# Appendix

### FLAG STATE PERFORMANCE SELF-ASSESSMENT FORM

# All questions relate to merchant ships flying the flag of the State concerned

(Report as at 31.12.2015)

( <b>K</b> eport as at 31.12.2013 )	
NERAL	
Name of State/Associate Member List the Administrations which you represent at IMO (a separa assessment form should be completed for each. Include all flag State including those which are not Member States of IMO but are Parties IMO instruments).	es,
Name of contact person responsible for the completion of this form Name of Administration Address Telephone number Fax number E-mail address	
wer: Mr. Patrick C.H. TSO General Manager/Ship Safety Branch Hong Kong Marine Department 38 Pier Road, Harbour Building, Central, Hong Kong Tel No.: (852) 2852 4407 Fax No.: (852) 2854 9416 E-mail: ssb@mardep.gov.hk	
Indicate to which of the following international instruments your State is a Party and which (optional) MARPOL 73/78 Annexes have been ratified.	
SOLAS 74	Yes / No
SOLAS Protocol 78	Yes / No
SOLAS Protocol 88	Yes / No
MARPOL 73/78	Yes / No
Annex III	Yes / No
Annex IV	Yes / No
Annex V	Yes / <del>No</del>
Annex VI	Yes / <del>No</del>
LL 66	Yes / <del>No</del>
LL Protocol 88	Yes / <del>No</del>
TONNAGE 69	Yes / No
COLREG 72	Yes / No
UNCLOS	Yes / <del>No</del>
	Name of State/Associate Member List the Administrations which you represent at IMO (a separa assessment form should be completed for each. Include all flag State including those which are not Member States of IMO but are Parties IMO instruments).  Name of contact person responsible for the completion of this form Name of Administration Address Telephone number Fax number E-mail address  wer: Mr. Patrick C.H. TSO General Manager/Ship Safety Branch Hong Kong Marine Department 38 Pier Road, Harbour Building, Central, Hong Kong Tel No.: (852) 2852 4407 Fax No.: (852) 2852 4407 Fax No.: (852) 2854 9416 E-mail: ssb@mardep.gov.hk  Indicate to which of the following international instruments your State is a Party and which (optional) MARPOL 73/78 Annexes have been ratified.  SOLAS 74 SOLAS Protocol 78 SOLAS Protocol 88 MARPOL 73/78 Annex III Annex IV Annex V Annex V Annex V LL 66 LL Protocol 88 TONNAGE 69 COLREG 72

4.1	How many merchant ships of 100 gross tonnage and upwards, subject	MS:
	to the relevant instruments you indicated in question 3, are currently	2223
4.2	flying the flag of your State?  What is the total gross tonnage of merchant ships currently flying the	102,117,830
	flag of your State?	102,117,030
INT	ERNAL CRITERIA	
Lega	al framework	
5	Does your Administration have the necessary laws in force to implement international maritime safety and pollution prevention instruments with regard to:	
	.1 the construction, equipment and management of ships;	Yes / No
	.2 the prevention, reduction and control of pollution of the marine environment;	Yes / No
	3. the safe loading of ships;	Yes / No
	4. the manning of ships;	Yes / No
	5. the safety of navigation (including taking part in mandatory reporting and routing systems), maintenance of communications and prevention of collisions?	Yes / <del>No</del>
6	Does your Administration have the necessary laws in force to ensure the provision of penalties of adequate severity to discourage violation of international instruments to which your State is a Party?	Yes / <del>No</del>
7	Does your Administration have the necessary laws in force to provide for ship inspections to ensure compliance with international maritime safety and pollution prevention standards to which your State is a Party?	Yes / <del>No</del>
8	Does your Administration have the necessary laws in force to take legal action against ships which have been identified as not being in compliance with the international instruments to which your State is a Party?	Yes / <del>No</del>
9	Does your Administration have the necessary laws in force to carry out the required casualty investigations?	Yes / No
Enfo	orcement	
10	Does your Administration have an infrastructure, including personnel with appropriate technical expertise and experience, to:	
	<ol> <li>identify ships flying the flag of your State which are not in compliance with international maritime safety and pollution prevention requirements?</li> </ol>	Yes / <del>No</del>
	2. take action against ships flying the flag of your State which have been identified as not being in compliance with international maritime safety and pollution prevention requirements?	Yes / <del>No</del>
	- If yes, against how many such ships was action taken for each of the previous 5 years*?	

