

FLAG STATE PERFORMANCE SELF-ASSESSMENT FORM*All questions relate to ships flying the flag of the Member State concerned.*

| GENERAL | |
|--|---|
| <p>1. Name of State/Associate Member</p> <p><i>List the administrations which you represent at IMO (a separate assessment form should be completed by each. Include all Flag States, including those which are not Member States of IMO but are Contracting Parties to IMO instruments).</i></p> | <p>Australia</p> |
| <p>2. Name of contact person responsible for the completion of this form</p> <p>Name of administration</p> <p>Address</p> <p>Telephone number</p> <p>Fax number</p> <p>E-mail address</p> | <p>Chief Executive</p> <p>Australian Maritime Safety Authority</p> <p>GPO Box 2181 Canberra ACT, 2601 Australia</p> <p>+61 2 6279 5039</p> <p>+61 2 6279 5813</p> <p>clive.davidson@amsa.gov.au</p> |

| | |
|---|---|
| <p>3. Indicate to which of the following international instruments your State is a Party and which (optional) MARPOL 73/78 Annexes have been ratified:-</p> <p style="text-align: right;"> <i>SOLAS 74</i> Yes <i>SOLAS Protocol 78</i> Yes <i>MARPOL 73/78</i> Yes <i>Annex III</i> Yes <i>Annex IV</i> No <i>Annex V</i> Yes <i>Annex VI</i> No <i>LL 66</i> Yes <i>TONNAGE 69</i> Yes <i>COLREG 72</i> Yes <i>UNCLOS</i> Yes </p> | |
| <p>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 your State?</p> <p>4.2 What is the total gross tonnage of merchant ships flying your flag?</p> | <p>125</p> <p>2,455,000GRT</p> |
| INTERNAL CRITERIA | |
| Legal Framework | |
| <p>5. Does your Administration have the necessary laws in force to implement international maritime safety and pollution prevention conventions with regard to</p> <p>.1 the construction, equipment and seaworthiness of ships;</p> <p>.2 the prevention, reduction and control of pollution of the marine environment;</p> <p>.3 the safe loading of ships;</p> <p>.4 the manning of ships;</p> <p>.5 the safety of navigation (including taking part in mandatory reporting and routing systems), maintenance of communications and prevention of collisions?</p> | <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> |

| 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 | | | | | | | | | | | | | | | | | | |
|--|--|--------------------------------------|--|--------------------------------------|-------------|----------|----------|-------------|----------|----------|-------------|----------|----------|-------------|----------|----------|-------------|----------|----------|
| 7. Does your Administration have the necessary laws in place to provide for ship inspections to ensure compliance with international maritime safety and pollution prevention standards to which your State is a Party? | Yes | | | | | | | | | | | | | | | | | | |
| 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 | | | | | | | | | | | | | | | | | | |
| 9. Does your Administration have the necessary laws in force to carry out the required casualty investigations? | Yes | | | | | | | | | | | | | | | | | | |
| Enforcement | | | | | | | | | | | | | | | | | | | |
| <p>10. Does your Administration have an infrastructure, including personnel with appropriate technical expertise and experience to:</p> <p>.1 identify ships flying the flag of your State which are not in compliance with international maritime safety and pollution prevention requirements?</p> <p>.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?</p> <p>- If yes, against how many such ships was action taken for each of the previous 5 years?</p> | <p style="text-align: center;">Yes</p> <p style="text-align: center;">Yes</p> <table border="0" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;"></th> <th style="width: 35%; text-align: center;"><u>Australian. Ships Detained</u></th> <th style="width: 35%; text-align: center;"><u>Legal Action Taken</u></th> </tr> </thead> <tbody> <tr> <td style="text-align: left;">1995</td> <td style="text-align: center;">0</td> <td style="text-align: center;">1</td> </tr> <tr> <td style="text-align: left;">1996</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> </tr> <tr> <td style="text-align: left;">1997</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> </tr> <tr> <td style="text-align: left;">1998</td> <td style="text-align: center;">2</td> <td style="text-align: center;">0</td> </tr> <tr> <td style="text-align: left;">1999</td> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> </tr> </tbody> </table> | | <u>Australian. Ships Detained</u> | <u>Legal Action Taken</u> | 1995 | 0 | 1 | 1996 | 0 | 0 | 1997 | 0 | 0 | 1998 | 2 | 0 | 1999 | 1 | 2 |
| | <u>Australian. Ships Detained</u> | <u>Legal Action Taken</u> | | | | | | | | | | | | | | | | | |
| 1995 | 0 | 1 | | | | | | | | | | | | | | | | | |
| 1996 | 0 | 0 | | | | | | | | | | | | | | | | | |
| 1997 | 0 | 0 | | | | | | | | | | | | | | | | | |
| 1998 | 2 | 0 | | | | | | | | | | | | | | | | | |
| 1999 | 1 | 2 | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | |

