## Appendix

## FLAG STATE PERFORMANCE SELF-ASSESSMENT FORM

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

## ( *Report as at 31.12.2017* )

GEN	IERAL	
	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	
Ansv	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	
3	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 / <del>No</del>
	SOLAS Protocol 78	Yes / <del>No</del>
	SOLAS Protocol 88	Yes / <del>No</del>
	MARPOL 73/78	Yes / <del>No</del>
	Annex III	Yes / <del>No</del>
	Annex IV	Yes / <del>No</del>
	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 / <del>No</del>
	COLREG 72	Yes / <del>No</del>
	UNCLOS	Yes / <del>No</del>

4.1	How many merchant ships of 100 gross tonnage and upwards, subject to the relevant instruments you indicated in question 3, are currently flying the flag of	2,333
4.2	your State? What is the total gross tonnage of merchant ships currently flying the flag of your State?	113,721,189
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 / <del>No</del>
	.2 the prevention, reduction and control of pollution of the marine environment;	Yes / <del>No</del>
	3. the safe loading of ships;	Yes / <del>No</del>
	4. the manning of ships;	Yes / <del>No</del>
	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 / <del>No</del>
Enfo	prcement	
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 / <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:	2013	2014	2015	2016	2017	
	1 ship	0 ship	0 ship	0 ship	0 ship	
	Five-year	rolling perio	d = 1			
flag of y	r Administratic our State for ea indicate how m	ach of the pre-	vious 5 years*	? (see also qu	Ships flying the estion 28)	Yes / <del>No</del>
Answer:	2013	2014	2015	2016	2017	
	50 ships	49 ships	67 ships	50 ships	41 ships	
	Five-year	rolling perio	d = 257 invest	tigations		
Recognized or	rganizations a	cting on beha	lf of the Adm	ninistration		<u> </u>
	on of authorit	•		•	the purpose of indicate under	
Answer:	1. American	Bureau of Sh	ipping			
	2. Bureau V					
		ssification So	ociety			
	4. DNV GL	agistar of Chi	nning			
	<ol> <li>Korean R</li> <li>Lloyd's R</li> </ol>	egister of Shi	pping			
	•	aiji Kyokai				
		rvices S.p.A.				
			ster of Shippin	ng		
does it f the requi	our Administr follow resolution	ration delegat ons A.739(18) LAS 74, regu	es authority and A.789(1 lation XI/1, ar	to recognized 9) as minimu nd the analogo	d organizations, m requirements, ous requirements	Yes / <del>No</del>
•	nt legal arrar	*			nal agreement or ations listed in	Yes / <del>No</del>
	which survey d to the recogn			•	ministration has 12.	
Answer:	Surveys for th	ne issue of:				(1) ROs have been
	(a) Cargo Sh	ip Safety Cert	ificate;			authorized to conduct surveys and
	(b) Cargo Sh	ip Safety Con	struction Cert	ificate;		issue certificates to
	(c) Cargo Sh	ip Safety Equ	ipment Certifi	cate;		cargo ships only for items (a) to (t)
	(d) Cargo Sh	ip Safety Rad	io Certificate;			
L						

(e)	International Pollution Prevent Certificates for the Carriage of Noxious Liquid Substance in Bulk;	(2) # ROs have also been authorized to
(f)	Document of Compliance for Carriage of Dangerous Goods;	conduct surveys and issue certificates to
(g)	Certificate of Fitness for the Carriage of Liquefied Gases in Bulk;	both cargo ships and
(h)	International Certificate of Fitness for the Carriage of Liquefied Gases in Bulk;	passenger ships for items (q) to (s).
(i)	Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk;	
(j)	International Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk;	
(k)	Document of Authorization (Grain Loading);	
(1)	Document of Compliance (ISM);	
(m	)Safety Management Certificate (ISM);	
(n)	International Ship Security Certificate;	
(0)	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.	
	the instruments you listed under question 3, which survey and/or inctions are carried out by your Administration.	
th	he following survey and certification functions are carried out by is Administration: ) survey for the issue of Passenger Ship Safety Certificate;	
(t	) 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;	
(6	l) 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	s) issue of initial Exemption Certificate for cargo ships.	

