

ALLIANCE TREATY OBLIGATIONS AND PROVISIONS (ATOP)  
CODING SHEET

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SECTION I: FORMATION, MEMBERS, AND DURATION

1. ATOP ID: 4998

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

3. Signature date(s) (may vary for members in multilateral alliances):  
March 12, 2002

4. Members of alliance (use COW country codes):  
2 United States  
704 Uzbekistan

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.)  
Executive Agreement.

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.  
No.

11. Are there conditions under which members may renounce the treaty? If Yes, describe these conditions.  
No.

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 (LexNex Source: Trend Daily Economic News, July 26, 2012)

15. Describe what caused the alliance to terminate.  
N/A.

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

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

18. Describe the obligations of the alliance partners.

“Recognizing that the security of states in the region is key to the development, prosperity, and stability of Central Asia, and developing a qualitatively new, long-term relationship, the United States affirms that it would regard with grave concern any external threat to the security and territorial integrity of the Republic of Uzbekistan. Were this to occur, the United States will consult with the Republic of Uzbekistan on an urgent basis to develop and implement an appropriate response in accordance with U.S. Constitutional procedures.” (Art. 1.1)[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)

Yes.

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

Location. Central Asia. More specifically threats to Uzbekistan.

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.

No.

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.

No. Consultation is primarily about Uzbekistan's security.

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.

No.

28. Additional coder comments regarding treaty obligations:

### 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.

No.

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.

Yes. Cooperation in modernizing and reforming the Armed Forces of Uzbekistan, including training specialists, officers and

command staff of the Armed Forces of Uzbekistan; training in military personnel of Uzbekistan in using up-to-date information and computer technologies; providing assistance in modernizing, restoring and re-equipping the Armed Forces of Uzbekistan with weapons and military hardware; and providing military-technical assistance to Uzbekistan in developing in its military infrastructure, and strengthening the logistical and training/methodological foundation of military educational institutions(Art. 2.3). Note, however, that the article specifically says “may cooperate”.

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.

No.

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.

No.

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.

No.

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 (UN Charter), OSCE(Helsinki Final Act, Charter for a New Europe)(Preamble), NATO(security cooperation with

the NATO framework)(Art. 2.4), IMF(cooperation with international financial organization in Uzbekistan's macroeconomic policy)(Art. 3.2), and WTO(cooperation with international trade organizations in Uzbekistan's trade policy).(Art. 3.4)

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, and NATO. 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 area of democratization of Uzbekistan(Art. 1.2); cooperation for combating against terrorism and organized crime(Art. 2.2); cooperation for disaster and emergency prevention(Art. 2.5); cooperation for the domestic market reform of Uzbekistan(Art. 3.2); cooperation in invest and trade(Art. 3.4); cooperation in the fields of specialized training, education, public health, and environmental protection(Art. 4.1); cooperation in the fields of science and technology(Art. 4.2); cooperation in the field of human rights(Art. 4.3); cooperation in the field of information among the mass-media, non-governmental media to promote a broad and free exchange of information(Art. 4.4); inter-parliamentary cooperation(Art. 5.2); and cooperation between law-enforcement agencies(Art. 5.3).

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.

“The Sides agree to discuss the possibility of entering into a Science and Technology Agreement between their governments that could provide significant mutual benefits.” (Art. 4.2)

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.

Provision of priority and long-term assistance to support Uzbekistan's economic reforms (Art. 3.3)

Humanitarian aid (Art. 4.1)

“Provision by the U.S. side of technical and financial assistance in strengthening and developing the Republic of Uzbekistan's system of scientific institutions through exchanges and grant programs consistent with U.S. law; and -- such other forms of cooperation as the Sides see fit.” (Art. 4.2)

Again, the latter two state “may cooperate”

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 Sides should implement bilateral cooperation and develop a strategic partnership based on the universally recognized principles and norms of international law; (...) non-interference in each other's internal affairs.” (Art. 1.1)

## SECTION V: DOCUMENTATION

57. Additional coder comments on this alliance treaty:

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

Treaty: Declaration on the Strategic Partnership and Cooperation Framework between the United States of America and the Republic of Uzbekistan.

59. Treaty citation: US State Department (available at: <http://2001-2009.state.gov/p/eur/rls/or/2002/11711.htm>: accessed 12 June 2012 )

60. Date of last revision of this coding sheet: June 18, 2013

61. Coder: Jaewook Chung and Ashley Leeds