

Third Party Evaluation Report 2014
Ministry of Foreign Affairs of Japan

Evaluation of Humanitarian Assistance in Case of Emergency

February 2015

INGÉROSEC Corporation

Preface

This report under the title of Evaluation of Humanitarian Assistance in Case of Emergency was undertaken by INGÉROSEC Corporation, entrusted by the Ministry of Foreign Affairs of Japan (MOFA) in fiscal 2014.

Since its commencement in 1954, Japan's Official Development Assistance (ODA) has contributed to the development of partner countries and to find solutions to international issues which vary with the times. Recently, more effective and efficient implementation of ODA has been required not only in Japan but also in the international community. MOFA has been conducting ODA evaluations every year mainly at the policy level with two main objectives: to improve the management of ODA; and to ensure its accountability. The evaluations are conducted by third parties to enhance their transparency and objectivity.

This evaluation study was conducted with the objectives of reviewing Japan's overall policies on humanitarian assistance in case of emergency, drawing on lessons from this review to make recommendations for reference in policy planning on future assistance by the Government of Japan and its effective and efficient implementation, and ensuring accountability by making the evaluation results widely available to the general public.

Mitsuru Yamada, Professor at Waseda University, served as a chief evaluator to supervise the entire evaluation process, and Megumi Kuwana, Associate Professor at Ritsumeikan University, served as an advisor to share her expertise on humanitarian Assistance. They have made enormous contributions from the beginning of this study to the completion of the report. In addition, in the course of this study both in Japan and in Philippines, we have benefited from the cooperation of MOFA, the Japan International Cooperation Agency (JICA), and the local ODA Task Force, as well as government agencies in Philippines, donors, and non-governmental organizations (NGOs). We would like to take this opportunity to express our sincere gratitude to all who were involved in this study.

Finally, the Evaluation Team wishes to note that the opinions expressed in this report do not necessarily reflect the views or positions of the Government of Japan.

February 2015

INGÉROSEC Corporation

Note: This English version of the Evaluation Report is a summary of the Japanese Evaluation Report of Humanitarian Assistance in Case of Emergency.

Evaluation of Humanitarian Assistance in Case of Emergency (Brief Summary)

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Period of the Evaluation Study

July 2014 – February 2015

Field Survey Country

Republic of the Philippines



Interview with Office of Civil Defense,
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Background, Objectives, and Scope of the Evaluation

In the event of overseas natural disasters, Japan provides international emergency assistance for large scale disasters, where the affected country cannot provide assistance to the disaster victims alone, by dispatching the Japan Disaster Relief Team (personnel assistance), providing Emergency Relief Goods (material assistance), and Emergency Grant Aid (financial assistance). In this way, Japan has accumulated much experience over time. However, the scope of the evaluation on the humanitarian assistance implemented to date has been limited to the assistance by the Japan Disaster Relief Team, excluding the assistance by the Self-Defense Force Unit.

For this evaluation, a comprehensive evaluation was carried out on personnel, material, and financial assistance provided by Japan in emergency situations. Also, the international emergency assistance activities provided for the 2013 Typhoon Yolanda disaster in the Philippines were selected as a case study.

The objectives of this evaluation were to provide recommendations and derive lessons learned that can contribute to the formulation and implementation of future international emergency assistance measures, focusing on the diversification of the cooperation framework for humanitarian assistance in recent years, taking into consideration women and children in vulnerable situations, and discussions on the various issues concerning the smooth transition from the emergency phase to the recovery and restoration phases. Also, it was an objective to fulfill our responsibility to explain the evaluation results to the Japanese people, and increase understanding of Japan's stand point and to contribute to strengthening future bilateral and multi-lateral cooperation by providing feedback of the evaluation results to other countries involved in humanitarian assistance.

Brief Summary of the Evaluation Results

It was evaluated that, from development viewpoints, the Relevance of the Policies is "high," the Effectiveness of the Results is "large," and the Appropriateness of the Processes is "appropriate to a certain extent." Also, from diplomatic viewpoints, the diplomatic importance is large and contributes to producing a strong feeling of affinity towards Japan in countries affected by disasters.

• **Development Viewpoints**

(1) Relevance of Policies

In the case of Japan's humanitarian assistance in emergency situations, there is consistency between the needs of countries, regions, and people affected by disasters and Japan's high-level policies. There is an assurance of coordination with the assistance of other donors, and Japan's comparative advantages are utilized. Also, the amount of humanitarian assistance contributed by the Government of Japan has increased corresponding to the increasing needs for humanitarian assistance. On the other hand, there were issues where it was found that some initiatives in response to trends in humanitarian assistance in the international community were lagging behind.

(2) Effectiveness of Results

Japan's international emergency assistance has a high level, both in terms of quality and speed. In terms of the total amount contributed over the past 10 years, Japan's

humanitarian assistance ranks 4th in the world. The countries receiving the assistance are geopolitically diverse. The assistance has been provided in various fields. For these reasons, the assistance has produced outcomes that have the desired effect for the people requiring the assistance. Also, the five initiatives in the current concrete policy of response under “Humanitarian Aid Policy of Japan” are being sufficiently implemented in the cases of “(1) Assistance to refugees and internally displaced persons (IDPs)” and “(3) Response to natural disasters,” and initiatives are in steady progress and the targets are being achieved in the cases of “(2) Smooth Transition,” “(4) Security of humanitarian aid workers,” and “(5) Civil-military coordination.” The steady implementation of these initiatives has contributed to achievement of the ultimate objective of the Humanitarian Aid Policy of Japan. Also, an appropriate level of the required information is being provided regarding Japan’s humanitarian assistance activities to those persons and organizations actively seeking it.

(3) Appropriateness of Processes

The Humanitarian Assistance Policy of Japan was formulated by a process that was generally appropriate. Also, the system for implementation of the emergency humanitarian assistance is developed and can respond rapidly in accordance with the circumstances from the time of the request until implementation of the assistance. In addition, information on trends of assistance by other actors is collected and coordinated, and the continuous identification of the needs as well as monitoring and evaluation are carried out and effectively managed. Furthermore, initiatives are taken on consideration for the vulnerable and for a smooth transition that will lead to restoration and recovery assistance. Moreover, assistance has been provided through the international organizations and NGOs from the emergency period to the recovery and restoration periods.

● Diplomatic Viewpoints

The implementation of emergency humanitarian assistance itself, which is a measure to realize the concept of “Human Security,” has a diplomatic importance. Dealing with a disaster has great diplomatic importance as it is often raised as a main topic discussed in bilateral and multilateral dialogues and cooperation. Also, Japan’s emergency assistance contributes to producing a feeling of affinity towards Japan in the country affected by the disaster. This is expected to contribute to extending an awareness of Japan’s contributions to the international community, to strengthening peace and stability in the regions affected by disasters, and to reinforcing other countries’ trust in Japan.

Recommendations

(1) Strengthening of the initial assessment function in the event of natural disasters

It is important to enhance the function of determining the circumstances by means of an initial assessment and to formulate the unfolding of activities in the phase of emergency response.

(2) Conducting Rapid Review

It is proposed that in the emergency response phase, a Rapid Review be implemented based on the plan of operations designed through the initial assessment which could be used as the evaluation criteria.

(3) Contribution to common services supporting humanitarian assistance activities

It is proposed that indirect assistance be enhanced as an initiative to increase the comparative advantage of Japan’s humanitarian assistance activities.

(4) Humanitarian assistance to respond to the disaster cycle

It is important to produce a strategy and mechanism for assistance which relates disaster risk reduction, development, emergency, recovery, and restoration responses as a whole disaster cycle.

(5) Promoting cooperation with the private sector

In all the processes of humanitarian assistance, it is important to create a system for strengthening links with government actors and NGOs, and, at the same time, to establish a system of engaging with actors in the private sector on a routine basis.

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Brief Summary

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Chapter 1 Evaluation Policies

1-1 Objectives of the Evaluation

The Ministry of Foreign Affairs of Japan (MOFA) has been conducting Official Development Assistance (ODA) evaluations in order to clarify the outcomes of past activities and to bring the lessons learned and recommendations for formulation and implementation of ODA plans in the future. This evaluation targets priority issues/areas of Japan's ODA Charter and aims to improve the management of ODA as well as ensure its accountability.

Japan has been implementing humanitarian assistance as part of its efforts to ensure Human Security, and this evaluation plans to evaluate it comprehensively by understanding the big picture of Japan's humanitarian assistance. In doing so, this evaluation was carried out, both from development and diplomatic viewpoints, in accordance with the "ODA Evaluation Guidelines (8th Edition)" by MOFA.

The purpose of this evaluation is to bring the lessons learned and recommendations for policy formulation and implementation of Japan's international emergency response in the future by paying attention to; i) humanitarian assistance frameworks, diversified in recent years; ii) consideration of vulnerable women and children; and iii) various discussions in the international community such as, a seamless transition from emergency response to the recovery and reconstruction phases.

In addition, it also aims to; i) ensure the accountability by publishing the evaluation results to the public, ii) to promote a better understanding of Japan's ODA, and iii) to contribute to the strengthening of bilateral/multilateral cooperation between countries by providing feedback of the evaluation result to partner countries.

1-2 Target of the Evaluation

The target of this evaluation is Japan's international disaster relief and humanitarian assistance which comprise: i) the dispatch of relief teams, ii) the delivery of relief goods and iii) grant aid contribution in emergency situations.

In the case of overseas natural disasters, Japan provides international emergency assistance for large scale disasters where the affected country cannot provide assistance to the disaster victims alone, by dispatching the Japan Disaster Relief Team (personnel assistance), providing Emergency Relief Goods (material assistance), and Emergency Grant Aid (financial assistance), considering the scale of the disaster and the details of the requests from the affected country and international organizations. Japan has accumulated significant experience in various fields of international emergency assistance. However, the evaluation of the humanitarian assistance was limited to the ones conducted in fiscal years 2003 and 2012 which targeted assistance by the Japan Disaster Relief Team and excluded the assistance implemented by Self-Defense Force Unit.

