

ENGINEERS: RISK MANAGEMENT ESSENTIALS

INTRODUCTION

Effective risk management is an essential feature of all successful organisations and is one of QBE's key considerations when reviewing existing and proposed firms for professional indemnity insurance. We firmly believe in the use of quality assurance principles as a means of managing risk and are constantly working to establish innovative ways to improve quality assurance standards and thereby risk management practices for our clients within the construction sector and all the professions we underwrite.

One such innovation is the development of our suite of construction-related questionnaires - one each for Architects, Surveyors, Engineers, and Design & Construct firms. These are risk assessment tools designed to provide a holistic review of risk and as such address a broad range of quality assurance and compliance issues. They are invaluable in helping us and our insured clients to identify the areas where claims are most likely to arise and thereby to prioritise the action needed to manage the risks involved.

This *Risk Management Essentials Questionnaire* (RMEQ) is the first rung on the risk assessment ladder and provides an assessment of risks considered critical to the causes of professional indemnity claims. RMEQ requirements focus on high-risk elements rather than the management of the business overall, so firms might like to access our full Quality Assurance Questionnaire on: www.qbeurope.com/qualityassurance if a broader picture is required. Our QA Team will review all RMEQs and Quality Assurance Questionnaires returned, and provide a report outlining our recommendations for improving risk management practices.

Our statistical analysis tells us that, on average, firms which do not engage in our risk assessment process experience claims values 25% higher than those firms that do participate. The primary purpose of our questionnaire is therefore to raise awareness of risk management issues and to encourage the adoption of quality assurance principles to manage risk. It is not solely about results achieved, and we do not expect all firms to score 100%. Rather, we aim to work with our insured clients to improve their management processes so that the likelihood and value of claims is reduced. We recognise that this process takes time, but this is wholly consistent with our approach of continuity, stability, and our long-term commitment to the professional indemnity market.

This questionnaire is voluntary and does not form part of your contract of insurance. Providing this additional information does however enable us to better understand your business and give us the opportunity to provide an insurance premium that rewards sound management practices.

Thank you for taking the time to participate in our risk management initiative.

YOUR DETAILS

Firm Name:

To complete the form, simply answer each question by ticking the appropriate 'Yes', 'No', or where applicable, 'N/A' **red box**. If you would prefer to answer each bulleted sub-question you can do so by ticking the appropriate **blue box**. Please comment briefly on any negative responses or those questions you consider not applicable to your firm in the space provided at the end of the questionnaire.

We are constantly seeking to improve our services and should be grateful if you would answer the following questions:	Yes	No
• Did you find the covering letter self explanatory?	<input type="checkbox"/>	<input type="checkbox"/>
• Did you find the questionnaire well presented?	<input type="checkbox"/>	<input type="checkbox"/>
• Were each of the questions self explanatory?	<input type="checkbox"/>	<input type="checkbox"/>
• How long did it take you to complete?		Mins
• Did you find the questionnaire assisted you in addressing risk management issues you had not considered before?	<input type="checkbox"/>	<input type="checkbox"/>
• Do you agree that by answering this questionnaire, it will assist your Insurer to gain a better understanding of your firm?	<input type="checkbox"/>	<input type="checkbox"/>

If you have answered 'No' to any of the questions above, or wish to provide any further feedback, please use the space below to comment. If there is insufficient space please attach a separate sheet of paper.

Signed:

Dated:

Name of Signatory:

If you require this form in large print, please contact the QA Team on 01732 846107 or e-mail qahelp@qbe-europe.com

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QUESTIONS

To answer YES to the following questions, you should be sure that at the time of completing this questionnaire, everyone in your firm to whom the requirement applies, is required to follow the firm's agreed policies and practices in a consistent manner.

1. Is a PRE-CONTRACTUAL ASSESSMENT carried out on all projects to:

- | | Yes | No | N/A | Yes | No |
|---|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| a) evaluate the adequacy of the client's brief against specific criteria (e.g. budget, performance etc); | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| b) ensure there are adequate resources and skills to fulfil the project requirements; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| c) ensure that where the above places reliance on outsourced services, the availability, capacity and capability those service providers is verified; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | |
| d) ensure that any design copyright issues are addressed and fees paid/received in return for a license to reproduce a copyrighted design; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | |
| e) clarify responsibility for 'fitness for purpose' and ensure adequate PI cover for the project; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | |
| f) ensure that the proposed terms of engagement are clear and acceptable to both parties, (using Industry Standards where appropriate), and that any disputed contractual items are identified for resolution; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | |
| g) identify, using defined assessment criteria, the risks associated with the project. Such criteria will most likely be a mix of common issues and factors unique to the individual project and might include: unrealistic expectations (completion dates, costs, or design issues), contracts with little room for negotiation or unclear rates for extra time or disputed requirements, project type, taking over part completed work / designs, 'difficult' clients, potential for conflicts of interest and/or inability to maintain independence (e.g. when recommending materials or sub/contractors), location and/or geotechnical problems, reliance on subcontractors, use of untried materials or techniques, 'buildability', design integration, dealing with pollutants or other health & safety issues; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | |
| h) ensure that controls can be put in place to manage the risks identified in 1g (e.g. a more detailed programme of work, more frequent reviews and/or cost updates, use of specialists/consultants etc.)? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | |

2. Are POST-CONTRACTUAL ASSESSMENTS carried out to:

- | | Yes | No | N/A | Yes | No |
|--|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| a) monitor the risk profile of the project (as assessed by 1g) at relevant stages in its life cycle; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| b) record all risk management controls in a prominent place in the project file; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| c) ensure that the planned controls are effectively communicated, implemented and maintained? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

3. Do PROJECT / QUALITY PLANS clearly show:

- | | Yes | No | N/A | Yes | No |
|---|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| a) a statement of requirements including scope and limitations of the project; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| b) responsibilities of the project team members including a named manager for the project; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| c) details of any sub-contractors/consultants to be used by the practice and the role of each; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| d) details of the roles of other professionals involved and relevant interfaces; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| e) what will be delivered in terms of drawings, specifications, schedules, reports, approvals etc.; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| f) inspection or other quality control stages for all phases to include design reviews, drawing inspections, client representations and approvals, statutory submissions, any tests to be conducted and/or witnessed, construction inspection stages etc; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | |
| g) applicable Standards, Codes, Regulations or other authoritative guides; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | |
| h) arrangements for complying with CDM requirements and any Health & Safety Plan; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | |
| i) involvement, requirements and timings for contact with Utilities and Authorities; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | |
| j) names of people (externally and within your practice) with authority to agree changes to design, scope of work, programme, costs, or sub/contractors and consultants; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | |
| k) cost plans and cost management information (to include pre-agreed rates and formulas for any extras)? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | |

4. Does your PROGRAMMING PROCESS include the following controls:

- | | Yes | No | N/A | Yes | No |
|--|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| a) a programme of work showing design, development and post-design phases, planned commencement and completion dates for each and any inter-dependence of the phases; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| b) identification of key dates (such as dates of reviews, submissions to Utilities/Authorities, test/inspection and due dates for delivery of information to other parties); | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| c) regular and recorded progress reviews for representatives of those involved with the project; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | |
| d) a clear escalation process for advising of key dates that are in jeopardy including notification requirements to inform the client of any potential or actual delays; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | |
| e) a process for proposing and confirming in writing any programme changes; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | |
| f) a distribution list to ensure the full circulation of the programme and any subsequent changes? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | |

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QUESTIONS (continued)

5. Do you have processes for the CONTROL OF DOCUMENTS that include:

5.1 For Drawings, Specifications and Schedules:

	Yes	No	N/A	Yes	No
a) production of drawings in accordance with recognised codes (e.g. BS 1192, CPIP or NBS);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) records of circulation of drawings, specifications and schedules;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) ensuring the availability of documents to relevant people and/or at relevant locations;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) identification of those people responsible for creating, checking, and approving documents for issue;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) a policy to discourage release of drawings prior to completion of all inspections and reviews, but should urgent or exceptional circumstances dictate this, a defined protocol for ensuring prompt post-release inspection, and any subsequent recall, communications or other action as may be necessary;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

5.2 For the Management of Document Changes:

f) recording the details, reasons and implications of proposed changes and who authorised them;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
g) evaluation of alternative design offers in accordance with defined criteria (e.g. cost, performance, etc);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
h) acceptance of proposed changes only by authorised personnel (as named in the Quality Plan);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
i) ensuring prompt notification of changes to all relevant parties and recording of same;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
j) use of a master list to identify the latest revision status of project documents;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

5.3 Generally:

k) recording, storage, circulation and update of documents from external sources (client, third parties, etc);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
l) upkeep of and access to current reference materials, data, Regulations, Codes and Standards;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
m) protocols for the organisation of files to enable easy access to key information, including the latest version of the Project / Quality Plan and current progress/status of the work;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
n) file storage, upkeep, closure, archiving, retention and eventual destruction by authorised personnel;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
o) the clear identification and/or disposal of superseded documents?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

