

ALLIANCE TREATY OBLIGATIONS AND PROVISIONS (ATOP)  
CODING SHEET

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SECTION I: FORMATION, MEMBERS, AND DURATION

1. ATOP ID: 4539

2. COW Alliance # (if applicable): N/A

3. Signature date(s) (may vary for members in multilateral alliances):  
January 20, 1994

4. Members of alliance (use COW country codes):  
705 Kazakhstan  
369 Ukraine

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 10 years (Art. 27).

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 renewed for successive 10 year periods unless one of the Contracting Parties declares its desire to terminate the treaty in writing at least 6 months before the expiration of the term of the treaty (Art. 27).

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 as of April 14, 2018 according to the MFA website of Ukraine  
([http://zakon4.rada.gov.ua/laws/card/398\\_007](http://zakon4.rada.gov.ua/laws/card/398_007))

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 High Contracting Parties shall base their relations on mutual respect, trust and agreement on the principles of respect for independence, sovereignty, territorial integrity and inviolability of borders, equality and non-interference in the internal affairs of other countries, use of force or threat of force, including economic and other means of pressure, peaceful settlement of disputes...” (Art. 1) [Nonaggression]

“The High Contracting Parties undertake to refrain from participation or support of any action against the other party, never, under any circumstances, will use its armed forces against each other.” (Art. 4) [Nonaggression]

“In the event of a situation that creates, in the opinion of one of the Parties, a threat to peace, abusive or affecting the interests of its security, territorial integrity and sovereignty, it may request the other Party to hold consultations without delay a proposal. The Parties shall exchange relevant information and seek to harmonize the necessary measures to overcome such situations.” (Art. 4) [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)

Yes.

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

Consultation is contingent upon request.

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.

No use of economic or other means of pressure against the other party (Art. 1)

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:

### 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 High Contracting Parties shall base their relations on mutual respect, trust and agreement on the principles of...peaceful settlement of disputes...” (Art. 1)

“Disputes concerning the interpretation and execution of this Agreement shall be settled through consultation and negotiation between the High Contracting Parties.” (Art. 25)

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.  
Yes.  
A meeting will be held at the highest level at least once a year (Art. 3)  
The parties will hold bilateral consultations at least twice a year (Art. 25)

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:  
Parties may establish joint committees to address specific issues (Art. 3)  
If necessary, they will create a joint intergovernmental commission (Art. 25)

#### 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.

Yes. The present treaty replaces the treaty between the Kazak SSR and the Ukrainian SSR signed on 20 February 1991.

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 and CSCE (or OSCE) as a framework for peace and security (Preamble and Art. 2); CSCE as a framework for protection of the rights of citizens living in the territory of another country (Art. 7)

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. CSCE-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.

Cooperation to protect the rights of citizens and national minorities living in the territory of the other party (Art. 6, 7, 9)

Cooperation to promote and protect the ethnic, cultural, linguistic and religious identity of national minorities living in the territory of the other party (Art. 9)

Promotion of exchanges between citizens, community and other organizations (Art. 10)

Inter-parliamentary cooperation (Art. 11)

Economic cooperation (Art. 12)

Cooperation in the fields of energy, transport and information and communications (Art. 14)

Cooperation in transit operations (Art. 15)

Cooperation in the field of agriculture and food security (Art. 16)

Cooperation in the field of education; cooperation in the field of protection of intellectual and industrial property rights (Art. 17)

Cooperation in the field of basic and applied research (Art. 18)

Cooperation in the fields of culture, information, tourism and sports (Art. 19)

Cooperation in environmental protection (Art. 20)

Cooperation to minimize the effects of the Chernobyl disaster (Art. 21)

Cooperation in the fight against organized crime, terrorism, etc (Art. 22)

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.

Agreement on military cooperation (Art. 5)

Agreement on consular convention and legal assistance in civil and criminal matters (Art. 7)

Agreement on the principles of cooperation to ensure the rights of national minorities (Art. 9)

Agreement on the issues of state property (Art. 13)

Agreement on the conditions and procedures for the transit of persons and goods across the territory of the parties (Art. 15)

Agreement on the cooperation in the field of agriculture and food security (Art. 16)

Agreement on the opening of cultural centers in the territory of the other party (Art. 19)

Agreement on the implementation of the present treaty (Art. 24)

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. Both parties grant preferential treatment to each other (Art. 12)

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 High Contracting Parties shall base their relations on mutual respect, trust and agreement on the principles of...non-interference in the internal affairs of other countries ...” (Art. 1)

#### SECTION V: DOCUMENTATION

57. Additional coder comments on this alliance treaty: 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.):

Treaty: Treaty of Friendship and Cooperation between Kazakhstan and Ukraine

59. Treaty citation: [http://kazakhstan.news-city.info/docs/sistemso/dok\\_peredo.htm](http://kazakhstan.news-city.info/docs/sistemso/dok_peredo.htm) (Accessed on April 14, 2018)

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

61. Coder: Jaewook Chung, Jae-eon Lee, Jessica Edry, Ashley Leeds