In this evaluation, a comprehensive evaluation was carried out on personnel, material, and financial aid provided by Japan in emergency events, including the dispatch of Self-Defense Force Unit, supply of Emergency Relief Goods, and Emergency Grant Aid.

Also, the international disaster relief activities provided for in the wake of the 2013 Typhoon Yolanda disaster in the Philippines were taken as a case study.

Assistance for disasters caused by conflicts, specifically Emergency Grant Aid and financial cooperation through international organizations and NGOs, was also included in the scope of this evaluation. However, personnel and material cooperation is considered to be separate from “international emergency assistance” as “Japanese cooperation is based on the Act on Cooperation with United Nations Peacekeeping Operations and Other Operations (International Peace Cooperation Law).” Hence, it has been excluded from the scope of this evaluation.

In order to define the scope of the evaluation, Japan's policy objectives for humanitarian assistance were summarized in the following diagram which shows the objective framework for the Humanitarian Aid Policy of Japan.

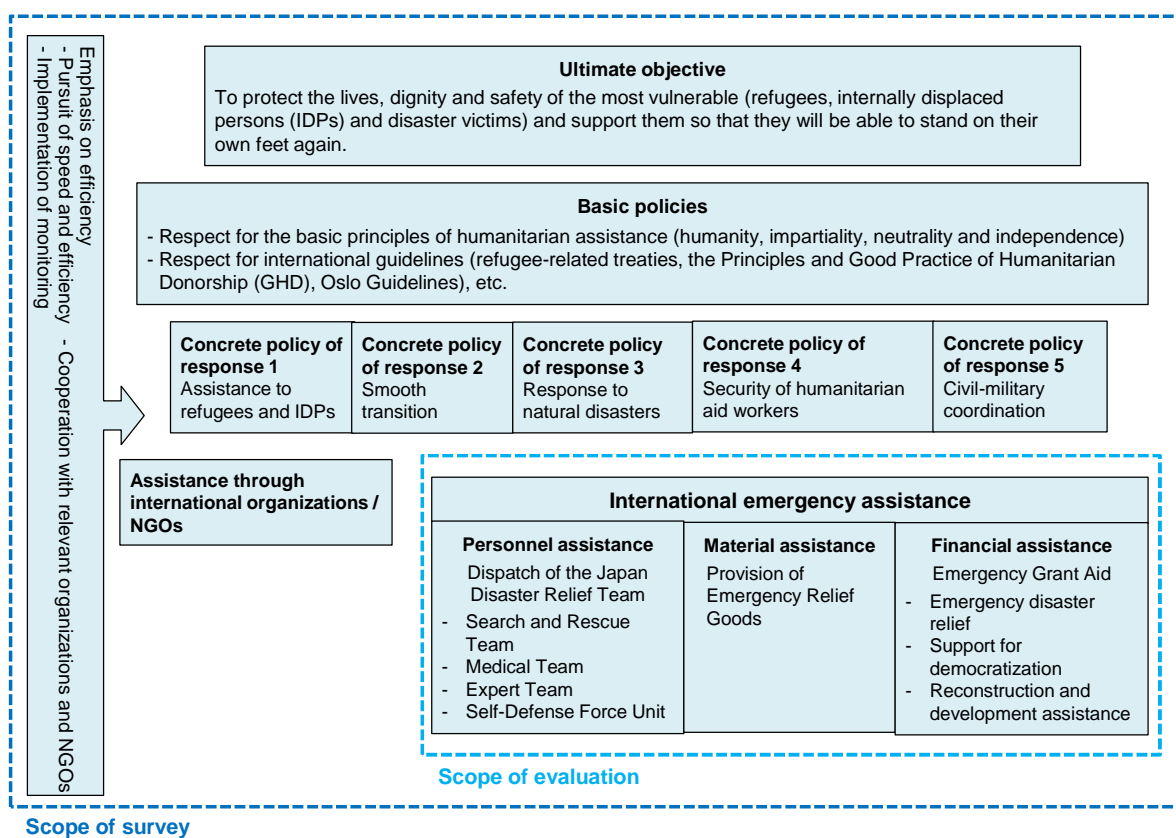


Figure 1 Objective Framework for “Humanitarian Aid Policy of Japan”
 (Source) Prepared by the Evaluation Team based on “Humanitarian Aid Policy of Japan”

The humanitarian assistance needs, in general, are on the increase because natural disasters frequently occur and their scale increases due to the effect of climate change, poverty, the rapid increase in population, and migration to urban areas. Likewise, disasters caused by conflicts are complex and long-term. The environment of humanitarian assistance activities is also rapidly evolving, as the emergence of new actors in humanitarian assistance has diversified frameworks of communication and cooperation such as bilateral, multilateral, private-private and civil-military communication and

cooperation, and the development and spread of mobile phones and social media have diversified and dramatically increased the opportunities for the transmission of information. Considering this background, the objectives of this study were to provide recommendations and to derive lessons learned for the formulation and implementation of policies in the future, by comprehensively evaluating Japan's humanitarian assistance in emergency situations.

1-3 The Framework of Evaluation

In this evaluation, Japan's humanitarian assistance in case of emergency were evaluated comprehensively from development viewpoints on (1) Relevance of Policies, (2) Effectiveness of Results and (3) Appropriateness of Processes in accordance with the "ODA Evaluation Guidelines (8th Edition)" and based on the five evaluation criteria from the Development Assistance Committee of the Organisation for Economic Co-operation and Development (OECD-DAC). The evaluation from diplomatic viewpoints was also carried out from the perspective of the national interest of Japan. The framework for this evaluation is as follows.

Table 1 Framework for Evaluation of
"Humanitarian Assistance in Case of Emergency"

Target of evaluation: Japan's humanitarian assistance in case of emergency (personnel, material, financial international emergency assistance) Evaluation period: 2004 to 2013 (10 years)		
Evaluation viewpoints	Evaluation item	Main evaluation questions and indices
Relevance of Policies	1. Consistency with the needs of countries/regions and victims affected by disasters	Is Japan's humanitarian assistance in case of emergency consistent with the needs of countries/regions affected by disasters and victims of disasters?
	2. Consistency with Japan's high-level policies	Is Japan's humanitarian assistance in case of emergency consistent with Japan's ODA policies such as Japan's ODA Charter and Medium-Term Policy on ODA?
	3. Consistency with trends in humanitarian assistance in the international community	Is Japan's humanitarian assistance in case of emergency consistent with trends in humanitarian assistance in the international community?
	4. Relevance to assistance from other donors and Japan's comparative advantages	<ul style="list-style-type: none"> • Is there relevance to and complementarity with humanitarian assistance of other donors? • Does Japan's international emergency assistance utilize Japan's advantages?
Effectiveness of Results	1. Degree of achievement of objectives	<ul style="list-style-type: none"> • How did Japan's international emergency assistance contribute to the ultimate objectives of humanitarian assistance policies? And how effective was it? - Actual inputs (personnel, material, financial) - Degree of achievement of objectives (outputs and outcomes) • At the macro-level, what effects has Japan's international emergency assistance had?
	2. Degree of recognition of Japan's humanitarian assistance	To what extent was public information on Japan's international emergency assistance activities disseminated and it recognized in the international community, in countries/regions affected by disasters, and within Japan?

Appropriateness of Processes	1. Appropriateness of the formulation process of Japan's humanitarian assistance policies	<ul style="list-style-type: none"> • Was the basis of formulation of the assistance policies appropriate? • In formulation of assistance policies, was there sufficient discussion and exchange of opinions between those concerned at each level between the policy making and the implementation levels? • In formulation of assistance policies, was there communication and coordination with relevant organizations such as international organizations and NGOs?
	2. Appropriateness of the implementation process of Japan's humanitarian assistance	<ul style="list-style-type: none"> • Has the implementation system been developed on site or within Japan (preparation in normal times, etc.), and has it been effectively managed? • Have the processes from the time of the request to the implementation of the assistance been taken rapidly and efficiently? • Have coordination and communication been effectively implemented between Japanese emergency assistance organizations and groups (Government of Japan, Japan Platform, other NGOs, private companies, etc.), other donors (bilateral aid countries, international organizations, etc.), the governments of the countries affected by the disasters, etc.? • Has special consideration been given to the needs specific for those who become vulnerable when conflicts or natural disasters occur (women, children, the elderly, handicapped persons, impoverished persons, etc.)? • Have initiatives been implemented for quick restoration and recovery or continuous assistance? • Were the needs of the recipients continuously determined? • Were appropriate determination, monitoring, evaluation, and feedback processes taken regarding the status of implementation and outcomes of the assistance?
Evaluation from diplomatic viewpoints	1. Diplomatic importance	<ul style="list-style-type: none"> • What is the importance of Japanese cooperation in the humanitarian assistance field? • How does humanitarian assistance contribute to Japan in terms of diplomacy (deepening and strengthening bilateral relations, etc.)?
	2. Diplomatic impact	<ul style="list-style-type: none"> • Has a positive effect been produced in the relationships between Japan and the countries/regions affected by disasters (promotion of friendly diplomatic or economic relations, nurture of affinity toward Japan, stabilization of regions, etc.)? • Has a positive effect been produced in Japan's stand point in the international community by Japan's cooperation in the field of humanitarian assistance (increased understanding of Japan's position, increase in its presence, etc.)?

1-4 Method of Implementation of the Evaluation Survey

This evaluation was carried out during the survey period from July 2014 to February 2015. First, an evaluation implementation plan was formulated, which included the evaluation objectives, the targets, the evaluation method, the work schedule, and the evaluation framework. The final version of the plan was completed based on discussions with the relevant departments within the MOFA and the Japan International Cooperation Agency (JICA).

