Healthcare Facility Application
Surgery Center—New Business

ProAssurance
Treated Fairly

PO Box 590009 • Birmingham, AL 35259-0009 • 800.282.6242 • Fax 205.868.4040

1. Introductory Information

Legal Entity Name: _____

Address: _____

City: _____ County: _____ State: _____ ZIP: _____

Contact Name: _____

Contact Email: _____

Number of Years in Operation: _____

Telephone Number: _____ Fax Number: _____

Hospital Fiscal Year Begins: _____

Tax ID Number: _____ NPI Number: _____

Website Address: _____

2. Facility/Corporate Organization

Type of Entity: ☐ Government ☐ Non-Profit ☐ Profit ☐ Other _____
☐ Individual ☐ Partnership ☐ Corporation ☐ Joint Venture

Type of Facility: _____

Do you have a Physician Medical Director? ☐ Yes ☐ No

Does the Medical Director provide any patient care as part of the Medical Director duties? ☐ Yes ☐ No

Please attach the following:

A. Carrier Loss History:

   i. **Ten years** of historical professional liability (PL) and general liability (GL) losses including current year, ground-up and unlimited, including all self-insured, insured and uninsured losses.

   ii. Date of loss valuation must be within the past 90 days.

   iii. Loss run must include carrier, claimant name, date of loss, report date, indemnity paid, indemnity reserved, expenses paid, expenses reserved, total incurred, status (open or closed), type (PL or GL) and narrative of claim.

   iv. Full details of allegations on all losses paid or outstanding in excess of $100,000 even if greater than 10 years old.

B. Most recent accrediting agency report (JCAHO, AOA, CARF, etc.) or, if accrediting agency reports are unavailable, please submit the state licensure report with recommendations and the institution's response to any contingencies.

C. CPA prepared and audited financial statement including balance sheet, income statement and cash flow.

D. Identity of each employed physician including name, specialty, date of hire, retro date, primary PL carrier, is primary coverage occurrence or claims-made and PL limits (if applicable).

E. Identity related entities or subsidiaries to be considered for coverage on the policy including a brief explanation of their relationship to the applicant, scope of operations and their retro date on Schedule A (if historically written on claims-made basis).

F. Complete schedule of locations owned, leased or operated including address, square footage and occupancy.

G. Copy of state license.

H. List of all stockholders and their percent of ownership and identify any medical designations held by any stockholder.

I. Copy of your facility accreditation.

3. Current Insurance/Claim Information

Type	Carrier or Self-Insured	Effective Date	Claims-Made or Occurrence	*Retro Date	Limits	Deductible	Premium
Primary Prof. Liability							
Primary General Liability							
Excess PL							
Umbrella GL							
Auto Liability							
Employers' Liability							
Helipad/Aviation							
Other:							

**Please specify by layer if more than one Retro Date applies.*

A. Do you participate in a Patient Compensation Fund or similar type program in the state in which you operate? ☐ Yes ☐ No

If *yes*, what limit do you carry? _____

B. Have any claims ever been made or suits brought against you or any of your employees in the last five years because of any alleged malpractice, error or mistake, or from any premise accident arising in any manner out of your operations? ☐ Yes ☐ No

If *yes*, attach a separate sheet listing date of occurrence, circumstances of claim and amount paid or amount reserved.

C. Do you have knowledge of any pending claims or activities that might give rise to a claim in the future? ☐ Yes ☐ No

If *yes*, please provide details: _____

_____

4. Insurance Coverage Desired

Primary:	Effective Date	Claims-Made or Occurrence	*Retro Date	Limits	Deductible
Professional Liability (PL)					
General Liability (GL)					
#Limited Pollution Liability					
Excess/Umbrella:					
Excess PL					
Umbrella GL					

**Please specify by layer if more than one Retro Date applies.*
#Separate Application Required – Refer to Company

Include the following as underlying coverage on the Excess/Umbrella (if applicable). Policy information must be indicated in the "Current Insurance" section above. Provide policy declaration pages for all applicable coverage.

☐ Auto Liability ☐ Employers' Liability ☐ Helipad/Aviation ☐ Other: _____

For each Excess/Umbrella underlying line of insurance above, describe any claims in excess of $10,000.

