

ALLIANCE TREATY OBLIGATIONS AND PROVISIONS (ATOP)
CODING SHEET

Brett Ashley Leeds with Jeffrey M. Ritter, Sara McLaughlin Mitchell, and Andrew G. Long
Department of Political Science, Rice University, P.O. Box 1892-MS 24, Houston, TX 77251-1892
Version 8.0; August, 2000

SECTION I: FORMATION, MEMBERS, AND DURATION

1. ATOP ID: 2035.
2. COW Alliance # (if applicable): 3021.
3. Signature date(s) (may vary for members in multilateral alliances):
July 3, 1916.
4. Members of alliance (use COW country codes):
365 Russia
740 Japan.
5. Was the alliance signed during war? If so, which war, and which member(s) was at war? (check COW data)
Yes. Japan and Russia were both involved in COW war #106, WW I.
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.
Secret.
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 agreement shall remain in force until July 1/14, of the year 1921 (Art.V).
11. Are there conditions under which members may renounce the treaty? If Yes, describe these conditions.
Yes. In the event the other contracting party does not deem it necessary twelve months prior to the end of said period, to declare its willingness to continue the present agreement in force, then the said agreement shall continue in force for a period of one year after the declaration of one of the contracting parties disclaiming the said agreement (Art.V).
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):
November 8, 1917.
15. Describe what caused the alliance to terminate.
Russia abrogates existing international commitments following revolution.

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
Defense Pact.

17. Type of alliance as coded in COW data (if applicable): Defense Pact.

18. Describe the obligations of the alliance partners.

Both the high contracting parties recognize that the vital interests of one and the other of them require the safeguarding of China from the political domination of any third power whatsoever, having hostile designs against Russia or Japan; and therefore mutually obligate themselves, in the future at all times when circumstances demand, to enter into open-hearted dealing, based in complete trust, in order to take necessary measures with the object of preventing the possibility of occurrence of said state of affairs (Art.I).

In the event, in consequence of measures taken by mutual consent of Russia and Japan, on the basis of the preceding article, a declaration of war is made by any third power (...) against one of the contracting parties, the other party, at the first demand of its ally, must come to its aid (Art.II).

The conditions under which each of the high contracting parties will lend armed assistance to the other side, by virtue of the preceding article, as well as the means by which such assistance shall be accomplished, must be determined in common by the corresponding authorities of one and the other contracting party (Art.III).

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- specific location, prior agreement.

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

Russia and Japan consult on safeguarding China. With respect to the defense clause, it becomes active if a declaration of war against one of the allies is made as a consequence of agreed upon actions regarding China and this ally demands support.

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.

Yes. It is requisite to have in view that neither one nor the other of the contracting parties must consider itself bound by article II of this agreement to lend armed support to its ally, unless it be given guarantees by its allies that the latter will give its assistance corresponding in character to the importance of the approaching conflict (Art.IV).

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.

Yes. Threats to China (710).

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.

Yes. Each of the contracting parties hereby covenants, in the event such a condition arises, not to conclude peace with the common enemy, without the preliminary consent of its ally (Art.II).

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.
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.
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.

Yes. The conditions under which each of the high contracting parties will lend armed assistance to the other side, by virtue of the preceding article, as well as the means by which such assistance shall be accomplished, must be determined in common by the corresponding authorities of one and the other contracting party (Art.III).

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.

Yes. The governments affirm the existing secret agreement of July 17/30, 1907, June 21/July 4, 1910, and June 25/July 8, 1912 (Preamble).

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.

No.

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. The governments affirm the existing secret agreement of July 17/30, 1907, June 21/July 4, 1910, and June 25/July 8, 1912 (Preamble).

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.

No.

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.

No.

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.

No.

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.

No.

SECTION V: DOCUMENTATION

57. Additional coder comments on this alliance treaty: BFSP, vol.110,p.922 prints the publicly released version of this treaty which is entirely different than the secret version coded here.

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

59. Treaty citation: CTS, vol.221, p.367.

60. Date of last revision of this coding sheet: 02/24/05.

61. Coder: Andrew Long, Michaela Mattes, Ashley Leeds.