Then, a document review was carried out on Japan's humanitarian assistance and the trends in the humanitarian assistance of other donors. Also, interviews were held with the relevant departments of the MOFA associated with Japan's emergency humanitarian

assistance, the Secretariat of Japan Disaster Relief Team of JICA, as well as the other ministries and agencies which had assigned their staff members to Japan Disaster Relief Teams, international organizations, NGOs, the Japanese Red Cross Society, local governments, persons implementing assistance, organizations associated with disasters, and area study experts. In addition, a field survey was carried out in the Philippines for 14 days in October 2014. In this field survey, discussions and meetings were held with government organizations of the Philippines, the Embassy of Japan in the Philippines, the JICA Philippines office, international organizations, the Philippine Red Cross Society, local governments of the areas affected by disasters, hospitals associated with the activities of Japan Disaster Relief Team, the local Japanese community and Chamber of Commerce. In addition, a JICA restoration and reconstruction project site was visited.

Comments on the draft report were received from the relevant departments of the MOFA and JICA, and the report was finalized with those comments taken into consideration.

Chapter 2 Outline of Japan's Humanitarian Assistance

The Government of Japan considers humanitarian assistance as not only an emergency response measure, but also as to include rescue operations, recovery and reconstruction assistance, as well as disaster risk reduction. It is part of the efforts to ensure Human Security, a concept which seeks to protect individuals from threats to their survival, livelihood and dignity, and it aims to support their self-reliance and to create a sustainable society through protection and empowerment.

The Government of Japan implements humanitarian assistance in two ways: (1) under the policy framework of "international emergency assistance" and (2) through international organizations and NGOs. Of these, international emergency assistance is implemented as (a) personnel assistance (dispatch of the Japan Disaster Relief Team), (b) material assistance (provision of Emergency Relief Goods), and (c) financial assistance (Emergency Grant Aid). From the above, (a) and (b) apply to natural disasters such as earthquakes, tsunamis, floods and manmade disasters not caused by conflicts, and (c) applies to natural disasters and manmade disasters, including disasters caused by conflicts.

On the other hand, the personnel and material cooperation for disasters caused by conflicts is implemented as "Japanese cooperation based on the International Peace Cooperation Law" in United Nations peace-keeping operations (PKO), and is thus separate from "international emergency assistance."

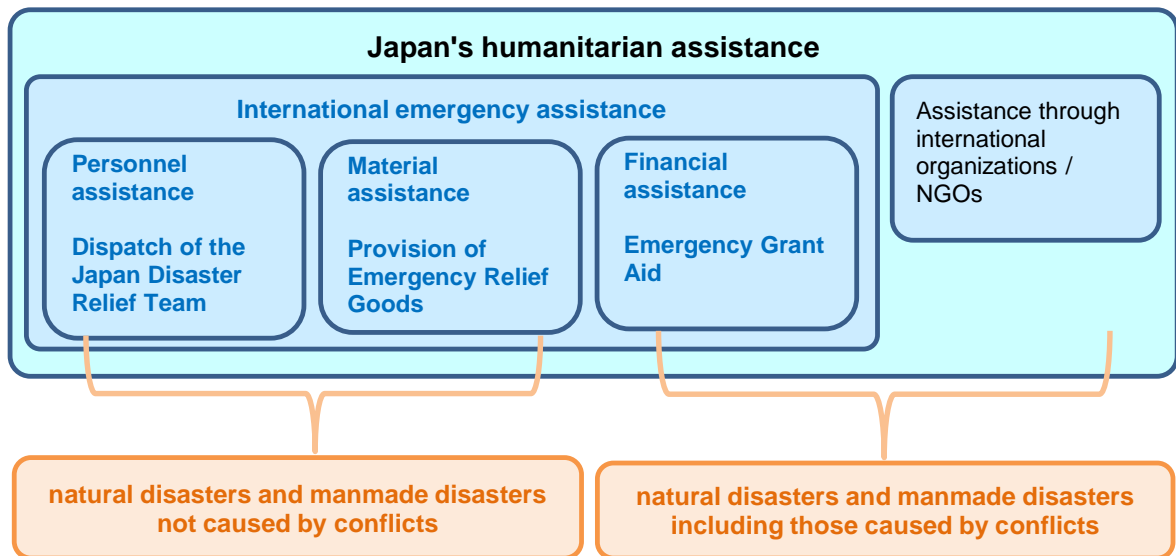


Figure 2 Outline of Japan's Humanitarian Assistance

(Source) Prepared by the Evaluation Team based on the MOFA and JICA websites

Figure 3 shows the trend in Japan's contribution to humanitarian assistance activities. The United Nations Consolidated Appeal amount tends to increase, and likewise Japan's contribution to humanitarian assistance activities has been on the increase since 2007.

Figure 4 shows the trend in contribution by all countries including Japan to humanitarian assistance activities and Japan's contribution. The trend in Japan's contribution shows a major increase, in contrast with the gentle increase of the contribution by all governments.

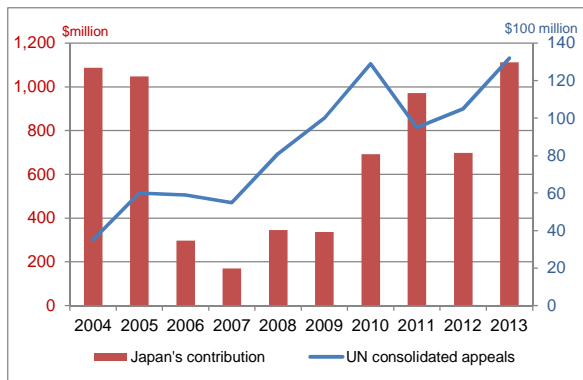


Figure 3 Trend in United Nations Consolidated Appeal Amount and Japan's Contribution to Humanitarian Assistance Activities (2004 to 2013)

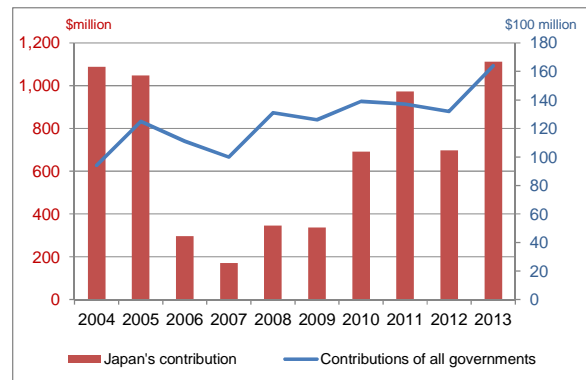


Figure 4 Trend in Total Contribution by Governments to Humanitarian Assistance Activities and Japan's Contribution (2004 to 2013)

(Note) Some of the Japan's contribution and contribution by all governments for 2013 is based on unofficial data.

(Source) Prepared by the Evaluation Team based on the Global Humanitarian Assistance Report 2014

2-1 International Emergency Assistance

(1) Personnel Assistance (dispatch of Japan Disaster Relief Team)

The first international emergency assistance activity through the dispatch of personnel by the Government of Japan was the dispatch of medical teams for support to Cambodian refugees in 1979. Utilizing the experience of this activity, the Japan Medical Team for Disaster Relief (JMTDR) was established in March 1982 to respond to overseas disasters. Thereafter, it was recognized that it was necessary to develop a comprehensive relief system for overseas disaster which dispatches not only medical personnel but also search and rescue personnel and experts in disaster response. As a result, the Law concerning the Dispatch of the Japan Disaster Relief Team (JDR Act) was promulgated and came into force in September 1987. This formed the basis of the present international disaster relief system of Japan that includes the dispatch of search and rescue teams, medical teams and expert teams. In addition, in order to allow larger scale and more self-contained emergency assistance teams to be dispatched, a partial amendment to the Law concerning Dispatch of Japan Disaster Relief Team was adopted by the National Diet in June 1992. This enabled the Self-Defense Force to participate in Japan Disaster Relief Teams.

At present, the Japan Disaster Relief Team consists of (1) search and rescue teams, (2) medical teams, (3) expert teams, and (4) Self-Defense Force Unit.

Over the past 10 years (2004 – 2013), 59 teams were dispatched, with many teams dispatched to the areas affected during the 2004 Sumatra earthquake and Indian Ocean tsunami disaster, the 2011 New Zealand earthquake, and the 2013 Typhoon Yolanda disaster in the Philippines (see Figure 5).

In terms of location, the highest number went to Asia at 80% of the total, followed by Oceania 12%, Central and South America 5%, and Europe 3% (see Figure 6). Asia has a high percentage of natural disasters, the numbers of deaths and persons affected, and the economic loss. This data indicates that Japan Disaster Relief Teams have been dispatched to the areas where humanitarian assistance is needed most.

