

CHECKLIST



APIV Random Audit Checklist

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Please use the checkboxes below to ensure you have all documents before submitting your random audit via the link in your random audit email.

- CPD/Mandatory Modules** – The API will be doing compliance checks on all staff that holds an APIV membership under your firm.
- Insurance** –
 - Upload a copy of your Certificate of Currency
 - Upload a copy of your Professional Indemnity Insurance wording
- Evidence an excess and/or defence cost can be paid within 28 days.**
 - Letter from an accountant is required, or a copy of a current bank statement.
- Claim or notification** – Have you reported all claims and notifications to the APIV via the [APIV-Claims/Notification-Form](#) link?
- Disclosure requirements** – 16 documents are required. If a section is not applicable, please answer the question after the upload section.
 - **Valuation reports** – (if you conduct valuations over \$2m then one report must be your highest valuation for last calendar year)
 - Quarter 1 Valuation report
 - Quarter 2 Valuation report
 - Quarter 3 Valuation report
 - Quarter 4 Valuation report
 - **Firm Letters** – If you do not send letters, please and the question in the online submission.
 - Quarter 1 Firm Letters
 - Quarter 2 Firm Letters
 - Quarter 3 Firm Letters
 - Quarter 4 Firm Letters
 - **Firm Emails** –
 - Quarter 1 Firm Emails
 - Quarter 2 Firm Emails
 - Quarter 3 Firm Emails
 - Quarter 4 Firm Emails
 - **Other Firm Documents** – (e.g. quotes, invoices etc.)
 - Quarter 1 Other firm documents
 - Quarter 2 Other firm documents
 - Quarter 3 Other firm documents
 - Quarter 4 Other firm documents
- Acknowledgement that the Cover of Excellence Logo is not being used**

If you would like a more detailed version of this document, please see the document titled "[What Information is required](#)".