

ALLIANCE TREATY OBLIGATIONS AND PROVISIONS (ATOP)  
CODING SHEET

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SECTION I: FORMATION, MEMBERS, AND DURATION

1. ATOP ID: 6020
2. COW Alliance # (if applicable): N/A.
3. Signature date(s) (may vary for members in multilateral alliances):  
August 16, 2007
4. Members of alliance (use COW country codes):  
705 Kazakhstan  
710 China  
703 Kyrgyzstan  
365 Russia  
702 Tajikistan  
704 Uzbekistan
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.  
Yes. Article 23: "Upon entry into force, this Treaty shall be open for accession by any State that has become a member of the Organization..."
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. "This Treaty shall be concluded for an indefinite period..."(Art. 23)
11. Are there conditions under which members may renounce the treaty? If Yes, describe these conditions.  
Yes. Article 23: "This Treaty shall remain in force for any Contracting Party while it is a Member State of the Organization. The participation of a Contracting Party in this Treaty shall cease automatically on the date of the termination of its membership in the SCO."
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 (SCO website-visited on 14 April 2018 (<http://eng.sectsco.org/>))
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  
Consultation Pact

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

18. Describe the obligations of the alliance partners.

“The Contracting Parties shall settle differences between them peacefully, guided by the Charter of the United Nations and universally recognized principles and norms of international law, as well as the Charter of the Shanghai Cooperation Organization of 7 June 2002.” (Art. 2) [Nonaggression]

“In case of a situation threatening its security, a Contracting Party may hold consultations within the Organization with other Contracting Parties to provide an adequate response to the situation that emerged.” (Art. 6) [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)

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 Contracting Parties, respecting principles of state sovereignty and territorial integrity, shall takes measures to prevent on their territories any activity incompatible with these principles.” (Art. 4)

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.

Yes. Consultation is conditional upon request.

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. “The Contracting Parties shall not participate in alliances or organizations directed against other Contracting Parties...”(Art. 4)

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.

“The Contracting Parties shall settle differences between them peacefully...” (Art. 2)

“The Contracting Parties shall respect the principle of inviolability of borders and make active efforts to build confidence in border regions in the military sphere, determined to make the borders with each other borders of eternal peace and friendship.” (Art. 5)

“Disputes related to the interpretation or implementation of the provisions of this Treaty shall be settled through consultations and negotiations between the Contracting Parties.” (Art. 22)

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 it was formed in connection with the Shanghai Cooperation Organization.

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 SCO (Preamble, Art. 2, Art. 7). Both in terms of peace and security framework.

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.

SCO. See #47

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. Fight against terrorism, separatism and extremism; transnational crime(Art. 8); cooperation in the field of border security and customs control, and provision of financial and information security(Art. 8); cooperation between law enforcement and judicial authorities(Art. 9); cooperation in the field of human rights(Art. 11); cooperation in the fields of trade, investments and technologies(Art. 13); cooperation in international financial institutions(Art. 14); cooperation in the sphere of industry, agriculture, finance, energy, transport, science and technology, innovation, information, telecommunication, and air space(Art. 15); cooperation in legal sphere; cooperation in environmental protection(Art. 17); and cooperation in the fields of culture, art, education, science, technologies, health, tourism, and sport(Art. 19)

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, but Article 3 states "The Contracting Parties shall respect one another's right to choose a path for political, economic, social and cultural development on the basis of the historical experience and national features of each State."

## 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: UNTS No. 50518

60. Date of last revision of this coding sheet: June 21, 2018

61. Coder: Jaewook Chung, Jessica Edry, Ashley Leeds