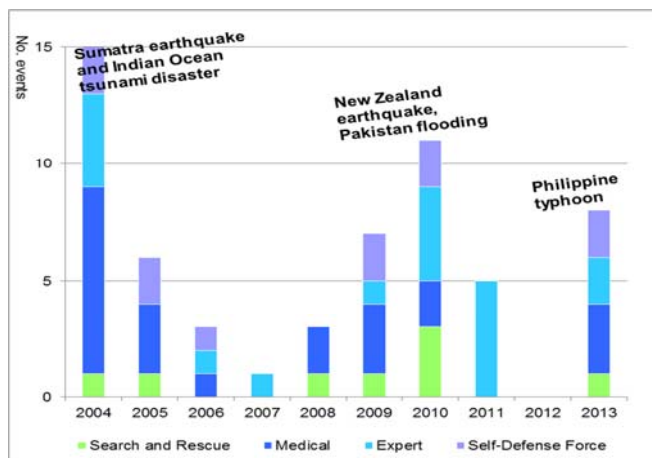


Figure 5 Japan Disaster Relief Teams Dispatched (FY 2004 to FY 2013)

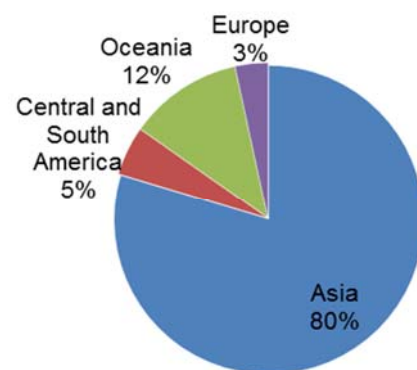


Figure 6 Destination of the Japan Disaster Relief Teams Dispatched (FY 2004 to FY 2013)

(Source) Prepared by the Evaluation Team based on "Japan Disaster Relief Teams Dispatched and Emergency Relief Goods Provided" (according to fiscal year, as of May 19, 2014), the MOFA of Japan

A total of four persons were dispatched a total of three times at the time of this survey to the United Nations Disaster Assessment and Coordination (UNDAC) teams as personnel assistance. While there were 17 Japanese registered for UNDAC team members in the past, there are only three members registered as of January 2015.

Table 2 Japanese Dispatched to UNDAC Teams

Month and year	Disaster (No. persons dispatched)
March 2011	Great East Japan Earthquake (1 person)
May 2013	Drought and water shortage in Marshall Islands (1 person)
November 2013	Philippine Typhoon Yolanda (2 persons)

(Source) Prepared by the Evaluation Team based on interviews with JICA

(2) Material Assistance (provision of Emergency Relief Goods)

After a disaster occurs overseas, the Government of Japan provides goods necessary to temporarily support the livelihoods of the disaster victims. There are seven types of Emergency Relief Goods for which demand is particularly high immediately after a disaster, *i.e.* tents, sleeping pads, plastic sheets, blankets, plastic tanks, water purifiers, and water purification agents. These are stored in warehouses at five locations overseas¹. A package of goods consisting mainly of these goods, combined with other requested items, is supplied to disaster areas in accordance with the specific needs in the affected areas.

In the past 10 years, Emergency Relief Goods worth approximately JPY 3.2 billion have been provided in a total of 189 disasters. Although the amounts vary from year to year, approximately 200 to 400 million JPY's worth of goods were provided on average in 14 to 29 disasters annually (see Figure 7).

The provision of Emergency Relief Goods is one of the main emergency assistance schemes of the Government of Japan. It has been used expeditiously for disasters ranging from small scale to large scale.

By region, approximately 40% of the goods were supplied to Asia, followed by about 30% to Central and South America, 14% to Africa, 10% to Oceania, and a few percent each to the Middle East, Europe, and North America (see Figure 8).

¹ Singapore (Singapore), Miami (USA), Accra (Ghana), Dubai (United Arab Emirates), Subang (Malaysia)

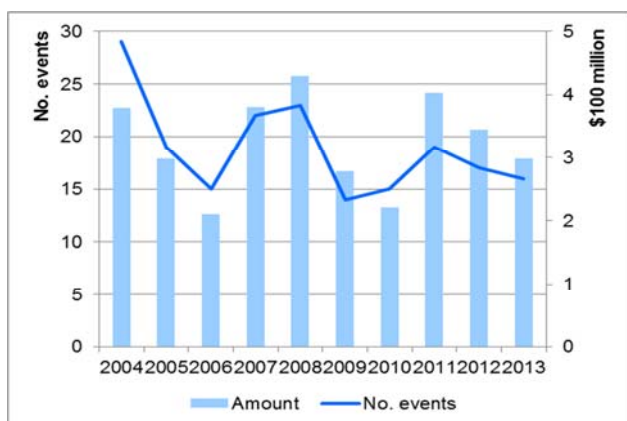


Figure 7 Emergency Relief Goods Provided (FY 2004 to FY 2013)

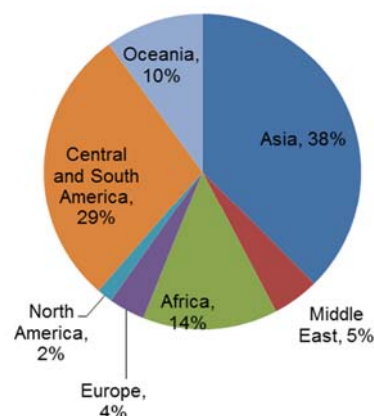


Figure 8 Destinations of Emergency Relief Goods Provided (FY 2004 to FY 2013)

(Source) Prepared by the Evaluation Team based on “Japan Disaster Relief Teams Dispatched and Emergency Relief Goods Provided” (according to fiscal year, as of May 19, 2014) and the ODA White Papers (2006 to 2013 versions) of the MOFA of Japan and the Exchange of Notes (E/N) on the MOFA website

(3) Financial Assistance (Emergency Grant Aid)

Emergency Grant Aid was established in 1973 as “Emergency Assistance.” “Support for Democratization,” “Reconstruction and Development Assistance,” and “Grant Aid for NGO Emergency Humanitarian Assistance” were added to the range of Emergency Grant Aid in 1995, 1996, and 2000 respectively. Thereafter, Grant Aid for NGO Emergency Humanitarian Assistance was separated from Emergency Grant Aid, and it was integrated into Grant Aid for Japanese NGO Project (currently: Grant Assistance for Japanese NGO Projects) in 2002. At present, the Japan Platform (JPF) projects (Government-funded projects) and emergency humanitarian assistance projects of individual NGOs are implemented with the budget of the Grant Assistance for Japanese NGO Projects.

Currently, there are three objectives for Emergency Grant Aid as shown in the following table: (1) emergency assistance, (2) support for democratization, and (3) reconstruction and development assistance.

Table 3 Objectives of Emergency Grant Aid

Objective	Specific details
Emergency assistance	To support victims of and refugees and IDPs from natural disasters and manmade conflicts such as civil war.
Support for democratization	In recent years, in many parts of the world, nondemocratic political systems have collapsed, and long-term civil wars have come to an end. As a result, there is a strong trend to create governments that truly represent the will of the people by holding new elections. Financial assistance is provided to international organizations, etc., which are to manage and monitor the elections, in order to support these important elections for transition to democracy.
Reconstruction and development assistance	Financial cooperation is provided to international organizations, etc., to enable a country or a region that was engaged in conflicts to make smooth transition to the process of recovery and reconstruction, in the period of transition from emergency assistance prior to establishment of peace through to development assistance after the establishment of peace.

In the past 10 years, a total of JPY 208 billion in Emergency Grant Aid has been provided in a total of 126 cases. 88 cases, corresponding to about 70% of this total, were emergency disaster relief, of which 61 cases (40%) were for assistance for natural disasters such as earthquakes, tsunami and manmade disasters not caused by conflicts, and 27 cases (22%) were for assistance for disasters caused by conflicts (see Figure 9).

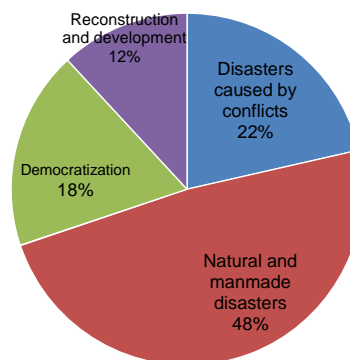


Figure 9 Percentages of the Numbers of Disasters for which Emergency Grant Aid was Provided, According to Purpose (FY 2004 to FY 2013)

As shown in Figure 10, in the case of assistance for natural disasters and manmade disasters not caused by conflicts, 52% went to Asia, followed by 23% to Central and South America, 11% to Africa, and a few percent each to the Middle East, Europe, Oceania, and developing countries in general.

Most of the assistance went to Asia where the damage caused by natural disasters was the heaviest.

As shown in Figure 11, in the case of assistance for disasters caused by conflicts, 52% went to the Middle East, 22% to Africa, 19% to Asia, and a few percent to Europe. The amount of the humanitarian aid appeals for disasters caused by conflicts is highest in Africa and the Middle East. Although the percentage of the Japan's Emergency Grant Aid to the Middle East is high, that to Africa is not.

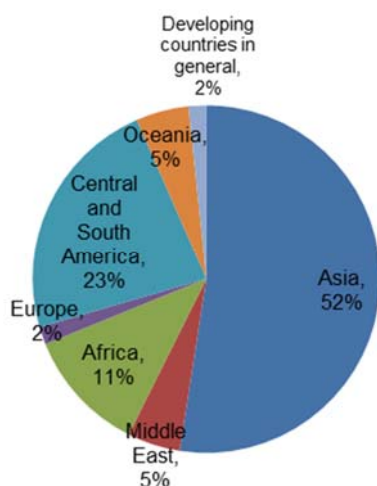


Figure 10 Percentages of the Numbers of Disasters for which Emergency Grant Aid was Provided for the Purpose of Emergency Assistance for Natural or Manmade Disasters, According to Region (FY 2004 to FY 2013)

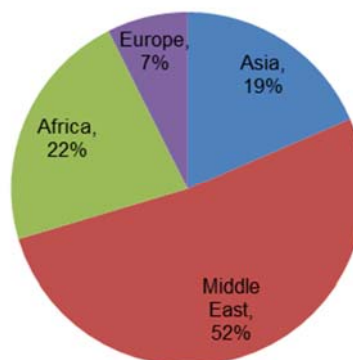


Figure 11 Percentages of the Numbers of Disasters for which Emergency Grant Aid was Provided for the Purpose of Emergency Assistance for Disasters Caused by Conflicts According to Region (FY 2004 to FY 2013)

(Source) Prepared by the Evaluation Team based on the ODA White Papers (2006 to 2012) and press releases on the MOFA website (2004, 2005, 2013)

2-2 Assistance through International Organizations and NGOs

(1) Assistance through International Organizations

The majority of Emergency Grant Aid is assistance provided through international organizations. In addition, contribution from supplementary budgets to international organizations and part of the ordinary budgetary contribution to them are also used for emergency humanitarian assistance. For example, in the case of assistance for the disaster caused by Typhoon Yolanda in the Philippines, the contribution from Emergency Grant Aid was made in November 2013, and additional contribution earmarked for support for the typhoon disaster was made to individual international organizations from a supplementary budget in March 2014. From the field survey, it was found that the international organizations which had received this contribution had considered them as the first and second contribution from the Government of Japan and used them for assistance for the typhoon disaster with no recognition of the difference in their sources. However, as it is difficult to classify the assistance provided with the contribution from the supplementary budget and the part of the ordinary budgetary contribution, whose purpose of use is not specified by the MOFA, into emergency humanitarian assistance and other assistance, only the contribution made through international organizations as Emergency Grant Aid is shown in this document. As bilateral assistance is also included in the Emergency Grant Aid, an overall view of the contribution under the Emergency Grant Aid scheme is as described in 2-1 (3).

