

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
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SECTION I: FORMATION, MEMBERS, AND DURATION

1. ATOP ID: # 2485.
2. COW Alliance # (if applicable): #3104.
3. Signature date(s) (may vary for members in multilateral alliances):
10 October 1939.
4. Members of alliance (use COW country codes):
365 USSR
368 Lithuania.
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 period of validity of the treaty is 15 years.
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. If neither of the parties deem it necessary to denounce the treaty one year before its expiry, its validity shall be automatically renewed for a further period of ten years.
13. Number of times alliance renewed, dates of renewal, and means by which alliance was renewed (Do not include automatic renewals):
14. Termination date(s) (may vary for members in multilateral alliances) and source(s) for termination dates(s):
June 15, 1940
15. Describe what caused the alliance to terminate.
Lithuania loses independence due to incorporation in USSR

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

18. Describe the obligations of the alliance partners.

Article II: "The Soviet Union and the Lithuanian Republic undertake to render each other every assistance, including military assistance, should Lithuania be attacked or in danger of attack, or should the Soviet Union be attacked or in danger of attack through Lithuanian territory by any European power." [Defense]

Article V: "In the event of the danger of an attack on Lithuania or on the USSR through Lithuanian territory, the two contracting parties shall immediately discuss the resulting situation and take all measures found necessary by mutual agreement to secure the inviolability of the territories of the contracting parties." [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- specific adversary, specific location.

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

The defense clause applies to aggression or threat of aggression by European Powers. Lithuania must assist the USSR if the attack or danger of attack is through Lithuanian territory.

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.

Lithuania grants USSR bases (Article IV).

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- see #20 & 21.

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. The two parties undertake not to conclude alliances or to take part in coalitions directed against either of the contracting parties (Article VI).

28. Additional coder comments regarding treaty obligations:

The treaty provides for the transfer of the Vilna region by the Soviet Union to Lithuania (Article 1).

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. The Soviet Union undertakes to assist the Lithuanian army on advantageous terms, with armaments or other war material (Article III).

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.

Yes. To protect the state frontiers of Lithuania, Lithuania grants the Soviet Union the right to maintain at its own expense, at points in the Lithuanian Republic to be established by mutual agreement, Soviet land and air armed forces of strictly limited length.... The sites and buildings necessary for this purpose shall be allotted by the Lithuanian Government on lease at a reasonable price (Article IV).

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.
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.

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.

No.

51. Does the treaty resolve other conflicts among the parties to the alliance? (Yes, No) If Yes, describe.

Yes. This treaty also resolves the question of to which the Vilna region belongs to. The territory is transferred by the Soviet Union to Lithuania (Preamble and Article I).

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. Regarding the establishment of the frontier between USSR and Lithuania (Article I), and military bases (Article IV).

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.

Yes. "The coming into force of the present treaty shall not affect in any way the sovereign rights of the contracting parties, in particular their State organization, economic and social system, military measures, and the principle of non-intervention in internal affairs generally." (Article VII)

SECTION V: DOCUMENTATION

57. Additional coder comments on this alliance treaty:

Through version 3.0: The treaty is coded based on the Treaty between USSR and Latvia from October 5, 1939 (ATOP #2480) and the treaty between USSR and Estonia from September 28, 1939 (ATOP 2475). Secondary sources indicate that the USSR signed similar treaties with all 3 states, but we have been unable to locate a copy of the agreement with Lithuania.

Version 4.0: Treaty located.

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

Through version 3.0: Secondary Sources only.

Version 4.0: Treaty

59. Treaty citation:

Version 4.0: Johari, J.C. 2000. Soviet Diplomacy 1925-41: Encyclopedia of International Affairs. Anmol Publications, pp. 54-56.

60. Date of last revision of this coding sheet: 10/27/14.

61. Coder: Michaela Mattes, Ashley Leeds, and Jaewook Chung