

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: # 2560.
2. COW Alliance # (if applicable): N/A.
3. Signature date(s) (may vary for members in multilateral alliances):  
August 17, 1943.
4. Members of alliance (use COW country codes):  
200 United Kingdom  
235 Portugal.
5. Was the alliance signed during war? If so, which war, and which member(s) was at war? (check COW data)  
Yes. The UK was involved in COW war #139, WWII
6. Means by which alliance was established (e.g., treaty, executive agreement, diplomatic notes, etc.): (Only select "treaty" if the agreement requires ratification.)  
Diplomatic Notes.
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.  
No.
11. Are there conditions under which members may renounce the treaty? If Yes, describe these conditions.  
No. But practical adjustments of the agreement may be necessary. Such adjustments need to be sanctioned by a higher level to become effective (Art.10).
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):  
May 30, 1946
15. Describe what caused the alliance to terminate.  
Termination of agreement by mutual agreement (BFSP, v. 146, p.453)

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

18. Describe the obligations of the alliance partners.

The British forces are responsible for the defense of the Lagens airfield (Art.2a). In the event of an attack on the Portuguese mainland as a result of the grant to the UK of facilities in the Azores, the UK will afford the Portuguese government all military support and assistance in their power, namely, for effective defense against such an attack (Art.3a).

The commencement of the use of the facilities in the Azores are dependent upon an undertaking to draw up a plan providing for British cooperation in the defense of Portugal against attack. This plan is to be prepared taking into account the views put forward by the British delegation as to the possibilities of enemy action. A Portuguese delegation will be sent immediately to the UK for this purpose (Art.3.b).

The two governments have agreed to reduce the facilities in Azores to the indispensable minimum in the light of the present agreement, in the light of new circumstances (Art. 8)

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)

Specific ongoing conflict

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

The neutrality promise is related to “ the present strategic situation” – WWII.

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. Portugal agrees to grant unrestricted access for refueling, supply of fresh water and food in the port of Horta, use of Ponta Delgada, unrestricted use by aircrafts of Lagens airfield, use of ports and harbor facilities in Terceira island, facilities for use at the airfield of Rabo de Peixe, permission to lay a submarine cable between Horta and Terceira island (Art.1). The UK will furnish war material and specialized technical personnel, give protection to Portuguese merchant ships, give most friendly consideration to new supplies of material for the Portuguese government, promises to review war trade and supply purchase agreements in order to solve the difficulties for the public, in particular food and fuel (Art.3-6).

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. The UK promises to protect Portugal (and support it in other ways) in return for Portugal's permission to use bases in the Azores, and Portugal agrees to remain neutral in WWII.

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:

### 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.)

Yes. A Portuguese delegation will be sent immediately to the UK in order to draw up a plan providing for British cooperation in the defense of Portugal against attack (Art.3.b).

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 UK will furnish war material and specialized technical personnel and give most friendly consideration to new supplies of material for the Portuguese government (Art.3-5).

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. Portugal agrees to grant unrestricted access for refueling, supply of fresh water and food in the port of Horta, use of Ponta Delgada, unrestricted use by aircrafts of Lagens airfield, use of ports and harbor facilities in Terceira island, facilities for use at the airfield of Rabo de Peixe, permission to lay a submarine cable between Horta and Terceira island (Art.1).

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.  
Yes - The UK promises to review war trade and supply purchase agreements in order to solve the difficulties for the public, in particular food and fuel (Art.6).
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. A complementary agreement will be made for providing for the same rapid clearance through customs in the Azores of war material and supplies for the British forces as in the case of war material and supplies for the Portuguese forces (Art.1). There shall be a complementary agreement shall regulate the furnishing of war materials and of specialized technical personnel (Art.3). Complementary agreements will be concluded with respect to war trade and purchase agreements (Art.6). Complimentary agreements will be made between the two governments relative to the military security of the Azores, especially the control of communications and as regards Axis national and other foreigners (Art.9).
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. The UK promises to review war trade and supply purchase agreements in order to solve the difficulties for the public, in particular food and fuel (Art.6).
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:
58. Source of coding information (e.g., treaty, treaty and secondary sources, secondary sources only, etc.): Treaty.
59. Treaty citation: BFSP, vol.146, p.447.
60. Date of last revision of this coding sheet: 02/17/05.
61. Coder: Andrew Long, Michaela Mattes, Ashley Leeds