Answer:	2011	2012	2013	2014	2015	
	0 ship	0 ship	1 ship	0 ship	0 ship	
	Five-year	rolling period	l = 1			
flyi que	l your Adminis ing the flag of y estion 28) yes, indicate ho	our State for e	each of the pro	evious 5 years	s*? (see also	Yes / No
Answer:	2011	2012	2013	2014	2015	
	60 ships	48 ships	50 ships	49 ships	67 ships	
	Five-year	rolling period	l = 275 invest	igations		
Recogniz	ed organizatio	ns acting on h	ehalf of the	Administrati	on	
of	nich organization delegation of a ler question 3?	•		-		
Answer:	1. American	Bureau of Sh	ipping			
	2. Bureau V	eritas				
	3. China Cla	ssification So	ciety			
	4. DNV GL					
	5. Korean R	egister of Ship	ping			
	6. Lloyd's R	egister				
	7. Nippon K	aiji Kyokai				
	8. RINA Sei	vices S.p.A.				
doe req	nen your Admin es it follow in uirements, the alogous requiren	resolutions A requirements	.739(18) and in SOLAS 7	d A.789(19) 4, regulation	as minimum XI/1, and the	1657 110
agr	s your Admin eement or ec anizations listed	quivalent leg	al arrangem			105 / 110
	icate which sur delegated to th	•		•		
Answer:	Surveys for th	ne issue of:				(1) ROs have been
	(a) Cargo Shi	p Safety Certi	ficate;			authorized to conduct surveys and
	(b) Cargo Shi	p Safety Cons	truction Certi	ficate;		issue certificates to cargo ships only for
	(c) Cargo Shi	p Safety Equi	pment Certific	cate;		items (a) to (t)
	(d) Cargo Shi	p Safety Radi	o Certificate;			

(e)	International Pollution Prevent Certificates for the Carriage of Noxious Liquid Substance in Bulk;	
(f)	Document of Compliance for Carriage of Dangerous Goods;	
(g)	) Certificate of Fitness for the Carriage of Liquefied Gases in Bulk;	
(h)	) International Certificate of Fitness for the Carriage of Liquefied Gases in Bulk;	(2) # ROs have also been authorized to
(i)	Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk;	conduct surveys and issue certificates to both cargo ships and
(j)	International Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk;	passenger ships for items (q) to (s).
(k)	) Document of Authorization (Grain Loading);	
(1)	Document of Compliance (ISM);	
(m	n) Safety Management Certificate (ISM);	
(n)	) International Ship Security Certificate;	
(o)	) International Sewage Pollution Prevention Certificate;	
(p)	) International Air Pollution Prevention Certificate;	
(q)	) International Oil Pollution Prevention Certificate#;	
(r)	International Load Line Certificate#;	
(s)	International Tonnage Certificate#; and	
(t)	Exemption certificate for cargo ships except the initial exemption certificate issued by this Administration.	
	for the instruments you listed under question 3, which survey ertification functions are carried out by your Administration.	
tl	The following survey and certification functions are carried out by his Administration:  a) survey for the issue of Passenger Ship Safety Certificate;	
(1	b) survey for the issue of Passenger High Speed Craft Safety Certificate;	
((	c) audit and issue of Safety Management Certificate and Document of Compliance for passenger ships and their operating companies;	
((	d) audit and issue of International Ship Security Certificate for passenger ships;	
(	e) issue of Exemption Certificate for passenger ships;	
(:	f) issue of Minimum Safe Manning Certificate; and	
(	g) issue of initial Exemption Certificate for cargo ships.	

		your Administra ons specified in res			verificat	ion and	monitoring	Yes / <del>No</del>
	How of							
Ansv	wer:							
		(c) ROs and HK non-conform		•	•			
		(d) when consid will be cond				C and/or S	MC audits	
		often does your nized organizations	Administr	ation ver	ify and n	nonitor th	e work of	On a continuous basis
		loes your Administrates issued on its						Not applicable
Cası	ualty a	nd incident inves	tigation					
	ensure	your Administration that thorough and of serious and very the Annex to resol	prompt ca	asualty and asualties, a	d incident as defined	investigati in paragra	ons into all	Yes / <del>No</del>
22	.1 He	ch of the previous ow many serious a ow many such se MO?	nd very se	rious casu	alties were	e investiga	ted?	
Ansv	wer:							
	.1	Year	2011	2012	2013	2014	2015	
		No. of serious or very serious casualties investigated	3	9	9	13	12	
Ansv	wer:	<i>S</i>						
	.2	Year	2011	2012	2013	2014	2015	
		No. reported	3	9	9	13	12	
	that ca	our Administration sualties and incide gated?						Yes / <del>No</del>
		ch of the previous ne mandatory annu						Yes / <del>No</del>

