

ALLIANCE TREATY OBLIGATIONS AND PROVISIONS (ATOP)  
CODING SHEET

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SECTION I: FORMATION, MEMBERS, AND DURATION

1. ATOP ID: 4810, phase 2 (Shanghai Cooperation Organization (SCO) Declaration)
2. COW Alliance # (if applicable): #3624
3. Signature date(s) (may vary for members in multilateral alliances):  
June 15, 2001
4. Members of alliance (use COW country codes):  
710 China,  
705 Kazakhstan,  
703 Kyrgyzstan,  
365 Russia  
702 Tajikistan  
704 Uzbekistan.  
750 India (6/10/2015)  
770 Pakistan (6/10/2015)
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.)  
Executive agreement.
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. The SCO declares its willingness, on the basis of consensus, to admit as new members States which share the objectives and goals of cooperation within the framework of the organization and the principles set forth in paragraph 6 and also other provisions of this Declaration and whose admission may help achieve that cooperation (Art.7).
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. Article XV (1) states that the agreement has no expiration date (will remain effective on a long-term basis). Article XV(2) states that if any of the two sides (i.e. China and the alliance between Kazakhstan, Kyrgyzstan, Russia, and Tajikistan) decides to terminate the agreement and notifies the other side in writing six months in advance, the agreement will become invalid six months after the issuance of the written notification. Article XV(4) adds that the agreement is to last as long as China and at least one member country of the alliance remain committed.
11. Are there conditions under which members may renounce the treaty? If Yes, describe these conditions.  
Yes. Article XV(2) and (3) state that any of the two sides (i.e. China and the alliance between Kazakhstan, Kyrgyzstan, Russia, and Tajikistan) or any member country of the alliance has the right to withdraw from the agreement. The party or country that decides to withdraw must notify the other party in writing at least six months in advance.
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- official website of the Shanghai Cooperation Organization.

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): Nonaggression/Neutrality Pact.

18. Describe the obligations of the alliance partners.

Art I: neither side may use border troops for attacks on the other side. Nor may it threaten the use of force or engage in any military activity that may disrupt the security and stability of the border regions.

Art II: (1)In order to enhance mutual trust, the sides are to exchange as much information as previously agreed upon regarding military forces and border troops.

(2)Neither side may conduct military exercises with the other side as the supposed enemy.

(3)Either side must restrict the scale, frequency and the territorial size of military exercises.

(4)Either side must inform the other side about any important military activity and alteration of troops upon emergency.

(5)Either side must inform the other side about troops and armaments that temporarily enter the region that is within 100 km to each side of the Sino-CIS border (known as the 200-kilometer wide security zone).

(6)Either side may or must (depending on scale) invite observers from the other side to watch its military exercises.

(7)Either side must inform the other party about marine warships that temporarily enter the region within 100 km to each side of the eastern border between China and Russia.

(8) Both sides must take measures to forestall any dangerous military activity.

(9) Either side may question any suspicious circumstances.

(10)Both sides need to promote the friendly relationship between border troops and to implement other agreed-upon measures to built mutual trust.

The States members of the Shanghai Cooperation Organization firmly adhere to the principles of (...) resolution of all issues through joint consultations, non-interference in internal affairs, non-use or threat of use of military force, and renunciation of unilateral military advantage in contiguous areas (SCO declaration, Art.5).

The States members of the Shanghai Cooperation Organization shall strengthen the consultation mechanism and coordinate action on regional issues and international problems (Art.10).

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.

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.

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.  
No.
28. Additional coder comments regarding treaty obligations:  
Art III through XII elaborate on specific requirements (e.g. information to exchange, restriction on the scale and frequency of military maneuvers, etc.) regarding the obligations listed above.

### 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.)  
Art X requires that leaders of the military forces of the participating states are to make official contacts during peacetime. Military deputies and expert teams at all levels are to visit each other and to promote mutual understanding. This is for the purpose of confidence building.
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.  
Yes. The Shanghai Cooperation Organization is established. Annual official meetings of the heads of State and regular meetings of the heads of Government of the member States shall be held alternately in each of the member States. In order to expand and intensify cooperation in all spheres, new mechanisms may be established, as necessary, in addition to the existing mechanisms for meetings of the heads of the relevant departments, and also permanent and temporary expert working groups may be convened to study plans and proposals on the further development of cooperation (Art.3, SCO Declaration). In order to coordinate cooperation and organize interaction between the competent ministries and departments of the States members of the Shanghai Cooperation Organization, a council of national coordinators of the member States of this organization is hereby established. The activities of this council shall be determined by the provisional statute approved by the Ministers for Foreign Affairs of the member States. The council of national coordinators shall be instructed, on the basis of this Declaration and the documents adopted earlier by the heads of State in the framework of the Shanghai Five, to formulate a draft Charter of the Shanghai Cooperation Organization (Art.11, SCO Declaration). The also establish a regional anti-terrorist structure of the Shanghai Cooperation Organization with headquarters in Bishkek (Art.8).
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. Neither side may conduct military exercises with the other side as the supposed enemy (Art.II.2).

Article II, (3) Either side must restrict the scale, frequency and the territorial size of military exercises.

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. The States members of the Shanghai Cooperation Organization firmly adhere to the purposes and principles of the Charter of the United Nations (Art.5).

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.

The SCO Declaration refers to agreements on confidence-building in the military field and on the mutual reduction of armed forces in the border area signed in Shanghai and Moscow in 1996 and 1997 respectively by the heads of the People's Republic of China, the Republic of Kazakhstan, the Kyrgyz Republic, the Russian Federation and the Republic of Tajikistan (Preamble, Art.6).

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. Art X (6) states that both parties may invite each other to ethnic festive celebrations, to cultural activities and to sports events. The parties encourage effective cooperation between them in the political, trade and economic, scientific and technical, cultural, educational, energy, transport, environmental and other spheres; and to undertake joint efforts for the maintenance of peace, security and stability in the region, and the building of a new, democratic, just and rational international political and economic order (SCO Declaration, Art.2 and 6). They cooperate on combating terrorism, separatism and extremism (Art.8). Trade and economic cooperation (Art.9).

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. It proposes that a Charter for the SCO shall be designed (SCO Declaration, Art.11).
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 States members of the Shanghai Cooperation Organization firmly adhere to the principles of (...) resolution of all issues through joint consultations, non-interference in internal affairs, non-use or threat of use of military force, and renunciation of unilateral military advantage in contiguous areas (SCO declaration, Art.5).

## SECTION V: DOCUMENTATION

57. Additional coder comments on this alliance treaty:  
Phase 2. Bing Yuan read the Charter of the SCO (June 7, 2002) – there are no major differences  
Version 4.0: Nick Coulombe read the English version of the Charter – there are still no major differences.
58. Source of coding information (e.g., treaty, treaty and secondary sources, secondary sources only, etc.):  
Treaty.
59. Treaty citation:  
<http://eng.sectsc.org/documents/> - Official SCO Website
60. Date of last revision of this coding sheet: June 15, 2018
61. Coder: Bing Yuan, Michaela Mattes, Ashley Leeds, Jessica Edry