| | |
|--|--|
| <p>11. Did your Administration investigate detentions by port States of ships flying the flag of your State for each of the previous 5 years? (see also question 28)</p> <p>- If yes, indicate how many such detentions were investigated.</p> | <p>Yes</p> <p>2</p> |
| <p>Recognised organisations acting on behalf of the Administration</p> | |
| <p>12. Which organisations has your Administration recognised for the purpose of delegation of authority under the relevant instruments you indicate under question 3?</p> | <p>American Bureau of Shipping; Bureau Veritas; Det Norske Veritas; Germanische Lloyd; Lloyds Register of Shipping; Nippon Kaiji Kyokai</p> |
| <p>13. When your Administration delegates authority to recognised organisations, does it follow resolutions A.739 (18) and A.789 (19) as minimum requirements, the requirements in SOLAS 74, regulation XI/I, and the analogous requirements</p> | <p>Yes</p> |
| <p>14. Has your Administration provided IMO with a copy of the formal agreement or equivalent legal arrangements with the recognised organisations listed in question 12?</p> | <p>Yes Original agreements provided in generic form. Copies of new individual agreements not yet finalised.</p> |
| <p>15. Indicate which survey and/or certification functions your Administration has delegated to the recognised organisations referred to in question 12.</p> | <p>see attached list</p> |
| <p>16. Indicate, for the instruments you listed under question 3, which survey and/or certification functions are carried out by your Administration.</p> | <p>Survey of Radio Equipment; Shipboard Oil Pollution Emergency Plan; All statutory required ISM Code audit, verification and certification activities required under SOLAS chapter IX.</p> |

| | |
|--|--|
| <p>17. Does your Administration carry out the verification and monitoring functions specified in resolution A.739 (18)?</p> | <p>AMSA may send observers to IACS QSCS vertical contract audits carried out at Australian offices of AMSA approved classification societies. AMSA expects to commence its own audit program of approved classification societies later in 2000, see 19 below.</p> |
| <p>18. How does your Administration carry out the verification and monitoring functions specified in Resolution A.739(18)?</p> | <p>Audit and monitoring of classification society activities carried out on behalf of AMSA together with on-board verification through Flag State control inspections of Australian registered ships.</p> |
| <p>19. How often does your Administration verify and monitor the work of recognised organisations acting on its behalf?</p> | <p>Scheduled audits of approved classification societies are to be carried out at two and a half yearly intervals drawing on internal and IACS QSCS audit results as necessary to complement this verification activity. Flag State control inspections of Australian registered ships which include monitoring of on board activities carried out on behalf of AMSA by approved societies take place at six monthly intervals.</p> |

| 20. How does your Administration take specific responsibility for international certificates issued on its behalf by dependent territories/second registers? | | | | | | | | | | | | | |
|---|---|--|-----------------|-------------|----------|-------------|----------|-------------|----------|-------------|----------|-------------|----------|
| Casualty Investigation | | | | | | | | | | | | | |
| 21. Does your Administration have the means (financial and administrative) to ensure that thorough and prompt casualty and incident investigations into all cases of serious and very serious casualties, as defined in paragraphs 4.2 and 4.3 of the Annex to resolution A.849(20), are carried out? | Yes | | | | | | | | | | | | |
| 22. For each of the previous 5 years*, for ships flying the flag of your State: .1 How many serious and very serious casualties and incidents were investigated? | <table border="1"> <thead> <tr> <th></th> <th style="text-align: center;"><u>Reported</u></th> </tr> </thead> <tbody> <tr> <td>1995</td> <td style="text-align: center;">2</td> </tr> <tr> <td>1996</td> <td style="text-align: center;">0</td> </tr> <tr> <td>1997</td> <td style="text-align: center;">2</td> </tr> <tr> <td>1998</td> <td style="text-align: center;">3</td> </tr> <tr> <td>1999</td> <td style="text-align: center;">1</td> </tr> </tbody> </table> | | <u>Reported</u> | 1995 | 2 | 1996 | 0 | 1997 | 2 | 1998 | 3 | 1999 | 1 |
| | <u>Reported</u> | | | | | | | | | | | | |
| 1995 | 2 | | | | | | | | | | | | |
| 1996 | 0 | | | | | | | | | | | | |
| 1997 | 2 | | | | | | | | | | | | |
| 1998 | 3 | | | | | | | | | | | | |
| 1999 | 1 | | | | | | | | | | | | |
| .2 How many such casualties and incidents were reported to IMO? | <table border="1"> <thead> <tr> <th></th> <th style="text-align: center;"><u>Reported</u></th> </tr> </thead> <tbody> <tr> <td>1995</td> <td style="text-align: center;">2</td> </tr> <tr> <td>1996</td> <td style="text-align: center;">0</td> </tr> <tr> <td>1997</td> <td style="text-align: center;">2</td> </tr> <tr> <td>1998</td> <td style="text-align: center;">3</td> </tr> <tr> <td>1999</td> <td style="text-align: center;">1</td> </tr> </tbody> </table> | | <u>Reported</u> | 1995 | 2 | 1996 | 0 | 1997 | 2 | 1998 | 3 | 1999 | 1 |
| | <u>Reported</u> | | | | | | | | | | | | |
| 1995 | 2 | | | | | | | | | | | | |
| 1996 | 0 | | | | | | | | | | | | |
| 1997 | 2 | | | | | | | | | | | | |
| 1998 | 3 | | | | | | | | | | | | |
| 1999 | 1 | | | | | | | | | | | | |
| 23. Can your Administration produce to IMO, on request, evidence which shows that casualties and incidents on ships flying the flag of your State have been investigated? | Yes | | | | | | | | | | | | |
| 24. For each of the previous 5 years, has your Administration provided IMO with the mandatory annual reporting required by article 11.1(f) of MARPOL 73/78? | Yes | | | | | | | | | | | | |

