3.2006
	Sub Total			7,896,364	7,896,364	7,896,364	
Water and Sanitation	Thailand	Phuket	JICA (JDR)	546,390	546,390	546,390	12.2004-1.2005
	Sri Lanka	N/A	MOFA/Regional Govt	92,560	92,560	92,560	1.2005-3.2006
	Sub Total			638,950	638,950	638,950	
Logistics	Thailand	Phuket	JICA (JDR)	1,985,317	1,985,317	1,985,317	12.2004-1.2005
	Sub Total			1,985,317	1,985,317	1,985,317	
Humanitarian Relief of Essential Facilities	Sri Lanka	North, East	JICA (JDR)	96,015	96,015	96,015	12.2004-1.2005
	Maldives	Malili Island	JICA (JDR)	41,149	41,149	41,149	12.2004-1.2005
	Sri Lanka	Trincomalee	MOFA/JPF	595,211	595,211	595,211	1.2005-3.2006
	India	Andaman	MOFA/JPF	289,343	289,343	289,343	1.2005-3.2007
	Sri Lanka	Battkaba	MOFA/Local NGO	53,863	53,863	53,863	1.2005-3.2006
	Sri Lanka	Ampara	MOFA/Local NGO	85,347	85,347	85,347	1.2005-3.2007
	Sri Lanka	Trincomalee	MOFA/Local NGO	28,479	28,479	28,479	1.2005-3.2008
	Sub Total			1,189,407	1,189,407	1,189,407	
Earthquake survey	Indonesia	N/A	JICA (JDR)	30,765	30,765	30,765	12.2004-1.2005
	Sub Total			30,765	30,765	30,765	
Economic Recovery and Infrastructure	Indonesia	Sumatra	MOFA/Local NGO	19,556	19,556	19,556	1.2005-3.2008
	Sub Total			19,556	19,556	19,556	
	Thailand	Pangah	MOFA/JPF	53,078	11 53,078	53,078	1.2005-3.2006
Education	Sri Lanka	Tangal	MOFA/JPF	124,377	124,377	124,377	1.2005-3.2006
	Sub Total			177,455	177,455	177,455	
Monitoring	Indonesia, Thailand, Sri Lanka		MOFA/JPF	123,874	123,874	123,874	2-6 2005

3. Good Humanitarian Donorship

This Chapter examines how Japan's funding policies and mechanisms for the Tsunami response have been worked out both at humanitarian and rehabilitation and reconstruction stages on the basis of GHD principles.

3-1 Humanitarian Objectives and Principles

3-1-1 Decision Making and Political Commitment for Humanitarian Assistance

When the Tsunami occurred on 26th December 2004, the government of Japan (GOJ), led by the Prime Minister (PM) Junichiro Koizumi, immediately pronounced its full support in the areas of finance, human resources, knowledge and expertise to those countries affected by the disaster. This was followed by the immediate dispatch of the JDR with emergency supplies on 27th December, 2004, and initial emergency assistance on 28th December 2004. The Ministry of Finance, the Cabinet Office, the MOFA, JICA, and JBIC respectively took a prompt action in order to tackle the damage caused by the unprecedented natural disaster.

The PM officially announced to provide a contribution up to US\$500 million on 1st January 2005, and addressed it in response to the UN Flash Appeal at the ASEAN Leaders' Meeting on 6th January in Jakarta, Indonesia. Japan's strong political commitment for humanitarian and reconstruction assistance was addressed in his speech noted below.

The Tsunami disaster has brought severe damage not only to people of the countries that the Tsunami hit, but also to a large number of people in other parts of the world including Japan. Damages were particularly serious in Asian countries. Japan has, as a fellow Asian partner, fostered partnership and solidarity with other Asian countries. The pains felt by Asian countries are our own pains. Disaster in Asia is nothing but ours as well.

Junichiro Koizumi, Prime Minister

Through this meeting, Japan demonstrated a clear intention of prompt response and actions in order to support and cooperate with the UN Flash appeal as much as possible. Also following the PM, the Minister for Foreign Affairs, Mr. Nobutaka Machimura immediately visited Indonesia and Thailand from 5th to 8th January to meet with concerned leaders and to visit victims in disaster-affected areas. Considering the wealth of past experience and performance in Asia, Japan decided to extend an unprecedented scale of humanitarian support, and thereby, explicitly demonstrated its political commitment toward Asian partners. This series of assistance was decided and implemented in line with Japan's ODA policy which spells out the perspective of human security focusing on the dignity of those people whose lives are threatened by conflicts, terror and disasters.

3-1-2 Coherence with International Legal Framework and Principles

Japan has ensured the consistency with international legal framework and principles for humanitarian assistance by securing equity on neutral ground, targeting the vulnerable and marginalized people, providing basic needs for disaster-affected populations, considering human rights, and adopting the international standards for disaster relief operations.

In the contexts of *humanity, neutrality and impartiality*, a special attention was paid to the suffering of vulnerable groups such as women, children and marginalized people without discriminating against their political ideology, religious affiliation, race/ethnic origin, or gender. A JICA project implemented in the North and East of Sri Lanka serves as a good example here. The project has paid attention to regional and ethnic balance in light of the on-going peace building process (See 3-6-2 (1)).

The GOJ also concerns and follows the various international legal frameworks and principles. In reference to the *humanitarian law*, as mentioned above, Japan's humanitarian assistance aims to protect human dignity and security whether it is wartime or peace time, focusing on rights-based approach (See (1) below). The GOJ also respects the rights of *Internally Displaced Persons (IDPs)*, regardless of their race, creed or origin, and priorities were placed on the basis of their needs alone. The operation of JDR and the emergency supplies provided IDPs, in accordance with *IDPs Guiding Principles*, with access to potable water, shelter/housing, and essential medical services and sanitation throughout the operation of disaster relief. The *RC Code of Conduct and Sphere* were also used in the disaster relief operation by the JDR in order to reassert the rights of disaster-affected population and to ensure the standards and indicators based upon the common knowledge and approaches in the field of practice. The GOJ also funded NGOs that adhere to the RC Code of Conduct and Sphere in their relief operations¹¹.

In view of the foregoing, two cases which allocated funds on the ground of Child Rights and Sphere Minimum Standards are presented below.

(1) Human Rights of the Child - Japan's Child Support Plan for Tsunami Victims-

A special fund was allocated under 'Japan's Child Support Plan for Tsunami Victims' (see Box 3-1). The GOJ was very concerned with many children who became orphans as a result of losing their parents or guardians in this disaster. Thus, to support the children who suffered most severely, this plan was set up by focusing on both child protection (anti-human trafficking measures) and child survival (measures against infectious diseases), by utilizing \$86 million out of \$250 million already contributed to international organizations. The plan was expected to support the agencies such as UNICEF, IOM and related UN agencies in coordination with NGOs.

¹¹ NGOs in the JPF funded by the GOJ use the handbook of Sphere when operating disaster relief activities.

Box 3-1. Japan's Child Support Plan for Tsunami Victims

1. Child Protection

- (1) Measures against trafficking of children; Assistance to promote the reunion of separated family members
- (2) Provision of shelters for children, temporary housing for single-mother households and other accommodations
- (3) Measures to alleviate trauma

2. Child Survival

- (1) Measures against infectious diseases
- (2) Nutritional support for children
- (3) Water and sanitation (preventive measures against the outbreak of infectious diseases)

Source: MOFA

(2) Support for RC Code of Conduct and Sphere Minimum Standards

The JDR is primarily responsible for disaster response to natural calamity. The JDR has about 700 registered medical staff members, and 1,640 registered rescue/search personnel in collaboration with the National Police Agency, the Fire Department and the Japan Coast Guard. Since the scale of Tsunami disaster was tremendous, the Self Defence Forces (SDF) was also dispatched for humanitarian assistance under the JDR law for the purpose of medical, rescue services and other logistic work¹². The SDF was first sent under the JDR law when Hurricane Mitch hit Honduras in 1998, followed by this Tsunami disaster relief. Table 3-1 shows the performance of humanitarian assistance for Tsunami disaster by JDR and SDF.

The JDR medical team practices relief work in the framework of the Sphere Project, and the rescue team operates and respects the INSARAG (International Search and Rescue Advisory Group) approach for UN coordination network of rescue and search. To ensure and operate with a commitment to quality and accountability, the special budget of US\$1,772,388 was allocated for the training sessions this year that conforms with the international standards and frameworks before the dispatch of team members to disaster areas. Box 3-2 shows the training courses for Sphere Project and INSARAG for medical and rescue teams. With this, Japan meets the international standard and criteria set by the IFRC and the UN.