		Administration c resolution A.739		he verific	ation and	monitorin	g functions	Yes / <del>No</del>
		your Administration pecified in resoluti		•	e verifica	tion and	monitoring	
Answe	er:	<ul> <li>(a) A Flag State and used to conduct surv behalf of this is uploaded t</li> <li>(b) Under the F monitored, t inspected by</li> <li>(c) ROs and HF non-conform</li> <li>(d) when consid will be cond</li> </ul>	verify and eys, verifi s Adminis o the web SQC syste hose of c this Adm K ships ar iities detec ered nece	monitor the ications and tration. The site of this em, the qual leterioration inistration e required cted under ssary, addi	he perform d certifica The report Administ hality of o ng and/or to rectify the FSQC tional DC	hance of the tions for H of ROs' p ration annu ur ships w poor qual to the defic system; a	e ROs who IK ships on verformance ually; vere closely lity will be iencies and nd	
		does your Admin ons acting on its be		erify and	monitor th	ne work of	recognized	On a continuous basis
		your Administra issued on its beha						Not applicable
Casua	lty and i	ncident investigat	ion					
en ca	sure that uses of set	Administration h t thorough and pr rious and very seri ex to resolution A.	ompt casi ous casua	ualty and lties, as de	incident i fined in p	nvestigatio	ons into all	Yes / <del>No</del>
22 Fo .1 .2	How n	f the previous 5 yea nany serious and ve nany such serious a	ery serious	s casualtie	s were inv	estigated?		
Answe	er:							
	.1	Year	2013	2014	2015	2016	2017	
		No. of serious or very serious casualties investigated	9	13	12	13	13	
Answe	er:							
	.2	Year	2013	2014	2015	2016	2017	
		No. reported	9	13	12	13	13	
ca		Administration prov and incidents on d?						Yes / <del>No</del>
		f the previous 5 years ory annual reporting						Yes / <del>No</del>

						ARPOL 73/78, of the previous			
Answer:	2013	2014	201	5	2016	2017	-		
							-		
	1 case	Ocase	0 ca		0 case	0 case	-		
	Five-year rolling period = $1$ case								
.1	How man Administrat with articles	ion carried	out in the	previous	proceeding s 5 years*	gs has your in accordance			
<b>A</b>	2012	2014		015	2016	2017	-		
Answer:	2013	2014	20	015	2016	2017			
	1 case	0 case	0 0	case	0 case	0 case			
	Five-year	r rolling per	riod = 1 cas	se					
							-		
.2	In how ma reporting St	•	•		-	t back to the urs*?			
Answer:	2013	2014	20	)15	2016	2017			
Answer.							-		
	1 case	0 case		case	0 case	0 case	-		
	Five-yea	r rolling per	riod = 1 cas	se					
EXTERNAL	CRITERIA								
26 For each o	f the previous	5 years*, h	ow many s	hips flyin	ng the flag of	of your State:			
.1 have b	been involved	in serious o	or very serie	ous casua	lties?				
2 h l				1 1	- 0				
.2 have b	become total lo	osses or con	istructive to	otal losses	S ?				
.3 have o	caused severe	pollution**	?						
.4 What	casualty rate p	oer 1000 shi	ips does thi	s represei	nt?				
.5 What	is the total ton	inage involv	ved as a per	rcentage o	of the total	fleet?			
Answer:									
.1	Year	2013	2014	2015	2016	2017			
	No. of Ships	11	17	15	17	17	1		
	_			10			1		
.2	Year	2013	2014	2015	2016	2017			
	No. of Ships	1	0	1	1	2017			
	or on philps	T	0	1	1	2			