25. How many allegations of violations, according to article 4 of MARPOL 73/78, have been made against ships flying the flag of your State in each of the previous 5 years?

.1 How many investigations or legal proceedings has your Administration carried out in the previous 5 years in accordance with articles 4 and 6 of MARPOL?

.2 In how many cases did your Administration report back to the reporting State or to IMO in each of the previous 5 years?

| | <u>.1 Investigate</u> | <u>.2 Reports</u> |
|-------------|-----------------------|-------------------|
| 1995 | 2 | 0 |
| 1996 | 0 | 0 |
| 1997 | 0 | 0 |
| 1998 | 0 | 0 |
| 1999 | 1 | 0 |

EXTERNAL CRITERIA

26. For each of the previous 5 years, how many ships flying the flag of your State:

.1 have been involved in serious or very serious casualties?

| <u>Very Serious/Serious Casualties</u> | |
|--|----------|
| 1995 | 2 |
| 1996 | 0 |
| 1997 | 2 |
| 1998 | 3 |
| 1999 | 1 |

.2 have become total losses or constructive total losses?

| <u>Total loss/Constructive Total loss</u> | |
|---|----------|
| 1995 | 1 |
| 1996 | 0 |
| 1997 | 0 |
| 1998 | 0 |
| 1999 | 0 |

.3 have caused severe pollution?

| <u>Severe Pollution</u> | |
|-------------------------|----------|
| 1995 | 1 |
| 1996 | 0 |
| 1997 | 0 |
| 1998 | 2 |
| 1999 | 0 |

.4 What casualty rate per 1000 ships does this represent?

| <u>Casualty rate per 1000 ships</u> | |
|-------------------------------------|-----------|
| 1995 | 27 |
| 1996 | 0 |
| 1997 | 27 |
| 1998 | 40 |
| 1999 | 13 |

.5 What is the total tonnage involved as a percentage of the total fleet?

| <u>Total Tonnage as % of total fleet</u> | |
|--|--------------|
| 1995 | 1.94% |
| 1996 | 0 |
| 1997 | 1.54% |
| 1998 | 2.2% |
| 1999 | 0.3% |