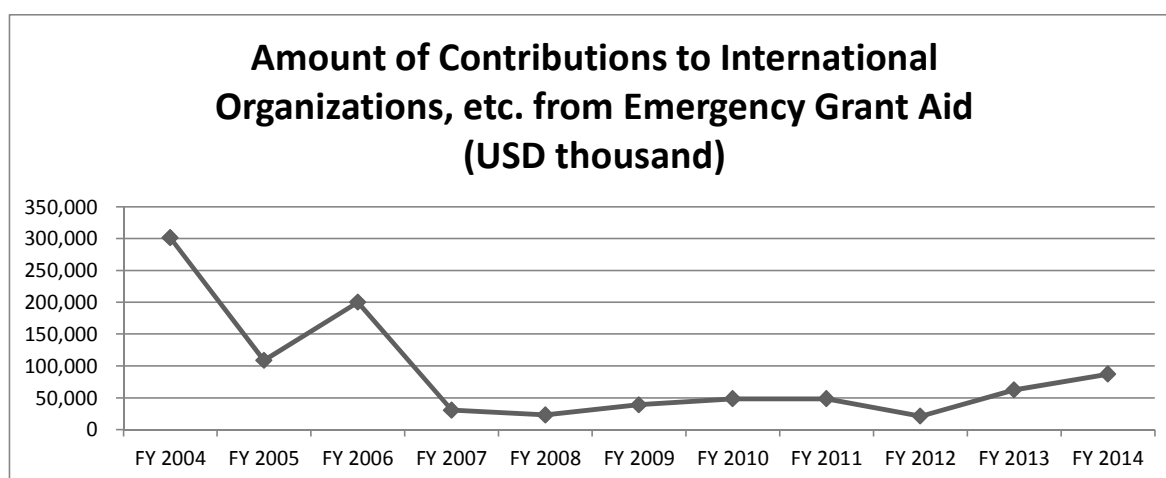


Figure 12 Amount of Contribution to International Organizations, etc. from Emergency Grant Aid (FY 2004 to FY 2014)²

(Source) Prepared by the Evaluation Team based on the ODA White Papers (2006 to 2013) and press releases from the MOFA website (2004, 2005, 2013, 2014)

When it is considered that it is necessary to provide Emergency Grant Aid in response to a request from the government of a country affected by a disaster, or from international

² The amount for 2014 is provisional as of December 16, 2014.

organizations, the amount of the assistance and the specific means of assistance are decided upon, and the financial assistance is provided. It is difficult to analyze the trends over the past 10 years for the details of the contribution made from Emergency Grant Aid because the method of showing the information that is disclosed varies depending on the fiscal year and the project. Therefore, data on the actual contribution made in fiscal year 2012 are shown in Figure 13. The total amount of contribution from Emergency Grant Aid was about USD 42.82 million, of which 74% was contributed via international organizations. Approximately 70% and 30% of the contribution made through international organizations were used for assistance for disasters caused by conflicts and assistance for natural disasters respectively. All the bilateral assistance contribution was provided for natural disasters³.

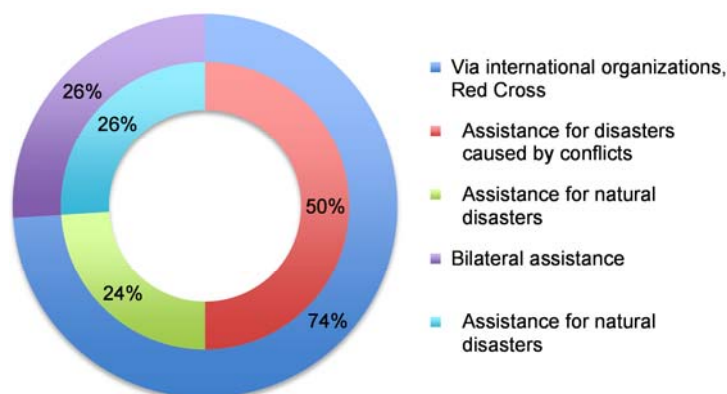


Figure 13 Details of the Contribution from Emergency Grant Aid According to Recipient and Purpose (contribution made in FY 2012)

(Source) Prepared by the Evaluation Team based on information on MOFA website

(2) Assistance through NGOs

When a natural disaster or an event which forces people to become refugees occurs overseas, Japanese NGOs implement emergency humanitarian assistance activities quickly and efficiently. The Government of Japan has established and maintains a system which enables Japanese NGOs that are affiliated with JPF to respond to a disaster immediately after it occurs by providing a reserve fund to JPF. The government finance used in emergency humanitarian assistance by JPF between the year 2000 when JPF was established and 2012 amounted to JPY 20.9 billion in total⁴. NGOs used the funds to provide assistance for refugees in disasters caused by conflicts, such as South Sudan and Afghanistan, and emergency humanitarian assistance after natural disasters in the Philippines and the Horn of Africa, amongst others. It should be noted that the JPF can provide financial support to humanitarian assistance projects through NGOs affiliated with the JPF by using donations from private organizations, companies, and individuals, in addition to the government funds. By operating this system of aid in the public-private

³ In 2013 there was contribution to bilateral assistance for disasters caused by conflicts, so the bilateral assistance was not limited to assistance for natural disasters.

⁴ International cooperation and NGOs, from the MOFA website.

cooperation, assistance activities of NGOs become diverse, and various resources can be used jointly to implement large-scale projects of emergency humanitarian assistance. The system enables the implementation of medium- and long-term activities.

The Government of Japan also provides Grant Assistance for Japanese NGO Projects as financial cooperation for economic and social development and emergency humanitarian assistance projects to be implemented by Japanese NGOs in developing countries or regions. (Applications by NGOs affiliated with the JPF for Grant Assistance for Japanese NGO Projects are allowed, but an application by an NGO implementing a project under the JPF for a disaster that is the subject of the program will not be accepted.) The projects eligible to apply for this Grant Assistance have to belong to one of seven fields⁵. Emergency humanitarian assistance is one of those fields. Financial assistance is provided for emergency humanitarian assistance projects implemented by Japanese NGOs for refugees and internally displaced persons (IDPs), from armed conflicts and natural disasters. The limit of the grants per project is JPY100 million. In the past 10 years (2004 to 2013), 17 projects were implemented as emergency humanitarian assistance under Grant Assistance for Japanese NGO Projects, with a total contract amount of about JPY600 million⁶.

The annual budget for Grant Assistance for Japanese NGO Projects is about JPY 6 billion, of which about 40%⁷ is contributed to JPF to promote humanitarian assistance activities through NGOs.

2-3 Example of Typhoon Yolanda in the Philippines

On November 8, 2013 Typhoon Yolanda hit the Visayas Region around the Leyte Island in central Philippines with the worst hit, resulting in 16.08 million disaster victims, 4.1 million evacuees, and 6,300 deaths⁸.

For this disaster, the Government of Japan conducted a survey, carried out coordination, established a system for assistance, made preliminary preparation and coordination for dispatch of a survey team, and provided international emergency assistance, as shown in the table below. In addition, the Government provided assistance through international organizations and NGOs.

⁵ The seven fields are: assistance for development cooperation projects, NGO partnership projects, shipment of recycled goods, Grant Aid for NGO emergency humanitarian assistance, anti-personnel mine-related activities, microcredit capital assistance, and peace building support projects.

⁶ Details of 1 of the 17 projects are not disclosed on grounds of safety, and are not included in the total amount.

⁷ 2013 total budget for Grant Assistance for Japanese NGO Projects JPY 6 billion (Grant Assistance for Japanese NGO Projects *per se*: JPY 3.8 billion, through JPF: JPY 2.2 billion).

⁸ National Disaster Risk Reduction and Management Council (NDRRMC) public document (April 17, 2014).

