Codebook for "Explaining Incompleteness and Conditionality in Alliance Agreements"

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This codebook describes the variables in the replication dataset for "Explaining Incompleteness and Conditionality in Alliance Agreements." The unit of observation is an alliance obligation. We define an alliance obligation as an agreement by one or more states to take military action against another state (or states). An alliance can create more than one obligation. The dataset covers all ATOP alliances that, according to ATOP, create an offensive or defense obligation. If an alliance has multiple phases, only the first phase is included, as the focus of the dataset is on the initial design of alliances.

Alliances can create multiple obligations when the are asymmetric. Asymmetric alliances can enter the dataset as one observation or multiple observations. If a subset of members agree to take military action under some conditions, and the remaining members do not agree to take action under any conditions, the alliance will enter the dataset as a single obligation. If one subset of members agrees to take military action under one set of conditions, but another agrees to take military action under a different set of conditions, the alliance will enter the dataset as multiple observations.

Alliances can also create multiple obligations when states agree to take action in multiple types of situations. If the conditions under which an alliance is triggered are additive (i.e., an attack by a specific adversary on a specific alliance member), the alliances enters the dataset as one observation. If the conditions under which an obligation applies are alternatives (i.e., an attack on a member or the rejection of an ultimatum by an adversary), the alliance will enter the dataset as multiple observations.

The dataset only includes alliance obligations in which one or more members of the alliance agree, under some set of conditions, to take military action against another state. As such, it excludes alliances that create obligations to take military action against non-state actors, like insurgents. It also excludes obligations created by alliances in which the militaries of two or more states are formally combined. In such cases, alliance members are no longer independent actors.

The replication dataset includes the following variables.

- `atop_id [numeric]`: The ID number assigned to the alliance by ATOP.
- `obligation_ID [numeric]`: An ID number for each obligation that an alliance creates.
- `atop_year [numeric]`: The year the alliance was signed, according to ATOP.
- `defense_only [dummy]`: Coded `1` if the alliance obligation is conditional on an attack (a) on one or more members of the alliance or (b) an attack on one or more third parties (states that are not members of the alliance). Coded `0` otherwise.
- `non_provocation [dummy]`: Coded `1` if the obligation is conditional on an attack that was not provoked. Coded `0` otherwise.
- `target_incomplete [dummy]`: Coded `1` if the alliance obligation is conditional on an attack on a specific state (or states) or a war involving a specific state and the identity of that state is vague. The identity of the state is vague if the treaty refers to countries in a geographic area without clearly-defined legal borders. Coded `0` otherwise.
- `adversary_incomplete [dummy]`: Coded `1` if the alliance obligation is triggered by an attack by a specific adversary (or adversaries) or a war involving a specific adversary and the identity of that adversary is vague. The identity of an adversary is vague if the treaty refers to (a) states associated with a named state, (b) states from a geographic area without clearly-defined legal borders, (c) a power or great power, or (d) Zionist or imperialist states. Coded `0` otherwise.
- `location_incomplete [dummy]`: Coded `1` if the alliance obligation is triggered by an attack on a specific region or location and the definition of the location is vague. The definition of a location is vague when the treaty refers to an attack on the parties, the territories of the parties, or third-parties in a geographic area without clearly-defined legal borders. Coded `0` otherwise.

  Note that an alliance can limit obligations to an attack (a) on a specific region or location within the territories of a member, (b) on a region that includes the territories of one or more members of an alliance, or (c) on a region that does not include territories of any of the members. An alliance can limit obligations to an attack on a region with or without mentioning the names of particular states. Alliances sometimes make an obligation conditional on an attack on the territories of one or more members, which implicitly excludes attacks on military persons or assets outside of their borders.

The distinction between a specific target condition and a specific location condition is not always clear-cut. We apply the following coding rules.