¹² When the PKO Law was enacted in 1992, the JDR Law was also amended, indicating that the SDF can operate humanitarian activities under the JDR Law as long as they do not related to war or conflicts.

Table 3-1 JDR Humanitarian Assistance for Tsunami

Affected Country	Summary of Assistance
Indonesia (Medical team, SDF)	<ul style="list-style-type: none"> • Medical team (doctor, nurse, pharmacist) dispatched to Banda Ache, Ramala District. (30 December –31 January) consulted and treated 2,844 patients. • Medical team coordinated with local health agencies to undertake public health guidance, measures against communicable diseases and PTSD/Trauma care. • SDF team was dispatched with 2 ships, 2 air carriers, and 7 helicopters. • SDF Medical team treated about 6,000 patients and immunised more than 2,000 people. • SDF carried out control of epidemic in an area covering 133,800Km². • SDF delivered 400 tons of emergency supplies.
Sri Lanka (Medical team, Expert team)	<ul style="list-style-type: none"> • Medical team (doctor, nurse, pharmacist) dispatched to Ampara District in the East region (27 December –18 January) consulted and treated 2,207 patients. • Needs Assessment for rehabilitation and reconstruction was conducted by the JDR expert team.
Thailand (Medical team, Rescue team, Expert team, SDF)	<ul style="list-style-type: none"> • 3 SDF ships on the way back to Japan conducted rescue/search in the ocean of Phuket. (28 December –1 January). • Rescue/search teams from the National Policy Agency, the Fire Department and the Japan Coast Guard (29 December – 8 January). • Medical team (doctor, nurse, pharmacist) dispatched treated about 1,050 patients (30 December –12 January). • Experts from the National Police Agency conducted Disaster Victims Identification in cooperation with experts in other countries • Experts from the Fire Department advised about search technique to the Ministry of Interior and the Marine Forces of Thailand
Maldives (Medical team, Expert team)	<ul style="list-style-type: none"> • Medical team (doctor, nurse, pharmacist) dispatched to Muri Island, consulted and treated 229 patients (29 December – 8 January). • Needs Assessment for rehabilitation and reconstruction was conducted by the JDR expert team.

Source: MOFA, JICA/JDR

Box 3-2. Training for JDR Teams

■ Medical Team (Sphere Minimum Standard)

Target : Medical Experts

- i. 3-day Beginner Course (20 hours)
- ii. 1-day Intermediary Course (8 hours)

■ Rescue Team (INSARAG)

Target: Experts from the National Police Agency, Fire Department, Japan Coastal Guard

- i. In-Country Comprehensive Training (100 experts)
- ii. INSARAG Overseas (Regional) Session (5 Experts)
- iii. INSARAG Leaders Session in Geneva] (2-3 Experts)
- iv. INSARAG Overseas USAR Exercise (2

3-2 Flexibility and Timeliness

3-2-1 Flexibility

(1) Flexibility in Funding

With regard to flexibility, the Emergency Grant Aid is non-earmarked by sector, but specifies goods and service only for emergency and relief based on the needs and requests from the recipient country. Similarly, Non-project Grant Aid is non-earmarked by sector, but has to be goods and services for the purpose of Tsunami relief, rehabilitation and reconstruction. Each government of the Tsunami-affected countries can make their own list to purchase based upon the Consultation Committee between affected governments and GOJ. Therefore, there was no one-sided approach which set the conditionality, but it is important to make flexible arrangements according to the needs, reconstruction plans and self-reliance efforts in the Tsunami-affected countries. Although the affected countries have to decide the items and costs to purchase within a year, the time span for spending and implementation is flexibly arranged according to the type and size of items and projects.

For the contribution to the international organizations, all the funds for the UN agencies and IOM were earmarked according to their plans by sector and country. On the other hand, the funds for the IFRC and the ICRC were un-earmarked by country.

(2) Flexibility in Implementation

Under the ordinary circumstances, each ODA scheme is implemented separately, but in the process of the Tsunami response, the implementation mechanism was more flexible in some cases. For example, JICA's Development Study¹³ in Indonesia is not just a study or research, but encompasses the pilot project to implement initial infrastructure for recovery. During this study, a Non-project Grant Aid was provided to construct a facility at the same site, and the Development Study supported the Non-project Grant Aid with design and monitoring. Therefore, a combination of multiple schemes has promoted synergic effects by conducting a study and implementing a project.

Likewise, flexible assistance by the Development Study has been implemented in East Timor and Afghanistan, and the experience and lessons learnt in these countries were useful to the Tsunami response.

3.2.2. Timeliness

The GOJ promptly responded to the UN Flash Appeal and Emergency Appeal of Other International Organisations (IFRC, ICRC) at the Special ASEAN Leaders' Meeting in January,

¹³ The term 'Development Study' in JICA does not mean the academic research, but initiatives aiming to gather information of official development planning regarding social and economic infrastructure and systems. In the end of this, the blue print of such a sector is designed for the long-term development.

where it announced up to a US\$500 million contribution for the initial emergency relief. As Table 3.2 shows, Emergency Grant Aid and Non-project Grant Aid were pledged on 28th December and 6th January 2005 respectively, and were disbursed on 19th January (Emergency Grant Aid for Sri Lanka and Maldives were disbursed on 6th January). Similarly, the contribution for the international organizations (12 UN agencies, IOM, ICRC and IFRC) were pledged on 11th January and disbursed on 21st January. In this regard, Japan achieved the target of Humanitarian Response Review (HRR), which recommends the time span of 6 weeks between pledge and disbursement. Apart from the direct funding, the JDR dispatched the medical and rescue teams on 27th, and started the humanitarian assistance at the disaster areas before OCHA and other donors came over to launch their operation.

Table3-2 Timeliness of Funding for Humanitarian Assistance

Aid Scheme	Date of			Comments (Flexibility and Other Info)
	Pledge	Commitment	Disbursement	
Flash Appeal by International Organizations	11 January 2005	N/A	US 2.5 Million to all agencies on 21 st January, 2005	100% Earmarked for UN and IOM 100% Non-earmarked for IFRC & ICRC
Non-project Grant Aid	6 th January 2005	17 January 2005	19 January 2005	Non-earmarked by sector, but specifies the goods and services for relief, rehabilitation and reconstruction..
Emergency Grant Aid	28 th December 2004	29 January 2005	① 6 th January 2005 (Sri Lanka & Maldives) ② 19 January 2005 (Indonesia)	Non-earmarked by sector, but specifies the goods and services for emergency and relief.
Emergency Supplies	27 December 2004 (Resolution for assistance)	N/A	December 2004 – January 2005 (Delivered)	Supplies (essential goods) delivered from the storage in Singapore; supplies purchased in Singapore (untied)
Japan Disaster Relief Team (JDR)	26 December 2004 (Resolution for assistance)	N/A	27 th December 2004 Dispatched Medical and Rescue Teams	N/A

Source: MOFA, JICA

3-3 Needs Based Funding

3-3-1 Initial Investigation and Needs Assessment for Humanitarian Assistance

Japan's Tsunami response has been implemented in a need-based manner, having two phases, i.e. identification of the acute and immediate needs right after the disaster, and planning of rehabilitation and reconstruction in a mid to long-term perspective.

(1) Prompt Action for Needs Assessment in the Field

Japan has been able to assess changing needs in the field, taking advantage of its presence, and the local networks it has developed in the Tsunami-affected countries. This became its strength for conducting prompt and appropriate needs based activities. For the administrative arrangement of efficient needs assessment, the JICA office in Sri Lanka quickly collected

information about the target areas to begin rescue and support activities before the arrival of the JDR. The JICA office in Thailand opened up a temporary office in Phuket to receive the JDR rescue team. The office in Banda Ache was also opened up to extend support provided by the Embassy and JICA.

The needs were identified among various sources, from the victims to the local government and various Japanese stakeholders. In fact, immediately after the disaster, the chaotic condition made it virtually impossible to raise requests directly from the victims. However, a number of Japanese staff members from the Embassies as well as the country offices of JICA and JBIC dashed off to the affected areas to observe reality on the ground and identified the needs of victims through direct interactions. The JDR experts played a crucial role in primary needs assessment by having dialogues with both the victims and local government officials, particularly for the community relief and lifeline recovery in Sri Lanka¹⁴.