Table 4 International Emergency Assistance Provided by the Government of Japan for the Disaster Caused by Philippine Typhoon Yolanda

0. Survey, Coordination and Establishment of a System for Assistance	
(1) Dispatch of 2 Japanese personnel to a UNDAC team: Establishment of Reception-Departure Centre (RDC), registration of assistance teams arriving from overseas, liaison with On-Site Operations Coordination Centre (OSOCC) and local government organizations, local assessment, etc.	
(2) Dispatch of a survey team: Information collection and coordination with relevant organizations in various field	
(3) Establishment of Information Coordination Office in the Prime Minister's Official Residence, Coordination Office in the MOFA, Japan desk and ad hoc Tacloban office of the Embassy of Japan in the Philippines within the Tacloban City Office	
1. Dispatch of Japan Disaster Relief Teams	
(1) Medical teams: three teams	Medical consultation and treatment in Rizal Park and Tacloban City Hospital, Tacloban City, and a mobile clinic at Basey Regional Hospital and in villages (total number of patients: about 3,297)
(2) Expert teams: two teams	1. Early restoration: Survey for a disaster risk reduction plan and urban development plan and advice to the relevant departments of the Government of the Philippines on support for restoration 2. Oil removal: Survey of the status of oil leakage from barges grounded by the strong winds of the typhoon and technical guidance and advice to relevant officials of the Government of the Philippines on methods of removal of oil, etc.
(3) Self-Defense Force Unit	Transport of relief goods, fuel, persons affected by the disaster, etc., with cargo planes, medical services, and disinfecting (airlift of about 630 tons of goods and a total of about 2,768 persons affected by the disaster, medical examination of a total of 2,646 persons, vaccination of a total of 11,924 persons, and disinfection of a total area of 95,600 m ²)
2. Provision of Emergency Relief Goods	
JPY 60 million equivalent	500 tents, 620 plastic sheets, 2,000 sleeping pads, 20 water purifiers, 20 generators (including cord reels), and 70,000 water bottles
3. Emergency Grant Aid	
Total USD 30 million (about JPY three billion)	A total of USD30 million (about JPY3 billion) worth of assistance in fields, such as food, water, sanitation, and emergency shelters, through nine international organizations

(Source) Prepared by the Evaluation Team based on the MOFA and JICA websites and interviews with the MOFA and JICA

Thereafter, as assistance for restoration and reconstruction, the Technical Cooperation for Development Planning, and “The Project on Rehabilitation and Recovery from Typhoon Yolanda,” are being implemented, and Grant and Loan Agreements have been concluded for Grant Aid project, “The Programme for Rehabilitation and Recovery from Typhoon Yolanda,” and an ODA loan project, “Post Disaster Stand-by Loan by the Government of Japan,” respectively.



Figure 14 Interviews with Resident Groups Participating in the Quick Impact Projects in “The Project on Rehabilitation and Recovery from Typhoon Yolanda”

Chapter 3 Summary of Evaluation Results

3-1 Relevance of Policies

It is considered that the policies are highly relevant. The following are the main evaluation results for each of the evaluation items for “Relevance of Policies.”

(1) Consistency with the Needs of Countries or Regions and Victims affected by Disasters

A support menu of humanitarian assistance activities by the Government of Japan that satisfies various major requirements in both disasters caused by conflicts and natural or manmade disasters has been established for the request-based provision. Therefore, the humanitarian assistance activities of the Government of Japan are consistent with the needs of countries, regions, and people affected by disasters.

(2) Consistency with Japan’s High-level Policies

Full consistency is maintained with the various requirements in the basic policy, priority issues, and priority regions prescribed in Japan's ODA Charter and with the priority issues and the various conditions for the measures for implementing efficient and effective assistance prescribed in “Japan's Medium-Term Policy on ODA.”

(3) Consistency with Trends in Humanitarian Assistance in the International Community

In connection with financial contribution for humanitarian crises, the amount of contribution of the Government of Japan is increasing corresponding to the trend of increasing needs in the international community. Regarding the increasing significance on “on-site efficiency,” which is one of the trends of humanitarian assistance in the international community, efforts have been steadily made to overcome the main issues for ensuring efficiency, and the results of these efforts have been seen. However, it has been found that there is lack of progress in some initiatives for realizing efficiency, such as the use of on-site coordination mechanisms and promotion of cooperation to overcome the barriers between actors. It is also desirable that there be initiatives beyond just financial contribution for the “diversification of disasters and providers of humanitarian assistance.”

(4) Relevance to Assistance from Other Donors and Japan’s Comparative Advantages

In the implementation of humanitarian assistance activities, information sharing and coordination with the Government of the United States has been established, and it is the main pillar in the implementation of humanitarian assistance activities by the Government of Japan from the viewpoint of security. In the case of the assistance activities for the Typhoon Yolanda disaster in the Philippines, information sharing and coordination was also established with the Governments of Australia and the United Kingdom. In addition, cooperative relationships with other donors have been maintained based on multilateral aid coordination with participation to aid coordination meetings together with Japan Disaster Relief Teams and Japanese NGOs.

The comparative advantages of humanitarian assistance activities by the Government of Japan include the speed in providing goods, Emergency Grant Aid and the

functionally-efficient and self-contained Japan Disaster Relief Team. Also of particular mention is the development of various assistance activities mainly in Asia as a result of the implementation of ODA in the field of disaster risk reduction. One of the points of focus in the response to humanitarian crises in the international community is strengthening of resilience, and in this respect, Japan's contribution has extremely high value. In particular, in the case of natural disasters, since initiatives for disaster risk reduction contribute to protection of human life and strengthening of resilience, ODA activities in the disaster risk reduction field of the Government of Japan are particularly significant in Asia where the increase in the frequency of the occurrence of natural disasters is a major issue.

3-2 Effectiveness of Results

International humanitarian assistance by the Government of Japan has a significant effect. The following are the main evaluation results on each of the evaluation items for "Effectiveness of Results."

(1) Degree of Achievement of Targets

Japan's international emergency assistance is at a high level in terms of both quality and speed, and Japan ranks fourth in the world in the total amount of contribution to international emergency assistance in the past 10 years. The countries receiving Japan's contribution are geopolitically diverse, belonging to Africa, the Middle East, and South Asia for example, and the assistance is provided in a wide range of fields. On the basis of these observations, it can be evaluated that Japan's humanitarian assistance brings outcomes that can produce positive effect on those people that require assistance.

Of the five items listed in "4. Concrete Policy of Response" in "Humanitarian Aid Policy of Japan," the targets have been sufficiently achieved in the case of "(1) Assistance to refugees and IDPs" and "(3) Response to natural disasters." Initiatives are in steady progress, and the targets have been achieved in the case of "(2) Smooth Transition," "(4) Security of humanitarian aid workers," and "(5) Civil-military coordination." The steady implementation of these initiatives has contributed to the achievement of the ultimate objective of the Humanitarian Aid Policy of Japan, namely "to protect the lives, dignity, and safety of the most vulnerable – including refugees, IDPs, and disaster victims – and support them so that they will be able to stand on their own feet again."

(2) Degree of Recognition of Japan's Humanitarian Assistance

The Government of Japan and its associated organizations provide the necessary and sufficient information on their humanitarian assistance in public places without delay and in a comprehensive manner. Likewise, the United Nations, other international organizations and NGOs that have received financial contribution, or assistance from the Government of Japan, provide information on their assistance activities using their information communication tools (websites, public relations literature, etc.).

For individuals and organizations actively seeking information regarding Japan's humanitarian assistance activities, the required information is provided (including responses to requests for information by individual mail and telephone). Therefore, the

degree of recognition is high among those individuals and organizations. On the other hand, for passive individuals and organizations, the degree of recognition is low.

3-3 Appropriateness of Processes

It is considered that the processes of formulation and implementation of the Humanitarian Aid Policy of Japan are appropriate to a certain extent. The following are the main evaluation results for each of the evaluation items for “Appropriateness of Processes.”

(1) Appropriateness of the Process of Formulation of Japan’s Humanitarian Assistance Policies

Japan’s humanitarian assistance policies were formulated based on Japanese and international policy frameworks. The policies were adopted after discussions were held among the relevant departments in the MOFA, other ministries and agencies. Although limited in the number of occasions, opinions were exchanged with staff of international organizations and the NGOs involved in humanitarian assistance. Therefore, it is considered that the process of the formulation of the policies was generally appropriate.

(2) Appropriateness of the Processes of Implementation of Japan’s Humanitarian Assistance

The implementation structure of the emergency humanitarian aid has been developed and utilized effectively for rapid response in every stage from the request for assistance to the provision of assistance. At the same time, collection of information regarding aid trends of others, coordination with them, and the continuous updating of needs, implementation of monitoring and evaluation are carried out. Assistance is provided with special attention being paid to the vulnerable and for the smooth transition from the emergency to rehabilitation/recovery stages.

(a) Status of Development and Operation of the Assistance Implementation Structure

When providing international emergency assistance, the MOFA, JICA, and other ministries and agencies divide the work among them and share information regarding the status of the disaster and activities. In addition, the Evaluation Team identified that these Japanese actors shared responsibilities and had good communication with the international emergency assistance on site. JDR system also conducts training sessions to strengthen the capacities of those registered personnel during normal times.

(b) The Process from Request until Implementation of Assistance

During the operation, the Team found that communication among actors, including MOFA, overseas establishments such as Embassies, JICA headquarters and offices, and other ministries, was appropriate at every stage. The processes and decision-making criteria for the assistance through Japanese NGOs have been set jointly by the Non-Governmental Organizations Cooperation Division of the International Cooperation Bureau, MOFA, and the NGOs and, thereby, a mechanism that enables rapid provision of

effective assistance has been created.

(c) Coordination and Cooperation among Actors

Staff members of Japan's overseas establishments and JICA's overseas offices in countries affected by disasters and members of each team in the Japan Disaster Relief Teams dispatched to those countries participate in donor meetings and cluster meetings to collect information on needs and to coordinate their activities with other participants. They maintain cooperation with Japanese NGOs through ODA funding. There are cases where they have taken the initiative to cooperate with Japanese companies and local governments in affected countries.

As there are cases of new initiatives with Japanese NGOs being implemented based on networks with local NGOs, it is recommended that this cooperation should be further strengthened. It is also desirable that initiatives for cooperation with Japanese companies and local governments be utilized as models.

(d) Consideration for the Vulnerable

The ultimate goal of the humanitarian assistance of the Government of Japan is to protect the lives, dignity, and safety of the most vulnerable. Recently, the government has been actively involved in initiatives at a policy level emphasizing considerations for the vulnerable in the international community by, for example, taking the lead in the introduction of draft resolutions that place importance on consideration for gender issues in natural disasters. In the implementation of humanitarian assistance on site, measures are taken with in consideration for the vulnerable, including consideration for gender issues.

