

ALLIANCE TREATY OBLIGATIONS AND PROVISIONS (ATOP)
CODING SHEET

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SECTION I: FORMATION, MEMBERS, AND DURATION

1. ATOP ID: 4910

2. COW Alliance # (if applicable):N/A.

3. Signature date(s) (may vary for members in multilateral alliances):
October 31, 1998.

4. Members of alliance (use COW country codes):
704 Uzbekistan
705 Kazakhstan

5. Was the alliance signed during war? If so, which war, and which member(s) was at war? (check COW data)
No.

6. Means by which alliance was established (e.g., treaty, executive agreement, diplomatic notes, etc.): (Only select "treaty" if the agreement requires ratification.)
Treaty.

7. Was the treaty public, public but with secret articles, or secret? If secret articles, describe the content of secret articles.
Public.

8. Are there provisions for adding additional members mentioned in the treaty? (Yes, No) If Yes, describe these provisions.
No.

9. Are specific state(s) mentioned as possible future members of the alliance? (Yes, No) If Yes, which state(s)?
No.

10. Are there specific provisions in the treaty concerning the length of time the treaty is to last? (Yes, No) If Yes, describe.
Yes. The treaty is concluded for an indefinite period (Art. 26).

11. Are there conditions under which members may renounce the treaty? If Yes, describe these conditions.
Yes. "This Agreement is concluded for an indefinite period and will remain in force until one of the High Contracting Parties in writing notifies the other High Contracting Party of its intention to terminate the Treaty. In this case, this Agreement shall terminate upon the expiration of six months after receipt of such notification by the other High Contracting Party." (Art. 26)

12. Are there specific provisions in the treaty concerning renewal of the treaty? (Yes, No) If Yes, describe these provisions.
No.

13. Number of times alliance renewed, dates of renewal, and means by which alliance was renewed (Do not include automatic renewals):
Zero.

14. Termination date(s) (may vary for members in multilateral alliances) and source(s) for termination dates(s):
Still in effect.
Version 4.0: In effect as of June 3, 2018 according to Ministry of Foreign Affairs, Kazakhstan
(<http://mfa.gov.kz/ru/content-view/sotrudnichestvo-respubliki-kazakhstan-s-respublikoj-uzbekistan>)

15. Describe what caused the alliance to terminate.
Reports from late 2003 indicate the agreement continues to be recognized despite border conflict (BBC 11/8/03).

SECTION II: OBLIGATIONS

16. Type of alliance (defense pact, neutrality pact, nonaggression pact, consultation pact, offense pact): (List all that apply to any member of the alliance.)

Consultation pact
Nonaggression pact

17. Type of alliance as coded in COW data (if applicable): N/A.

18. Describe the obligations of the alliance partners.

“The High Contracting Parties confirm the obligation to refrain from the use of force or threat of force in interstate relations, undertake not to enter into military alliances or to take part in any groupings of states, as well as in actions directed against another High Contracting Party.” (Art 3) [Nonaggression]

“In the event of a situation which, in the opinion of one of the High Contracting Parties, constitutes a threat of armed attack by third States, the High Contracting Parties shall promptly hold appropriate consultations with each other, both bilaterally and within the framework of the international organizations to which they are parties, with a view to adopting measures conducive to its peaceful settlement.” (Art. 3) [Consultation]

19. Are any of the obligations contingent upon any of the following: specific adversary, specific location, specific ongoing conflict, number of adversaries, noncompliance with a specific demand, attack, nonprovocation of enemy, or prior agreement among partners? (List all that apply)

No.

20. Describe the nature of the limits to obligations listed in #19.

21. Are there any additional provisions for assistance in the event of war? (e.g., promise not to participate in economic sanctions against partner, promise not to aid internal or external enemies, etc.) (Yes, No) If Yes, describe.

Yes.

“The High Contracting Parties undertake not to allow the use of their territory, communications system and other infrastructure by third states for the purpose of preparing or carrying out armed aggression or other hostile activity against another High Contracting Party.” (Art. 3)

“The High Contracting Parties will develop bilateral cooperation and provide all-round support for the prevention of the threat of independence and sovereignty, territorial integrity and the conduct of an independent policy.” (Art. 4)

“Each of the High Contracting Parties shall... refrain from implementing measures that destabilize the economic situation of the other Contracting Party.” (Art. 7)

22. Are there any additional limits to the alliance obligations or conditions under which treaty obligations do not apply that were not listed in #19? (Yes, No) If Yes, describe.