6. Do your DESIGN PROCESSES include controls to ensure that:

	Yes	No	N/A	Yes	No
a) design input data is identified, documented and recorded at appropriate stages;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) technical data used for design is from a reliable source and is evaluated before use;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) any drawings/sketches/information from other sources are evaluated as to their reliability/suitability;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) calculations are performed, recorded and checked at specified stages;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) designers' risk assessments are undertaken, health & safety hazards identified, and records of the same kept;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f) re-evaluation of CDM issues takes place when design changes are made;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g) design output is both verified and validated against input requirements and the results recorded?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

7. Do you RECORD ALL SIGNIFICANT WORK AND CLIENT CONTACT on the file to include:

	Yes	No	N/A	Yes	No
a) dated and signed/initialled file notes of client contact (telephone calls, meetings and e-mail print-outs);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) any substantive / professional advice given (in whatever format/medium);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) details of written or other client authorisations;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) assumptions, calculations and thought processes leading to judgements, reports and documents;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) sources of information and advice;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f) all reviews, site visits and inspections, photographic evidence, tests undertaken/witnessed and the outcome of these (as defined in item 3f of the Quality Plan);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g) final copies of documents including designs, plans, reports, drawings, schedules & specifications (as defined in item 3e of the Quality Plan)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

8. Do your COST MANAGEMENT PROCESSES include measures to ensure that:

	Yes	No	N/A	Yes	No
a) original cost estimates are realistic, accurate and allow for contingencies and any options;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) a proposed payment schedule is agreed and fee notes rendered accordingly;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) project costs including any extras are monitored against budget at appropriate stages;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) additional expenditure is approved by the client prior to work being conducted;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) a full account of your fees is provided on conclusion of the project?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

9. Do you have processes for INTERNAL SUPERVISION that address, as appropriate:

	Yes	No	N/A	Yes	No
a) identification of those people with authority to make commitments and release documents;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) supervision and inspection/review of work undertaken by inexperienced or unqualified people;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) monitoring of incoming and outgoing correspondence for inexperienced or unqualified people;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) systematic circulation, review and discussion if necessary of professional information, such as that about codes, standards and regulations, new concepts and trends, case law, best practice, risk management etc. as published by professional or other authorised bodies;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) structured meetings (using core agendas) with individuals and teams as appropriate;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f) ensuring adequate resources (competent supervisors and sufficient time) so that supervision is effective?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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QUESTIONS (continued)

10. For EMPLOYEES AND INDIVIDUALS WHO CONTRACT DIRECTLY WITH YOU, is there:	Yes	No	N/A	Yes	<input type="checkbox"/>
a) effective induction training for new personnel, those returning to work after a prolonged absence and for changing roles within your practice;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No	<input type="checkbox"/>
b) recording of significant errors and negligent acts and the action taken to deal with such issues;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
c) regular review (at least annually) of performance and development needs, including the review of client feedback for any personnel placed with clients on long term contracts;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
d) planning of training/development activities to address competency shortfalls and development needs;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
e) timely implementation and evaluation of training to ensure it has proven effective?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
11. Do you have processes for MANAGING THE POST-DESIGN PHASE of projects to ensure that:	Yes	No	N/A	Yes	<input type="checkbox"/>
a) any required client authorisation to the design is obtained in writing;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No	<input type="checkbox"/>
b) engineering work does not commence until official written instruction to proceed is obtained;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
c) post-design roles are reviewed and on-going responsibilities and limits are confirmed;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
d) post-design activities are co-ordinated with the design process and timings notified to relevant parties;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
e) the Quality Plan in Q3 is reviewed at agreed stages, updated, and changes recorded and communicated;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
f) all post-design activities are completed, verified and the results recorded and notified as required?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
12. For SUBCONTRACT COMPANIES AND INDIVIDUALS used by your practice, do you have in place:	Yes	No	N/A	Yes	<input type="checkbox"/>
a) a set process and defined criteria for the selection of sub-contractors/consultants which includes an assessment of the subcontractor's own quality assurance and risk management processes;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No	<input type="checkbox"/>
b) a systematic review of every sub-contractor's/consultant's own PI insurance to ensure that it is adequate for their role in each project;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
c) a process for the written appointment of subcontractors (using standard forms if applicable);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
d) a process for providing written instructions and supporting documents for original work and any extras;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
e) systems for monitoring performance, notification of any problems, and recording of such problems and of the agreed remedial and corrective action measures to prevent reoccurrence?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
13. Do you have set processes to MANAGE COMMUNICATIONS including:	Yes	No	N/A	Yes	<input type="checkbox"/>
a) control of incoming and outgoing letters, faxes and e-mails including attachments and enclosures;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No	<input type="checkbox"/>
b) identification of documents (by unique number or project title) to ensure association with the correct project;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
c) the issue, authorisation and classification of formal Contract Instructions;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
d) timings, wordings and authorisation of Notices;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
e) agreed channels for raising concerns including issues raised under 'duty to warn' obligations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
14. Is there a consistent process for CONCLUDING PROJECTS which includes:	Yes	No	N/A	Yes	<input type="checkbox"/>
a) completion and recording of final inspection to include, where appropriate, verification that all previous quality controls specified in any Quality / Work Plan (defined by 3f), have been completed and recorded;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No	<input type="checkbox"/>
b) issue of documents defined in the requirements / Quality Plan (as identified by stage 3e);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
c) as appropriate to your project role, involvement in concluding stages including snagging, handover, issue of Practical Completion Certificates, feedback during the defects liability period, issuing Notices for remedial work,	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
d) conducting a project debrief to identify any errors, complaints or other problems that might give rise to a complaint or insurance claim and/or which should be added to the risk assessment criteria (as identified in 1g) when assessing future projects?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
15. If you decide to TERMINATE A CONTRACT, are the following advised in writing and in full accordance with the requirements of the contract terms:	Yes	No	N/A	Yes	<input type="checkbox"/>
a) the date when cessation comes into effect (ensuring that adequate notice is given);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No	<input type="checkbox"/>
b) reasons for termination;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
c) details of scope, limitations and responsibilities for any remaining activities;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
d) confirmation of any ongoing liability;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
e) an explanation of the implications of termination?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
16. Do you have a COMPLAINT MANAGEMENT PROCESS which ensures that:	Yes	No	N/A	Yes	<input type="checkbox"/>
a) all complaints / substantive expressions of dissatisfaction are recorded;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No	<input type="checkbox"/>
b) complaints are handled by someone of sufficient seniority to resolve matters swiftly;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
c) conditions under which circumstances must be notified are clearly defined so that potential claims may benefit from the PI Insurer's involvement at an early stage;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
d) remedial and corrective measures to prevent reoccurrence are recorded and implemented as appropriate?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

