



## DESIGN & CONSTRUCT PROFESSIONAL INDEMNITY PROPOSAL FORM

This is a fillable PDF form.

Please download or open the file directly in [Adobe Reader](#) to complete it electronically. Please type in your answers in the fields you wish to complete and save a copy for your records as you proceed.

**NOTE: MICROSOFT'S PDF READER PACKAGED WITH WINDOWS 10  
WILL NOT WORK CORRECTLY**

1) Please provide full trading names of all **Firms** to be insured under this arrangement (**You/Your**):

Name(s) including predecessor firms	Date Established
Please provide <b>Your</b> website address:	
Email:	

2) Please provide all addresses:


3) Please describe fully the activities you undertake:

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4) Please provide a breakdown of turnover/fees generated:

Year End Date (month applicable)

Year End					N/Y Estimate
Work in UK					
Work in EU					
Total					

4b Are all contracts subject to UK Law?

Yes

No

5a) Please provide a breakdown of the turnover/fees generated: **PLEASE ANSWER IN £, NOT % AS (E) RELATES TO PURE FEES**

Professional Indemnity Design and Construct Policies provide cover for **Professional Activities and Duties** which are normally defined within the policy wording. For the purposes of this application form, **Professional Activities and Duties (PAD)** should be considered as design or specification, supervision of construction, feasibility study, technical information calculation, and surveying undertaken by or under the direction and direct control of a properly qualified **Architect, Engineer or Surveyor** (please see policy wording for a full description)

For the avoidance of doubt Professional Activities and Duties **WOULD NOT** normally include supervision by the Insured of its own or its Subcontractors work where such supervision is undertaken in its capacity as a Building or Engineering Contractor. The intention **IS NOT** to provide cover for its own faulty workmanship.

	Last full financial year	Current financial year
A) Turnover from contracts where you have responsibility for PAD and you carry out those responsibilities in-house.		
B) Turnover from contracts where responsibility for PAD are novated to you.		
C) Turnover from contracts where the main design is provided to you by a 3rd party, not appointed by you, but where you use your own skills and experience to undertake detailing and or specify materials / components and or undertake temporary works design.		
D) Turnover from contracts where you have responsibility for PAD but you subcontract those activities to others. <i>Please list the amount of fees paid to sub consultants and answer the sub consultants' questions below.</i>		
E) Turnover from contracts where you have no responsibility for PAD - <i>There will be no cover for this work under the policy.</i>  <i>This does not mean elements of contracts where you have no PADs it means only entire contracts for which you have no responsibility either in house or subcontracted or novated for any PADs and for which you are not providing any detailing/specification etc.</i>		
F) <b>Fee</b> income for PAD where there is no supply/construction or installation of products.		
<b>TOTAL:</b>		

5bi). Where turnover has been declared in section 5a D - what fees are paid away to the sub consultants in each of the past 5 years?


5b ii) What services are provided by the sub-consultants?

5b iii) Which 5 sub-consultants are used most often??

5b iv) Do you ensure the sub-consultants carry their own Professional Indemnity Insurance to a limit of at least £5m? If NO please provide details below

Yes

No

5b v) Do you maintain a log on an annual basis of ALL sub-contractors you have used in the past 12 years to confirm they are maintaining the contractually required PI limits?

Yes

No

5c) Please state the proportion of your work in the last year, or estimated for next year if a new start up, relating to the following disciplines paying careful attention to each column heading:

	Proportion of <b>TURNOVER</b> declared under A,B,C,D	Proportion of <b>TURNOVER</b> declared under E
Architectural	%	%
Structural Engineering	%	%
Building Services - Heating & Ventilation	%	%
Building Services - Electrical Engineering	%	%
Building Services - Mechanical Engineering	%	%
Civil Engineering	%	%
Soil Engineering	%	%
Roofing	%	%
Cladding	%	%
Glazing	%	%
Curtain Walls	%	%
General construction costs	%	%
Other - please specify below	%	%

5c (continued)) please provide details of any "other" work detailed above

5d) Is the work split typical of the figures for the last five years?  
(If NO, please give details on a separate sheet)

Yes

No

5e) Where turnover has been declared in section 5a E (**Turnover from contracts where you have no responsibility for PAD**) please provide brief details of work undertaken

5f) Where **Fee** income has been declared in 5aF (for PAD where there is no supply/construction or installation of products) please split these FEES between the various professional disciplines:

Architectural	%		Foundations	%
Structural Engineering	%		Roofing/Cladding/Glazing	%
Civil Engineering	%		Building Services	%
Soil Engineering	%		Other, please specify	%

5g) What is the average single value of all contracts performed over the last 3 years?

