Appendix

FLAG STATE PERFORMANCE SELF-ASSESSMENT FORM

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

(*Report as at 31.12.2016*)

GENERAL	
1 Name of State/Associate Member List the Administrations which you represent at IMO (a separate assessment form should be completed for each. Include all flag States, including those which are not Member States of IMO but are Parties to IMO instruments).	Hong Kong, China
 Name of contact person responsible for the completion of this form Name of Administration Address Telephone number Fax number E-mail address 	
 Answer: 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 (aptianal) MAPPOL 72/78 Approves have been 	
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 / No
Annex VI	Yes / No
LL 66	Yes / No
LL Protocol 88	Yes / No
TONNAGE 69	Yes / No
COLREG 72	Yes / No
UNCLOS	Yes / No

4.1	How many merchant ships of 100 gross tonnage and upwards, subject to the relevant instruments you indicated in question 3, are currently	2,266
4.2	flying the flag of your State?What is the total gross tonnage of merchant ships currently flying the flag of your State?	107,440,411
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 / No
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 / No
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 / No
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 / No
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:	
	1. identify ships flying the flag of your State which are not in compliance with international maritime safety and pollution prevention requirements?	Yes / No
	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 / No
	- If yes, against how many such ships was action taken for each of the previous 5 years*?	

Answ	ver:	2012	2013	2014	2015	2016	
		0 ship	1 ship	0 ship	0 ship	0 ship	
		Five-year	rolling period	l = 1			
11	flying questi	the flag of y on 28)	tration investi our State for o w many such	each of the pr	evious 5 years	s*? (see also	Yes / No
Answ	ver:	2012	2013	2014	2015	2016	
		48 ships	50 ships	49 ships	67 ships	49 ships	
		Five-year	rolling period	l = 263 invest	igations		
Reco	gnized	organizatio	ns acting on b	ehalf of the	Administrati	on	
12	Which	organizatio	ns has your A	Administration	n recognized	for the purpose	
		question 3?	autnority und	er the releva	nt instrumen	ts you indicate	
Answ	ver: 1	. American	Bureau of Sh	ipping			
	2	. Bureau Ve	eritas				
	3	. China Cla	ssification So	ciety			
	4	. DNV GL					
	5	. Korean Ro	egister of Ship	pping			
	6	. Lloyd's R	egister				
	7	. Nippon K	aiji Kyokai				
	8	. RINA Ser	vices S.p.A.				
	9	. Russian M	Aaritime Regis	ster of Shippin	ng		
13	does require	it follow 1 ements, the	resolutions A requirements	.739(18) and in SOLAS 7	d A.789(19) 74, regulation	d organizations, as minimum XI/1, and the on of authority?	
14	agreer	nent or eq		al arrangem		of the formal he recognized	
15			rvey and/or co e recognized o			Administration question 12.	
Answ	ver: S	urveys for th	ne issue of:				(1) ROs have been
	(;	a) Cargo Shi	p Safety Certi	ficate;			 authorized to conduct surveys and
	(1	o) Cargo Shi	p Safety Cons	struction Certi	ficate;		issue certificates to cargo ships only for
	(c) Cargo Shi	p Safety Equi	pment Certifi	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);	
	(l) Document of Compliance (ISM);	
	(m) 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. 	
	ate, for the instruments you listed under question 3, which survey or certification functions are carried out by your Administration.	
Answer:	The following survey and certification functions are carried out by this Administration:	
	(a) survey for the issue of Passenger Ship Safety Certificate;	
	(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 Administration carry out the verification and monitoring ions specified in resolution A.739(18)?	Yes / No