| <p>27. In each of the previous 5 years, how many lives have been lost:</p> <p>.1 in casualties involving ships flying the flag of your State?</p> <p>.2 due to occupational accidents (ie other than from casualties to ships) on ships flying the flag of your State?</p> <p><i>NB – Includes: falls; boarding or disembarking; accidents on deck and in machinery spaces, deaths in enclosed spaces; but does not include: accident ashore; homicide; suicide; or deaths from disease or natural causes.</i></p> | <p>Lives lost in:-</p> <table border="1"> <thead> <tr> <th></th> <th>.1 Casualties</th> <th>.2 Occupational accidents</th> </tr> </thead> <tbody> <tr> <td>1995</td> <td>0</td> <td>0</td> </tr> <tr> <td>1996</td> <td>0</td> <td>0</td> </tr> <tr> <td>1997</td> <td>0</td> <td>1</td> </tr> <tr> <td>1998</td> <td>0</td> <td>0</td> </tr> <tr> <td>1999</td> <td>0</td> <td>0</td> </tr> </tbody> </table> | | .1 Casualties | .2 Occupational accidents | 1995 | 0 | 0 | 1996 | 0 | 0 | 1997 | 0 | 1 | 1998 | 0 | 0 | 1999 | 0 | 0 |
|--|--|----------------------------------|----------------------|----------------------------------|-------------|-------------|----------|-------------|----------|-------------|-------------|----------|----------|-------------|----------|----------|-------------|----------|----------|
| | .1 Casualties | .2 Occupational accidents | | | | | | | | | | | | | | | | | |
| 1995 | 0 | 0 | | | | | | | | | | | | | | | | | |
| 1996 | 0 | 0 | | | | | | | | | | | | | | | | | |
| 1997 | 0 | 1 | | | | | | | | | | | | | | | | | |
| 1998 | 0 | 0 | | | | | | | | | | | | | | | | | |
| 1999 | 0 | 0 | | | | | | | | | | | | | | | | | |
| <p>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?</p> <p>.2 What detention rate per 1000 ship inspections does this represent? (see also question 11).</p> | <table border="1"> <tbody> <tr> <td>1995</td> <td>0</td> </tr> <tr> <td>1996</td> <td>1</td> </tr> <tr> <td>1997</td> <td>1</td> </tr> <tr> <td>1998</td> <td>0</td> </tr> <tr> <td>1999</td> <td>0</td> </tr> <tr> <td>2</td> <td></td> </tr> </tbody> </table> | 1995 | 0 | 1996 | 1 | 1997 | 1 | 1998 | 0 | 1999 | 0 | 2 | | | | | | | |
| 1995 | 0 | | | | | | | | | | | | | | | | | | |
| 1996 | 1 | | | | | | | | | | | | | | | | | | |
| 1997 | 1 | | | | | | | | | | | | | | | | | | |
| 1998 | 0 | | | | | | | | | | | | | | | | | | |
| 1999 | 0 | | | | | | | | | | | | | | | | | | |
| 2 | | | | | | | | | | | | | | | | | | | |

March, 2000

ATTACHMENT TO FLAG STATE SELF-ASSESSMENT FORM SUBMITTED BY AUSTRALIA

The following international maritime convention survey and certification functions may be undertaken by approved classification societies on behalf of the Australian Maritime Safety Authority (AMSA).

SOLAS Convention 1974, SOLAS Protocol 1978 and the 1981 and 1983 amendments to SOLAS 1974, SOLAS Protocol 1988, as may be amended.

Survey for the issue or endorsement of a Passenger Ship Safety Certificate (excludes survey of radio equipment)

Survey for the issue or endorsement of a Cargo Ship Safety Construction Certificate

Survey for the issue or endorsement of a Cargo Ship Safety Equipment Certificate

Survey for issue or endorsement of a High Speed Craft Safety Certificate (excludes survey of radio equipment and issue of Permit to Operate)

Convention on the International Regulations for Preventing Collisions at Sea, as may be amended.

Field of application as prescribed in the Convention with the exception of the issue of determinations under rule 1(e)

MARPOL 73/78, as may be amended.

Survey for issue or endorsement of an International Oil Pollution Prevention Certificate noting Shipboard Oil Pollution Emergency Plan to be approved by AMSA

Survey for issue or endorsement of an International Pollution Prevention Certificate for the Carriage of Noxious Liquid Substances in Bulk

Certificate of Fitness for the transport and handling of limited amounts of hazardous and noxious liquid substances in bulk on offshore support vessels

The functions related to sub-regulations 13(5), 13(6), 13D(1)(a), 13F(5), 13F(9), 13G(6), 15(2), 15(3), 16(4), 16(5), 23(5), 25(1)(c), 25(3)(d) and 25(4)(d) of Annex 1 of MARPOL 73/78 - recommendations to be made to AMSA on a case by case basis

International Convention on Load Lines, 1966, LL Protocol 1988; as may be amended.

Survey for the issue or endorsement of an International Load Line Certificate

Code of Safety for Dynamically Supported Craft

Survey for issue or renewal of a Dynamically Supported Craft Construction and Equipment Certificate - excludes survey of radio equipment and issue of Permit to Operate

Code for the Construction and Equipment of Mobile Offshore Drilling Units

Survey for issue or endorsement of a Mobile Offshore Drilling Unit Safety Certificate - excludes survey of radio equipment

Code of Safety for Special Purpose Ships

Survey for issue or endorsement of a Special Purpose Ship Safety Certificate - excludes survey of radio equipment

EGC, GC and IGC Codes

Survey for the issue or endorsement of a Certificate of Fitness for a Gas Carrier

IBC and BCH Codes

Survey for the issue or endorsement of a Certificate of Fitness for a Chemical Tanker

BC Code

Survey for and issue of Certificates of Compliance with BC Code, provisions 7.2.2/3

International Convention on Tonnage Measurement of Ships, 1969, as may be amended

Measurement for, calculation and issue of an International Tonnage Certificate (1969)