No.

23. Is a specific target/threat mentioned as the object of the treaty? (Yes, No) (Answering Yes to this question does not necessarily mean that obligations are limited only to this adversary.) If Yes, list the target nation(s) (using COW country codes if possible) and describe the general nature of the reference to the target of the treaty.

No.

24. Are the treaty obligations symmetric? (That is, do all members commit to the same obligations?) (Yes, No) If No, describe.

Yes.

25. Does the treaty prohibit members from settling conflicts independently (no separate peace)? (Yes, No) If Yes, describe.

No.

26. Does the treaty have provisions requiring that the contracting parties consult before making commitments to third parties (excluding no separate peace provisions discussed above)? (Yes, No) If Yes, describe these provisions.

No.

27. Does the treaty specify that the contracting parties must not enter into any other alliances that are directed against the alliance in question? (Yes, No) If Yes, describe.

Yes.

“The High Contracting Parties... undertake not to enter into military alliances... directed against the other High Contracting Party.” (Art. 3)

28. Additional coder comments regarding treaty obligations:

“Each of the High Contracting Parties shall inform the other High Contracting Party of economic decisions which may affect its rights and legitimate interests and refrain from implementing measures that destabilize the economic situation of the other Contracting Party.” (Art. 7)

“The High Contracting Parties...will refrain from taking measures aimed at creating unfavorable conditions for cooperation in these areas.” (Art. 9)

SECTION III: INSTITUTIONALIZATION OF THE ALLIANCE

29. Does the treaty make reference to the potential for conflict among members of the alliance? (Yes, No) If Yes, describe.

Yes.

“Disputes and disagreements that may arise in the implementation of the provisions of this Treaty, the High Contracting Parties shall settle by negotiation and consultation.” (Art. 23)

30. Does the treaty discuss mediation/arbitration or other means of settling disputes among the signatories? (Yes, No) If Yes, describe.
No.

31. Does the treaty require official contact among the military forces of the participating states? (Yes, No) If Yes, describe. (Note whether official contact is required only in the event of hostilities or also during peacetime.)
No.

32. Does the treaty include provisions for military aid? (e.g., grants, loans, transfer of technology, training) (Yes, No) If Yes, describe these provisions.
No.

33. Does the treaty provide for integrated command of military forces while the alliance is in effect (peacetime as well as wartime)? (Yes, No) If Yes, describe.
No.

34. Does the treaty require subordination of the forces of one or more member states to another in the event of hostilities? (Yes, No) If Yes, describe.
No.

35. Does the treaty establish any organizations? (include provisions for regularly scheduled meetings) (Yes, No) If Yes, describe.
Yes. A joint commission to address border issues (Art. 2)

36. Does the treaty provide for joint military bases, or for one or more states to place troops in the territory of one or more other states? (Yes, No) If Yes, describe.
No.

37. Does the treaty specify contribution levels (funds, troops, etc.)? (Yes, No) If Yes, describe.
No.

38. Does the treaty contain any provisions regarding coordinated increase of armaments, reduction of armaments, prohibition of weapons, or rules of warfare? (Yes, No) If Yes, describe such provisions.
No.

39. Does the treaty explicitly permit or prohibit the acquisition of territory not currently held by either ally? (Yes, No) If Yes, describe reference.
No.

40. Does the treaty include discussion of the division of gains from any future conflict? (Yes, No) If Yes, describe.
No.

41. Does the treaty include discussion of demobilization/withdrawal following conflict? (Yes, No) If Yes, describe.
No.

42. Are there any other provisions in the treaty that describe the means through which the states will coordinate their military efforts and policies? (Yes, No) If Yes, describe.
Yes.

“High Contracting Parties shall promote the strengthening of collective security, and strengthening the role of the peacekeeping UN, OSCE and improve the effectiveness of the settlement of regional conflicts and other situations that affect the interests of the High

Contracting Parties shall coordinate their positions in these areas in order to implement if necessary joint or concerted action.” (Art. 5)

43. Additional coder comments regarding references to alliance institutionalization:

SECTION IV: TREATY CONTEXT

44. Does the treaty state that it nullifies any existing treaties signed by one or more of the contracting parties? (Yes, No) If Yes, list the treaties/agreements that are nullified and describe the treaty reference.

