

ALLIANCE TREATY OBLIGATIONS AND PROVISIONS (ATOP)
CODING SHEET

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SECTION I: FORMATION, MEMBERS, AND DURATION

1. ATOP ID: 4023

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

3. Signature date(s) (may vary for members in multilateral alliances):
February 20, 1991

4. Members of alliance (use COW country codes):
369 Ukraine (became a COW system member on December 26, 1991)
705 Kazakhstan (became a COW system member on December 26, 1991)

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 a term of 10 years (Art. 21).

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.
Yes. The treaty will be automatically extended for the next 10 years unless either Party declares its desire to denounce the treaty in writing not later than six months before the expiration of the treaty (Art. 21).

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):
January 20, 1994
(http://kazakhstan.news-city.info/docs/sistemso/dok_peredo.htm: Accessed on April 14, 2018)

15. Describe what caused the alliance to terminate.
Replaced by the 1994 Agreement on Friendship and Cooperation between Kazakhstan and Ukraine

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.

“The parties recognize each other [as] sovereign states and undertake to refrain from actions that could harm their national sovereignty.” (Art. 1) [Nonaggression]

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.

“The Parties shall [not] apply unilateral economic measures that destabilize their economies and cause damage to the Parties.” (Art. 11)

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.

No.

28. Additional coder comments regarding treaty obligations:

The treaty provides for ensuring the rights of the citizens living in the other party's territory (Art 2, 3)

“The Parties recognize and respect the territorial integrity of the Ukrainian Soviet Socialist Republic and the Kazakh Soviet Socialist Republic in currently existing borders.” (Art. 6)

“The Parties shall [not] apply unilateral economic measures that destabilize their economies and cause damage to the Parties.” (Art. 11)

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 concerning the interpretation or application of this Agreement shall be subject to resolution through negotiation.” (Art. 16)

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. But the treaty provides that the parties consider it necessary to establish a permanent inter-parliamentary commission on cooperation (Art. 18)

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 (Preamble and Art. 7) as a framework for peace and security

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.

No.

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 facilitating the expression, preservation and development of ethnic, cultural, linguistic and religious identity of national minorities (Art. 4)

Cooperation in the fields of politics, economy, science, education, culture, health, environment, technology, trade, humanitarian and other fields (Art. 5)

Cooperation in foreign policy; Interaction in learning and consolidation of human values, human rights and the protection of civil rights;

Cooperation in the formation and development of common economic, legal, humanitarian and media space; Cooperation in customs policy; Cooperation in management systems of energy, transport and communications; Cooperation in the field of environmental

protection; Cooperation in migration policy; Cooperation in the fight against crime, including international crime (Art. 8)

Cooperation for mitigating the consequences of the Chernobyl disaster (Art. 9)

Cooperation in the fields of economic, trade, scientific and technical relations (Art. 11)

Coordination of pricing policies (Art. 12)

Cooperation in transit transportation (Art. 13)

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 the issues of state property (Art. 10)

Agreement on the specific mechanisms of economic relations, trade exchange, and all kinds of communication and transportation (Art. 11)

Agreement on mutual deliveries and service charges for the movement of securities (Art. 12)

Agreement on conditions and procedures for transit transportation operations (Art. 13)

Agreement on procedures for exchange offices and their status (Art. 15)

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, MFN status (Article 11)

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. "Convinced of the need to develop their inter-state relations based on the principles of sovereign equality, non-interference in internal affairs..." (Preamble)

SECTION V: DOCUMENTATION

57. Additional coder comments on this alliance treaty: The original language of this treaty is Ukrainian 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: Agreement between the Ukrainian Soviet Socialist Republic and the Kazakh Soviet Socialist Republic

59. Treaty citation: Ukraine Parliament Website: http://zakon4.rada.gov.ua/laws/show/398_010 (Accessed on April 14, 2018)

60. Date of last revision of this coding sheet: May 18, 2018

61. Coder: Jaewook Chung, Jae-eon Lee, Jessica Edry, Ashley Leeds