5. General Exposure Data

A. Do you maintain any beds for overnight occupancy? ☐ Yes ☐ No

Surgery Center: _____ No. Operating Rooms Hours of Operation: _____

_____ No. Occupied overnight/24-hour Beds

B. Facility is licensed as: ☐ Ambulatory Surgical Center ☐ Surgical Hospital

C. Select each type of surgical service that applies to the applicant and provide the number of annual procedures. (If new business start-up, please provide estimated number of annual procedures.)

Type of Procedure	Annual No. Procedures for Last Fiscal Year	Type of Procedure	Annual No. Procedures for Last Fiscal Year
*Bariatric		Gastroenterology	
Obstetrics		Vascular	
Urology		Cardiac Catheterization	
Hand		Otolaryngology (ENT)	
Orthopedic		Thoracic	
Colon and Rectal		Plastic (reconstructive)	
Head and Neck		Endoscopy	
General		Pain Management	
Cosmetic		Gynecology	
Podiatry		Oral and Maxillofacial	
Neurology		Wound Care	
Ophthalmology (cataracts)		Other (describe):	
Ophthalmology (Lasik, PRK, TKP)			

**Separate Application Required – Refer to Company*

D. Other services provided:

Medical Lab _____ Annual Receipts X-ray/Imaging Center _____ Annual Receipts

6. Other General Information

A. Are anesthesia services provided by:

☐ Employed physicians ☐ Contract group ☐ Employed CRNA's

i. If under contract, name of group: _____

ii. If contract group, are certificates of insurance required? ☐ Yes ☐ No

iii. If *yes*, what minimum limits are required: _____ per claim _____ aggregate

B. Do you have the following equipment at the center:

i. Laboratory, with the following capabilities—CBC, UA electrolytes, blood sugar, arterial blood gases, pregnancy test, bun, and/or creatinine ☐ Yes ☐ No

ii. X-ray with on-premises processing ☐ Yes ☐ No

iii. EKG ☐ Yes ☐ No

iv. Monitor/defibrillator ☐ Yes ☐ No

v. Crash cart with full cardiac life support capabilities and necessary intravenous fluids ☐ Yes ☐ No

vi. Appropriate trays and equipment for accessing the airway, pericardiocentesis, needle thoracostomy, transvenous or transthoracic, pacemaker, venous access, gastric lavage ☐ Yes ☐ No

vii. Oxygen ☐ Yes ☐ No

viii. Suction ☐ Yes ☐ No

ix. Pneumatic anti-shock trousers ☐ Yes ☐ No

x. Dedicated telephone lines to the closest appropriate hospital emergency department and/or two-way communication with EMS ☐ Yes ☐ No

C. Do you participate in any activity, e.g. newspaper columns, broadcasts, etc., whereby professional advice is offered to the public? ☐ Yes ☐ No

If *yes*, please attach detailed explanation of this activity.

D. Do you advertise your professional services in any manner (other than a simple listing in a telephone directory)? ☐ Yes ☐ No

If *yes*, please attach a copy of *all* of the advertisements.

E. Are you associated with any agency or organization that engages in any kind of advertising for, or solicitation of patients? ☐ Yes ☐ No

If *yes*, please attach detailed explanation and a copy of *all* of the advertisements.

F. Do you maintain adequate medical records for each patient? ☐ Yes ☐ No

i. How often and by whom are the medical records reviewed? _____

_____

ii. What arrangements are made for transmitting medical records to other requesting physicians?

_____

_____

G. Is there an established procedure and agreement with a hospital to accept emergency cases? ☐ Yes ☐ No

i. Has time and distance from the center to the nearest appropriate hospital been determined and evaluated? ☐ Yes ☐ No

ii. Have procedures for Physician direction and supervision of personnel, facilities, and equipment for the provision of medical services under emergency conditions been evaluated? ☐ Yes ☐ No

iii. Is there an established procedure to secure sufficient blood supplies in emergency situations? ☐ Yes ☐ No

H. Does the facility have a procedure to screen for inappropriate procedures or patients at risk for an ambulatory surgery procedure? ☐ Yes ☐ No

I. Are any procedures performed on persons rendered unconscious through anesthesia? ☐ Yes ☐ No

If *yes*, give detailed description on a separate sheet of how anesthesia is provided, including minimum patient age and number of overnight beds on premises or affiliated.