18	LI ~ ***	1 . 1						
		does your Admini ons specified in res			he verific:	ation and	monitoring	
	Tuncti	ons speemed in res	Solution A.	139(10):				
Ans	wer:	(a) A Flag State	Quality C	Control (FS	QC) syste	m was esta	blished	
		and used to						
		conduct surv	veys, verifi	cations an	d certifica	tions for H	K ships on	
		behalf of thi						
		is uploaded						
		(b) Under the F						
		monitored, t		-	-	or quality	will be	
		inspected by (c) ROs and HK				na dafiaian	aioc and	
		non-conform	-		•			
		(d) when consid						
		will be cond						
19	How	often does your				nonitor the	e work of	On a continuous basis
	recogi	nized organizations	acting on	its behalf	?			
20		does your Adminis						Not applicable
	certifi	cates issued on its	behalf by o	dependent	territories	/second reg	gisters?	
Cas	ualty a	and incident inves	tigation					
21	Does	your Administration	n have th	e means (financial a	and admini	strative) to	
<u> </u>		that thorough and						Yes / No
		of serious and very						
		the Annex to resol						
22		ch of the previous	5 years*, f	for ships fl	ying the f	lag of your	State	
	.1 H			-				
		ow many serious a			alties were	e investigat	ted?	
	.2 H	ow many such se			alties were	e investigat	ted?	
	.2 H				alties were	e investigat	ted?	
Ang	.2 H IN	ow many such se			alties were	e investigat	ted?	
Ans	.2 H	ow many such se		very serio	alties were	e investigat	ted?	
Ans	.2 H IN	ow many such se			alties were	e investigat	ted?	
Ans	.2 H IN wer:	ow many such ser MO? Year	rious and	very serio	alties were ous casual 2014	e investigat ties were 2015	ted? reported to 2016	
Ans	.2 H IN wer:	WO? Year No. of serious	rious and	very serio	alties were ous casual	e investigat ties were	ted? reported to	
Ans	.2 H IN wer:	ow many such ser MO? Year	rious and	very serio	alties were ous casual 2014	e investigat ties were 2015	ted? reported to 2016	
	.2 H IN wer: .1	WO? Year No. of serious or very serious	rious and	very serio	alties were ous casual 2014	e investigat ties were 2015	ted? reported to 2016	
	.2 H IN wer:	WO? Year No. of serious or very serious casualties	rious and	very serio	alties were ous casual 2014	e investigat ties were 2015	ted? reported to 2016	
	.2 H wer: .1	WO? Year No. of serious or very serious casualties investigated	2012 9	2013 9	alties were ous casual 2014 13	2015 12	ted? reported to 2016 13	
	.2 H IN wer: .1	WO? Year No. of serious or very serious casualties investigated Year	2012 9 2012	2013 9 2013	alties were ous casual 2014 13 2014	2015 12 2015	ted? reported to 2016	
	.2 H wer: .1	WO? Year No. of serious or very serious casualties investigated	2012 9	2013 9	alties were ous casual 2014 13	2015 12	ted? reported to 2016 13	
Ans	.2 H IN wer: .1 wer: .2	Wo Year No. of serious or very serious casualties investigated Year No. reported	2012 9 2012 9 2012 9	2013 9 2013 9 2013 9	alties were ous casual 2014 13 2014 13	2015 12 2015 12	ted? reported to 2016 13 2016 13	Ves / No
Ans	.2 H IN wer: .1 wer: .2 Can y	ow many such set MO? Year No. of serious or very serious casualties investigated Year No. reported our Administration	2012 9 2012 9 2012 9 provide to	2013 9 2013 9 0 IMO, on	alties were ous casual 2014 13 2014 13 request, e	e investigat ties were f 2015 12 2015 12 2015 12 evidence w	ted? reported to 2016 13 2016 13 hich shows	Yes / No
Ans	.2 H IN wer: .1 wer: .2 Can y that ca	Wo Year No. of serious or very serious casualties investigated Year No. reported	2012 9 2012 9 2012 9 provide to	2013 9 2013 9 0 IMO, on	alties were ous casual 2014 13 2014 13 request, e	e investigat ties were f 2015 12 2015 12 2015 12 evidence w	ted? reported to 2016 13 2016 13 hich shows	Yes / No