Local networks were fully utilized. The development experts who were already working in the affected countries have contributed to the appropriate needs identification by making use of their professional knowledge at the local level in response to requests from the agencies they belong to. The Overseas Cooperation Volunteers (JOCV) was already working in the affected countries and played crucial roles in supporting the identification of the needs of victims on the ground. For example, JOCV supported the JDR teams in interpretation, and provided trauma care and other such activities to the victims. The Indonesian ex-trainees who have participated in the training courses in Japan also served as interpreters acting as a bridge between the medical team of the JDR and the victims. Thus, the initial investigation and needs assessment were conducted with prompt, efficient and collective actions by the Japanese staff in the field making the best use of the local network that they have long established.

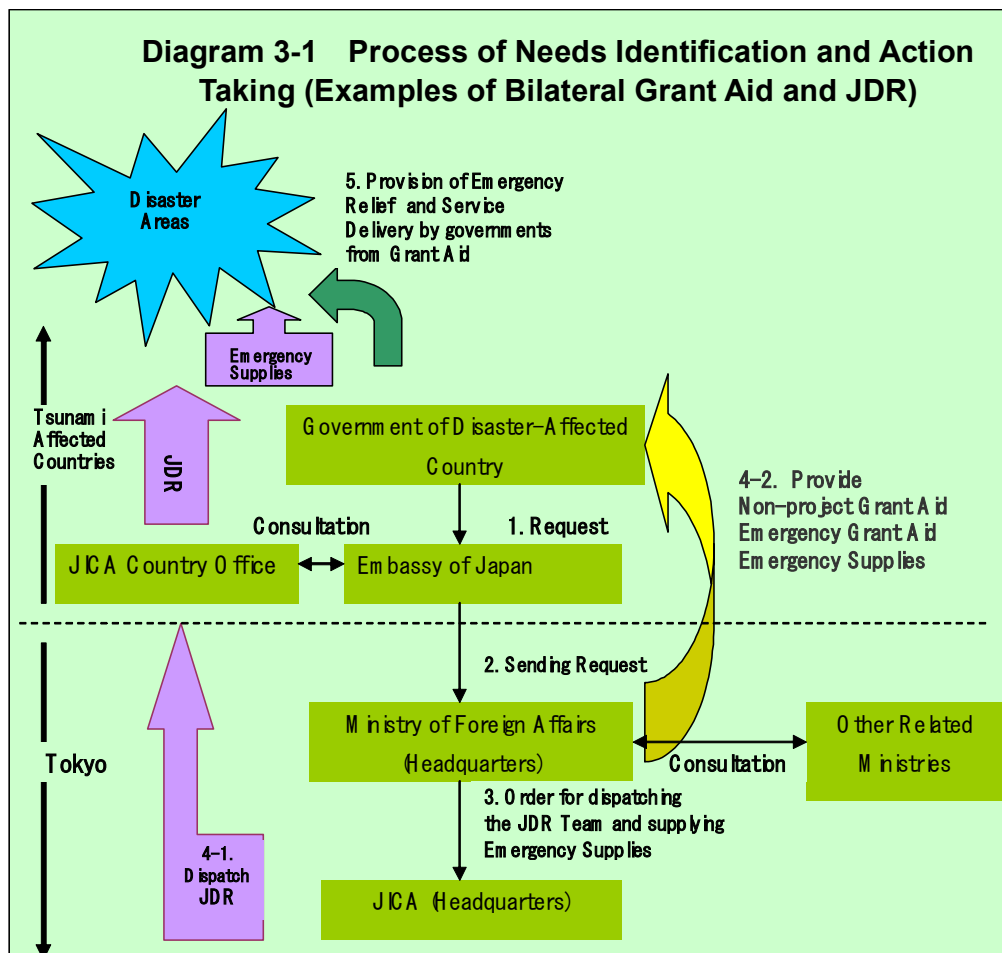
(2) Process of Identifying Needs through the Bilateral Consultation

In the bilateral consultation for needs identification, the MOFA (specifically, the Embassies of Japan in the disaster-affected countries) first contacted the governments concerned. As Diagram 3-1 shows, the initial official needs for the Grant Aid and dispatching the JDR were first addressed by the government of affected countries which was primarily responsible for the overall emergency relief. A survey team from JICS conducted a preliminary research as early as January – to identify potential needs for Non-project Grant Aid¹⁵. Most of the governments in Tsunami-affected countries requested emergency supplies, medical and rescue services and other necessary equipments and materials for recovery. The Embassy of Japan in each affected country sent all the requests from those governments to the MOFA in Tokyo. When the affected countries needed personnel for medical and rescue services, the request was sent to related agencies such

¹⁴ The JDR dispatched experts for needs assessment since the earthquake at Bam, Iran. They are expected to link emergency with relief and reconstruction in the context of disaster cycle management.

¹⁵ Japan International Cooperation System (JICS) is an agency which is responsible for procurement management of Non-project Grant Aid.

as the National Police Agency, the Fire Department and the Japan Coast Guard for rescue service and JICA/JDR through the MOFA. JICA/JDR immediately dispatched teams in the related agencies and the registered medical personnel.



3-3-2 Needs Assessment toward Rehabilitation and Reconstruction

While relief efforts were made by the JDR, needs assessment for the rehabilitation simultaneously started in January 2005. Experts from JICA, JBIC, the government agencies of Japan, other relevant agencies, and the consultants for JICA have been engaged in communicating with various stakeholders in the affected areas in order to identify their problems and needs, and to plan and design the projects/programs toward rehabilitation and reconstruction.

Japan was actively involved in the donor coordination for needs assessment. For example, the members of project formulation study by JICA in Indonesia had a consultation meeting with bilateral donors such as USAID, GTZ and AUSAID, and multi-lateral donors such as UNOCHA, UNHCR and UNICEF in order to discuss and exchange information about each organizations' future aid plans. JBIC also took part in the needs assessment with the World Bank and the Asian Development Bank (ADB) and other relevant agencies in Indonesia, Sri Lanka, and Maldives, respecting the ownership of each affected government, and its result was a key to influencing Japan's assistance. Table 3-3 shows the major initial investigations and needs assessment for

Tsunami disaster.

Table 3-3 Needs Assessment for Rehabilitation and Reconstruction

Country	Process and Type of Assessment	Agency
Indonesia	<ul style="list-style-type: none"> • Project Formulation Study (23 Jan – 26 Feb 2005) • Needs Assessment by JBIC, the World Bank, ADB and etc. (Jan 2005) • Special Assistance for Project Formulation (SAPROF) for Rehabilitation and Reconstruction Plan for Nanggoroe Ache Darussalam Province and Nias Island, North Sumatra Province (Feb–May 2005, and Aug–Nov 2005) • Needs Assessment for Non-project Grant aid (5 – 13 Jan, 14 – 22 Jan 2005) 	<ul style="list-style-type: none"> • JICA • JBIC • JBIC • JICS
Thailand	<ul style="list-style-type: none"> • Project Formulation Study: Environment, Coral reefs and Coastal habitats, Geo-hazard, Livelihood (25 Jan– 12 Feb 2005) • Project Formulation Study; Capacity Development for Disaster Prevention (August–September 2005) 	<ul style="list-style-type: none"> • JICA • JICA
Sri Lanka	<ul style="list-style-type: none"> • Needs Assessment by Experts from JDR Team (16 – 31 Jan 2005) • Project Formulation Study: Education Sector (Feb – March, 2005) • Project Formulation Study: Disaster Prevention (July 2005 – Jan 2006) • Needs Assessment by JBIC, the World Bank and ADB (Jan 2005) • Needs Assessment for Non-project Grant Aid (5–12 Jan 2005) 	<ul style="list-style-type: none"> • JICA • JICA • JICA • JBIC • JICS
Maldives	<ul style="list-style-type: none"> • Needs Assessment by Experts from JDR Team (27 Jan –1 Feb 2005) • Project Formulation Study (Apr–Aug 2005) • Needs Assessment by JBIC, the World Bank, ADB, and etc. (Jan 2005) • Special Assistance for Project Formulation (SAPROF) for Maldives Tsunami Reconstruction Project (May–Aug 2005) • Needs Assessment for Non-project Grant Aid (5–12 Jan 2005) 	<ul style="list-style-type: none"> • JICA • JICA • JBIC • JBIC • JICS

Source: MOFA, JICA, JBIC

3-3-3 Criteria for Needs Assessment

From the interviews with the key individuals who conducted needs assessment, and a few related documents, following factors were found to be the criteria for needs assessment.

