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**SELF-ASSESSMENT OF FLAG STATE PERFORMANCE:
CRITERIA AND PERFORMANCE INDICATORS**

1 In pursuance of the instructions of the Maritime Safety Committee, at its seventieth session (7 to 11 December 1998), and the Marine Environment Protection Committee, at its forty-third session (28 June to 2 July 1999), the Sub-Committee on Flag State Implementation, at its eighth session (24 to 28 January 2000), prepared criteria and performance indicators, as set out in the annex.

2 The criteria and performance indicators, which may be used when States choose to assess their performance as flag States, were approved by the Maritime Safety Committee at its seventy-second session (17 to 26 May 2000) and the Marine Environment Protection Committee at its forty-fourth session (6 to 15 March 2000) for dissemination.

3 Member Governments are invited to consider taking into account the attached criteria and performance indicators when carrying out a self-assessment of their capabilities and performance in giving full and complete effect to the IMO instruments to which they are Party, in accordance with the recommendations of, and Guidance annexed to, resolution A.881(21) - Self-assessment of flag State performance, and in conjunction with resolution A.847(20) - Guidelines to assist flag States in the implementation of IMO instruments.

ANNEX

SELF-ASSESSMENT OF FLAG STATE PERFORMANCE: CRITERIA AND PERFORMANCE INDICATORS

Introduction

1 A State conducting a self-assessment exercise should adopt a holistic approach, meaning a generality which may be used by any flag State, irrespective of the composition of its fleet, and such a holistic approach should lead to a balanced, total picture of the performance of a flag State, catering for the particular characteristics of the individual flag State. As a goal, the flag State should have a fleet with a good safety record and which causes minimal damage to the marine environment.

Criteria

- 2 The following set of criteria constitute a means to reach the defined goal:
- .1 Legal framework and means of promulgating maritime legislation which shall satisfy the international maritime obligations of the State.
 - .2 Ability to demonstrate giving full and complete effect to instruments in force to which the flag State is a Party.
 - .3 Enforcement of maritime legislation.
 - .4 Responsibility for any Recognized Organization (RO) acting on behalf of the Administration, including authorization and monitoring of, and any corrective action against, the RO.
 - .5 Ability to investigate the causes of personal injuries, non-compliance, casualties, pollution incidents and ability to take appropriate remedial action.
 - .6 Ability to ensure that a ship having joined its register does not operate unless it complies with applicable requirements.
 - .7 Ability to demonstrate that a policy is in place to promote at all times a safety and environmentally-minded working culture.

Performance indicators

3 The performance indicators are needed to obtain results demonstrating whether the criteria listed in paragraph 2 above have been fulfilled, and should be perceived as general areas of performance which provide objective information that can be analysed. The analysis of the information associated with the performance indicators should be undertaken in an effort to identify trends and common factors. On this basis, the following performance indicators should be analysed against each of the above criteria:

- .1 Accidents, casualties and incidents reportable to the Organization in terms of the requirements of the applicable Conventions.

- .2 Accidents involving personal injuries leading to absence from duty of 3 days or more on board ships flying the flag of the State concerned.
 - .3 Lives lost on its ships resulting from the operation of ships flying its flag.
 - .4 Ships lost.
 - .5 Pollution incidents according to MARPOL 73/78 and other applicable instruments' reporting standards, as appropriate, including a measure of the seriousness of the incidents.
 - .6 Information provided by other States under port State control procedures in accordance with the applicable Conventions.
 - .7 Information provided by statutory surveys, audits and inspections carried out by, on behalf of and at the request of, the flag State.
 - .8 Compliance with communication of information requirements of mandatory instruments, including the serious and very serious incidents reportable to the Organization.
 - .9 Actions taken against ships, flying the flag of the State, which have been identified as not being in compliance with the requirements of mandatory instruments, including the effects of such actions.
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