

ALLIANCE TREATY OBLIGATIONS AND PROVISIONS (ATOP)
CODING SHEET

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SECTION I: FORMATION, MEMBERS, AND DURATION

1. ATOP ID:3030
2. COW Alliance # (if applicable):
3123
3. Signature date(s) (may vary for members in multilateral alliances):
August 14, 1945
4. Members of alliance (use COW country codes):
365 USSR
710 China
5. Was the alliance signed during war? If so, which war, and which member(s) was at war? (check COW data)
Yes. Both members were involved in World War II (COW war #139) at the time, but it ended on the very same day the alliance was signed.
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.
360 months.
11. Are there conditions under which members may renounce the treaty? If Yes, describe these conditions.
Yes. Article 8: after initial 30 years period only.
12. Are there specific provisions in the treaty concerning renewal of the treaty? (Yes, No) If Yes, describe these provisions.
Treaty will be automatically renewed after 30 years for an unlimited period, provided neither party denounces it one year in advance.
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):
February 14, 1950 (UNTS no.3103)
15. Describe what caused the alliance to terminate.
New alliance between Communist China and Soviet Union (ATOP ID# 3200)

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, Offense pact.

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

Defense Pact

18. Describe the obligations of the alliance partners.

Article I: "The (parties) undertake jointly with the other United Nations to prosecute the war against Japan until final victory is achieved. The (parties) mutually undertake to afford one another all necessary military and other assistance and support in this war."

Article III: "Should either of the (parties) become involved in hostilities with Japan in consequence of an attack by the latter against that Party, the other (party) will at once render to the (party) so involved in hostility all the military and other support and assistance in its power."

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 -offense

Adversary - Japan

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

Limits are based on attack by Japan, and refer to prosecuting the current war against it.

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.

No

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.

Article III: "This article shall remain in force until such time as, at the request of both (parties), responsibility for the prevention of further aggression by Japan is placed upon the 'United Nations' Organization."

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.

Yes. 740 Japan. See #18

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.

Article II: "The (parties) undertake not to enter into separate negotiations with Japan or conclude, except by mutual consent, any armistice or peace treaty either with the present Japanese Government or any other Government or authority set up in Japan that does not clearly renounce all aggressive intentions."

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 IV: "Each (party) undertakes not to conclude any alliance and not to take part in any coalition directed against the other (party)."

28. Additional coder comments regarding treaty obligations:

China agrees to recognize independence of Outer Mongolia- Exchange of Notes No. 3

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. Exchange of notes (1.1): "...the (USSR) agrees to render China moral support and assist her with military supplies and other material resources, it being understood that this support and assistance will go exclusively to the National Government..."

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.

Yes - Companion Agreement 5.

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. Companion Agreement IV describes joint use of naval base at Port Arthur.

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.

Yes. Once Japanese expelled from 3 Eastern Provinces of China. (Exchange of Notes 1 and 2)

41. Does the treaty include discussion of demobilization/withdrawal following conflict? (Yes, No) If Yes, describe.

Yes. Minutes describe the withdrawal of Soviet troops from North China following war. No agreement reached, but promise of three weeks was made by Stalin.

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:

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.

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

United Nations-treaty is not in conflict with rights of states in UN and they will defend one another until UN takes over responsibility of preventing aggression by Japan.

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. United Nations - the parties undertake jointly with the other United Nations to prosecute the war against Japan (Article 1)

49. Are there any companion agreements referenced in the treaty? (Yes, No) If Yes, describe the agreements.

Four companion agreements were signed on the same day. One regarding Changchun railway, one concerning Port Dairen,, one concerning Port Arthur, and one on military relations.

50. Does the treaty include statements regarding non-military cooperation (e.g., economic, cultural, scientific exchange)? (Yes, No) If Yes, describe.

Article VI: "The (parties) agree to afford one another all possible economic assistance in the post-war period in order to facilitate and expedite the rehabilitation of both countries and to make their contribution to the prosperity of the world."

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.

Yes. Article VI: "The (parties) agree to afford one another all possible economic assistance in the post-war period in order to facilitate and expedite the rehabilitation of both countries and to make their contribution to the prosperity of the world."

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 V: "The (parties), ..., agree to work together in close and friendly collaboration ... in accordance with the principles of mutual respect for each other's sovereignty and territorial integrity and non-intervention in each other's 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: UNTS no. 68

60. Date of last revision of this coding sheet: July 15, 2004

61. Coder: Andrew Long, Ashley Leeds

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