£

6a) Please provide details of **Your** 5 largest contracts in the past 6 years (Total contract Value is the value of the entire contract)

1: Client/Project Description	Start Date	Description of Contract & Activities Undertaken	Total Contract Value	Your Contract Fee	Completion Date
			£	£	
Services undertaken (Per Q10)					
What <b>Professional Services</b> did you sub contract out			What <b>Professional Services</b> Fees did you pay to Sub Contractors		£

2: Client/Project Description	Start Date	Description of Contract & Activities Undertaken	Total Contract Value	Your Contract Fee	Completion Date
			£	£	
Services undertaken (Per Q10)					
What <b>Professional Services</b> did you sub contract out			What <b>Professional Services</b> Fees did you pay to Sub Contractors		£

3: Client/Project Description	Start Date	Description of Contract & Activities Undertaken	Total Contract Value	Your Contract Fee	Completion Date
			£	£	
Services undertaken (Per Q10)					
What <b>Professional Services</b> did you sub contract out			What <b>Professional Services</b> Fees did you pay to Sub Contractors		£

4: Client/Project Description	Expected Start Date	Description of Contract & Activities Undertaken	Total Contract Value	Your Contract Fee	Approx. Completion Date
			£	£	
Services undertaken (Per Q10)					
What <b>Professional Services</b> did you sub contract out			What <b>Professional Services</b> Fees did you pay to Sub Contractors		£

5: Client/Project Description	Expected Start Date	Description of Contract & Activities Undertaken	Total Contract Value	Your Contract Fee	Approx. Completion Date
			£	£	
Services undertaken (Per Q10)					
What <b>Professional Services</b> did you sub contract out			What <b>Professional Services</b> Fees did you pay to Sub Contractors		£



7b) How many professionally Qualified staff (including partners and directors) do you have?

How many staff do you have in total (including those detailed above)

8) Have you undertaken contracts involving any of the following in the last five years?

Manufacturing Plant	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Mines & Associated Works	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Power Plant	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Demolition	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Sewerage* & Water Systems*	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Foundations /Piling	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Petrochemicals & Refineries /Nuclear / Atomic	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Bulk Handling Equipment	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Roads*, Bridges, Tunnels & Dams	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Structural steelwork (where you have some responsibility for design)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Harbours & Jetties	<input type="checkbox"/> Yes	<input type="checkbox"/> No	The Installation of Siphonic Drainage Systems	<input type="checkbox"/> Yes	<input type="checkbox"/> No

\*other than as part of the infrastructure for a development where you are also constructing the buildings.

If any of the answers above are YES, please provide full details below.

- |   |                              |                             |
|---|------------------------------|-----------------------------|
| 9) Do you carry out work outside the UK?  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 10) Have you ever undertaken a contract as a member of a consortium or joint venture?                               | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 11) Have you ever undertaken a contract which forms part of a PFI or PPP project?                                   | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 12) Do you ever accept liability for professionals appointed by others by way of novation or other legal agreement? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 13) Have you ever been involved in Roofing / cladding?  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 14) Have you ever been involved with any syphonic drainage system?  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 15) Have you ever been involved with any form of piling?  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 16) Have you ever undertaken or do you expect to undertake any work involving basement extensions?                  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |



- 17) Do all your contracts involve well-established techniques and practices?  Yes  No
- Do you now, and have you in the past, always ensured that any third parties appointed by you, on your behalf, or whose appointment is novated to you, who undertake \*design (as defined in question 15), hold, and continue to maintain, Professional Indemnity insurance with a limit of Indemnity at least equal to that held by you?
- 18)  Yes  No

### CLADDING

- 19) Has the firm or its predecessors ever been involved in:
- a. The specification, design or supervision of the installation of windows or cladding or cavity barrier protection on any building over 4 stories or 18 meters in height?  Yes  No

If yes please provide details

- b. The refurbishment of any building over 4 stories or 18 meters in height?  Yes  No

If yes please provide details including the number and height of such buildings, the extent of your services, the nature/scope of the refurbishment.