Ans 23	.2 H IN wer: .1 wer: .2 Can yy that ca invest	Wear No. of serious or very serious casualties investigated Year No. reported our Administration asualties and incide igated?	2012 9 2012 9 2012 9 provide to ents on shi	2013 9 2013 9 0 IMO, on ps flying t	2014 2014 13 2014 13 request, e he flag of	e investigat ties were 1 2015 12 2015 12 2015 12 evidence w your State	2016 2016 13 2016 13 hich shows have been	
Ans 23	.2 H IN wer: .1 wer: .2 Can yu that ca invest For ea	Wow many such services MO? Year No. of serious or very serious casualties investigated Year No. reported our Administration asualties and incide igated? ach of the previous	2012 9 2012 9 2012 9 provide te ents on shi s 5 years*	2013 9 2013 9 0 IMO, on ps flying t , has your	alties were ous casual 2014 13 2014 13 request, e he flag of Administ	2015 12 2015 12 2015 12 2015 12 2015 12 2015 12 2015 12	ted? reported to 2016 13 2016 13 2016 13 hich shows have been vided IMO	Yes / No Yes / No
Ans 23	.2 H IN wer: .1 wer: .2 Can yu that ca invest For ea	Year No. of serious or very serious casualties investigated Year No. reported our Administration asualties and incide igated? ach of the previous he mandatory annu	2012 9 2012 9 2012 9 provide te ents on shi s 5 years*	2013 9 2013 9 0 IMO, on ps flying t , has your	alties were ous casual 2014 13 2014 13 request, e he flag of Administ	2015 12 2015 12 2015 12 2015 12 2015 12 2015 12 2015 12	ted? reported to 2016 13 2016 13 2016 13 hich shows have been vided IMO	
Ans 23 24	.2 H wer: .1 wer: .2 Can yy that ca invest For ea with th 73/78°	ow many such services MO? Year No. of serious or very serious casualties investigated Year No. reported our Administration asualties and incide igated? ach of the previous he mandatory annue?	2012 9 2012 9 2012 9 a provide to ents on shi s 5 years* al reportin	2013 9 2013 9 2013 9 0 IMO, on ps flying t , has your ng required	2014 2014 13 2014 13 request, e he flag of Administ l by article	2015 2015 12 20 15 12 15 15 15 15 15 15 15 15 15 15	2016 2016 13 2016 13 2016 13 hich shows have been vided IMO MARPOL	
Ans 23 24	.2 H IN wer: .1 wer: .2 Can y that ca invest For ea with t 73/78	ow many such services MO? Year No. of serious or very serious casualties investigated Year No. reported our Administration asualties and incide igated? ach of the previous he mandatory annue? many allegations	2012 9 2012 9 2012 9 provide to ents on shi s 5 years* al reportin of violatio	2013 9 2013 9 2013 9 o IMO, on ps flying t , has your ng required	2014 2014 13 2014 13 2014 13 request, e he flag of by article ding to an	2015 2015 12 20 12 11 11 11 11 11 11 11 11 11	2016 2016 13 2016 13 2016 13 hich shows have been vided IMO MARPOL MARPOL	
Ans 23 24	.2 H IN wer: .1 wer: .2 Can yu that ca invest For ea with th 73/78 How 73/78,	ow many such services MO? Year No. of serious or very serious casualties investigated Year No. reported our Administration asualties and incide igated? ach of the previous he mandatory annue?	2012 9 2012 9 2012 9 provide to ents on shi s 5 years* al reportin of violatio	2013 9 2013 9 2013 9 o IMO, on ps flying t , has your ng required	2014 2014 13 2014 13 2014 13 request, e he flag of by article ding to an	2015 2015 12 20 12 11 11 11 11 11 11 11 11 11	2016 2016 13 2016 13 2016 13 hich shows have been vided IMO MARPOL MARPOL	