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COMMENTS REGARDING NEGATIVE OR NOT APPLICABLE RESPONSES

Question 1.	
Question 2.	
Question 3.	
Question 4.	
Question 5.	
Question 6.	
Question 7.	
Question 8.	
Question 9.	
Question 10.	
Question 11.	
Question 12.	
Question 13.	
Question 14.	
Question 15.	
Question 16.	

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SUPPLEMENTARY QUESTIONS

Only answer the remaining questions if relevant to the work carried out by your firm. Please comment on any negative responses or those you consider not applicable to your firm in the space provided at the end of the supplementary questionnaire.

S1. Do your controls for the management of ENGINEERING / DESIGN SOFTWARE include:	Yes	No	N/A	Yes	<input type="checkbox"/>
a) verification and monitoring of the capability of design and test software to ensure that it meets required performance and accuracy levels;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No	<input type="checkbox"/>
b) control and updating of such software after acceptance;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	N/A	<input type="checkbox"/>
c) monitoring and upkeep of associated handbooks / manuals;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
d) a programme of training to ensure that design software and any updates are used effectively?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
S2. Do your processes for MANAGING HEALTH & SAFETY address:	Yes	No	N/A	Yes	<input type="checkbox"/>
a) defined responsibilities and competencies required to meet health & safety obligations;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No	<input type="checkbox"/>
b) inspections, assessments and surveillance to be made;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	N/A	<input type="checkbox"/>
c) a process for collecting and reviewing health & safety information from relevant parties at agreed stages and on conclusion;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
d) compilation of a health and safety file to include plans, notifications, reports, and other records required;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
e) evidence to demonstrate compliance with CDM requirements at appropriate stages?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
S3. Do your (and/or your sub-contractors') PROCESSES FOR CALIBRATION address:	Yes	No	N/A	Yes	<input type="checkbox"/>
a) specifying the required tolerances of measurements (generally and/or for individual projects);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No	<input type="checkbox"/>
b) defining calibration inspection intervals;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	N/A	<input type="checkbox"/>
c) producing traceable records of test results and equipment used;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
d) identification of equipment's calibration status;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
e) removal / identification of malfunctioning or out of due date equipment;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
f) re-inspection of measurements taken with equipment found to be faulty or out of due date?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
S4. Are totals of any MONIES DUE to sub/contractors checked against:	Yes	No	N/A	Yes	<input type="checkbox"/>
a) a breakdown of cost elements, having taken into account any defective work;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No	<input type="checkbox"/>
b) projected spend on the programme to date;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	N/A	<input type="checkbox"/>
c) additional design professionals' instructions / Notices with cost implications?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

SUPPLEMENTARY QUESTIONS : COMMENTS REGARDING NEGATIVE OR NOT APPLICABLE RESPONSES

Question 1.	
Question 2.	
Question 3.	
Question 4.	