

ALLIANCE TREATY OBLIGATIONS AND PROVISIONS (ATOP)
CODING SHEET

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SECTION I: FORMATION, MEMBERS, AND DURATION

1. ATOP ID: 5030
2. COW Alliance # (if applicable): N/A.
3. Signature date(s) (may vary for members in multilateral alliances): December 23, 2002
4. Members of alliance (use COW country codes):
710 China
705 Kazakhstan.
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 20 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. The treaty will be automatically extended for another 5 years unless one of the parties notifies its intention to terminate the treaty in writing no later than 1 year before the term of the treaty (Art. 19)
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.
Version 4.0: In effect as of June 1, 2018 according to Ministry of Foreign Affairs, China
(http://www.fmprc.gov.cn/web/gjhdq_676201/gj_676203/yz_676205/1206_676500/sbgx_676504/)
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 actively develop and strengthen the good-neighborly friendship and mutually beneficial cooperation in conformity with the generally recognized principles and norms of international law, the principles of mutual respect for sovereignty and territorial integrity, mutual non-aggression, non-interference in internal affairs...” (Art. 1)[Nonaggression]

“In the case of aggravation of the international and regional situation or crisis situations that may pose a threat to peace or security interests of either Contracting Party, the Contracting Parties shall immediately enter into contact with each other in order to consult and develop measures to prevent the threat.” (Art. 14)[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.

No.

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 treaty stipulates that the two sides will not enter into any military or political alliance directed against the other side. Nor will they sign any treaty or agreement with a third country that will harm the sovereignty, security, or territorial integrity of the other side. Neither side will allow any third country to use its territory to hurt the sovereignty, security, or territorial integrity of the other. Neither side will allow on the establishment or existence of any organization or group on its territory that will harm the sovereignty, security, or territorial integrity of the other side. (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.

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.

Yes. The treaty stipulates that the two sides will not enter into any military or political alliance directed against the other side. Nor will they sign any treaty or agreement with a third country that will harm the sovereignty, security, or territorial integrity of the other side. Neither side will allow any third country to use its territory to hurt the sovereignty, security, or territorial integrity of the other. Neither side will allow on the establishment or existence of any organization or group on its territory that will harm the sovereignty, security, or territorial integrity of the other side. (Art. 4)

28. Additional coder comments regarding treaty obligations:

“The Contracting Parties shall...strictly abide by the relevant treaties of the border between the two countries...” (Art .2)

Support of one China policy (Art. 3)

“Kazakhstan Contracting Party confirms that it will not establish official relations with Taiwan and [not] maintain official contacts with [Taiwan] in any form” (Art. 3)

China reaffirms its commitment to no first use of nuclear weapons (Art. 5)

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. The treaty requires peacetime official contacts between the troops and defense ministries of the two countries. The two sides will keep regular high-profile political dialogue and consultation so as to enhance mutual trust. The two sides will expand military exchange and cooperation in military technology, and promote friendly contacts between the troops and defense ministries of the two countries.

“Contracting Party on the basis of previous agreements and the agreements will carry out the military and military-technical cooperation, which is not directed against third countries, will expand and deepen the confidence-building measures in the military field with a view to strengthening the security of each of the Contracting Parties. In the same vein, the Contracting Parties shall expand military exchanges at various levels, all-round friendly relations between the defense departments, military institutions and personnel of the armed forces of the two countries to help each other and promote the education and training of military personnel and specialists.” (Art. 6)

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.

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.

Yes. China reaffirms its commitment to no first use of nuclear weapons (Art. 5)

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. It makes reference to the United Nations (Preamble, Art. 13) and the Shanghai Cooperation Organization (SCO) (Art. 11, 12). The two sides maintain that the resolution of international disputes should abide by the principles of the UN Charter and that SCO provides an effective mechanism for safeguarding and maintaining regional peace and stability, for promoting common development, and for combating terrorism. The two sides will support the development of the Shanghai Cooperation Organization, which plays an important role in safeguarding regional security and stability, and in promoting economic cooperation between member countries.

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. It refers to the alliance under the Shanghai Cooperation Organization and sings high praise for the role the alliance plays in promoting regional peace and stability.

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.

Economic-trade cooperation (Art. 7)

Cooperation in the protection of the rights of nationals living in the territory of the other party; protection of intellectual property rights (Art. 8)

Cooperation in the fields of science and technology, transport, aerospace, aviation, information communication technology and energy (Art. 9)

Cooperation in environmental protection (Art. 10)

Cooperation in the fields of culture, education, tourism, health care, social security, culture and sport (Art. 11)

Cooperation in the fight against terrorism, separatism and extremism (Art. 15)

Cooperation in international financial organizations (Art. 16)

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.

`Yes. Art.1. "The Contracting Parties shall actively develop and strengthen the good-neighborly friendship and mutually beneficial cooperation in conformity with the generally recognized principles and norms of international law, the principles of ... non-interference in internal affairs..." (Art. 1)

SECTION V: DOCUMENTATION

57. Additional coder comments on this alliance treaty:

The obligations summarized above are based on contents of the Sino-Kazakhstan Joint Statement on 06/03/2003 and on news reports. It is probable that they are not inclusive and not accurate enough.

Coded from Chinese by Bing Yuan.

Version 4.0: The original language of this treaty is Russian 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.):

Secondary sources only: the joint statement and other secondary sources.

Treaty: Treaty of Friendship and Cooperation between the Republic of Kazakhstan and the People's Republic of China

59. Treaty citation:

Full text of the joint statement from <http://www.chinacourt.org>, but not the treaty itself.

Version 4.0: <http://adilet.zan.kz/rus/docs/P030000362> (Accessed on August 9, 2013)

60. Date of last revision of this coding sheet: July 26, 2017

61. Coder: Bing Yuan, Jaewook Chung and Ashley Leeds.

Version 4.0: Q14 revised by Nicholas Coulombe on June 1, 2018