2	V					
.3	Year	2013	2014	2015	2016	2017
	No. of Ships	0	0	0	0	0
				1		
.4	Year	2013	2014	2015	2016	2017
	No. of ships					
	involved accident	11	17	15	17	17
	Total no. of ships	1955	2115	2223	2266	2333
	Rate per 1000	5.63	8.04	6.75	7.5	7.3
.5	Year	2013	2014	2015	2016	2017
	Total tonnage involved as a percentage of the total fleet	0.53%	0.57%	0.62%	0.49%	0.52%
.1 in ca .2 due ship NB - Int machine	of the previous asualties involve to occupations s flying the fla cludes: falls; ry spaces; dea	ving ships al accident g of your S boarding uths in enc	flying the fl is (i.e. other State? or disembo losed space	lag of your r than from arking; acc es; but does	State? casualties idents on a not includ	deck and in le: accidents
.1 in ca .2 due ship NB - Ina machiner ashore; I	asualties involved to occupations s flying the fla <i>cludes: falls;</i>	ving ships al accident g of your S boarding uths in enc	flying the fl is (i.e. other State? or disembo losed space	lag of your r than from arking; acc es; but does	State? casualties idents on a not includ	deck and in le: accidents
.1 in ca .2 due ship NB - Ina machiner ashore; I	asualties involve to occupations s flying the fla cludes: falls; ry spaces; dea	ving ships al accident g of your S boarding uths in enc	flying the fl is (i.e. other State? or disembo losed space	lag of your r than from arking; acc es; but does	State? casualties idents on a not includ	deck and in le: accidents
.1 in ca .2 due ship NB - Ind machiner ashore; h	asualties involve to occupations s flying the fla cludes: falls; ry spaces; dea homicide; suice	ving ships al accident g of your S boarding tths in enco ide; or dea	flying the fl is (i.e. other State? or disembod losed space withs from di	lag of your r than from arking; acc es; but does sease or na	State? casualties idents on of not includ tural cause.	deck and in le: accidents s.
.1 in ca .2 due ship NB - Ind machiner ashore; h	Asualties involve to occupations s flying the fla cludes: falls; ry spaces; dea homicide; suice Year Persons lost	ving ships al accident g of your S boarding ths in encl ide; or dea 2013	flying the fl is (i.e. other State? or disembed losed space ths from di 2014	lag of your r than from arking; acc es; but does sease or na 2015	State? casualties idents on a not includ tural cause. 2016	deck and in le: accidents s. 2017
.1 in ca .2 due ship NB - Ina machiner ashore; h Answer: .1	Asualties involve to occupations s flying the fla cludes: falls; ry spaces; dea homicide; suice Year Persons lost	ving ships al accident g of your S boarding ths in encl ide; or dea 2013	flying the fl is (i.e. other State? or disembed losed space ths from di 2014	lag of your r than from arking; acc es; but does sease or na 2015	State? casualties idents on a not includ tural cause. 2016	deck and in le: accidents s. 2017
.1 in ca .2 due ship NB - Ina machiner ashore; h	Asualties involve to occupations s flying the fla cludes: falls; ry spaces; dea homicide; suice Year Persons lost their lives	ving ships al accident g of your S boarding ths in encu ide; or dea 2013 7	flying the fl is (i.e. other State? or disembed losed space ths from dis 2014 36	lag of your r than from arking; acc es; but does sease or na 2015 1	State? casualties idents on of s not includ tural cause. 2016 16	deck and in le: accidents s. 2017 38
.1 in ca .2 due ship NB - Ina machiner ashore; h Answer: .1 .2 28.1 For each were det	Asualties involve to occupations of lying the flace cludes: falls; ry spaces; dea homicide; suice Year Persons lost their lives Year Persons lost	ving ships al accident g of your S boarding tths in encu- ide; or dea 2013 7 2013 7 2013 7 s 5 years* the scope	flying the fl flying the fl is (i.e. other State? or disembodies losed space ths from di. 2014 36 2014 11	lag of your r than from arking; acc es; but does sease or na 2015 1 2015 15	State? casualties idents on of not inclua tural causes 2016 16 2016 11	deck and in le: accidents s. 2017 38 2017 10
.1 in ca .2 due ship NB - Int machiner ashore; I Answer: .1 .2 28.1 For each were det COLREC Answer:	Asualties involve to occupations of lying the flace cludes: falls; ry spaces; deal homicide; suice Year Persons lost their lives Year Persons lost their lives of the previous tained, within G 72, by port S Year Detentions Nos. of inspection Detention rate	ving ships all accident all accident g of your S boarding tths in encu- ide; or deal 2013 7 2013 7 2013 7 us 5 years* the scope States? 2013 50 5679	flying the fl flying the fl is (i.e. other State? or disembolic losed space ths from dia 2014 36 2014 11 , how many of SOLAS 2014 49 5535 0.89%	lag of your r than from arking; acc es; but does sease or na 2015 1 2015 15 y ships flyir S 74, MAF 2015 67 5720	State? casualties <i>idents on of</i> <i>not inclua</i> <i>tural cause</i> . 2016 16 2016 11 2016 11 2016 50 2016 50 6011	deck and im le: accidents s. 2017 38 2017 10 of your State 8, LL 66 of 2017 41 5810

28.2 What detention rate per 1000 ship inspections does this represent? (see also question 11).									
Answer:									
.2	Year	2013	2014	2015	2016	2017			
	Detentions	8.8	8.9	11.7	8.3	7.1			
	Five-year	rolling ave	erage = 8	.94					

<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.