Answer:	2011	2012	201	.3	2014	2015
	0 case	0 case	1cas	se	0 case	0 case
	Five-year	rolling per	riod = 1 cas	ses		
.1		on carried	out in the	e previous	proceeding s 5 years*	gs has your in accordance
Answer:	2011	2012	20	013	2014	2015
	0 case	0 case	1 0	case	0 case	0 case
	Five-year	rolling per	riod = 1 cas	ses		
.2	In how man					t back to the
				•		
Answer:	2011	2012	20	013	2014	2015
Answer:	2011 0 case	2012 0 case	20 1 c	013 case		
Answer:	2011 0 case	2012	20 1 c	013 case	2014	2015
	2011 0 case	2012 0 case rolling per	20 1 c	013 case	2014	2015
26 For ea State: .1 ha .2 ha .3 ha .4 W	2011 0 case Five-year	2012  0 case rolling per  A  vious 5 yea  ved in serio tal losses of ere pollutio ate per 100	20 1 cas  ars*, how 1  ous or very r construction**? 0 ships doe	many ship serious ca ive total lo	2014  0 case  s flying the asualties? osses? resent?	2015 0 case
EXTERNA  26 For ea State:	2011  0 case Five-year  AL CRITERI  ach of the prevace been involute become total ave caused sevent casualty ray hat is the total	2012  0 case rolling per  A  vious 5 yea  ved in serio tal losses of ere pollutio ate per 100	20 1 cas  ars*, how 1  ous or very r construction**? 0 ships doe	many ship serious ca ive total lo	2014  0 case  s flying the asualties? osses? resent?	2015 0 case
EXTERNA  26 For ea State:	2011  0 case Five-year  AL CRITERI  ach of the prevave been involute become total ave caused sevolute ave caused sevolute casualty range.	2012  0 case rolling per  A  vious 5 yea  ved in serio tal losses of ere pollutio ate per 100	20 1 cas  ars*, how 1  ous or very r construction**? 0 ships doe	many ship serious ca ive total lo	2014  0 case  s flying the asualties? osses? resent?	2015 0 case
EXTERNA  26 For ea State:	2011  0 case Five-year  AL CRITERI  ach of the prevace been involute become total ave caused sevent casualty ray hat is the total	2012  0 case rolling per  A  vious 5 year ved in serior tal losses or ere pollution ate per 1000 I tonnage in	1 coriod =1 case  ars*, how reconstruction**? 0 ships does avolved as	many ship serious ca ive total lo es this repra a percenta	2014  0 case  os flying the asualties? osses? resent? age of the to	2015  0 case  e flag of your  otal fleet?
EXTERNA  26 For ea State:	2011  0 case Five-year  AL CRITERI  ach of the prevave been involute become total ave caused sevolute ave caused sevolute ave total ave total ave total ave total ave total ave total ave caused sevolute average aver	2012  0 case rolling per  A  vious 5 yea  ved in serio tal losses of ere pollutio ate per 100 I tonnage in	1 control of the second	many ship serious ca ive total lo es this repra a percenta	2014  0 case  s flying the asualties? osses? resent? age of the to	2015  O case  e flag of your  otal fleet?

.3	Year	2011	2012	2013	2014	2015
	No. of Ships	0	0	0	0	0
.4	Year	2011	2012	2013	2014	2015
	No. of ships involved accident	3	14	11	17	15
	Total no. of ships	1732	1970	1955	2115	2223
	Rate per 1000	1.73	7.11	5.63	8.04	6.75
.5	Year	2011	2012	2013	2014	2015
	Total tonnage involved as a percentage of the total fleet	0.13%	0.54%	0.53%	0.57%	0.62%

- 27 In each of the previous 5 years\*, how many lives have been lost:
  - .1 in casualties involving ships flying the flag of your State?
  - .2 due to occupational accidents (i.e. other than from casualties to ships) on ships flying the flag of your State?

NB - Includes: falls; boarding or disembarking; accidents on deck and in machinery spaces; deaths in enclosed spaces; but does not include: accidents ashore; homicide; suicide; or deaths from disease or natural causes.

#### **Answer:**

.1	Year	2011	2012	2013	2014	2015
	Persons lost their lives	3	13	7	36	1

.2	Year	2011	2012	2013	2014	2015
	Persons lost	7	5	7	11	15
	their lives					

28.1 For each of the previous 5 years\*, how many ships flying the flag of your State were detained, within the scope of SOLAS 74, MARPOL 73/78, LL 66 or COLREG 72, by port States?

### **Answer:**

.1	Year	2011	2012	2013	2014	2015			
	Detentions	60	48	50	49	67			
	Nos. of	3634	4289	5679	5535	5720			
	inspection								
	Detention	1.65%	1.119%	0.88%	0.89%	1.17%			
	rate								
	Five-vea	Five-year rolling average - 1 142%							

28.2	What detention rate per 1000 ship inspections does this represent?
	(see also question 11).

#### **Answer:**

.2	Year	2011	2012	2013	2014	2015		
	Detentions	16.51	11.19	8.8	8.9	11.7		
	Five-year rolling average = 11.42							

<sup>\*</sup> or from the date your Government became a Party to the relevant instrument, if that is later.

<sup>\*\* &</sup>quot;Severe pollution" is a case of pollution which, as evaluated by the coastal State(s) affected or the flag State, as appropriate, produces a major deleterious effect upon the environment, or which would have produced such an effect without preventive action.