Answer:	2012	2013	201	4	2015		2016
	0 case	1case	0 ca		0 case		0 case
	Five-year	r rolling per	od = 1 ca	se			
.1			out in the	e previ			has your n accordance
Answer:	2012	2013	2	014	2015		2016
	0 case	1 case	0.0	case	0 case	;	0 case
		r rolling peri			0.000		
.2	In how ma reporting Sta						back to the s*?
Answer:	2012	2013	2	014	2015		2016
	0 case	1 case		case	0 case	;	0 case
	Five-year	r rolling peri	od = 1 cas	se			
EXTERN	AL CRITER	[A					
State: .1 ha .2 ha .3 ha .4 W .5 W	ach of the pre ave been invol ave become to ave caused sev Vhat casualty r Vhat is the tota	lved in serio tal losses or vere pollutio rate per 1000	us or very construct n**? 9 ships doo	seriou ive tota	s casualties Il losses? represent?	?	
Answer:				1			1
.1	Year	2012	2013	202			2016
	No. of Ships	14	11	17	15	5	17
2	Vaar	2012	2012	202	14 20	15	2016
.2	Year No. of Ships	2012	2013	202		13	2016
		3	1	0	1		1
2	X7	2011	0010			1.4	2016
.3	Year No. of Ships	2011	<u>2012</u> 0	20	$\begin{array}{c ccccccccccccccccccccccccccccccccccc$	14	2016 0
	1 to: of onlys	v	0		0		
.4	Year	2012	2013	20	14 20	15	2016
	No. of ships involved accident	14	11	17			17
				1			I