(e) Initiatives for Early Recovery and Reconstruction and Seamless Assistance for Smooth Transition

The Government of Japan implements early recovery measures and reconstruction aid immediately after the emergency assistance. It also provides assistance to international organizations and NGOs to enable them to implement assistance both in the emergency and recovery and reconstruction phases. With these measures, the Government of Japan provides seamless support for the smooth transition to the reconstruction phase.

(f) Identification of Needs

Immediately after the occurrence of a disaster, information on the needs of the disaster victims is collected from various sources including Japanese aid workers, Japan's overseas establishments and JICA's overseas offices in the affected country. This information is shared among all those involved, and it is reflected in the composition of the relief activities of Japan Disaster Relief Teams. .

(g) Monitoring and Evaluation

The status of implementation of Japan's humanitarian assistance has been properly monitored and managed by the Government of Japan. After implementation of international emergency assistance, JICA has reviewed the nature of the assistance and

has been monitoring the status of the use of all the Emergency Relief Goods provided. International organizations that have received contribution from Emergency Grant Aid have submitted reports describing the status of implementation of the assistance provided with the contribution from the MOFA.

3-4 Evaluation from Diplomatic Viewpoints

(1) Diplomatic Importance

Japan promotes the concept of “Human Security” as a main slogan in the 21st century. The implementation of emergency humanitarian assistance itself, which is an initiative to realize this ideal, has diplomatic significance in the countries affected by disasters as it features high on the agenda for bilateral or multilateral dialogue with them.

(2) Diplomatic Impact

International emergency assistance is reported through the various forms of media in countries affected by disasters. The gratitude for the assistance is expressed by top-level officials to the people on the street. These publicity activities have contributed to creation of affinity towards Japan among general public. Japan’s assistance for large-scale natural disasters has also been reported in the media in Europe and North America. These reports are expected to contribute to creation of awareness to Japan’s contribution in the international community to a certain extent.

Assistance for natural disasters and disasters caused by conflicts, especially emergency humanitarian assistance during conflicts, is to alleviate the suffering of the disaster victims and maintain and protect human dignity. In addition, support for the democratization and the reconstruction and development assistance after the conclusion of civil wars with Emergency Grant Aid is expected to contribute to stabilization in the affected regions.

For many years, Japan has advocated “Human Security” in international forums and declared to provide assistance based on this fundamental ideal. Therefore, constant provision of emergency humanitarian assistance which is consistent with its message is important, and it is expected to lead to strengthening of the trust in Japan of many countries.

Chapter 4 Recommendations

4-1 New Trends in Humanitarian Assistance

(1) The Latest Trends

There have been many complications in humanitarian assistance since the 19th century. In the past 30 years since the end of the Cold War, in particular, humanitarian assistance as a mechanism of international response has dramatically evolved. For example, the quantities, resources, variety of actors and methods of the assistance have changed in response to prolonged conflicts, increased natural disasters or its complicated humanitarian crisis. It has been caused by lengthening and recurrence of conflicts, the

increasing number of natural disasters, and the complexity of humanitarian crises⁹. With the accumulation of lessons learned from the major crises such as the Rwanda Genocide, the Gulf Wars, and the Sumatra earthquake and Tsunami, international mechanisms and guidelines for providing effective assistance have been developed and organized with the abundant assistance capabilities of diverse actors. Against the background of these trends, the Government of Japan has also made an effort to look for ways of rapidly implementing humanitarian assistance in areas affected by natural disasters and conflicts. As a consequence of this effort, the government has developed a system enabling provision of assistance for people in various situations including, in particular, the vulnerable such as women and children. The Government of Japan can be highly regarded for development of mechanism to provide assistance which also includes cooperation with other actors.

However, it is a recent trend that the effects of climate change are becoming more serious, and the effects of conflicts caused by non-state actors such as terrorist groups are increasing. Hence, it will be necessary to further expand the response to humanitarian assistance in the future. In particular, climate change is having a major effect on the lives of people, such as access to water and the production of food throughout the world. It is predicted that flooding in Asia will increase by 50% by the year 2030 and that an additional 250 million Africans will be affected by water-related disasters by the year 2020¹⁰. Either directly or indirectly, climate change will threaten people globally through population migration, environmental destruction, water shortages, health threats, internal conflicts and conflicts between countries, which may lead to humanitarian crisis. It is observed that the conventional model of the assistances and ad hoc response with external intervention to each case of disaster, cannot cope with the new trend of crisis mentioned above. A paradigm shift to a system in which local communities respond to disasters on their own initiative is required for humanitarian assistance. This new system should have an emphasis on disaster risk reduction before emergency and reconstruction after the emergency with a focus on “patterns,” “mechanisms,” and local capacities fully utilized¹¹.

(2) New Endeavors

In the mid-November 2014, while this report was being prepared, the largest typhoon of the year, Typhoon Hagupit, hit the Tacloban area in the Philippines again where the great tragedy had occurred in 2013. In this occasion, a new trend was observed in humanitarian assistance. Using the lessons learned from the previous response, the assistance team led by JPF and the Asia Pacific Alliance for Disaster Management (A-PAD) that had expected large-scale damage by a typhoon, arrived in the area and coordinated assistance activities with those of other actors within the network developed with local NGOs on a routine basis before the typhoon arrived, instead of just commencing humanitarian assistance after the occurrence of the disaster. As a new trend, A-PAD used helicopters and search and rescue dogs in humanitarian assistance to increase its impact.

⁹ Hilhorst, D. (2013) *Disaster, Conflict and Society in Crisis: Everyday politics of crisis response*, Routledge. p.6

¹⁰ UNOCHA (2013), *World Humanitarian Data and Trend 2013*, UNOCHA. p. 30

¹¹ Global Agenda Council on Humanitarian Assistance (2009), *A new business model for humanitarian assistance? A challenge paper*, Author: Publisher: International Alert.

External intervention and mechanisms led by large, influential international actors will continue to be utilized in the humanitarian assistance. Meanwhile, as can be seen in the new trends mentioned above, the importance of emphasizing local independent responses and attempts for 1) balancing emergency responses and measures of disaster risk reduction and reconstruction, 2) strengthening the capacities of local organizations, 3) cross-sector cooperation, and 4) cooperation within local communities are expected to increase. It is expected that the implementation system of humanitarian assistance through ODA will further evolve itself to follow this trend.

The recommendations based on the global trends mentioned above, the findings in the case study in the Philippines and the analysis of the evaluation results to date are described in the following:

4-2 Recommendations

(1) Strengthening the Initial Assessment Function: Natural Disasters

As part of the assistance to the victims of the Typhoon Yolanda disaster, there were two significant responses by Japan in accordance with the trends of the international community. First, two Japanese experts were deployed to the UNDAC team. They worked at the Reception Departure Centre (RDC) and the On-Site Operations Coordination Centre (OSOCC) as members of UNDAC and carried out the initial assessment necessary for the implementation of the emergency humanitarian assistance of the Government of Japan. This deployment was highly commended, not only by all the Japanese involved, but also by the Government of the Philippines and the United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA). The other response was the dispatch of an expert team for reconstruction assessment at early stage. This team provided advice to help the Government of the Philippines formulate a recovery and reconstruction plan, including a disaster risk reduction and urban planning and, later, carried out assessment that would lead to the formulation of projects under Technical Cooperation for Development Planning, Grant Aid for Disaster Prevention and Reconstruction, or a Post Disaster Stand-by Loan. The dispatch of this team by the Government of Japan as the starting point for restoration and reconstruction assistance was highly welcomed by the Government of the Philippines. It is assumed that this case of Government of Japan's response will be evaluated as a model, and it will help incorporating trends in the international community and Japan's policies on the restoration and reconstruction assistance effectively.

Dispatching experts to the UNDAC team as mentioned above brought a significant contribution to the initial assessment. However, it is necessary to improve the awareness of the functions, roles, and systems of the initial assessment to make following provisions, such as Emergency Relief Goods, Japan Disaster Relief Team, expert teams for early recovery, Emergency Grant Aid and assistance to NGOs more effective. The formulation of an action plan for emergency humanitarian assistance requires the collection of relevant information and coordination with other actors. The relevant information includes information on 1) the disaster response plan and systems of the government of the affected country, 2) the capacities of the administrative organizations in the affected region

and area, 3) the cluster coordination function, the actions of the main countries providing assistance, 4) the response of United Nations and other international organizations, 5) the status of activities and capacities of international and local NGOs, 6) the safety and security, 7) the status of the proposed locations for dispatch of the Japan Disaster Relief Team, 8) locally procurable goods and their costs, 9) logistics, and 10) status of food and water supply, health and sanitation, shelter, basic infrastructure, and communications, as well as the information on the extent of damage caused by a disaster. It is necessary to complete the collection of this highly technical information and the coordination within a very limited time period. At present, the implementation structure of the initial assessment is led by the MOFA and JICA Headquarters and the responsibility of implementing the initial assessment in disaster-stricken areas is undertaken by Japan's overseas establishments and JICA's overseas offices. As the establishments and JICA's overseas offices usually do not have staff members with technical experience in humanitarian assistance, this responsibility is taken on by those who do not have such experience. Since one is likely to see tragic scenes of damage caused by disasters and many corpses and the injured during the initial assessment, workers are required to have skills and knowledge of mental health management in the assessment work.

The initial assessment is extremely important for strategically implementing the emergency humanitarian assistance. Recognizing this importance, both the United States Agency for International Development (USAID) and the UK Department for International Development (DFID) employ experts with vast experience in emergency humanitarian assistance in its various forms, and have assigned them to the Disaster Assistance Response Team (DART) and the Conflict, Humanitarian & Security Department's Operations Team (CHASE OT) in the Conflict, Humanitarian & Security Department (CHASE), respectively, to perform the function of conducting the comprehensive initial assessment. The very first step in the implementation of emergency humanitarian assistance should be the implementation of initial assessment to understand the actual situation and to formulate an action plan in the emergency response phase. It is considered necessary for the Government of Japan to sufficiently recognize the importance of the initial assessment and enhance its function.