- ✓ **Responding to acute and immediate needs covering all sectors** (i.e. basic needs in water and sanitation, nutrition, health, non-food items, shelter, etc).
- ✓ **Understanding life threatening factors, dignity, health and livelihoods** by addressing short-term needs to medium and long-term goals.
- ✓ **Considering coverage and connectedness** (targeting the most damaged areas, considering gender and vulnerable groups, balance of ethnic minorities, etc). This is characteristic of the development study in Sri Lanka, targeting north-east villages (Ampara and Trincomalee) and Indonesia (North Sumatra) where many vulnerable groups reside after the long-standing conflicts (see Box 3-3 below).
- ✓ **Involving all stakeholders** by consulting with the central and local governments, and the local affected population.
- ✓ **Examining local/community capacities** (both government and people) to cope with the disaster and subsequent recovery and rehabilitation process.
- ✓ **Respecting and understanding the socio-cultural aspects** in the diversified societies.
- ✓ **Clarifying the potentials and limitations of the donor side** (i.e. meeting needs based upon the experience and capacity of Japan).

Box 3-3 is an example of a Development Study in Indonesia which identified needs by reflecting the factors described above.

Box 3-3. Development Study in Indonesia: Community Rehabilitation

This study was conducted in cooperation with Indonesian NGOs. Following factors were taken into account when needs were raised.

- (1) Covering multiple sectors such as livelihood recovery, PTSD/Trauma care, Water and Sanitation, and capacity development for community rehabilitation
- (2) Regional balance: While Banda Aceh and Aceh Region are the focus, West and North are also included.
- (3) Establishment of better livelihood, capacity development in the community, and accountable and equal society.
- (4) Inputs for North regions that were greatly affected by the aftermath of conflict
- (5) Support for PTSD and Trauma care in view of human dignity
- (6) Respect for Religion and Culture in Aceh by introducing the combined approach of Islam and Aceh culture. Cooperation with religious leaders.
- (7) Gender consideration, particularly for those who became female-headed households (many of them became widows due to long-term conflict) in the North.

Source: JICA (2005), 'Emergency Development Study: Community Reconstruction'

3-4 Beneficiary Participation

It was difficult to promote participation by beneficiaries and communities immediately after the disaster in a chaotic condition, because the initial strategies have aimed at the operation of rescue/search, medical treatment, and provision of emergency supplies to prioritise saving lives based upon a supply-driven approach. However, when the intervention entered the stages of planning for rehabilitation and reconstruction, the beneficiaries in the communities were actively involved in the process of decision making in a participatory manner. This was particularly significant in the needs assessment by the JDR experts, and JICA's development Studies in the poor fishing villages in the North and East of Sri Lanka where the residents were involved in the decision making process for relocation program (See 3-3-2 (1)).

3-5 Disaster Preparedness and Mitigation

Even before the Tsunami, the disaster risk reduction cooperation has been an essential part of Japan's aid package. Thus, an emphasis was placed on capacity development and investment in this area of cooperation. This is because Japan has a long history of suffering caused by natural disasters such as earthquakes, volcanic eruptions and floods. Based upon the experience and lessons learnt in the field of disaster risk reduction, mitigation and preparedness, Japan announced 'Initiative for Disaster Reduction through ODA' (See Box3-4) and committed to continuous support in this field. Along with this trend, a considerable amount of funds were allocated for the assistance of disaster preparedness and mitigation in recent years. Table 3-4

shows the total amount of disaster risk reduction by the ODA scheme in the Fiscal Year (FY) 2002, 2003 and 2004. Total funds for disaster risk reduction for these years amounted to US\$504 million, US\$324 million and US\$696 million, and the proportion of net ODA volume accounts for 5.4 %, 3.6% and 7.8%¹⁶ respectively. Thus the funding in FY 2004 when the Tsunami occurred doubled that of FY2003. In this regard, it is obvious that the share in the areas of disaster risk reduction, preparedness and mitigation has multiplied in volume in the recent ODA.

Table 3-4 Fund for Disaster Risk Reduction and Reconstruction (Hundred million Yen)

FY	Grant Aid	ODA Loans	Technical Cooperation	Total	% of Total ODA Expenditure
2002	296.64 (19.8) (US\$243M)	274.00 (4.3) (US\$225M)	44.38 (3.0) (US\$36M)	615.02 (US\$504M)	5.4
2003	203.96 (16.0) (US\$167M)	150.43 (2.7) (US\$123M)	40.86 (2.9) (US\$34M)	395.25 (US\$324M)	3.6
2004	374.45 (29.2) (US\$340M)	351.34 (5.4) (US\$319M)	40.68 (2.7) (US\$37M)	766.47 (US\$696M)	7.8

Note: Brackets indicate the percentage of total fund in each scheme. The official exchange rate against the US dollar applied by the GOJ was ¥122.0 in FY2002, ¥122.0 inFY2003, and ¥110 in FY2004.

Source: MOFA

Among cooperation for disaster risk reduction, the construction of seawall in Maldives by Grant Aid, implemented between 1987-2001 totalling 742.5 billion yen (US\$6.9 billion), effectively minimized the Tsunami effect. This experience has contributed to the launching of disaster preparedness assistance specifically with a Tsunami focus. For technical cooperation, in addition to the existing assistance in mitigation and preparedness for the purpose of capacity development, JICA conducted the Tsunami-specific training this year called ‘Regional Seminar on Tsunami Early Warning System’, financing US\$1.8million in total. Similarly, Japan also supported the establishment of Tsunami Early Warning System for the Indian Ocean Countries by funding US\$1 million to UNESCO/Intergovernmental Oceanographic Commission (IOC) through UN International Strategy for Disaster Reduction (ISDR). JBIC has also long been engaged in the cooperation for disaster risk reduction such as the infrastructural development and training for disaster reduction. Such examples of cooperation include the workshop for the earthquake in Turkey in collaboration with Hyogo Prefecture in 2002, and the seminar for disaster-affected population at Mt. Pinatubo in the Philippines conducted by a Japanese NPO named Shimabara-Fugen Kai in 2004. JBIC has a Medium Term Strategy for the Operations in the Overseas Economic Cooperation that includes, as a priority area, medium and long term restoration of disaster on top of emergency assistance.

¹⁶ Net ODA volume in FY 2002, 2003 and 2004 was US\$9.3 billion, US\$8.9 billion, and 8.9 billion respectively.

3-6 Linkage to Recovery and Development

3-6-1 Seamless Assistance from Emergency to Rehabilitation and Reconstruction

Japan has a strategy to integrate the assistance of rehabilitation, reconstruction and disaster risk reduction for the Tsunami response. On 1 January, 6 days after the disaster, the Prime Minister already announced Japan's assistance in this area. As early as January when emergency and relief activities were still being carried out, ODA budgets were allocated for the missions to conduct needs assessment and project formulation on rehabilitation, reconstruction and disaster risk reduction. This prompt exercise has enabled Japan to launch and conduct projects/programs for rehabilitation and reconstruction without time lag. Seamless assistance has thus been achieved by the following elements:

- Actions (including needs assessment and project formulation) were undertaken at an earlier stage for smooth operation of subsequent rehabilitation and reconstruction even when the emergency relief activities were carried out in January.
- Emergencies, rehabilitation and reconstruction were linked by making full use of various aid schemes simultaneously, such as grant aid, the JDR, technical cooperation, ODA loans, etc.
- Effective and efficient cooperation and coordination among the MOFA, JICA and JBIC handling the various schemes listed above.

3-6-2 Project/Programs of Rehabilitation and Reconstruction towards Development

Needs assessment and project formulation study were first aimed at planning and designing projects and programs to achieve prompt rehabilitation and reconstruction. Those included Development Studies by JICA and ODA Loans by JBIC, as listed in Table 3-5 below. However, those projects and programs do not implement in a short-term perspective, but rather intend to make long-term development efforts. JICA's Development Studies and JBIC studies are conducted on the basis of development-oriented planning by making a long-term master plan (ex, 5-10 years-master plan, etc) and blueprint in a region/country. JBIC's ODA loans also ensure substantial support directly beneficial to disaster victims over the years. Thus, these projects/programs started at the stages of rehabilitation and reconstruction already mapped out the plans in the long-term development context.

Table 3-5 Study and Project for Rehabilitation and Reconstruction (Thousand Yen)

	Country	Title	Period	Cost Committed in 2005–March 2006
Development Study (JICA)	Indonesia	Banda Ache City Rehabilitation and Reconstruction Project	March 2005–March 2006	510,000 (US\$4,757,462)
		North Sumatra West Coast Road Rehabilitation Project	March – July 2005	37,000 (US\$345,149)
	Sri Lanka	Recovery, Rehabilitation and Development Project for Tsunami Affected Trunk Roads on the East Coast	March 2005–May 2006	293,641 (US\$2,739,188)
		Recovery, Rehabilitation and Development Project for Tsunami Affected Area of Southern Region	March 2005–March 2006	284,166 (US\$2,650,802)
		Urgent Recovery, Rehabilitation and Development Project for Tsunami Affected Area of Northern and Eastern Region	March 2005–March 2006	460,752 (US\$4,298,060)
	Maldives	The Study on Tsunami Recovery, Rehabilitation and Development of Island in Maldives	March 2005–February 2006	272,694 (US\$2,543,787)
ODA Loans (JBIC)	Sri Lanka	Loan Agreement for Sri Lanka Tsunami Affected Area Recovery and Takeoff (STAART) Project	June 2005 – April 2007	10,006,000 (US\$93,339,552)
	Indonesia	Special Assistance for Project Formulation (SAPROF) for Rehabilitation and Reconstruction Plan for Nanggoroe Ache Darussalam Province and Nias Island, North Sumatra Province	Feb–May, 2005 Aug–Nov, 2005	N/A
	Maldives	Special Assistance for Project Formulation (SAPROF) for Maldives Tsunami Reconstruction Project	May–Aug, 2005	N/A

Source: JICA, JBIC

The cases below explain the approaches by JICA and JBIC that aim at achieving long-term social and economic development through the Tsunami response.

- (1) JICA's Development Study for Rehabilitation and Reconstruction in the North and East Regions (in Ampara and Trincomalee) in Sri Lanka undertakes not only the plan and design for the town or villages, but also provides support for Tsunami-affected people to relocate to new residential areas which were planned to be built through the Non-project Grant Aid, and to promote income generating activities for local fishing people, with special efforts of local participation. Since the study plans to build up two newly built communities in Trincomalee and one in Ampara, it is apparent that the long-term development strategies are required with careful consideration of regional and ethnic balance under the peace-building process.
- (2) JBIC has also decided to provide a total of 10,006 billion yen (US\$93million) loan to Sri Lanka to finance 'Sri Lanka Tsunami Affected Area Recovery and Takeoff (STAART) Project'. The funds will be disbursed in two to three years (this is an exceptionally short period in comparison with ordinary loans which may take a longer time to disburse) as an emergency case. In addition, JBIC considers and plans to support Indonesia and Maldives in the near future. For Indonesia, the project formulation study was conducted to assist the

counterpart staff for developing a rehabilitation and reconstruction plan, and to examine the needs for loan financing. For Maldives, based upon the request on rehabilitation for port and sewerage system, extension for loan at the final stage has been examined.

3-7 UN Coordination and ICRC/IFRC Mandates

Japan has respected and supported the central role of the UN in humanitarian assistance. As mentioned in 2.2 above, Japan has fully supported the key humanitarian UN agencies and the IFRC/ICRC. The total support fund for these international organizations amounted to US\$250 million (US\$21 million for IFRC/ICRC), which accounted for half of the total commitment for humanitarian assistance by Japan. Japan's contribution to international organizations resulted in nearly a quarter of the total Flash Appeal. More specifically, the support for OCHA, the humanitarian coordination body, amounted to 30% of its total appeal.

The coordination of policy dialogue for disaster response is done through the ASEAN Leaders' Meeting in Jakarta, Indonesia where the Flash Appeal was addressed, Paris Club, the UN World Conference for Disaster Reduction in Kobe, Japan and Asia-African Conference in Bandung, Indonesia. The time series table for international action and events, and actions and responses by the GOJ is shown in Table 3-6 below.

Meanwhile, in terms of aid coordination, Japan has also been supporting and cooperating with international organizations, bilateral donors and NGOs at the field level. For example, the JDR joined in the system of Virtual On Site Operation and Coordination Centre (OSOCC) managed by OCHA, to exchange and share information on donor and NGO preparation and activities at the country level through a real time on-line response system. Also, the UN operation center led by WHO in Aceh is a coordinating body for all donors and NGOs, so the members of the JDR regularly participated in the coordination meetings conducted by WHO/UN to exchange information to avoid any duplication, and to share experiences for achieving efficient and effective field practice.

Furthermore, the logistic coordination was carried out effectively and efficiently in Indonesia. The emergency supplies were delivered with relay system by the civil and SDF aircrafts in coordination with IOM which distributed them down to the ground.

Table 3-6 Events, Action and Response of International Community and Japan

Year	Date/Month	International Actions and Events	Response and Action by the Government of Japan
2004	26 Dec	<i>Tsunami Occurred</i>	
	27 Dec		<ul style="list-style-type: none"> • Dispatched the International Disaster Relief Team
	28 Dec		<ul style="list-style-type: none"> • Provisional budget to provide US\$30million was proposed. • Pledged US\$2.5 million for the Emergency Grant Aid
	29 Dec	<ul style="list-style-type: none"> • 'Core Group' led by US was set up. 	<ul style="list-style-type: none"> • Joined in the 'Core Group'.
2005	1 Jan		<ul style="list-style-type: none"> • Prime Minister announced a US\$500million contribution
	6 Jan	<ul style="list-style-type: none"> • Special ASEAN Leaders' Meeting on Aftermath of Earthquake and Tsunami, in Jakarta Flash Appeal addressed by UN (US\$977million)	<ul style="list-style-type: none"> • Addressed US\$2.5 million for international organisations, and US2.5 million for grant aid to Tsunami-affected countries.
	11 Jan	<ul style="list-style-type: none"> • Ministerial Meeting on Humanitarian Assistance to Tsunami Affected Countries, in Geneva • Total amount of offer from donors was US\$ 750 comprising 77.4% of Flash Appeal. 	<ul style="list-style-type: none"> • Vice Minister of Foreign Affairs, Mr. Shuzen Tanigawa pledged that Japan would support US\$2.5million in response to the Flash Appeal, which is one-third of the total offer from all donors.
	12 Jan	<ul style="list-style-type: none"> • Meeting of Paris Club 	<ul style="list-style-type: none"> • Addressed Japan will not expect those disaster-affected countries to pay their external public debts.
	18 Jan	<ul style="list-style-type: none"> • United Nations World Conference on Disaster Reduction, in Kobe, Japan 	<ul style="list-style-type: none"> • Japan addressed 'Initiative for Disaster Reduction through International Cooperation'.
	21 Jan		<ul style="list-style-type: none"> • Minister for Foreign Affairs announced the 'Japan's Children Support for Tsunami Victims' • Completed the disbursement of US\$250 million to UN agencies and ICRC/IFRC.
	21-24 April	Asia-African Conference, Bandon, Indonesia	<ul style="list-style-type: none"> • Pledged to support US\$2.5 billion in the next five years for disaster reduction and relief/construction

Source: MOFA

3-8 Effects on Other Crises

There were reportedly no effects on other humanitarian assistance or crises in terms of fund allocation.

The fund of US\$ 500 million consisting of the support for the Flash Appeal by international organizations, bilateral Grant Aid and the JDR was raised from the Reserve Fund managed by the Ministry of Finance. For the emergency appropriation that aims to make up for budgetary shortages for unexpected expenditure, there are two financial resources, i.e. Supplementary Budget and Reserve Fund. The former has to be approved by the Diet which takes a longer time to pass, but the latter is approved only by the Cabinet that can expedite the disbursement in a short period. Therefore, the fund for the Tsunami response was quickly prepared and disbursed

from the end of December 2004 to January 2005. As the reserve fund is kept in the national budget every year and the Tsunami fund was disbursed nearly at the end of the fiscal year (FY covers April-March), fortunately there were no negative effects on other crises.

The fund for rehabilitation and reconstruction were disbursed from the ODA budget, but it is also reported that there were no effects on the budgetary allocation for reconstruction and development assistance at present or in the future.

3-9 Predictability and Flexibility

In the Asia-Africa Conference on 24th April 2005, Prime Minister Koizumi announced that Japan would provide more than US\$ 2.5 billion over the next five years in assistance for disaster risk prevention and mitigation as well as reconstruction measures in Asia, Africa and other regions. The details on funding flexibility are explained in section 3-2-1 above.

3-10 Appeals and Action Plan

As is the case with section 3-7 above, the GOJ has pledged US\$250million in response to the Flash appeal by UN and the IFRC/ICRC on 11th January 2005 at the Ministerial Meeting on Humanitarian Assistance to Tsunami Affected Countries, in Geneva, and disbursed it on 21st January. Thus, Japan has actively supported the process of the formulation of common humanitarian action plan. The amount contributed accounts for 23.5% of the total Flash Appeal, and one-third of the total offer made by all donors on 21st January in Geneva. And this was the unprecedented amount for humanitarian assistance that Japan has ever contributed.

3-11 Response Capacity

As already explained in 3-5 above, the GOJ has also put great efforts to make contingency planning and to strengthen the response capacities for disaster risk reduction in its self-implementation. This includes the JDR system which secures a number of professionals trained in the context of international standards such as Sphere and INSARAG, and the stock pile of emergency supplies in the warehouses in Singapore, London and Miami to deliver them to the disaster-affected areas at any time, and training, seminars, projects and studies in technical cooperation associated with disaster-risk reduction.

Furthermore, the GOJ supported the UN for organising and establishing the response capacity and contingency planning for disaster-risk reduction. Such examples include the support for UNESCO through ISDR for 'Tsunami Early Warning System for the Indian Ocean Countries' with US\$1 million, and the UN World Conference on Disaster Reduction' held at Kobe, Japan in January, 2005. At this occasion, Japan proposed: 1) launching 'Initiative for Disaster Reduction through ODA' and further support for capacity building on disaster reduction in developing countries; 2) strengthening ties with neighbouring countries in the area of disaster-reduction cooperation through the Asian Disaster Reduction Centre in Kobe; and 3) the creation of a UN database of worldwide disaster recovery case studies. Box 3-4 shows the summary of the initiative.

**Box3-4 Initiative for Disaster Reduction through ODA
- Building a Disaster Resilient Society -**

1. Basic Principles

- Raising the priority attached to disaster reduction
- Perspectives of human security and gender
- Importance of assistance regarding software
- Mobilisation of Japan's experience, expertise and technology
- Mobilisation and dissemination of locally available and suitable technology
- Promoting partnerships with various stakeholders

2. Cooperation corresponding to each Phase of Disaster

- Integration of disaster prevention into development process
- Rapid and appropriate assistance in the immediate aftermath of disaster
- Cooperation that extend from reconstruction to sustainable development

3. Concrete Measures

- Institution building
- Human resource development
- Development of economic and social infrastructure
- Assistance for reconstruction of livelihoods

Source: MOFA

3-12 Civilian Humanitarian Action

This section explains the relationship between civilians and the SDF in the activities for disaster relief, and how the civilian organizations were prioritized to mobilize the operations, whereas the SDF was introduced and operated in line with the international guiding principles, and how the GOJ supported for MSCA/OSLO Guidelines by ISAC Principles.

The GOJ first tried to affirm the primary position of civilian organizations, and accordingly, balanced the inputs of civilian organizations and the SDF based upon urgency and the scale of disaster, following the MCDA/OSLO guidelines developed by the IASC. The process and relations of the civilian organizations and the SDF is explained in (1) below, and then examined how the operations of the SDF are verified according to the MCDA/OSLO Guidelines in (2).

(1) Process of Operations and Relations between Civil Organizations and SDF

Immediately after the disaster occurred, the GOJ dispatched the JDR in cooperation with the National Police Agency, the Fire Department, and the Japan Coastal Guard. At the very initial emergency stage, the JDR with 13 teams consisting of 246 experts in Indonesia, Maldives, Sri Lanka and Thailand, and the NGOs supported/funded by the Japan Platform (JPF) played crucial roles in providing essential goods, health and sanitation and rescue services. However, since the magnitude of calamity and damage were too enormous to be handled only by civilian or humanitarian organisations, the SDF were deployed based upon the requests from the governments of Tsunami-affected countries for the purpose of direct assistance in rescue/search activities in Thailand and medical service, epidemic control and delivery of emergency supplies in Indonesia (See Table 3-1). As the humanitarian operation involving the SDF retained its civilian nature and character (focusing only on rescue and medical services), it can be said that the SDF were dispatched under the JDR Law (see Footnote 12) as the last resort where there is no

comparable civilian alternative and the use of the SDF was necessary to meet critical humanitarian needs.

(2) Conformity with MCDA/OSLO Guidelines.

In line with the MCDA/OSLO Guidelines, the operation of the SDF was forwarded on the ground of the following principles (The description in bold face is the basic elements of MDCA);

- **The SDF assets were used only in humanitarian operating environment** to save lives and to alleviate the suffering of disaster-affected population **in consultation with the governments of Thailand and Indonesia, which complies with the OSLO guidelines for natural disaster (No24, 67,70 and 76)** ¹⁷.
- The SDF assets were requested and used only as the **last resort measure**, because of the scale of disaster.
- A humanitarian operation using **SDF assets retained civilian nature**, i.e. helicopter, rescue equipments and medical devices and supplies, and the **SDF operated unarmed**.
- Humanitarian assistance was **first planned and implemented under civilian organizations, i.e. the MOFA, JICA/JDR and NGOs**.
- In any **use of SDF assets, the timeframe was set no more than three months**, and the **volume and types of inputs were clearly planned and limited** to rescue and medical equipments and supplies.
- The **SDF respected and followed the Code of Conduct and humanitarian principles** stipulated by the UN¹⁸.

3-13 Evaluation

Monitoring and Evaluation (M&E) are planned under each ODA scheme and by each agency involved, but the MOFA and JICA are planning to conduct a comprehensive evaluation for Tsunami response from the year 2006 to 2008. Also, the GOJ participates in the evaluation process of TEC as part of donor harmonisation, and actively contributes its performance results of the Tsunami response to share common understandings.

At the moment, the implementation is still at the half-way point, so it is too early to conduct an overall evaluation. Each agency has its own M&E system, and the process and results of monitoring are open to the public through reports and its website. So far, the M&E and accountability system are arranged as shown in Table 3-7. The cost for monitoring and evaluation is included in the project budget, and its proportion differs from scheme to scheme.

¹⁷ While MCDA (Military and Civil Defence and Assets) guidelines issued in 2003 emphasises more on complex emergency, Oslo guidelines of 1994 covers disasters relief. Therefore, the relationship between civilian and military entities in this issue is analysed in the context of Oslo guidelines.

¹⁸ SDF has also started to get the training and seminar in accordance with Sphere and INSARAG recently.

Table 3-7 Monitoring and Evaluation System (Tentative)

Scheme or Actor	Monitoring & Evaluation and Accountability System
Non-project Grant Aid	The fund disbursed is monitored by the Embassies of Japan and the GOJ. The spending of fund is monitored by JICS, the procurement agent of recipient government, which submits quarterly reports (mainly procurement and accounting report) to the Embassy of Japan in each country.
Emergency Grant Aid	The recipient government in each country is obliged to submit accounting report to the Embassy of Japan.
Emergency Supplies	Embassy and JICA staff jointly monitored until all the supplies were securely delivered and stored. (from airplane to storage in the affected areas).
JDR	Evaluation is made based upon the criteria of Speed, Target/Coverage, Operation necessary for emergency and relief efforts. Evaluation will be conducted after 6 months of dispatch, as JDR tries to see longer-term impact on the life of affected people.
JICA Technical Cooperation	M&E system of JICA which covers ex-ante, mid-term, terminal and ex-post evaluation is also applied in Tsunami response evaluation, JICA is planning to conduct the overall evaluation for projects/programmes for Tsunami response at the organisational level. For the JICA Training and Seminar, evaluation is conducted to measure the participants' achievement upon its termination.
JBIC ODA Loans	The ex-ante evaluation is undertaken to ensure full accountability and transparency. Monitoring report is submitted on quarterly basis. Upon project termination, the project completion report is required. The ex-post evaluation is conducted 2 years after termination.
UN Agencies	Each Agency regularly submits the monitoring reports on their activities and spending to the Humanitarian Assistance Division at MOFA.

Source: MOFA, JICA, JBIC

3-14 Financial Transparency and Accountability

As explained above, each agency has its own M&E system that includes financial reporting. For example, the Non-project Grant Aid, involving large amount of funds, are monitored by the JICS, the procurement agent, together with the Japanese Embassies in the affected countries. Such monitoring involves financial management such as contracting, purchasing and spending of any goods and services. Making the best use of the procurement agent can lessen the transactional burden of the governments in Tsunami-affected countries, and secure high accountability and transparency. The JICS is required to submit quarterly reports. Besides this, any change of transaction in the balance sheet is reported to the GOJ through the Embassies accordingly. JBIC also adopts transparent disbursement procedure such as reimbursement.