	Total no. of ships	1970	1955	2115	2223	2266
	Rate per 1000	7.11	5.63	8.04	6.75	7.5
.5	Year	2012	2013	2014	2015	2016
	Total tonnage involved as a percentage of the total fleet	0.54%	0.53%	0.57%	0.62%	0.49%
.1 .2 NB - maci	ach of the prev in casualties i due to occupa on ships flyin - Includes: fal hinery spaces dents ashore; res.	nvolving shational accid g the flag o <i>ls; boardin</i> s; <i>deaths</i>	hips flying t dents (i.e. o f your State og or disem in enclosed	the flag of y other than f e? <i>barking; a</i> d spaces;	your State? rom casual ccidents on but does of	ties to ships) deck and in not include:
nswer:						
.1	Year	2012	2013	2014	2015	2016
	Persons lost their lives	13	7	36	1	16
				2014	2015	2016
.2	Year	2012	2013	2014	2015	2010
.2	Year Persons lost their lives	<u>2012</u> 5	2013 7	2014 11	2015 15	2016 11
3.1 For State 66 o	Persons lost their lives each of the pr e were detaine r COLREG 72	5 evious 5 ye ed, within t 2, by port S	7 ears*, how he scope of tates?	11 many ships f SOLAS 7	15 5 flying the 4, MARPO	11 flag of your L 73/78, LL
3.1 For State 66 o	Persons lost their lives each of the pr e were detaine r COLREG 72 Year	5 evious 5 ye ed, within tl 2, by port S 2012	7 ears*, how he scope of tates? 2013	11 many ships f SOLAS 7 2014	15 s flying the 4, MARPO 2015	11 flag of your L 73/78, LL 2016
.1 For State 66 o	Persons lost their lives each of the pr e were detaine r COLREG 72 Year Detentions	5 evious 5 ye ed, within th 2, by port S 2012 48	7 ears*, how he scope of tates? 2013 50	11 many ships 5 SOLAS 7 2014 49	15 5 flying the 4, MARPO 2015 67	11 flag of your L 73/78, LL 2016 49
.1 For State 66 o nswer:	Persons lost their lives each of the pr e were detaine r COLREG 72 Year Detentions Nos. of	5 evious 5 ye ed, within tl 2, by port S 2012	7 ears*, how he scope of tates? 2013	11 many ships f SOLAS 7 2014	15 s flying the 4, MARPO 2015	11 flag of your L 73/78, LL 2016
.1 For State 66 o	Persons lost their lives each of the pr e were detaine r COLREG 72 Year Detentions Nos. of inspection Detention	5 evious 5 ye ed, within th 2, by port S 2012 48	7 ears*, how he scope of tates? 2013 50	11 many ships 5 SOLAS 7 2014 49	15 5 flying the 4, MARPO 2015 67	11 flag of your L 73/78, LL 2016 49
.1 For State 66 o nswer:	Persons lost their lives each of the prevere detained r COLREG 72 Year Detentions Nos. of inspection Detention rate	5 evious 5 ye ed, within th 2, by port S 2012 48 4289	7 ears*, how he scope of tates? 2013 50 5679 0.88%	11 many ships f SOLAS 7 2014 49 5535	15 3 flying the 4, MARPO 2015 67 5720	11 flag of your L 73/78, LL 2016 49 6011
3.1 For State 66 o	Persons lost their lives each of the prevere detained r COLREG 72 Year Detentions Nos. of inspection Detention rate	5 evious 5 ye ed, within th 2, by port S 2012 48 4289 1.119%	7 ears*, how he scope of tates? 2013 50 5679 0.88%	11 many ships 5 SOLAS 7 2014 49 5535 0.89%	15 3 flying the 4, MARPO 2015 67 5720	11 flag of your L 73/78, LL 2016 49 6011
8.1 For State 66 o Answer: .1 8.2 Wha	Persons lost their lives each of the prevere detained r COLREG 72 Year Detentions Nos. of inspection Detention rate	5 evious 5 ye ed, within th 2, by port S 2012 48 4289 1.119% r rolling ave te per 1000	7 ears*, how he scope of tates? 2013 50 5679 $0.88%$ erage = 0	11 many ships 5 SOLAS 7 2014 49 5535 0.89% .976%	15 5 flying the 4, MARPO 2015 67 5720 1.17%	11 flag of your L 73/78, LL 2016 49 6011 0.82%
 3.1 For State 66 o Answer: .1 3.2 What (see 	Persons lost their lives each of the pr e were detainer r COLREG 72 Year Detentions Nos. of inspection Detention rate Five-yea	5 evious 5 ye ed, within th 2, by port S 2012 48 4289 1.119% r rolling ave te per 1000	7 ears*, how he scope of tates? 2013 50 5679 $0.88%$ erage = 0	11 many ships 5 SOLAS 7 2014 49 5535 0.89% .976%	15 5 flying the 4, MARPO 2015 67 5720 1.17%	11 flag of your L 73/78, LL 2016 49 6011 0.82%
8.1 For State 66 o Answer: .1 8.2 Wha	Persons lost their lives each of the pr e were detainer r COLREG 72 Year Detentions Nos. of inspection Detention rate Five-yea	5 evious 5 ye ed, within th 2, by port S 2012 48 4289 1.119% r rolling ave te per 1000	7 ears*, how he scope of tates? 2013 50 5679 $0.88%$ erage = 0	11 many ships 5 SOLAS 7 2014 49 5535 0.89% .976%	15 5 flying the 4, MARPO 2015 67 5720 1.17%	11 flag of your L 73/78, LL 2016 49 6011 0.82%
3.1 For 6 State 66 o Answer: .1 3.2 What (see	Persons lost their lives each of the pr e were detained r COLREG 72 Year Detentions Nos. of inspection Detention rate Five-yea at detention rate also question	5 evious 5 ye ed, within th 2, by port S 2012 48 4289 1.119% r rolling ave te per 1000 11).	7 ears*, how he scope of tates? 2013 50 5679 $0.88%$ erage = 0 ship inspect	11 many ships f SOLAS 7 2014 49 5535 0.89% .976% ctions does	15 flying the 4, MARPO 2015 67 5720 1.17% this represe	11 flag of your L 73/78, LL 2016 49 6011 0.82%

- * or from the date your Government became a Party to the relevant instrument, if that is later.
- ** "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.