- c. Any project on a building over 4 stories / 18 meters in height, which involved the installation of Aluminium Composite Material (ACM) panels?  Yes  No

If Yes please provide details including the number and height of such buildings, the extent of your services, the nature of the panels including if they contained any (modified or unmodified) polyethylene filler and Foam Insulation.

20) **CLAIMS**

1) In relation to your professional business activities, after reasonable enquiry are you aware of:

Any matter which may lead to a claim against you. This includes:

- i. a shortcoming or problem in your work known to you which you cannot reasonable put right;
- a. ii. a complaint about your work or anything you have supplied which cannot be immediately resolved;  Yes  No
- iii. an escalating level of complaint on a particular project;
- iv. a client withholding payment due to you after any complaint.
  
- b. Any loss from the dishonesty or malice of any employee or self-employed freelancer.  Yes  No
- c. Any loss from the suspected dishonesty or malice of any employee or self-employed freelancer.  Yes  No
- d. Any matter which may give rise to a claim against your predecessors in business or any past director, officer, board member, senior manager or employee.  Yes  No

If you have answered YES to any of the above please provide details:

2) Has any claim, whether successful or not been made against you or your predecessors in business or any past or present partner, principal, director or employee (whether previously insured or not)?  Yes  No

If you have answered YES to the above please provide details:

21) **PRINCIPALS**

Have you or any of your partners or directors at any time either personally or in any business capacity:

- a. Any loss from the dishonesty or malice of any employee or self-employed freelancer.  Yes  No
- b. been a partner, a director or had a controlling interest in any company, NO firm or business entity which has entered into a voluntary arrangement with creditors or been subject to any application for liquidation, administration, receivership or to enforcement of a judgment debt?  Yes  No

**22) Please provide details of your current Professional Indemnity insurance arrangements below:**

Current Insurer	
Policy Renewal Date	
Limit of Indemnity	
Excess	
Premium	
Has any application for similar insurance made on your behalf or on behalf of any past or present Principal ever been refused renewal, cancelled or accepted only on special terms? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Please detail the Limit of Indemnity now required with your preferred excess	

**If any part of this form has not enabled you to provide complete answers - please submit additional details separately**

**Fair Presentation of Risk in Accordance with the Insurance Act 2015**

The Partner, Principal or Director of the Firm/Company, must make a fair presentation of the risk to us - in accordance with Section 3 of the Insurance Act 2015. Such fair representation must be reasonably clear and accessible, each representation of fact substantially correct, and every material representation of expectation or belief, made in good faith. In this regard, fair presentation covers every material circumstance which the Partner, Principal or Director of the Firm/Company knows (or ought to know) generally, including any of the Senior Management. For the sake of completeness, this also includes any information held within the Firm / Company's organisation. If any subsidiaries, affiliates or other parties are to be insured under this application, we expect that the relevant information has been sourced and provided herein.

For the purposes of this Fair Presentation the Senior Management means, in accordance with the Insurance Act 2015: those individuals that play significant roles in the making of decisions about how the Insured's activities / services / clients are to be managed. Under Section 4 of the Insurance Act 2015 an Insured must disclose all material circumstances known to its 'Senior Management' and those persons responsible for the Insured's insurances. I / we the undersigned, agree that this submission together with any additional detail supplied, represents a fair presentation of the risk known to the Senior Management of the Firm/Company noted below.

**A copy of this proposal should be retained by you for your own records**

**Short Form Privacy Notice**

In order for us and the insurers to provide you with your insurance cover, we collect and process information about you. This information includes details such as your name, address and contact details and any other information that we collect about you in connection with the insurance cover from which you benefit. This information may include more sensitive details such as information about your health or any criminal convictions you may have. In certain circumstances, we may need your consent to process certain categories of information about you, including any sensitive information (health information or information relating to any criminal convictions). Where your consent is required, unless another ground applies, your consent to this processing is necessary for us to provide our services and we will ask you for your consent separately. You may withdraw your consent at any time. However, should you exercise this right, we may not be able to fulfil the insurance services requested by you, your policy may terminate, or you may be unable to make a claim. The way insurance works means we may need to disclose your personal information to third parties in the insurance market for example, insurers or other insurance market participants or credit reference agencies and to third parties including loss adjusters, claims handlers and solicitors. More information about our use of personal data is set out in our Privacy Notice on our website, [www.privacy-notice.co.uk](http://www.privacy-notice.co.uk) We recommend that you review this notice

Name of Principal Signing this form:

Signature of Principal:

Date: