

**AGREEMENT  
BETWEEN THE UNITED STATES OF AMERICA  
AND THE EEA EFTA STATES  
ON THE MUTUAL RECOGNITION OF CERTIFICATES OF  
CONFORMITY  
FOR MARINE EQUIPMENT**

## PREAMBLE

The United States of America, on the one hand, and the Republic of Iceland, the Principality of Liechtenstein, and the Kingdom of Norway (the EEA EFTA States), on the other,

CONSIDERING the traditional links of friendship that exist between the United States of America (the United States) and the EEA EFTA States;

DESIRING to facilitate trade in marine equipment between them and to increase the effectiveness of each Party's regulatory actions;

RECOGNIZING the opportunities offered to regulators by the elimination of unnecessary duplication of their activities;

NOTING the shared commitment of the Parties to the work of the International Maritime Organization (IMO);

CONSIDERING that the aim of the Parties is enhancing safety at sea and the prevention of marine pollution;

RECOGNIZING, on the one hand, that mutual recognition agreements can positively contribute to greater international harmonization of standards;

BEARING IN MIND, on the other hand, that the determination of equivalence must ensure that the fulfillment of the regulatory objectives of the Parties is fully respected and will not lead to a lowering of their respective levels of safety and protection;

RECOGNIZING that mutual recognition of Certificates of Conformity based on the equivalence of the marine equipment regulations of the United States and EEA EFTA States is an important means of enhancing market access between them;

RECOGNIZING that agreements providing for mutual recognition are of particular interest to small and medium-sized businesses in the United States and the EEA EFTA States;

RECOGNIZING that any mutual recognition also requires confidence in the continued reliability of the conformity assessments of the United States and the

EEA EFTA States;

BEARING IN MIND that the Agreement on Technical Barriers to Trade, an agreement annexed to the Agreement Establishing the World Trade Organization (WTO), encourages WTO Members to enter into negotiations for the conclusion of agreements for the mutual recognition of results of each other's conformity assessment procedures, as well as to give positive consideration to accepting as equivalent the technical regulations of other Members, provided they are satisfied that these regulations adequately fulfill the objectives of their own regulations,

HAVE AGREED AS FOLLOWS:

## CHAPTER 1

### DEFINITIONS AND PURPOSE

#### ARTICLE 1

##### Definitions

1. The following terms and definitions apply to this Agreement:
  - (a) **"Certificate of Conformity"** means the document or documents issued by a Conformity Assessment Body of a Party certifying that a product fulfills the relevant legislative, regulatory, and administrative requirements of that Party. In the United States, this is the Certificate of Type Approval issued by the United States Coast Guard. In the EEA EFTA States, these are the certificates, approvals, or declarations provided for by Directive 96/98/EC, as incorporated in point 1 of Chapter XXXII of Annex II to the EEA Agreement.
  - (b) **"Conformity Assessment Body"** means a legal entity, whether a Regulatory Authority or another body, public or private, that has the authority to issue Certificates of Conformity. For purposes of this Agreement, the Parties' respective Conformity Assessment Bodies are those referred to in Article 6.
  - (c) **"Equivalence of technical regulations"** means that the technical regulations of the United States and the EEA EFTA States related to a specific product are sufficiently comparable to ensure that the objectives of each Side's respective regulations are fulfilled. Equivalence of technical regulations does not require that the respective technical regulations are identical.
  - (d) **"EEA EFTA States"** means those members of the European Free Trade Association that are parties to the Agreement on the European Economic Area (EEA Agreement), i.e., the Republic of Iceland, the Principality of Liechtenstein, and the Kingdom of Norway.
  - (e) **"Party"** means the United States, the Republic of Iceland, the Principality of Liechtenstein, or the Kingdom of Norway, as the case may be.

- (f) **"International Instruments"** means the relevant international conventions, resolutions, codes, and circulars of the International Maritime Organization (IMO), and the relevant testing standards as listed in Annex II.
- (g) **"Regulatory Authority"** means a government agency or entity that has the authority to issue regulations regarding issues related to safety at sea and prevention of marine pollution, that exercises a legal right to control the use or sale of marine equipment within a Party's jurisdiction, and that may take enforcement action to ensure that products marketed within its jurisdiction comply with applicable legal requirements. The Parties' respective Regulatory Authorities are identified in Annex III.
- (h) **"Side"** means the United States or the EEA EFTA States, as the case may be.
- (i) **"Technical regulations"** comprise the mandatory product requirements, testing and performance standards, and conformity assessment procedures laid down in the legislative, regulatory, and administrative provisions of the United States and the EEA EFTA States related to marine equipment, as well as any applicable guidelines for their application.

2. Other terms concerning conformity assessment used in this Agreement have the meaning given elsewhere in this Agreement or in the definitions contained in Guide 2 (1996 edition) of the International Organization for Standardization (ISO) and the International Electrotechnical Commission (IEC). In the event of an inconsistency between ISO/IEC Guide 2 and definitions in this Agreement, the definitions in this Agreement prevail.

## ARTICLE 2

### Purpose of the Agreement

1. This Agreement establishes the conditions under which the United States, on the one hand, and the EEA EFTA States, on the other hand, shall accept Certificates of Conformity issued by the Conformity Assessment Bodies of the other Side in assessing conformity to its own requirements, as specified in Annex I, hereinafter referred to as "mutual recognition".

2. This Agreement also lays down a framework for regulatory cooperation with the objective of maintaining and furthering mutual recognition between the United States and the EEA EFTA States of their respective regulatory requirements for marine equipment; of encouraging the improvement and evolution of regulatory requirements for the purpose of enhancing safety at sea and the prevention of marine pollution; and of ensuring consistent application of this Agreement. This cooperation will take place fully respecting each Party's regulatory autonomy and each Side's evolving policies and regulations, as well as the Parties' shared commitment to the evolution of the relevant International Instruments.

3. This Agreement is intended to evolve as programs and policies of the two Sides evolve. The Parties shall review this Agreement periodically in order to assess progress and identify potential enhancements to this Agreement. In their review, the Parties shall give particular attention to the evolution of the International Instruments.

## CHAPTER 2

### MUTUAL RECOGNITION

#### ARTICLE 3

##### Basic Obligations

1. With respect to each product listed in Annex II, the United States shall accept as complying with its own legislative, regulatory, and administrative provisions as referred to in Annex I, without any further conformity assessment, Certificates of Conformity issued by the Conformity Assessment Bodies of the EEA EFTA States in accordance with the legislative, regulatory and administrative provisions of those States.

2. With respect to each such product, the EEA EFTA States shall accept as complying with their own legislative, regulatory, and administrative provisions as referred to in Annex I, without any further conformity assessment, Certificates of Conformity issued by the U.S. Conformity Assessment Body in accordance with the legislative, regulatory, and administrative provisions of the United States.

3. The technical regulations applicable in the United States and the EEA EFTA States to each such product within the scope of this Agreement are specified in Annex II.

#### ARTICLE 4

##### Equivalence of Technical Regulations

1. The two Sides have determined that their respective technical regulations for each product listed in Annex II are equivalent, as set forth in Article 3.

2. If the two Sides decide to expand upon the product scope of Annex II, the determination of equivalence of technical regulations shall be based on their implementation of the relevant International Instruments in their respective legislation, regulations, and administrative provisions, except where either Side regards that the Instrument would be an ineffective or inappropriate means of fulfillment of its regulatory objectives. In the latter case, equivalency shall be determined on a mutually acceptable basis.

#### ARTICLE 5

##### Marking

Each Side may maintain its respective requirements with regard to the marking, numbering, and identification of products. With respect to the products listed in Annex II, the Conformity Assessment Bodies of the EEA EFTA States shall have the right to issue the marking and numbering required by U.S. legislation and regulations, as allocated to them by the U.S. Coast Guard. The United States Conformity Assessment Body shall be given the identification number provided for in Directive 96/98/EC, as incorporated in point 1 of Chapter XXXII of Annex II to the EEA Agreement, as allocated to it by the Commission of the European Communities, which shall be affixed next to the marking required by that Directive.

## ARTICLE 6

### Conformity Assessment Bodies

1. For purposes of issuing Certificates of Conformity in accordance with the provisions of this Agreement, the following applies:
  - (a) The United States recognizes the Notified Bodies that have been designated by the EEA EFTA States under Directive 96/98/EC, as incorporated in point 1 of Chapter XXXII of Annex II to the EEA Agreement, as Conformity Assessment Bodies of the EEA EFTA States;
  - (b) The EEA EFTA States recognize the United States Coast Guard, together with the laboratories it has accepted under 46 CFR 159.010, as a Conformity Assessment Body of the United States.
  
2. Each Side shall provide that the Conformity Assessment Bodies referred to in paragraph 1 perform the following procedures in relation to the legislative, regulatory, and administrative provisions referred to in Annex I:
  - (a) testing and issuing of test reports, and
  - (b) performing quality assurance functions or system certifications.
  
3. Each Party's Regulatory Authorities are responsible for the following procedures, but may delegate some or all of these functions to its Conformity Assessment Bodies:
  - (a) reviewing equipment design and test results against identified standards, and
  - (b) issuing Certificates of Conformity.
  
4. Prior to the entry into force of this Agreement, the two Sides shall exchange their respective lists of Conformity Assessment Bodies. Thereafter, each Side shall promptly inform the other of any changes to its list of Conformity Assessment Bodies.
  
5. Each Party shall require that the Conformity Assessment Bodies referred to in paragraph 1 record and retain details of investigations of the competence and



compliance of their sub-contractors and maintain a register of all sub-contracting. Each Side shall make these details available to the other on request.

6. Each Party shall require that a Conformity Assessment Body, on request of a Regulatory Authority of the other Side, make available to that Authority, copies of the Certificates of Conformity and related technical documentation that the Conformity Assessment Body has issued.

### CHAPTER 3

#### JOINT COMMITTEE

#### ARTICLE 7

##### Joint Committee

1. The Parties hereby establish a Joint Committee consisting of representatives of each Party. The Joint Committee shall be responsible for the effective functioning of this Agreement.
2. Each Side shall have one vote in the Joint Committee. The Joint Committee shall make its decisions by consensus. The Joint Committee shall determine its own rules of procedure.
3. The Joint Committee may consider any matter relating to the effective functioning of this Agreement. The Joint Committee shall have the authority to take decisions in the cases provided for in this Agreement. The Parties shall take the necessary measures to implement such decisions of the Joint Committee. In particular, the Joint Committee shall be responsible for:
  - (a) developing and maintaining the list in Annex II of products and associated legislative, regulatory, and administrative provisions that the two Sides have determined to be equivalent;
  - (b) discussing issues and resolving problems that may arise concerning the implementation of this Agreement, including concerns that technical regulations of the two Sides applicable to a specific product in Annex II may no longer be equivalent;

- (c) addressing technical, conformity assessment, and technology issues in order to ensure a consistent application of this Agreement, in particular in relation to the relevant International Instruments;
  - (d) amending the Annexes;
  - (e) providing guidance and, if necessary, developing guidelines to facilitate the successful implementation and application of this Agreement; and
  - (f) establishing and maintaining a work plan for aligning and harmonizing the technical requirements of the two Sides;
4. The Joint Committee may establish Joint Working Groups comprising representatives of the Parties' Regulatory Authorities and appropriate experts, as necessary, in order to address and advise the Joint Committee on specific issues related to the functioning of this Agreement.

## CHAPTER 4

### REGULATORY COOPERATION

#### ARTICLE 8

##### Preservation of Regulatory Authority

Nothing in this Agreement shall be construed to limit the authority of a Party to determine, through its legislative, regulatory, and administrative measures, the level of protection it considers appropriate for enhancing safety at sea and reducing marine pollution, or otherwise to act with regard to risks within the scope of this Agreement.

#### ARTICLE 9

##### Exchange of Information and Contact Points

1. The Regulatory Authorities listed in Annex III shall establish appropriate means of exchanging information with respect to the functioning of this Agreement.

2. Each Party shall designate at least one contact point, which may be a Regulatory Authority listed in Annex III, to provide answers to all reasonable inquiries from the other Side and other interested parties such as manufacturers, consumers, and trade associations, regarding procedures, regulations, and other matters related to this Agreement. The two Sides shall exchange, and make publicly available, lists of contact points.

3. Each Side shall make available to the public on the Internet the list of products for which its Conformity Assessment Body(ies) has/have issued Certificates of Conformity and shall update the list on a regular basis.

## ARTICLE 10

### Regulatory Changes

1. When either Side introduces new technical regulations related to this Agreement, it shall do so on the basis of existing International Instruments, except when it considers the Instrument would be an ineffective or inappropriate means for fulfillment of its regulatory objectives.

2. Each Side shall notify the other of changes to its technical regulations related to the subject matter of this Agreement at least 90 days before they have entered into force. Where considerations of safety, health, or environmental protection require more urgent action, the Side taking the action shall notify the other as soon as practicable.

3. The two Sides and their Regulatory Authorities shall inform and consult with each other, as permitted by their respective laws and regulations, on:

- (a) proposals to amend or introduce new technical regulations as laid down in their respective legislative, regulatory, and administrative provisions referred in, or related to, provisions listed in Annexes I and II;
- (b) timely incorporation of amended or new International Instruments into their respective legislation, regulations, and administrative provisions; and
- (c) the renewal of existing and valid Certificates of Conformity when the renewal is required by amended or new legislative, regulatory, or administrative provisions.

4. Each Side shall provide the other with an opportunity to comment on the regulatory changes referred to in paragraphs 1 through 3.
  
5. In the event of changes to the legislation, regulations, and administrative provisions referred to in Annex I and II, the Joint Committee shall consider whether the technical regulations with respect to products listed in Annex II are still equivalent within the terms of Article 4(2).
  - (a) If the Joint Committee decides that certain technical regulations are still equivalent, the product shall be retained in Annex II.
  
  - (b) If the Joint Committee decides that certain technical regulations are no longer equivalent, references to the product and the relevant technical regulations shall be removed from Annex II and the Committee shall issue a decision updating Annex II to reflect the changes. Once mutual recognition has been discontinued, the Parties shall no longer be bound by the obligations referred to in Article 3 for the specific product. However, the importing Party shall continue to recognize previously issued Certificates of Conformity for those products that have been placed on that Party's market prior to the discontinuance of mutual recognition, unless a Regulatory Authority of the Party decides otherwise based on health, safety, or environmental considerations or the other Side's failure to satisfy other requirements within the scope of this Agreement.
  
  - (c) If the Joint Committee cannot agree on whether certain technical regulations are still equivalent, mutual recognition with respect to that product shall be suspended according to the terms of Article 15.
  
6. The two Sides shall make available on the Internet a current version of Annex II.

## ARTICLE 11

### Regulatory Cooperation

1. The two Sides shall cooperate in the IMO and other relevant international organizations such as the International Organization for Standardization (ISO), the International Electrotechnical Commission (IEC) and the International Telecommunication Union (ITU), with a view to establishing and improving

international rules for enhancing safety at sea and the prevention of marine pollution.

2. The two Sides will consider what technical work, data and information exchange, scientific and technological cooperation, or other cooperative activities can be pursued between them with a view to improving the quality and level of their technical regulations applicable to marine equipment and making efficient use of resources for regulatory development.

3. For products that are not listed in Annex II, either because they were not included in Annex II on entry into force of this Agreement, or because equivalence of technical regulations has been discontinued or suspended, each Side undertakes to examine its technical regulations with a view to establishing, to the extent possible, mutual recognition. The two Sides shall endeavor to align their technical regulations to the extent possible on the basis of existing International Instruments in pursuit of the objective of their domestic legislation to enhance safety at sea and improve the prevention of marine pollution.

4. When the two Sides have determined that technical regulations with respect to products not listed in Annex II are equivalent, the Joint Committee shall take a decision to amend Annex II accordingly.

## ARTICLE 12

### Cooperation on Conformity Assessment

1. The representatives of the two Sides, including representatives of their respective Regulatory Authorities, shall consult as necessary to ensure the maintenance of confidence in conformity assessment procedures and Conformity Assessment Bodies. This can take the form of, for example, comparison of methods to verify and monitor the technical competence and ability of Conformity Assessment Bodies and, with the consent of the Parties concerned, joint participation in audits/inspections related to conformity assessment activities or other assessment of Conformity Assessment Bodies.

2. Each Side shall encourage its Conformity Assessment Body(ies) to take part in coordination and cooperation activities organized by the other Side.

## CHAPTER 5

### SURVEILLANCE AND SAFEGUARD MEASURES

#### ARTICLE 13

##### Surveillance of Conformity Assessment Bodies

1. Each Side shall ensure that its Conformity Assessment Body(ies) carry out the functions listed in Articles 6(2) and (3). In this regard, each Side shall maintain, or cause to maintain, ongoing surveillance, as applicable, over each such Conformity Assessment Body by means of regular audit or assessment.
2. If one Side has objective reasons for contesting the technical competence of a Conformity Assessment Body of the other Side, it shall so inform the relevant Party in writing. The relevant Party shall in a timely manner present information in order to refute the contestation or to correct the deficiencies which form the basis of the contestation. If necessary, the two Sides shall discuss the matter in the Joint Committee. If the two Sides cannot agree on the competency of the Conformity Assessment Body, the contesting Side may refuse to grant its marking and/or numbering to the contested Conformity Assessment Body and refuse to recognize Certificates of Conformity it issues.

#### ARTICLE 14

##### Market Surveillance

1. Nothing in this Agreement shall be construed to limit the authority of a Regulatory Authority to take all appropriate and immediate measures
  - (a) whenever it ascertains that a product listed in Annex II may not meet its applicable technical regulations; or
  - (b) whenever it ascertains that a product listed in Annex II, even though it does meet its applicable technical regulations and although it is correctly installed, maintained, and used for its intended purpose, may compromise the health and/or safety of a crew, passengers or, where applicable, other persons, or adversely affect the marine environment.

Such measures may include: withdrawing the product from the market, prohibiting its placement on the market, restricting its free movement, initiating a product recall, and preventing the recurrence of such problems, including through a prohibition on imports. If the Regulatory Authority takes such action, it shall inform the other Side no later than fifteen days after taking such action, providing its reasons for such action.

2. Nothing in this Agreement shall be construed to prevent a Side from removing products from the market that do not in fact conform to that Side's technical regulations.

3. Any applicable border inspections and checks of products which have been certified, labeled, or marked as conforming with the importing Party's requirements specified in Annex I shall be completed as expeditiously as possible. Inspections related to internal movement of such products within a Party's territory shall be completed in no less a favorable manner than for like domestic products.

## ARTICLE 15

### Suspending Mutual Recognition

1. In case one Side considers that the other Side's technical regulations with respect to one or more products listed in Annex II are no longer equivalent, it shall refer the matter to the Joint Committee and provide objective reasons for the referral. The two Sides shall discuss the matter in the Joint Committee. If the Joint Committee does not reach a decision within 60 days of the referral to it, the contesting Side may suspend the mutual recognition obligation with respect to the product(s). The suspension shall remain in effect until the Joint Committee decides otherwise.

2. If mutual recognition is suspended for one or more products under paragraph 1, the Joint Committee shall update Annex II by a decision to reflect the suspension. The two Sides shall cooperate, pursuant to the terms of Article 11, with a view to re-establishing equivalence with respect to the product(s), to the extent possible.

3. On suspension of mutual recognition for one or more products under paragraph 1, the two Sides shall no longer be bound by the obligations referred to in Article 3 for the product(s). However, an importing Party shall continue to

recognize previously issued Certificates of Conformity for product(s) that have been placed on the market of that Party prior to the suspension of mutual recognition, unless a Regulatory Authority of the Party decides otherwise based on health, safety, or environmental considerations or failure to satisfy other requirements within the scope of this Agreement.

## ARTICLE 16

### Alert System

The two Sides shall put into place a two-way alert system between their Regulatory Authorities in order to inform each other of products that have been found not to comply with applicable technical regulations or can pose an imminent danger to health, safety, or the environment.

## CHAPTER 6

### ADDITIONAL PROVISIONS

## ARTICLE 17

### Confidentiality

1. Each Party shall maintain, to the extent permitted under its laws, the confidentiality of information exchanged under this Agreement. In particular, no Party shall disclose to the public, nor permit a Conformity Assessment Body to disclose, information exchanged under this Agreement that constitutes trade secrets, confidential commercial or financial information, or information that relates to an ongoing investigation.
2. A Side or a Conformity Assessment Body may, on providing information to the other Side or a Conformity Assessment Body of the other Side, designate the portions of the information that it wishes to be kept confidential.

## ARTICLE 18

### Fees

Each Party shall endeavor to ensure that fees imposed by its Conformity Assessment Bodies for conformity assessment services with respect to products



covered by this Agreement are commensurate with the services provided. Neither Side shall charge any fees with respect to conformity assessment services provided by the other Side that are covered by this Agreement.

## ARTICLE 19

### Territorial Application

1. This Agreement applies, on the one hand, to conformity assessment procedures performed on products in the territories of the EEA EFTA States, and, on the other hand, to conformity assessment procedures performed on products in the territory of the United States.
2. Without prejudice to paragraph 1, this Agreement applies to products installed on ships entitled to fly the flag of one or more of the Parties, operating in international voyages, regardless of where they are located.

## ARTICLE 20

### Agreements with other Countries

Except where the Parties agree otherwise in writing, no mutual recognition agreement that one Side concludes with a non-Party (third party) shall be construed to require the other Side to accept the results of conformity assessment procedures performed in the territory of the third party.

## CHAPTER 7

### FINAL PROVISIONS

## ARTICLE 21

### Entry into force, amendments and termination

1. This Agreement enters into force on the first day of the second month following the date on which the Depositary has received notices from all Parties confirming that they have completed the procedures they require to implement the Agreement.

2. This Agreement may be amended by the Joint Committee as specified in Article 7 or as the Parties otherwise agree.

3. Any Party may withdraw from this Agreement by giving the other Parties six months notice in writing. If an EEA EFTA State withdraws from this Agreement, the remaining Parties will seek to amend the Agreement, in accordance with paragraph 2 of this Article. If the remaining Parties cannot agree on an amendment to the Agreement, the Agreement shall terminate six months from the date of notice.

4. Following termination of the Agreement, a Party shall continue to accept the results of conformity assessment procedures performed by conformity assessment bodies under this Agreement prior to termination, unless a Regulatory Authority of that Party decides otherwise based on health, safety and environmental considerations or failure to satisfy other requirements within the scope of this Agreement.

## ARTICLE 22

### Depositary

The Government of the Kingdom of Norway, acting as Depositary, shall notify all Parties when it has received all of the notices specified in Article 21(1).

## ARTICLE 23

### Final Provisions

1. This Agreement does not affect the rights and obligations of the Parties under any other international agreement.

2. The Parties shall review the functioning of this Agreement no later than two years after it enters into force and at regular intervals thereafter.

3. This Agreement is drawn up in four originals in the English language.

Done at Washington this 17th day of October 2005:

For the Republic of Iceland

For the United States of America

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For the Principality of Liechtenstein

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For the Kingdom of Norway

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## ANNEX I

### **Legislation, Regulations and Administrative Provisions**

- Legislation, regulations and administrative provisions of the EEA EFTA States:

Council Directive 96/98/EC of 20 December 1996 on marine equipment, as amended, and incorporated in point 1 of Chapter XXXII of Annex II to the EEA Agreement.

The Parties recognize that the "Guide to the Implementation of Directives Based on the New Approach and Global Approach" provides useful guidelines for the implementation of, in particular, conformity assessment procedures falling under this Directive.

- U.S. legislation, regulations and administrative provisions:

46 U.S.C. § 3306

46 CFR Parts 159 to 165

**Product Coverage For Mutual Recognition****Life saving appliances**

Product item identification	Applicable international instruments for construction, performance and testing requirements <sup>1</sup>	EEA EFTA States technical regulations, item number indicated in Annex A.1 of Directive 96/98/EC, as amended	U.S. technical regulations
Lifebuoy self-activating smoke signals (pyrotechnics)  Note: Expiration date not to exceed 48 months after month of manufacture.	LSA Code, sections 1.2, and 2.1.3; Recommendation on Testing, Part 1, paragraphs 4.1 to 4.5, and 4.8, and Part 2, section 4; IMO MSC Circ.980, section 3.3.	A.1/1.3	Guidelines for Approval of "SOLAS" Pyrotechnic Devices, October 1998
Rocket parachute flares (pyrotechnics)  Note: Expiration date not to exceed 48 months after month of manufacture.	LSA Code, sections 1.2, and 3.1; Recommendation on Testing, Part 1, paragraphs 4.1 to 4.6, and Part 2, section 4; IMO MSC Circ.980, section 3.1.	A.1/1.8	Guidelines for Approval of "SOLAS" Pyrotechnic Devices, October 1998
Hand flares (pyrotechnics)  Note: Expiration date not to exceed 48 months after month of manufacture.	LSA Code, sections 1.2, and 3.2; Recommendation on Testing, Part 1, paragraphs 4.1 to 4.5, and 4.7, and Part 2, section 4; IMO MSC Circ.980, section 3.2.	A.1/1.9	Guidelines for Approval of "SOLAS" Pyrotechnic Devices, October 1998
Buoyant smoke signals (pyrotechnics)  Note: Expiration date not to exceed 48 months after month of manufacture.	LSA Code, sections 1.2, and 3.3; Recommendation on Testing, Part 1, paragraphs 4.1 to 4.5, and 4.8; and Part 2, section 4; IMO MSC Circ.980, section 3.3.	A.1/1.10	Guidelines for Approval of "SOLAS" Pyrotechnic Devices, October 1998

<sup>1</sup> "LSA Code" refers to the International Life-Saving Appliance Code adopted on 4 June 1996 (IMO Resolution MSC.48(66)).  
"Recommendation on Testing" refers to the IMO recommendation on Testing of Life-Saving Appliances adopted on 6 November 1991 (IMO Resolution A.689(17)) as amended on 11 December 1998 (IMO Resolution MSC.81(70)).

Product item identification	Applicable international instruments for construction, performance and testing requirements	EEA EFTA States technical regulations, item number indicated in Annex A.1 of Directive 96/98/EC, as amended	U.S. technical regulations
Line-throwing appliances (pyrotechnics)  Note: Expiration date not to exceed 48 months after month of manufacture.	LSA Code, sections 1.2, and 7.1; Recommendation on Testing, Part 1, section 9; and Part 2, section 4; IMO MSC Circ.980, section 7.1.	A.1/1.11	Guidelines for Approval of "SOLAS" Pyrotechnic Devices, October 1998
Rigid liferafts  Note: The emergency pack is not covered by the Agreement	LSA Code, sections 1.2, 4.1 and 4.3; Recommendation on Testing, Part 1, paragraphs 5.1 to 5.16, and 5.20; IMO MSC Circ.811; IMO MSC Circ.980, section 4.2; IMO MSC Circ.1006 or other appropriate standard for hull or fire-retardant covering.	A.1/1.13	Rigid Liferaft – Coast Guard (G-MSE-4) Review Checklist, 27 July 1998
Automatically self-righting rigid liferafts  Note: The emergency pack is not covered by the Agreement	LSA Code, sections 1.2, 4.1 and 4.3; Recommendation on Testing, Part 1, paragraphs 5.1 to 5.16, and 5.18 to 5.21; IMO MSC Circ.809; IMO MSC Circ.811; IMO MSC Circ.980, section 4.2; IMO MSC Circ.1006 or other appropriate standard for hull or fire-retardant covering.	A.1/1.14	Rigid Liferaft – Coast Guard (G-MSE-4) Review Checklist, 27 July 1998
Canopied reversible rigid liferafts  Note: The emergency pack is not covered by the Agreement	LSA Code, sections 1.2, 4.1 and 4.3; Recommendation on Testing, Part 1, paragraphs 5.1 to 5.16, 5.18, and 5.21; IMO MSC Circ.809; IMO MSC Circ.811; IMO MSC Circ.980, section 4.2; IMO MSC Circ.1006 or other appropriate standard for hull or fire-retardant covering.	A.1/1.15	Rigid Liferaft – Coast Guard (G-MSE-4) Review Checklist, 27 July 1998

Float-free arrangements for liferafts (hydrostatic release units)	LSA Code, sections 1.2 and 4.1.6.3; Recommendation on Testing, Part 1, section 11; IMO MSC Circ.980, section 4.3.1;	A.1/1.16	46 CFR 160.062
Product item identification	Applicable international instruments for construction, performance and testing requirements	EEA EFTA States technical regulations, item number indicated in Annex A.1 of Directive 96/98/EC, as amended	U.S. technical regulations
Release mechanism for (a) Lifeboats and rescue boats and (b) Liferafts Launched by a fall or falls  Limited to Davit-launched liferaft automatic release hook	LSA Code, sections 1.2 and 6.1.5; Recommendation on Testing, Part 1, section 8.2; and Part 2, paragraphs 6.2.1 through 6.2.4; IMO MSC Circ.980, section 6.1.3.	A.1/1.26	(Nothing in addition to international instruments)
Marine evacuation systems	LSA Code, sections 1.2 and 6.2; Recommendation on Testing, Part 1, section 12, IMO MSC Circ.980, section 6.2.	A.1/1.27	(Nothing in addition to international instruments)

## Fire protection

Product item identification	Applicable international instruments for construction, performance and testing requirements	EEA EFTA STATES technical regulations, item number indicated in Annex A.1 of Directive 96/98/EC, as amended	U.S. technical regulations
Primary deck coverings	FTP Code Annex 1, Parts 2 & 6, Annex 2; IMO Resolution A.687(17); MSC/Circ. 916; MSC/Circ. 1004.	A.1/3.1	(Nothing in addition to international instruments)
"A" and "B" Class division fire integrity, including: Bulkheads (without windows) Decks Fire doors (with windows no larger than 645 cm <sup>2</sup> ) Ceilings and linings	SOLAS II-2/3.2; II-2/3.4; FTP Code Annex 1, Part 3, and Annex 2; IMO Resolution A.754 (18); MSC/Circ.916; MSC/Circ.1004; MSC/Circ.1005.	A.1/3.11	(Nothing in addition to international instruments)
Non-combustible materials	SOLAS II-2/3.33; FTP Code Annex 1, Part 1, and Annex 2.	A.1/3.13	(Nothing in addition to international instruments)
Fire doors  Limited to fire doors without windows or with total window area no more than 645 cm <sup>2</sup> in each door leaf. Approval limited to maximum door size tested. Doors must be used with a fire tested frame design.	SOLAS II-2/9.4.1.1.2, II-2/9.4.1.2.1, and II-2/9.4.2; FTP Code Annex 1, Part 3; IMO Resolution A.754 (18); MSC/Circ. 916; MSC/Circ. 1004.	A.1/3.16	(Nothing in addition to international instruments)



