

ALLIANCE TREATY OBLIGATIONS AND PROVISIONS (ATOP)
CODING SHEET

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Version 8.0; August, 2000

SECTION I: FORMATION, MEMBERS, AND DURATION

1. ATOP ID: 4235

2. COW Alliance # (if applicable):
NA

3. Signature date(s) (may vary for members in multilateral alliances):
May 25, 1992

4. Members of alliance (use COW country codes):
365 Russia
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.
120 months (Article 40)

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.
Automatic renewal for another 10 years unless one of the parties denounces in writing within six months of expiration.
(Article 40)

13. Number of times alliance renewed, dates of renewal, and means by which alliance was renewed (Do not include automatic renewals):
Confirmed in declaration 6 July 1998

14. Termination date(s) (may vary for members in multilateral alliances) and source(s) for termination dates(s):
Still in effect according to Kazakhstan MFA- website visited 6/2/04
Version 4.0: In effect as of October 15, 2017 according to Russian Ministry of Foreign Affairs
[\(http://www.mid.ru/ru/foreign_policy/international_contracts/\)](http://www.mid.ru/ru/foreign_policy/international_contracts/)

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.)
Defense Pact, Consultation Pact, Nonaggression Pact

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

NA

18. Describe the obligations of the alliance partners.

Consultation:

Article 5. "In the event of the occurrence of a situation which, in the opinion of one of the (parties), creates a threat to peace, disrupts peace in the Eurasian region, or violates the essential interests of its security, it can turn to the other (party) with a request for immediate consultation.

The parties will exchange the appropriate information or when necessary, carry out coordinated measures to overcome such a situation.

Article 6. "...the parties) also hold consultation on the possible providing of aid to third states in the outbreak of military conflicts between these states and another party."

Nonaggression:

Article 1. "The parties establish their relations as friendly states, in consistently following the principles of ...the rejection of force or the threat of forces, including economic and other methods of pressure, ..."

Article 6: "Each of the parties is to refrain from involvement in or support of any actions or measures directed against the other party..."

Defense:

Article 5. "...In the event of the commission of an act of aggression against one of the parties or both, the parties will provide each other with the necessary aid, including military."

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)

None

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

NA

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.

Article 10: "The parties will prohibit and prevent, ..., the founding and operation on their territories, of organizations and groups as well as the actions of individuals aimed against the independence, territorial integrity of both states, or at exacerbating inter-ethnic relations."

Article 6: "Each of the parties is to refrain from involvement in or support of any actions or measures directed against the other party, and does not allow its territory to be used in the aim of preparing or implementing aggression or the violent actions against the other party, ...

Article 4. "The (parties), ... , are to allow the joint employment of military bases, test ranges and other defense-end facilities which are located on their territories, as well as the use by the armed forces of one side of the defense-end facilities located on the territory of the other side."

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.

Consultation is contingent upon the request (Article 5)

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.

Article 6: "The (parties) will not participate in any alliances or blocs directed against either of them."

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.

Yes. Article 37 declares that disputes over the interpretation and application of the treaty will be settled over talks.

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.)

Yes. Article 3. "The (parties) are to cooperate in every possible way in ensuring a dependable joint defense within the common military-strategic area on the basis of coordinated provisions in the military doctrines and the principles of defense sufficiency"

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

Article 3. "(Russia) will provide assistance in the founding and developing of the Armed Forces of (Kazakhstan)..."

Article 7: "The (parties) are to carry out a coordinated military-technical policy, including the financing of approved military programs and they are to collaborate in converting the defense industry.

The parties are to conduct a coordinated policy in the sphere of the export and import of military technology and weapons in observing the established international rules."

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.

Article 2: "... the parties on a regular basis hold consultations on the questions which are of mutual interest (in foreign policy), including international problems."

Article 37: "In the aim of implementing the current Treaty, the parties will hold regular, at least twice a year, bilateral consultations on the problems of its execution and when necessary will establish the appropriate coordinating bodies."

Article 9: "The parties, when necessary, will, by concluding separate agreements, establish joint coordinating bodies which may be required for carrying out the provisions in Articles 2-8 of the current Treaty."

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.

Article 8 declares that nuclear weapons shall be removed from Kazakhstan in order for it to comply with the Treaty on Nuclear Non-Proliferation.

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.

Article 3: "... The parties are to coordinate the principles and procedures for the joint use of facilities for monitoring air space and outer space as well as other monitoring facilities in their reciprocal interests."

Article 7: "The (parties) are to carry out a coordinated military-technical policy, including the financing of approved military programs and they are to collaborate in converting the defense industry.

The parties are to conduct a coordinated policy in the sphere of the export and import of military technology and weapons in observing the established international rules."

43. Additional coder comments regarding references to alliance institutionalization:
No

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.

Article 39: "With the coming of the current Treaty into force, the Treaty Between the Kazakh Soviet Socialist Republic and the Russian Soviet Federative Socialist Republic of 21 November 1990 becomes null and void."

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.

United Nations—the parties confirm their adherence to the UN charter and support strengthening the peace-keeping role of the UN.

Commonwealth of Independent States—the parties consider the joint agreements within the CIS.

Article 16: "The parties are to cooperate in various international economic, financial and other organizations and institutions"

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. Conference on Security and Collaboration in Europe—the parties confirm their adherence to the obligations assumed in the CSCE.

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.

Article 11 (civil rights)

Article 13 (migration)

Article 14 (protecting minorities in each state)

Article 15 (bilateral commission on human rights)

Article 16 (commercial exchange/customs union)

Article 17 (most favored nation status in trade)

Article 19 (energy)

Article 20 (transportation)

Article 21 (export of oil and natural gas)

Article 22 (property rights)
Article 23 (environment/ecology)
Article 24 (pollution prevention)
Article 25 (space research)
Article 26 (culture)
Article 27 (language)
Article 28 (media)
Article 29 (health)
Article 30 (pensions)
Article 31 (education)
Article 32 (research)
Article 33 (law)
Article 34 (combating organized crime)

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.

Article 9 (establishes joint coordinating bodies for carrying out provisions of Articles 2-8)
Article 12 (protection of rights of foreign nationals)
Article 14 (protecting minorities in each state)
Article 16 (commercial exchange/customs union)
Article 25 (space research)
Article 26 (culture)
Article 30 (pensions)
Article 33 (law)

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. Article 17: “The economic and trade relations of the parties are to be based on the reciprocal granting of the most favored nation clause or national conditions...”

Article 16 : “... The parties, ..., are to carry out a coordinated customs policy and ensure the unobstructed movement of goods, capital and services between them.”

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.

Article 1. “The parties establish their relations as friendly states, in consistently following the principles of ..., noninterference in internal affairs”

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

59. Treaty citation: Russia and Eurasia Documents Annual 1992 (vol. 2) p. 92-97

60. Date of last revision of this coding sheet: July 27, 2004

61. Coder: Andrew Long, Ashley Leeds

Version 4.0: Q14 revised by Nicholas Coulombe, October 15, 2017