7. Personnel

A. Physicians providing health care services at this entity:

Name	Specialty	Board Certified	Limits	C=Contracted E=Employed O=Owner	Current Insurance Carrier

Please attach additional sheets if necessary.

B. Do you require certification of Professional Liability Coverage? ☐ Yes ☐ No

If *yes*, how much? _____

C. **Non-Physician Personnel**

	No. Employed	No. Contracted
Anesthesiology Assistant		
*Dentists		
EEG or EKG Operators		
Inhalation/Respiratory Therapists		
Laboratory Technicians		
LPN's		
Medical Technicians		
*Nurse Anesthetists - Are they supervised by an anesthesiologist? ☐ Yes ☐ No		
*Nurse Practitioners/Clinical Nurse Specialists		
Occupational/Physical Therapists		
Paramedics or EMT's		
Pharmacists		
*Physician Assistants		
*Podiatrists		
RNs		
Scrub Nurses		
*Surgical Assistants (Certified or Licensed)		
X-ray or Radiology Technicians		
X-ray or Radiology Therapists		
Other (describe):		

**Separate Application Required – Refer to Company*

8. Premises and Operations

A. Are there any construction plans for the next twelve months? ☐ Yes ☐ No
If *yes*, please provide cost of project: _____

B. Total square footage of parking lots or decks: _____

C. Total number of swimming pools: _____

D. Total number of lakes: _____

E. Total number of fountains: _____

F. Is Limited Pollution Liability coverage desired? If *yes*, separate application required. ☐ Yes ☐ No

G. Is Excess/Umbrella Liability coverage desired? If *yes*, separate application required. ☐ Yes ☐ No

Fraud Warning – I acknowledge the applicable fraud warning for my state as shown on the Fraud Warning Notices Page.

Consent to Conditions of Consideration of the Application for Insurance

I accept the following conditions during the processing and consideration of my application—regardless of whether or not I am granted insurance—and for the duration of the insurance which may be issued to me:

To the fullest extent permitted by law, I extend absolute immunity to, and release ProAssurance, its directors, officers, agents, employees and other authorized representatives from any and all liability for any acts pertaining to my application for insurance, including ultimate cancellation, rejection, or approval for insurance, and any communications, reports, records, statements, documents, or disclosures, including otherwise privileged or confidential information, made or given in good faith with respect to such application.

Important: Incomplete or incorrect information could require retroactive upward premium adjustment and, in the event of a claim, could lead to a denial of coverage. The following is an Authorization to Release Information which requires your signature. Please read it carefully.

Name: _____ Title: _____

Signature: _____ Date: _____

Insurance Agent/Broker (if applicable):			
Agent:		Phone:	
Agency:		Fax:	
Address:		Email:	
		License No.:	
Signature:			

Insured Entities and D/B/A's
Schedule A

Entity Name: ______________________________
Address: ______________________________
____
Tax ID No.: ____________________ Retroactive Date: ____________
Ownership and relationship to the policyholder: ______________________________
____
Description of all operations and activities: ______________________________
____

Entity Name: ______________________________
Address: ______________________________
____
Tax ID No.: ____________________ Retroactive Date: ____________
Ownership and relationship to the policyholder: ______________________________
____
Description of all operations and activities: ______________________________
____

Entity Name: ______________________________
Address: ______________________________
____
Tax ID No.: ____________________ Retroactive Date: ____________
Ownership and relationship to the policyholder: ______________________________
____
Description of all operations and activities: ______________________________
____

Entity Name: ______________________________
Address: ______________________________
____
Tax ID No.: ____________________ Retroactive Date: ____________
Ownership and relationship to the policyholder: ______________________________
____
Description of all operations and activities: ______________________________
____

Please attach additional sheets if necessary.

Fraud Warning Notices

Please read the fraud warning notice for your state.

General Fraud Warning – Any person who, with intent to defraud or knowing that he is facilitating a fraud against an insurer, submits an application or files a claim containing a false or deceptive statement is guilty of insurance fraud.

Alabama - Any person who knowingly presents a false or fraudulent claim for payment of a loss or benefit or who knowingly presents false information in an application for insurance is guilty of a crime and may be subject to restitution fines or confinement in prison, or any combination thereof.

Arkansas Fraud Warning – Any person who knowingly presents a false or fraudulent claim for payment for a loss or benefit or knowingly presents false information in an application for insurance is guilty of a crime and may be subject to fines and confinement in prison.

Colorado Fraud Warning – It is unlawful to knowingly provide false, incomplete, or misleading facts or information to an insurance company for the purpose of defrauding or attempting to defraud the company. Penalties may include imprisonment, fines, denial of insurance, and civil damages. Any insurance company or agent of an insurance company who knowingly provides false, incomplete, or misleading facts or information to a policyholder or claimant for the purpose of defrauding or attempting to defraud the policyholder or claimant with regard to a settlement or award payable from insurance proceeds shall be reported to the Colorado Division of Insurance within the Department of Regulatory Agencies.

District of Columbia Fraud Warning – It is a crime to provide false or misleading information to an insurer for the purpose of defrauding the insurer or any other person. Penalties include imprisonment and/or fines. In addition, an insurer may deny insurance benefits if false information materially related to a claim was provided by the applicant.

Florida Fraud Warning – Any person who knowingly and with intent to injure, defraud, or deceive any insurer files a statement of claim or an application containing any false, incomplete, or misleading information is guilty of a felony of the third degree.

Kansas Fraud Warning – Any person who knowingly and with intent to defraud any insurance company or other person by presenting any written statement as part of an application for insurance, the rating of an insurance policy, or statement of claim containing any materially false information, or conceals for the purpose of misleading information concerning any fact material thereto has committed a fraudulent insurance act.

Kentucky Fraud Warning – Any person who knowingly and with intent to defraud any insurance company or other person files an application for insurance containing any materially false information or conceals, for the purpose of misleading, information concerning any fact material thereto commits a fraudulent insurance act, which is a crime.

Maine Fraud Warning - It is a crime to knowingly provide false, incomplete or misleading information to an insurance company for the purpose of defrauding the company. Penalties may include imprisonment, fines or denial of insurance benefits.

Maryland Fraud Warning – Any person who knowingly or willfully presents a false or fraudulent claim for payment for a loss or benefit or who knowingly or willfully presents false information in an application for insurance is guilty of a crime and may be subject to fines and confinement in prison.

New Jersey Fraud Warning – Any person who includes any false or misleading information on an application for an insurance policy is subject to criminal and civil penalties.

Ohio Fraud Warning – Any person who, with the intent to defraud or knowing that he is facilitating a fraud against an insurer, submits an application or files a claim containing a false or deceptive statement is guilty of insurance fraud.

Oklahoma Fraud Warning – Any person who knowingly, and with intent to injure, defraud or deceive any insurer, makes any claim for the proceeds of an insurance policy containing any false, incomplete or misleading information is guilty of a felony.

Oregon Fraud Warning – Any person who, with an intent to knowingly defraud or knowingly facilitate a fraud against an insurer, submits an application or files a claim containing a false or deceptive statement or a material fact, may be guilty of insurance fraud.

Pennsylvania Fraud Warning – Any person who knowingly and with intent to defraud any insurance company or other person files an application for insurance or statement of claim containing any materially false information or conceals for the purpose of misleading, information concerning any fact material thereto commits a fraudulent insurance act, which is a crime and subjects such person to criminal and civil penalties.

Tennessee Fraud Warning – It is a crime to knowingly provide false, incomplete, or misleading information to an insurance company for the purpose of defrauding the company. Penalties include imprisonment, fines, and denial of insurance benefits.

Vermont Fraud Warning - Any person who knowingly presents a false statement in an application for insurance may be guilty of a criminal offense and subject to penalties under state law.

Virginia Fraud Warning – It is a crime to knowingly provide false, incomplete, or misleading information to an insurance company for the purpose of defrauding the company. Penalties include imprisonment, fines, and denial of insurance benefits.

Washington Fraud Warning - It is a crime to knowingly provide false, incomplete, or misleading information to an insurance company for the purpose of defrauding the company. Penalties include imprisonment, fines, and denial of insurance benefits.

West Virginia Fraud Warning - Any person who knowingly presents a false or fraudulent claim for payment of a loss or benefit or knowingly presents false information in an application for insurance is guilty of a crime and may be subject to fines and confinement in prison.