Yes. The current treaty replaces the treaty of friendship, cooperation and mutual assistance signed on June 24, 1992. (Art. 25) (ATOP 4276)

45. Does the treaty state that it modifies any existing treaties signed by one or more of the contracting parties? (Yes, No) If Yes, list the treaties/agreements that are modified and describe the treaty reference.

No.

46. Does the treaty state that it includes any existing treaties signed by one or more of the contracting parties? (Yes, No) If Yes, list the treaties/agreements that are included and describe the treaty reference.

No.

47. Does the treaty make any references to international organizations? (Yes, No) If Yes, list the international organization and describe the nature of the reference.

Yes. UN and OSCE as a framework for peace and security cooperation (Preamble, Art. 5)

48. Does the treaty make any references to other existing alliances? (Yes, No) If Yes, list the alliance and describe the nature of the reference.

Yes. OSCE-see #47.

49. Are there any companion agreements referenced in the treaty? (Yes, No) If Yes, describe the agreements.

No.

50. Does the treaty include statements regarding non-military cooperation (e.g., economic, cultural, scientific exchange)? (Yes, No) If Yes, describe.

Yes. Cooperation in the protection of the rights of citizens living in the territory of the other party (Art. 6)

Cooperation in economic policy and economic-trade relations (Art. 7, 8, 10)

Cooperation in the fields of science, culture, education, technology and environment; cooperation in the fields of industry, agriculture, transport, tourism, communication and energy (Art. 8)

Cooperation in transit transport operations (Art. 9, 12)

Cooperation in exchange of information in the fields of economy, science, technology and culture (Art. 10)

Cooperation in the protection of property rights of the residents living in the territory of the other party (Art. 11)

Cooperation in the fields of education and culture (Art. 13)

Cooperation in the field of science and technology (Art. 14)

Cooperation in public health (Art. 15)

Cooperation in environmental protection (Art. 16)

Cooperation in diplomatic and consular activities (Art. 17)

Interparliamentary and intergovernmental cooperation (art. 18)

Cooperation in the fight against organized crime, terrorism (Art. 19)

51. Does the treaty resolve other conflicts among the parties to the alliance? (Yes, No) If Yes, describe.

No.

52. Does the treaty propose/enforce settlement of a conflict not involving parties to the alliance? (Yes, No) If Yes, describe.

No.

53. Does the treaty propose other agreements among the contracting parties? (Yes, No) If Yes, describe.

Yes.

Agreement on cooperation in the field of science and technology (Art. 14)

Agreement on the implementation of the provisions of the current agreement (Art. 22)

54. Does the treaty mention unresolved conflicts among the contracting parties? (Yes, No) If Yes, describe.

No.

55. Does the treaty include provisions for economic aid or other enticements (include trade concessions, post war recovery, etc.)? (Yes,

No) If Yes, describe these provisions.

Yes. The treaty provides that they shall take necessary measure to ensure each other the most favored in all areas of economic cooperation (Art. 7).

56. Does the treaty describe circumstances under which one party may intervene in the internal politics of another party or specifically commit the states to non-intervention? (Yes, No) If Yes, describe.

Yes.

“The High Contracting Parties reaffirm their commitment to actively develop their relations based on ... the principles of non-interference in each other’s affairs...” (Art. 2)

SECTION V: DOCUMENTATION

57. Additional coder comments on this alliance treaty: The original language of this treaty is Russian and the text is translated by using the Google Chrome browser.

58. Source of coding information (e.g., treaty, treaty and secondary sources, secondary sources only, etc.):

Treaty: Treaty of Eternal Friendship between Kazakhstan and Uzbekistan

In Version 3.0, the treaty was coded based on secondary sources.

59. Treaty citation: Version 3.0: Xinhua News Agency October 31, 1998 (LexisNexis)
 ITAR-TASS News Agency October 31, 1998
 Keesing’s Record of World Events (“Signing of Key Documents with Kazakhstan”) Nov. 1998
Version 4.0: Uzbekistan Ministry of Justice: <http://lex.uz/docs/2553826> (accessed on June 7, 2018)

60. Date of last revision of this coding sheet: June 21, 2018

61. Coder: Michaela Mattes, Jaewook Chung, Jessica Edry, and Ashley Leeds

Version 4.0: Q14 revised by Nicholas Coulombe on June 3, 2018