(2) Conducting the Rapid Review

The first issue to be considered in emergency humanitarian assistance activities is to establish access to the victims of the disaster. Speed and effectiveness have priority over efficiency for this activity. As assumptions and plans for individual activities have to be revised in accordance with the changing circumstances caused by change in the project targets and environment, it is difficult to define evaluation criteria based on a certain viewpoint. Because of this difficulty in ensuring the validity of evaluation, it seems that the awareness of need for evaluation has been generally low. On the other hand, awareness has been created to ensure the accountability and the systems of strategic planning, as typically seen in the Transformative Agenda (TA) for the system of humanitarian assistance in the United Nations that has been ongoing since 2010. Awareness is increasing on how surveys and evaluations should be conducted at the emergency response stage, as an

indispensable function for creating the awareness of accountability and of the strategic planning system. In March 2014, five months after the start of the British humanitarian assistance activities, the simple evaluation report “Rapid Review of DFID’s Humanitarian Response to Typhoon Haiyan in the Philippines” was published by the Independent Commission for Aid Impact (ICAI) reporting to the International Development Committee of the House of Commons. Its objectives were “ ... to provide prompt and timely feedback on the appropriateness and effectiveness of the UK Government’s response, ... and to provide an opportunity to gain timely insights that can be used to help promote learning by DFID and its partners.” Its methodology is described as “observations and interactions with intended beneficiaries and humanitarian actors” by visiting the scene of the activities.

A review from the viewpoints of independent professionals is an extremely important function as the starting point to ensure accountability and strategic project implementation. As the TA is materialized in the international aid community, it is recommended to implement a simple evaluation in the emergency response phase of the emergency humanitarian assistance with the project development policy from the initial assessments as the evaluation criteria on a trial basis.

In addition to the recommendations in (1) mentioned above, the following cycle is proposed as a management tool to support the smooth transition of assistance activities from the emergency response phase to the restoration and reconstruction assistance phase.

<Initial assessment> ⇒ <Mobilization, emergency assistance policy, formulation of a plan> ⇒ <Implementation of assistance activities> ⇒ <Simple evaluation> ⇒ <Survey for reconstruction assistance activities>

(3) Contribution to Common Services to Support Humanitarian Assistance Activities

The enhancement of indirect assistance is also recommended as an initiative in Japan’s humanitarian assistance to utilize its comparative advantage. The Government of Japan offers an assistance menu mainly consisting of direct assistance, in which a system that is capable of responding to all the needs of countries, regions, and people affected by disasters has been fully established. However, in the interviews carried out in the field survey in the Philippines, three points were repeatedly mentioned as issues in the implementation phase of emergency humanitarian assistance. The three points were 1) coordination function, 2) communications, and 3) transport which were the basis for direct assistance activities. These are so-called indirect assistance. In the assistance to the Typhoon Yolanda disaster victims, particularly in the phase until local management of each of these functions was restored, the US military units played a central role in complementing these functions, and their activities were evaluated extremely high.

The coordination function is a function that, by its nature, the government of the affected country should be responsible for. However, in areas where the disaster is severe, the administrative organizations themselves often collapsed. The coordination function is indispensable for effective and efficient introduction of the direct assistance activities. If it is possible to make a contribution in this area, it is likely to be highly evaluated, not only by the government and the people of affected countries, but also by the donor community. The

Team, therefore, recommended dispatching personnel not only to UNDAC, but also to UNOCHA to undertake the coordination function with provision of materials and equipment regulated for their work.

The United Nations World Food Program (WFP) / Joint Logistics Center (JLC) restored the communication function. There was concern over deterioration in public order in the areas affected by the disaster after the Typhoon Yolanda disaster. In the interviews conducted in the field survey in the Philippines, some interviewees mentioned that the fear created by the shutdown of communications was one of the causes of greatest concern. The restoration of communications is an important field for the maintenance of public order and for the implementation of the coordination function. Cooperation with WFP/JLC is recommended to make contribution in this field, such as establishment of communication between strategic bases, installation of a simple FM radio broadcast system and the restoration of mobile telephone communication base stations in the areas affected by the disaster.

The activities of the Self Defense Force in the field of transport are highly valued. In the United Nations system, WFP/JLC is providing a transport service as a common service for humanitarian assistance activities where a commercial transport service is hardly available. As the transport function is indispensable in any operation, an increase in assistance to WFP/JLC (dispatch of personnel and provision of funds and equipment) is recommended.

It is worth considering to partially supplement the coordination function of the governments of countries affected by disasters and to implement indirect assistance to support the coordination function of UNOCHA in Asia, which is the particular priority area for Japan's humanitarian assistance, as described above.

(4) Humanitarian Assistance in the Disaster Cycle

According to the definition in Good Humanitarian Donorship (GHD)¹², "the objectives of humanitarian assistance is to save lives, alleviate suffering and maintain human dignity during and in the aftermath of manmade crises, conflicts and natural disasters, as well as to prevent and strengthen preparedness for the occurrence of such situations and provide assistance for restoration and reconstruction." However, only 4.7% of total humanitarian assistance is allegedly used for disaster risk reduction, despite the fact that it contributes significantly to risk reduction of humanitarian crises¹³. Emergency responses tend to be overemphasized in humanitarian assistance globally. On the other hand, Japan's ODA provides disaster risk reduction assistance, such as infrastructure development, community disaster risk reduction and disaster risk reduction governance assistance. When the need for measures against the fundamental causes of climate change and responses to long-lasting conflicts in the future are taken into consideration, it is important to consider assistance for disaster risk reduction and preparedness with an emphasis on

¹² Good Humanitarian Donorship (2003) Principles and good practice of Humanitarian donorship (http://www.goodhumanitarianandonorship.org/Libraries/Ireland_Doc_Manager/EN-23-Principles-and-Good-Pract-of-Humanitarian-Donorship.sflb.ashx)

¹³ Development Initiative (2013), Global Humanitarian Assistance Report 2013 (<http://www.globalhumanitarianassistance.org/wp-content/uploads/2013/07/GHA-Report-2013.pdf>, p55)

local characteristics, which is being implemented for a medium to long term, also as part of humanitarian assistance.

As assistance was provided only in the emergency phase, cooperation with local organizations and other aid providers was not sufficiently developed. As a result, impact and recognition in local communities of the assistance were temporary, or limited. This tendency was also observed in the activities of NGOs in the Philippines as analyzed in the case study¹⁴. On the other hand, JICA has developed multilayered humanitarian assistance with provision of assistance based on its experience in developmental aid which began before the disaster in the restoration and recovery phase through good relationships with the government and government actors. It is considered that the appeal of the humanitarian assistance of Japan, as Japan's ODA, can be greatly increased by coupling it with assistance for disaster risk reduction.

For effective utilization of Japan's ODA and its sustainable impact in regions affected by disasters, it is necessary to widen the scope of humanitarian assistance from the one limited to emergency response. In addition, linking of activities for disaster risk reduction, development, emergency, restoration, and reconstruction is required for coordinated response in the disaster cycle. In this case, widening of the scope is also required for humanitarian assistance provided in association with that provided with Japan's ODA, including assistance provided in other regions and by governmental and administrative organizations, other than JICA, and private sector actors. Therefore, formulation of a humanitarian assistance strategy and establishment of a response mechanism to enable the widening of the scope and the linking of the activities are required.

(5) Promotion of Cooperation with the Private Sector

In the case in the Philippines, fine-tuned and considerate assistance was provided in accordance with the local circumstances, with an awareness of the need for cooperation and coordination among the government actors, such as the Embassy of Japan and JICA. However, the cooperation with NGOs and the private sector was limited.

Assistance to Japanese NGOs has been strengthened over the past 10 years through assistance to JPF and Grant Assistance for Japanese NGO Projects, "Grant Aid for NGO emergency humanitarian assistance." The strength of NGOs is their capacity to rapidly and sometimes flexibly provide deliberate assistance at the community level, in particular, while having detailed negotiations with the local residents. However, in the response to Typhoon Yolanda disaster in the Philippines, although ODA funds were used for provision of assistance by NGOs, no strategically significant cooperation was implemented. It is assumed that there might be a possibility for further cooperation in planning and implementation, apart from information collection, in quick impact projects (QUIPs). As stated in Humanitarian Aid Policy of Japan, it is important for Japan to establish close networks with people involved in assistance and to cooperate with other bodies in implementing the humanitarian assistance. Therefore, in order to increase the effect of ODA, it is considered important to construct a system to strengthen the cooperation

¹⁴ JPF Assistance Policy

between government actors and NGOs in all the processes of humanitarian assistance, such as: information collection, the formulation of assistance strategies, the implementation of the assistance, and monitoring and evaluation.

Cooperation with the private sector, specifically with companies, is also important. A worldwide trend in funding for humanitarian assistance from the private sector, including companies, is on the increase. The funding increased by 26% in the period between 2007 and 2012¹⁵. As seen in the assistance for the Great East Japan Earthquake, cooperation with companies contributed not only to an increase in the speed of distribution and in the quantity of relief goods during the disaster but also to the establishment of a sustainable model of humanitarian assistance. In addition, the intervention of private companies increases the number of attempts to implement more sustainable reconstruction and disaster management activities with microfinance, insurance systems (risk finance), and assistance for business startup. It will be important to establish a cooperation system with private sector on a routine basis by establishing networks with chambers of commerce and other bodies, in Japan and at the field level and by planning a response strategy which includes the formulation of joint contingency plans against disasters to strengthen this cooperation with the private sector.

¹⁵ Development Initiative, *op. cit.* p. 30.