

ALLIANCE TREATY OBLIGATIONS AND PROVISIONS (ATOP)
CODING SHEET

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SECTION I: FORMATION, MEMBERS, AND DURATION

1. ATOP ID: 6053
2. COW Alliance # (if applicable): N/A
3. Signature date(s) (may vary for members in multilateral alliances):
June 14, 2013
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.
Section 16 – "This Agreement is concluded for an indefinite period."
11. Are there conditions under which members may renounce the treaty? If Yes, describe these conditions.
Yes.
Section 16 – "This agreement shall terminate upon the expiration of six months from the date of receipt by one Party through the diplomatic channels of the corresponding written notification of the other Party of its intention to terminate it."
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 as per Kazakh Legislature: <http://adilet.zan.kz/kaz/docs/Z1400000201>
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.)

Nonaggression Pact

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

18. Describe the obligations of the alliance partners.

Section 2 (1) – “The parties confirm their obligation to refrain from the use of force or the threat of force in interstate relations, undertake not to join military alliances or to participate in any groupings of states, as well as in actions directed against the other Party.”

Section 2 (3) – “The Parties do not take any action, including the conclusion of agreements with third countries, damaging the sovereignty, security, and territorial integrity of the other party”

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.

N/A

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.

Section 2 (3) – “None of the Parties allows the use of its territory by third states to the detriment of the state sovereignty, security, and territorial integrity of the other Party.”

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.

Sections 2(1) and 2(3) both commit parties not to enter into alliances or any agreements directed at the other party.

28. Additional coder comments regarding treaty obligations:

Section 2 (2) – “In the event of a situation that could negatively affect the mutual security interest or the security interests of one of them, by mutual agreement, an appropriate consultation mechanism shall be put into place to coordinate positions and coordinate practical measures to resolve such an action”

Section 3 (2) – “The parties, recognizing the inviolability of state borders, provide each other with comprehensive support in preventing the threat to their independence, sovereignty, and territorial integrity.”

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 –

Section 14 – “Disputes and disagreements that may arise during the implementation of the provisions of this Agreement, the Parties will resolve through negotiations and consultations”

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.
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.

The United Nations – Preamble confirms commitment to principles in Charter of the United Nations. Section 4 promises cooperation in the UN and its agencies.

International Fund for Saving the Aral Sea – Section 8 outlines using this organization as the framework to carry out water, energy, and environmental cooperation.

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.

Kazakhstan – Uzbekistan Eternal Friendship (ATOP# 4910) – In the Preamble, the Eternal Friendship Agreement provides the basis for this new agreement.

Helsinki Final Act/OSCE (ATOP# 3740) – Preamble states that this treaty confirms its commitments to goals and principles set forth by the Helsinki Final Act.

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.

Section 4 – Cooperation in the nuclear non-proliferation regime

Section 5 – Expand beneficial trade including diversification of products

Section 6 – Oil and gas cooperation, particularly taking measures to ensure uninterrupted supply.

Section 7 – Transportation/logistical cooperation

Section 8 – Water and environmental cooperation

Section 9 – Emergency and disaster cooperation

Section 10 – Science and technology cooperation

Section 12 – Cooperation in neutralizing terrorism and extremism

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: Coded from google translation from Kazakhstan legislative website

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

59. Treaty citation: <http://adilet.zan.kz/kaz/docs/Z1400000201>

60. Date of last revision of this coding sheet: 7/7/2020

61. Coder: Nicholas Coulombe and Ashley Leeds