- If the obligation is conditional on an attack on the parties, but only on a portion of their territory, we code a specific location condition.
- If the attack is conditional on an attack on a subset of the parties, but only on a portion of their territory, then we code a specific location condition and a specific target condition.
- If the obligation is conditional on an attack on a location that is entirely within the territories of one of the members of the alliance, then we code a specific location condition and a specific target condition.
- If the obligation is conditional on an attack in a particular region, without mentioning particular states, then we code a specific location condition.
- If the obligation is conditional on an attack on states located in a particular region (e.g., an attack on American states), as opposed to an attack in a particular region (e.g., an attack in the Americas), then we code a specific target condition.
- If the obligation is conditional on an attack on members of a regional organization (e.g., the African Community), then we code a specific target condition.

- `target_not_incomplete [dummy]`: Coded `1` if the alliance obligation is conditional on an attack on a specific state (or states) or a war involving a specific state and the identity of that state is clear. The identity of the state is clear if the treaty refers to one or more countries by name. Coded `0` otherwise.
- `adversary_not_incomplete [dummy]`: Coded `1` if the alliance obligation is triggered by an attack by a specific adversary (or adversaries) or a war involving a specific adversary and the identity of that adversary is clear. The identity of an adversary is clear if the treaty refers to one or more countries by name. Coded `0` otherwise.
- `location_not_incomplete [dummy]`: Coded `1` if the alliance obligation is triggered by an attack on a specific region or location and the definition of the location is clear. The definition of a location is clear when the treaty refers to an attack on the parties, the territories of the parties, or third-parties in a geographic area with clearly-defined legal borders. Coded `0` otherwise.

- `number_adversaries [dummy]`: Coded `1` if the obligation is conditional on an attack by a specific number of adversaries, according to ATOP. Coded `0` otherwise.
- `incomplete [numeric]`: An index indicating the number of conditions attached to an obligation that make the alliance more incomplete. The sum of the following variables:
  - `defense_only`
  - `non_provocation`
  - `target_incomplete`
  - `adversary_incomplete`
  - `location_incomplete`
- `not_incomplete [numeric]`: An index indicating the number of conditions attached to an obligation that do not make the alliance more incomplete. The sum of the following variables:
  - `not_target_incomplete`
  - `not_adversary_incomplete`
  - `not_location_incomplete`
  - `number_adversaries`
- `incomplete_no_defense_only [numeric]`: An alternative version of `incomplete`. The sum of the following variables:
  - `non_provocation`
  - `target_incomplete`
  - `adversary_incomplete`
  - `location_incomplete`
- `incomplete_no_europe [numeric]`: An alternative version of `incomplete` that codes any location conditions specify the location as "Europe" as not making the alliance more incomplete, instead of making it more incomplete.

- `not_incomplete_no_europe [numeric]`: An alternative version of `not_incomplete` that codes any location conditions specify the location as "Europe" as not making the alliance more incomplete, instead of making it more incomplete.
- `incomplete_dummy [numeric]`: Coded `1` if `incomplete` is greater than or equal to `1`. Coded `0` otherwise.
- `not_incomplete_dummy [numeric]`: Coded `1` if `not_incomplete` is greater than or equal to `1`. Coded `0` otherwise.
- `democracy [numeric]`: The proportion of signatories that were democracies at the time of signing, where a signatory is coded as a democracy if its Polity score is greater than or equal to `5`.
- `democracy_4 [numeric]`: An alternative version of `democracy` that uses a threshold of `4` instead of `5`.
- `democracy_6 [numeric]`: An alternative version of `democracy` that uses a threshold of `6` instead of `5`.
- `bilateral [dummy]`: Coded `1` if the alliance was bilateral at the time of signing. Coded `0` otherwise.
- `wartime [numeric]`: Coded `1` if the alliance was signed during wartime, according to ATOP. Coded `0` otherwise.
- `count_members [numeric]`: The number of initial members of the alliance, according to ATOP.
- `asymmetric [dummy]`: Coded `1` if the obligation only applies to a subset of the members of the alliance. Coded `0` otherwise.
- `similarity [numeric]`: A measure of preference similarity among alliance signatories from Chiba et al. (2015).
- `post_1945 [dummy]`: Coded `1` if the alliance was signed after 1945. Coded `0` otherwise.
- `offensive_war [dummy]`: Coded `1` if the alliance obligation is conditional on the involvement of one or more signatories in a war, regardless of which state started the war. Coded `0` otherwise.