Web Appendix for "Prior Commitments: Compatible Interests versus Capabilities in Alliance Behavior" by Douglas M Gibler and Toby J. Rider.

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Version 2.01 of the System Membership Data, 1648 to 1815.

We use this brief memo to outline an update of my original system membership and alliance data, 1648-1815 (Gibler, 1999). In my earlier article, We used the original Correlates of War state membership criteria first developed in Russett, Singer and Small (1968) and later expanded in Singer and Small (1972) and Small and Singer (1982). The criteria include states that: (1) Have a population greater than 500,000, and (2) are "sufficiently unencumbered by legal, military, economic, or political constraints to exercise a fair degree of sovereignty and independence?" (Singer and Small, 1972: 20). The second criterion is operationalized prior to 1920 as recognition by Britain and France, and after 1920 as formal recognition by any two major states or membership in the League of Nations or United Nations (1972: 21). To extend the state membership data to 1648, WE added Sweden as a major state capable of recognizing minor states since Sweden was one of the guarantors of the Peace of Westphalia. We kept the population threshold at 500,000 for the entire 1648 to 1815 period.

Gleditsch and Ward (1999), however, criticize the original Correlates of War criteria. They describe in detail both the problems with the original criteria and the inconsistencies in the application of these criteria to the system membership data. More importantly for the pre-1816 period, they identify 19 states that should have been included in the Correlates of War system membership data by 1816 – these states are listed in Table 1:

TABLE 1: List of Independent States added to the System circa 1816 by Gleditsch and Ward (1999)

COW Code	State Name	Autonomy[1] & Recognition	Population[2] 250,000	Population[2] 500,000	Year of Entry (1648-1815)
700	Afghanistan	1747	1648	1648	1747
615	Algeria	1710	1648	1648	1710
160	Argentina	1816	1648	n/a	n/a
710	China	1648	1648	1648	1648
41	Haiti	1804	1760	1800	1804
630	Iran (Persia)	1648	1648	1648	1648
740	Japan	1648	1648	1648	1648
730	Korea	1648	1648	1648	1648
620	Libya	1711	1648	1648	1711
280	Mecklenburg-Schwerin	1755	1648	1648	1755
332	Modena	1815	1648	n/a	1815
600	Morocco	1648	1648	1648	1648
790	Nepal	1648	1648	1648	1648
698	Oman	1648	1675	n/a	1648
150	Paraguay	1811	1750	n/a	1811
335	Parma	1815	n/a	n/a	1815
800	Thailand	1648	1648	1648	1648
616	Tunisia	1666	1648	1648	1666
815	Vietnam	1648	1648	1648	1648

[1]Autonomy and recognition criterion are based upon the "historical setting" descriptions of the state books in the Area Handbook Series published by the Deaprtment of the Army (USA). German and Italian state histories provided additional information (see bibliography).

[2]Population statistics are based mostly upon trend lines found in McEvedy and Jones (1979); Modena and Parma data are augmented by Babuscio and Dunn (1984: 344-347); "n/a" is used when the population threshold is not crossed until after 1815.

To adjust the original data using Gleditsch and Ward's criticisms, we compared the date by which each state received both independence and recognition to the date each state passed two population thresholds. The independence and recognition dates were determined using the "Area Handbook Series" from the United States Army (Nelson, 1985; Nyrop, 1986; Rudolph, 1986; Weil, 1986; Shinn, 1987; Nelson, 1988; Cima, 1989; LePoer, 1989; Metz, 1989a; 1989b; Hanratty, et al., 1990;Dolan, and Worden, 1992; Savada, et al., 1992; Savada, 1993; 1994), while the population statistics were found in . Both sets of dates are presented in columns three through five of Table 1.[1] The latter of these dates represent each state's entry into the system, listed in the final column. In all, there should be 19 states added to my original data according to the Gleditsch and Ward coding rules.

Version 2.01 of the Formal Interstate Alliance Data, 1648 to 1815.

The alliance data are divided into three types according to the "response required in certain specified contingencies". Defense Pacts commit states to intervene militarily on the side of any treaty partner that is attacked. Neutrality and Non-Aggression Pacts specify that parties remain militarily neutral if any co-signatory is attacked. (The neutrality pact is usually more specific than the more sweeping non-aggression pact.) Finally, Ententes pledge consultation and possibly cooperation in a crisis, including armed attack.

Applying the revised system membership data to these alliance membership criteria, we add 6 more defense pacts and an additional entente to the previous alliance data set (Parry, 1969). Each new alliance involves one major state – the Netherlands, Russia, Great Britain, or France.[2] The seven alliances added to the original dataset are listed in Table 2.

TABLE 2: Additional Formal Alliances, 1648-1814, using revised system membership data.					
Date Formed (or Renewed)	Date of Termination	States Involved	Listing*	Alliance Type	War Time?
2/1651	1666	Netherlands	2 CTS 279	3	0
3/1657		Morocco			
9/1723	1804	Iran (Persia)	31 CTS 423	1	0
1735		Russia			
5/1788	5/1794	Mecklenberg-Schwerin	50 CTS 321	1	0
		Netherlands			
1/1801	5/1807	Iran (Persia)	55 CTS 455	1	0
		Great Britain (England)			
5/1807	1808	Iran (Persia)	59 CTS 167	1	1
		France			
3/1809	10/1856	Iran (Persia)	60 CTS 355	1	1
11/1814		Great Britain (England)	63 CTS 405		
6/1809	10/1838	Afghanistan	60 CTS 437	1	1
		Great Britain (England)			
*All treaty texts can be found in the Consolidated Treaty Series (Parry, 1979).					
Volume and page numbers are listed above.					

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[1] Population statistics were based upon estimates published in McEvedy and Jones (1979) and Babuscio and Dunn (1984). In 13 out of 19 cases, both the ¼ million and the ½ million population thresholds were passed by 1648. Argentina received its independence in 1816, and Haiti achieved its independence in 1804 after it crossed the higher population threshold. Therefore, only 4 of the 19 states would be omitted if the original coding rule were retained. Of these remaining four states, the Italian city-states of Parma and Modena were established as independent duchies in 1815, which makes the population criterion apply to only one year of this data set for each of these cases. Similarly, Paraguay achieved its independence in 1811 leaving four more system years affected.

In the end, a lowered population threshold of 250,000 would only greatly alter the inclusion of Oman on the Arabian Peninsula. It was an independent entity by 1648 but passed 250,000 in total population by 1675. Oman did not reach a total population of 500,000 prior to 1816. According to the coding rules adopted by Gleditsch and Ward (1999), the inclusion of Oman should be backdated to its recognition as an independent entity and would thus be included in the system by 1648. Therefore, in sum, a total of 173 system years (167 for Oman and 6 for the states of Paraguay, Parma and Modena) are sensitive to a lowered population threshold. The inclusion of Oman, Parma, Modena, and Paraguay, does not alter the (1648-1815) alliance data since no alliances were formed by these states during this period.

[2] For a discussion of major state status prior to 1815, see Levy (1983). The effective duration of these alliances were measured from the date of treaty signature until the date of alliance abrogation. For the alliances in Table 2, abrogation usually occurred following changes in domestic leadership. This is true for all four of the alliances involving Iran (Persia) in which new political elites renounced earlier alliance ties. The remaining three alliances either ended in conflict or with treaty-defined end dates.