Product item identification	Applicable international instruments for construction, performance and testing requirements	EEA EFTA STATES technical regulations, item number indicated in Annex A.1 of Directive 96/98/EC, as amended	U.S. technical regulations
Fire door control systems	SOLAS II-2/9.4.1.1.4; 1994 HSC Code 7.9.3.3; 2000 HSC Code 7.9.3.3; FTP Code Annex 1, Part 4.	A.1/3.17	(Nothing in addition to international instruments)
Surface materials and floor coverings with low flame-spread characteristics  Limited to exposed surfaces of ceilings, walls, and floors. Does not apply to pipes, pipe coverings, or cables.	SOLAS II-2/3.29; 1994 HSC Code 7.4.3.4.1 and 7.4.3.6; 2000 HSC Code 7.4.3.4.1 and 7.4.3.6; FTP Code, Annex 1, Parts 2 & 5, and Annex 2; IMO Resolution A.653 (16); ISO 1716 (1973); MSC/Circ. 916, MSC/Circ. 1004 and MSC/Circ. 1008.	A.1/3.18	(Nothing in addition to international instruments)
Draperies, curtains and other suspended textile materials and films	SOLAS II-2/3.40.3; FTP Code Annex 1, Part 7.	A.1/3.19	(Nothing in addition to international instruments)
Upholstered furniture	FTP Code Annex 1, Part 8; IMO Resolution A.652 (16).	A.1/3.20	(Nothing in addition to international instruments)
Bedding components	FTP Code Annex 1, Part 9; IMO Resolution A.688 (17).	A.1/3.21	(Nothing in addition to international instruments)
Fire dampers	SOLAS II-2/9.4.1.1.8, and II-2/9.7.3.1.2; FTP Code Annex 1, Part 3; IMO Resolution A.754 (18); MSC/Circ. 916.	A.1/3.22	(Nothing in addition to international instruments)
Penetrations through 'A' class divisions by electric cables, pipes, trunks, ducts etc.	SOLAS II-2/9.3.1; FTP Code Annex 1, Part 3; IMO Resolution A.754 (18); MSC/Circ. 916, and MSC/Circ. 1004.	A.1/3.26	(Nothing in addition to international instruments)

Product item identification	Applicable international instruments for construction, performance and testing requirements	EEA EFTA STATES technical regulations, item number indicated in Annex A.1 of Directive 96/98/EC, as amended	U.S. technical regulations
Penetrations through 'B' class divisions by pipes other than steel or copper	SOLAS II-2/9.3.2.1; FTP Code Annex 1, Part 3; IMO Resolution A.754 (18); MSC/Circ. 916, and MSC/Circ. 1004.	A.1/3.27	(Nothing in addition to international instruments)

## Navigation equipment

Product item identification	Applicable international instruments for construction, performance and testing requirements	EEA EFTA States technical regulations, item number indicated in Annex A.1 of Directive 96/98/EC, as amended	U.S. technical regulations
Magnetic compass	SOLAS V/19.2.1.1; IMO Resolution A.382 (X); IMO Resolution A.694 (17); ISO 449 (1997), ISO 694 (2000), ISO 1069 (1973), ISO 2269 (1992), IEC 60945 (1996).	A.1/4.1	Navigation and Vessel Inspection Circular NVIC 8-01, enclosure (4), 2/165.101.
Transmitting magnetic heading device (TMHD)	IMO Resolution MSC 86 (70) annex 2; IMO Resolution A.694 (17); ISO 11606 (2000), IEC 60945 (1996), IEC 61162.	A.1/4.2	Navigation and Vessel Inspection Circular NVIC 8-01, enclosure (4), 2/165.102.
Gyro compass	IMO Resolution A.424 (XI); IMO Resolution A.694 (17); ISO 8728 (1997), IEC 60945 (1996), IEC 61162.	A.1/4.3	Navigation and Vessel Inspection Circular NVIC 8-01, enclosure (4), 2/165.103.
Echo-sounding equipment	IMO Resolution A.224 (VII) as amended by IMO Resolution MSC74 (69) Annex 4, IMO Resolution A.694 (17); ISO 9875 (2000), IEC 60945 (1996), IEC 61162.	A.1/4.6	Navigation and Vessel Inspection Circular NVIC 8-01, enclosure (4), 2/165.107.
Speed and distance measuring equipment (SDME)	1994 HSC Code 13.3.2; 2000 HSC Code 13.3.2; IMO Resolution A.824 (19) as amended by IMO Resolution MSC 96(72); IMO Resolution A.694 (17); IEC 60945 (1996), IEC 61023 (1999), IEC 61162.	A.1/4.7	Navigation and Vessel Inspection Circular NVIC 8-01, enclosure (4), 2/165.105.
Rate-of-turn indicator	IMO Resolution A.694 (17); IMO Resolution A.526 (13); IEC 60945 (1996), IEC 61162.	A.1/4.9	Navigation and Vessel Inspection Circular NVIC 8-01, enclosure (4), 2/165.106.

Product item identification	Applicable international instruments for construction, performance and testing requirements	EEA EFTA States technical regulations, item number indicated in Annex A.1 of Directive 96/98/EC, as amended	U.S. technical regulations
Loran-C equipment	IMO Resolution A.694 (17); IMO Resolution A.818 (19); IEC 61075 (1991), IEC 60945 (1996), IEC 61162.	A.1/4.11	Navigation and Vessel Inspection Circular NVIC 8-01, enclosure (4), 2/165.135.
Chakya equipment	IMO Resolution A.694 (17); IMO Resolution A.818 (19); IEC 61075 (1991), IEC 60945 (1996), IEC 61162.	A.1/4.12	Navigation and Vessel Inspection Circular NVIC 8-01, enclosure (4), 2/165.136.
GPS equipment	IMO Resolution A.819 (19), IMO Resolution A.694 (17); IEC 60945 (1996), IEC 61108-1 (1994), IEC 61162.	A.1/4.14	Navigation and Vessel Inspection Circular NVIC 8-01, enclosure (4), 2/165.130.
GLONASS equipment	IMO Resolution MSC 53 (66); IMO Resolution A.694 (17); IEC 61108-2 (1998), IEC 60945 (1996), IEC 61162.	A.1/4.15	Navigation and Vessel Inspection Circular NVIC 8-01, enclosure (4), 2/165.131.
Heading Control System HCS	SOLAS V/24.1; IMO Resolution A.342 (IX); as amended by IMO Resolution MSC 64 (67) Annex 3; IMO Resolution A.694 (17); ISO 11674 (2000), IEC 60945 (1996), IEC 61162.	A.1/4.16	Navigation and Vessel Inspection Circular NVIC 8-01, enclosure (4), 2/165.110.
Automatic Radar Plotting Aid (ARPA)  (Radar equipment used with ARPA must have separate EU and U.S. certifications.)	IMO Resolution A.823 (19); IMO Resolution A.694 (17); IEC 60872-1 (1998), IEC 61162.	A.1/4.34	Navigation and Vessel Inspection Circular NVIC 8-01, enclosure (4), 2/165.120.

Product item identification	Applicable international instruments for construction, performance and testing requirements	EEA EFTA States technical regulations, item number indicated in Annex A.1 of Directive 96/98/EC, as amended	U.S. technical regulations
Automatic Tracking Aid (ATA)  (Radar equipment used with ATA must have separate EU and U.S. certifications.)	IMO Resolution MSC 64(67), Annex 4, Appendix 1; IMO Resolution A.694 (17); IEC 60872-2 (1999), IEC 60945 (1996), IEC 61162.	A.1/4.35	Navigation and Vessel Inspection Circular NVIC 8-01, enclosure (4), 2/165.111.
Electronic Plotting Aid (EPA)  (Radar equipment used with EPA must have separate EU and U.S. certifications.)	IMO Resolution MSC 64(67), Annex 4, Appendix 2; IMO Resolution A.694 (17); IEC 60872-3 (2000), IEC 60945 (1996), IEC 61162.	A.1/4.36	Navigation and Vessel Inspection Circular NVIC 8-01, enclosure (4), 2/165.121.
Integrated bridge system	IMO Resolution MSC.64 (67) Annex 1; IMO Resolution A.694 (17); IEC 61209 (1999), IEC 60945 (1996), IEC 61162.	A.1/4.28	Navigation and Vessel Inspection Circular NVIC 8-01, enclosure (4), 2/165.140.
Voyage Data Recorder (VDR)	IMO Resolution A.861(20); IMO Resolution A.694 (17); IEC 61996 (2000), IEC 60945 (1996), IEC 61162.	A.1/4.29	Navigation and Vessel Inspection Circular NVIC 8-01, enclosure (4), 2/165.150.
Gyro compass for high speed craft	IMO Resolution A.821 (19); IMO Resolution A.694 (17); ISO 16328 (2001), IEC 60945 (1996), IEC 61162.	A.1/4.31	Navigation and Vessel Inspection Circular NVIC 8-01, enclosure (4), 2/165.203.
Universal Automatic Identification System equipment (AIS)	IMO Resolution MSC.74 (69) Annex 3; IMO Resolution A.694 (17); ITU R. M. 1371-1 (10/00) IEC 61993-2 (2002), IEC 60945 (1996), IEC 61162	A.1/4.32	Navigation and Vessel Inspection Circular NVIC 8-01, enclosure (4), 2/165.155.  NOTE: In addition, the radio transmitter is required to be authorized by the U.S. Federal Communications Commission

Product item identification	Applicable international instruments for construction, performance and testing requirements	EEA EFTA States technical regulations, item number indicated in Annex A.1 of Directive 96/98/EC, as amended	U.S. technical regulations
Track control system	IMO Resolution MSC.74 (69) Annex 2; IMO Resolution A.694 (17); IEC 62065 (2002), IEC 60945 (1996), IEC 61162.	A.1/4.33	Navigation and Vessel Inspection Circular NVIC 8-01, enclosure (4), 2/165.112.
Radar reflector	IMO Resolution A.384 (X); IEC 60945 (1996), ISO 8729 (1997).	A.1/4.39	Navigation and Vessel Inspection Circular NVIC 8-01, enclosure (4), 2/165.160.

### ANNEX III

#### **Regulatory Authorities**

EEA EFTA States

United States of America

Iceland:

Icelandic Maritime Administration

Vesturvör 2

P.O. Box 120

IS-202 Kópavogur

Telephone: +354 560 0000

United States Coast Guard

Office of Design and Engineering Standards (G-MSE)

2100 Second Street S.W.

Washington DC 20593

Liechtenstein:

The Government of Liechtenstein<sup>1</sup>

Norway:

Norwegian Maritime Directorate

Post-box 8123 Dep.

0032 Oslo

Norway

Telephone: +47 22.45.45.00

Telefax: +47 22.45.87.80



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<sup>1</sup> The Government of the Principality of Liechtenstein is entitled to appoint appropriate specific national administration bodies as designators of Conformity Assessment Bodies at a future date.