In the framework of the international financial reporting system, the GOJ reports the official flows of humanitarian and reconstruction assistance for the Tsunami Response to DAC/OECD, and FTS as required.

4. Decision Making Criteria

As briefly explained in 3-1-1, the following are the determinant factors that Japan committed itself to humanitarian assistance:

- ✓ Past extensive experience and performance of Japan's ODA in the Asian region.

- ✓ International responsibility for responding to the unprecedented scale of disaster.
- ✓ Mutual help in view of humanitarian spirit as Asian partners.
- ✓ Tackling common themes of natural disasters that Japan and Asian countries can share.
- ✓ The capacities of financial, human, technical resources that Japan can contribute.

5. Response Strategy

Specific strategies focused on timeliness in providing humanitarian assistance. The GOJ first prioritised prompt disbursements of funds to Tsunami-affected countries and international organizations, and help with relief efforts and provision of basic needs by the JDR with emergency supplies to reach the victims in the affected areas within 48 hours. At the same time, strategies to secure ODA budget for seamless assistance at earlier stages were of crucial importance in identifying and supporting the rehabilitation, reconstruction and long-term development efforts. These strategies resulted from the experiences and lessons learnt derived from the past assistance of disasters such as in Bam, Iran which made it possible to facilitate prompt operation, smooth transitioning from emergency to its rehabilitation and reconstruction, and active coordination among relevant agencies.

The identification and analysis of conflict situations varied from country to country. In Sri Lanka, JICA and JBIC have already implemented projects/programs in the North and East regions, where they could obtain detailed information and analyze the peace-building process. Particularly, JICA has a branch office at Vavuniya in the North, where there is a staff member who has been getting up-to-date information about the situations and identifying the risks embedded in the implementation of humanitarian assistance and projects. In Indonesia, no aid agency was allowed to enter the province of Aceh before the Tsunami. Two staff members from the JDR office in Tokyo immediately flew to Jakarta and Medan to collect information and identify the status of the conflict with special assistance from the Embassy. This information-gathering capacity for conflict analysis expedited the JDR to identify sites to start operating quickly. At the same time, the government of Indonesia has played a leading role in deciding the acceptance of aid agencies and the sites as well as activities to implement. Therefore, based upon the information disseminated by the government, similar to other donor agencies, Japan also followed their guidance and planning in the end.

6. Human Resources

Needless to say, the disaster pulled out many staff members from local offices as well as the headquarters in Tokyo to respond to immediate needs. The JDR accompanied coordinators from JICA in Tokyo to give full support for daily operation. Everybody worked harder and longer in the extraordinary situations. The staff from the Embassies, JICA and JBIC local offices were collectively mobilized to facilitate the coordination, liaison, and to support JDR and SDF in the operation of disaster relief. JOCVs working in the existing projects/program also joined to

support the JDR as interpreters. JICA Headquarters supported the Maldives concurrently by sending two temporary supporting staff members (one served for project formulation study) as needed. For further staff support, the local offices in the same region helped each other. For example, JICA offices in Cambodia and Laos sent their staff to Thailand and Indonesia in order to make up for the shortage of personnel there.

7. Conclusions

This paper examines the pattern and characteristics of funding flow for humanitarian assistance for the Tsunami disaster by Japan, and explores how the process of funding mechanism and practice were made against timeliness, appropriateness, coherence, connectedness, efficiency and effectiveness. In short, Japan's humanitarian and reconstruction assistance for the Tsunami has been significant with respect to the size of overall contribution as well as in the promptness and appropriateness of actions. This can be seen as a reflection of Japan's long-term commitment and the history of large-scale development cooperation in Asia. Conclusions based upon the study questions in 1-3 is summarized below.

- (1) The total volume of funding for humanitarian assistance disbursed was approximately US\$500 million. Half of them are contributed to the international organisations in response to the Flash Appeal, and another half was for bilateral Grant Aid, the JDR, emergency supplies, and NGO support. This fund allocation for the Tsunami response is the biggest contribution for disaster relief that Japan has ever made in the past. Among eight countries funded, Indonesia has received nearly half of the total amount for humanitarian assistance due to its scale of disaster. As for the implementing actors, the international organizations were provided more than half of the fund followed by the affected governments. In the sector allocations, if 'unspecified' is excluded, the major sectors for humanitarian assistance were health, shelter and non-food items, and logistics. For rehabilitation and reconstruction assistance, total fund committed amounted to US\$ 103,777,018. Out of this, Sri Lanka has got a large portion of fund, and ODA loan stands for the biggest assistance in the ODA scheme.
- (2) The funds for humanitarian assistance were allocated and disbursed in response to acute and immediate needs, so there was timeliness in providing emergency relief. The Emergency Grant Aid and Non-project Grant Aid were pledged on 28th December 2004, and accordingly disbursed on 6th January for emergency Grant Aid and 19th January 2005 for Non-project Grant Aid. The contribution for the international organizations was pledged on 11th January, then disbursed on 21st January 2005. As such, the GOJ achieved the target of HRR, which recommends the time span of 6 weeks between pledge and disbursement.
- (3) The GOJ fully supported and contributed responsibly on the basis of burden-sharing to the UN and the international community by prompt pledge and disbursement in response to the Flash Appeal. Its contribution accounts for US\$250 million which is more than half of the

total amount of its humanitarian assistance, nearly a quarter of the total Flash Appeal and one-third of the total offer made by all donors at the Ministerial Meeting in Geneva in January, 2005. Also in the context of promotion of coordination, Japan has contributed OCHA, a coordinating body for humanitarian assistance, with US\$ 16 million, 30% of its appeal. This is the unprecedented amount of humanitarian assistance that Japan has ever made.

- (4) Needs were promptly and efficiently identified at a very early stage with the collective actions by staff members from the Embassies, JICA and JBIC. Japan could assess up-to-date needs in the field, taking advantage of its presence and long-term performance, and the networks it has developed in the Tsunami-affected countries. This made it possible to conduct prompt and appropriate needs-based activities. Needs criteria were set in a way that local (victims) needs are met, i.e. responding to immediate needs, covering all sectors, understanding life threatening factors and human dignity, focusing on health and livelihood recovery, involving all stakeholders with gender and social considerations, examining local capacities, and figuring out what Japan can do or cannot do. Needs assessments in Sri Lanka and Indonesia were conducted in such a manner and criteria with efforts to promote local participation.
- (5) For the capacity development for disaster risk reduction, Japan put its efforts into the technical cooperation for mitigation of natural disasters, and continued the active support by announcing the 'Initiative for Disaster Reduction through ODA'. Such an example includes the establishment of "Tsunami Early Warning System for the Indian Ocean Countries" and relevant trainings for disaster risk reduction. Also it is noteworthy that Japan plans to provide more than US\$ 2.5 billion over the next five years in assistance for disaster risk prevention and mitigation as well as reconstruction measures in Asia, Africa and other regions. Furthermore, the total expenditure for disaster risk reduction and reconstruction in FY 2004 amounted to US\$696 million, which is 7.8% of the net ODA volume, and more than double that of FY2003. Therefore, there is a tendency that the funds for disaster risk reduction in ODA budget will be on the rise.

As for linking humanitarian assistance and recovery, Japan has placed great importance on the seamless assistance by linking emergency assistance with rehabilitation and reconstruction using multiple schemes based upon a mid to long-term development perspectives. Quite a large sum of fund for reconstruction has been committed at the earlier stage of Tsunami disaster amounting to US\$103 million in 2005. With this fund, JICA and JBIC are supporting the projects and programs mainly for livelihood recovery, and social and economic infrastructure. Under such an emergent and acute situation, donor coordination was also accelerated and promoted among JBIC, the World Bank and the ADB to facilitate the needs assessment and realize mid and long-term development efforts.

8. Lessons Learnt

Importance of Political Commitment

The strong political commitment enabled Japan to fulfil the prompt funding for emergency assistance against the Tsunami, and to disburse the biggest contribution that Japan has ever made in the past. Particularly, the reserve fund was prepared in a short period to start the assistance quickly by the GOJ.

The political leadership, under which the MOFA, JICA and JBIC operated collectively, made it possible to start immediate assistance, and consequently, led to the successful implementation of a seamless assistance exploiting different characteristics of each agency. In this experience, the political commitment has become a driving force to quickly prepare and disburse the large amount of fund and to promote coordination among relevant agencies.

Effectiveness of Coordination

To respond to disasters effectively and efficiently, especially when many aid agencies are coming into the same sites at the same time, it is important for them to coordinate with each other, and to strengthen and enhance the role of a coordinating body such as UN. In the experience of the Tsunami response, the joint needs assessment coordinated by JBIC, the World Bank and ADB, and also by JICA with USAID, GTZ and other international organizations, as well as participation in the UN coordination meeting during the operation period, were of great use to avoid duplication and overlaps, and the subsequent implementation of assistance. The network established and coordinated between the SDF and IOM was also effective for prompt delivery of emergency supplies.

Importance of Local Network Building

It is highly important to build networks and contacts in order to identify the changing needs in the disaster areas. As seen in the case of Indonesia, because of the local network that Japan has long established through its development cooperation, the ex-trainees strongly supported the process of needs assessment. Also, the development experts who were already working in the affected countries have contributed to the appropriate needs identification at the local level by making use of their professional knowledge in response to requests from the agencies they belong to.

Furthermore, needs-based funding has been conducted in a collaborative manner by the staff members of Embassy, JICA and JBIC working in the disaster-affected countries. Also, the information gathered through direct interaction and dialogues with various stakeholders and victims were incorporated to reflect their views during project formulation.

On top of the stage for needs identification, the Embassies, local offices of JICA and JBIC have had close contact and coordination with the relevant government agencies of the affected

countries at the stage of implementation for assistance.

Importance of Ownership

In responding to emergent needs, it is important to respect the ownership of the government as exemplified by the Emergency Grant Aid and Non-project Grant Aid that allows the government to decide how to spend and purchase goods and services for disaster relief and rehabilitation and reconstruction.

Importance of Prevention, Preparedness and Capacity Building

It is crucial to implement the development programs that include components for disaster risk reduction, as in the case of the Seawall construction in Maldives which mitigated the effects of the Tsunami disaster. This is emphasised in the 'Initiative for Disaster Reduction through ODA'. Capacity development is an effective strategy for disaster risk reduction assistance, and in this regard, more funds for capacity development should be allocated for preparedness and mitigation. This includes capacity building for disaster-risk reduction ranging from the central government to local governments in collaboration with community level entities, technologies to prevent disasters by forecasting abnormal weather and earthquake, and the establishment of disaster reduction system in Asian region.

Seamless Assistance

As emphasised in the 'Initiative for Disaster Reduction through ODA', in order to achieve seamless transition from humanitarian assistance to rehabilitation and reconstruction, it is effective that needs assessment for rehabilitation and reconstruction assistance is conducted from the stage of humanitarian assistance.

Importance of Lessons Learnt from Evaluation

The prompt assistance for Tsunami response by collective action and coordination by relevant agencies while utilising various schemes has resulted from the vast experiences of disaster relief, rehabilitation and reconstruction. It is expected that lessons learnt from the Tsunami response will lead to efficient and effective disaster relief in the future.

Annex I Summary of ODA Schemes

Scheme	Summary
Non-project Grant Aid (MOFA)	Non-project grant aid is financial assistance for countries which need support to conduct structural adjustment and poverty reduction. This Grant also encompasses support for the countries which suffer from economic difficulties because of other problem such as disaster. The Grant itself does not specify any sector or project, and the governments of recipient countries can decide the goods and services to purchase. Non-project Grant Aid for Tsunami response was disbursed as part of humanitarian aid, but it will be spent for various purposes including the emergency, rehabilitation and reconstruction.
Emergency Grant Aid (MOFA)	Emergency Grant Aid for disaster relief is humanitarian financial aid to assist victims of natural disasters, refugees, and IDPs. It supports disaster relief and emergency fix in a short term. When a disaster occurs, the GOJ immediately assesses the scale of disaster and the need for aid based on the information from the Embassy of Japan, and requests from the government of disaster-affected country or from international organisations that are carrying out activities in the field, such as the UN Flash Appeal. A decision is then made on what and how much should be given. Since a prompt action is required in such an emergency situation, the procedure and transaction of this financial aid is extremely simplified.
Emergency Supplies (JICA/JDR)	Emergency supplies are composed of 8 items, i.e. tents, blankets, plastic sheets, sleeping mats, electric generators, plastic tanks of water purifier and water tanks. These are stored in the warehouses in Singapore, London and Miami.
Japan Disaster Relief Team (JDR)	JDR provides disaster relief operations and emergency supplies when major disasters occur, mainly in developing countries. The JDR consists of rescue teams to find victims and save lives, medical teams for first aid and treatment, and expert teams to give advice to the officials of affected-countries regarding disaster response and reconstruction. The JDR is dispatched in a short time (rescue team within 24 hours, and medical team within 48 hours) upon requests from the disaster-affected country. The JDR operates under the JDR Law. In 1992, the JDR Law was partially amended in order to send teams from the SDF, based upon the consultation between the MOFA and the Defence Agency, when the large scale emergency assistance is required.
Technical Cooperation Project (JICA)	Technical cooperation projects are one of JICA's main components of development cooperation. Focusing on the result-oriented approach, Japan and a developing country build up their knowledge, experience, and skills to resolve specific issues within a certain timeframe. This type of project includes the dispatch of experts from Japan to provide technical support, the invitation of personnel from developing countries for training, or the provision of necessary equipment. In order to meet the various needs of the developing countries, this scheme attempts to formulate the order-made cooperation plan and implements with the partners of developing countries.
Development Studies (JICA)	As part of technical cooperation, development studies aim at assisting to make social or economic development plans at the country or regional levels. It makes the master plan which can be the blueprint of mid-to long term national or regional development plan, or conducts feasibility studies to identify the possibility, validity and investment impacts by examining the country's technical, economic and environmental aspects towards the project implementation.
JOCV (JICA)	The Japan Overseas Cooperation Volunteer (JOCV) program recruits young trained people, (ages between 20 and 39) and dispatch them as volunteers to developing countries to work with local people and transfer their skills and technology at the grassroots level. Most volunteers are recruited from the general public. Since its foundation in 1965, approximately 25,000 JOCV were sent to about 70 countries in Asia, Africa and Latin America. Currently, 2,500 volunteers are working around the world.

Scheme	Summary
Acceptance of Trainees (JICA)	This program aims to transfer knowledge and technology for administrators, technicians and researchers in developing countries. This is the most crucial program for human development promoted by JICA. The program has grown both in scale and course topics since its foundation in 1954. The current training topics include global issues, such as environment, HIV/AIDS, democratisation and transitional market economies, in addition to more conventional topics such as administration, public works, agriculture, forestry and fisheries, education, health and medical care, mining, and industry. In the fiscal year 2003, 8,066 trainees from 149 countries and regions took part in this program in Japan, and 6,531 participated in the program held in the developing countries. So far, approximately 275,000 participants have been trained by JICA.
ODA Loans (JBIC)	As part of economic cooperation, the ODA loans support developing countries to finance their development efforts with low-interest, long-term and concessional funds on a yen basis under a mutual agreement between governments. Historically, it was started in 1958 mainly to support the developing countries in Asia. Currently, JBIC provide loans to 96 countries/regions. The major component is loans for economic and social infrastructures, but commodity loans are also included. Besides this, in accordance with the ODA Charter and the Millennium Development Goals (MDGs), ODA loans actively provide support in the areas of poverty reduction, peace building and global issues.

Annex II List of Core Members of Japan Managing Committee and Evaluation Team

Core Members of Japan Managing Committee

Japan Ministry of Foreign Affairs

Aid Planning Division, Economic Cooperation Bureau

- Mr. Kanji Kitazawa, Senior Coordinator
- Mr. Yasuhisa Suzuki, Deputy Director
- Ms. Naoko Ueda, Deputy Director

Japan International Cooperation Agency

Office of Evaluation

- Ms. Satoko Miwa, Director
- Mr. Kazuaki Sato, Deputy Director
- Mr. Akihisa Tanaka
- Ms. Yoko Kaburagi

Japan Bank for International Cooperation

Development Assistance Operations Evaluation Office

- Mr Asahiko Karashima, Deputy Director

Development Assistance Strategy Department

- Mr. Hiromichi Muraoka, Deputy Director
- Mr. Manabu Sawa, Deputy Director

Evaluation Team

Global Link Management, Inc.

- Ms. Tomoko Honda, Researcher, Social Development Department (ODA Funding)
- Ms. Yuki Todoroki, Researcher, Social Development Department (NGO Funding)

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- Special ASEAN Leaders' Meeting
(<http://www.mofa.go.jp/region/asia-paci/asean/pmv0501/index.html>)
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(<http://www.jbic.go.jp/autocontents/english/news/2005/000047/index2.htm>)
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