



# Sample CPD Records

**Not Working in Tax**

**(examples of more common non-tax working roles for members)**



# Not Working in Tax

Examples of more common non-tax working roles for members.

## 1. Insolvency practitioner, extract from record.

Planning - what do you need to do?	Action	Outcome	Time
CPD goals/learning needs / training gaps	CPD undertaken – Activities and dates.	Learning outcomes and reflection	Hours
Reading the monthly newsletter of my regulated professional body, which keeps me updated on all regulatory matters including insolvency legislation changes.	Reading Insolvency Practitioner Association Monthly newsletter. Completed January - December 202X.	In 202X, I learned about changes in the Statements of Insolvency Practice, changes in regulatory monitoring and areas that my authorising body will focus on. This helps ensure my decision-making is compliant with all regulatory standards.	4 hrs
Reading the quarterly magazine of the insolvency trade body R3. This covers topical industry updates, case law updates and technical guidance.	Reading quarterly RS Recovery magazine. Completed January - December 202X.	In 202X, I learned about case law updates and developments in the industry. This consequently helps me make more informed decisions on the insolvency cases I supervise.	6 hrs
Ensuring my team are able to advise on complex trader insolvencies. This allows me to have confidence that the advice they give is of the highest quality.	Prepared and delivered internal training on self-employment to IVA advisers. Completed June 202X.	I have achieved the goals set as I have ensured my team are able to advise all clients, however complex.  I have followed this up with proof of learning and quality control checks, which ensures they understood and applied the training.	18 hrs

## 2. Working in banking, extract from record.

Planning - what do you need to do?	Action	Outcome	Time
CPD goals/learning needs / training gaps	CPD undertaken – Activities and dates.	Learning outcomes and reflection	Hours
Prior to joining the Bank in 202X, I hadn't worked in-house for a financial institution and wasn't aware of various red flags that indicated the possibility of financial crimes. Having a formal course with examples of red flags will help me to identify these at work.	Course attended:  Financial Crime Red Flags Training [10.10.202X]	The training has been very useful. I learned about various red flags to look out for in my job and how they can be reported up the chain of command within the Company.  On the job experience and training will help improve the identification of these financial crimes if they ever take place at work.	0.5 hrs
A range of annual mandatory training, webinars or online courses for all staff relating to the banking industry and risk controls. Undertaken throughout the year.	Course titles: 'Payment Services Regulation' - 'Your legal Risk responsibilities' - 'Electronic Trading Governance and Controls (ETGC) Procedures' - 'Conflicts of Interest' - 'CSO Security Awareness' - 'AML Customer Lifecycle' - 'Sanctions' - 'US Dollar LIBOR Transition' - 'SME Behavioral Undertakings and Bundling Prohibition' - 'Reputation Risk' - 'Inside Information Attestation' - 'Whistleblowing' - 'Safeguarding Client Money and Assets (CMA)' - 'Customer and Client Vulnerabilities' - 'Preventing Financial Crime'	Completed all required training to make sure I am up to date and acting in line with a lot of key procedural details, aware of risks, and working in line with banking controls.	6 hrs in total
Learning needs – to be able to communicate effectively with Japanese colleagues. I listen to people's opinion before voicing my own and am respectful of other's culture.  Although this attitude already goes a long way, I could improve my output at work by understanding Japanese style of management.	Working and communicating effectively with Japanese colleagues [Course 14.11.202X].  The planned activity was completed. In addition, I have been learning basic Japanese language by listening to books on audible [Learn Japanese for Beginners and Next Steps in Japanese for Intermediate Learners].	Have learned about Japanese working culture and style of management. This has been very useful at communicating with Head Office in Tokyo and with other expatriate colleagues in the London branch.  Follow up need identified is to understand basic Japanese phrases to be able to have basic communication with Japanese colleagues in their own language.	2 hrs course  14 hrs audio books

**3. Working in the accounts and internal audit department of a large retail business with no tax work element.  
Extract from record (alternative recording format).**

Date	Title / CPD	Activity type	Reflection / Learning Outcome	Hours
23/01/202X	Awareness of what going on in the firm's business environment.	Retail, Consumer and Leisure Briefing.	Annual briefing on retail sector and trends.	1.5 hrs
25/01/202X	Improve internal audit and accounting work in our department.	Stats Workshop – Audit.	1.5 hr workshop I ran plus prep time – covers audit theory and how to prepare good audit evidence.	4 hrs
22/02/202X	See comment above.	Stats Workshop – Financial Statements.	1.5 hr workshop I ran + prep time – covers FS theory and how to review.	4 hrs
12/08/202X	Learning about use of AI Tools	CoPilot Pilot Week – Intro Session.	Intro to Microsoft CoPilot AI tools.	1 hr
27/10/202X	Reminder on key Professional Standards.	ICAEW Ethics Module 1.	Recap of core ethical principles and importance of the standards involved for acting in a "professional behaviour".	1 hr
01/11/202X	Ensure expenses correctly claimed and allocated to correct budgets/ departments.	Travel and expenses policy.	Mandatory employer training on travel and expenses policies.	0.5 hrs
18/12/202X	Planning/awareness of options in future internal and external audits.	How technology can help to navigate the changing audit landscape.	Accountancy body – webinar on technology impact on audits focussing on CaseWare Cloud existing and future functionality.	1 hr

**4. Working as a Chartered Surveyor in real estate valuation but NOT preparing capital allowance calculations or related valuations, extract from record.**

Planning - what do you need to do?	Action	Outcome	Time
CPD goals/learning needs / training gaps	CPD undertaken – Activities and dates.	Learning outcomes and reflection	Hours
My role's main focus requires meeting RICS CPD standards. These are grouped into 'formal' and 'informal' activities. Formal CPD includes courses and study to maintain and develop knowledge of key RICS and statutory rules, regulations and guidance.	<p>Majority of courses and seminars are on-line with some in person and elements of private study. Key learning areas: RICS Red Book updates (valuation); contracts and reliance training; conflicts of interest, anti-bribery, standards of business conduct in the workplace, health &amp; safety, security protocols and managing (personal / client) data. Also undertook APC mock interviews for graduates.</p> <p>The full list of courses and dates are attached separately in the excel document (took place throughout 202X).</p>	The CPD I undertook was to ensure I maintained essential knowledge mainly focusing on ethical matters and best practice, to allow me to carry out my role as a RICS Registered Valuer.	14 hrs
RICS 'informal' CPD, which relates to maintaining and enhancing real estate market knowledge and personal development.	<p>Key areas covered by my CPD included: research and presentation of market evidence (all sectors); sustainability/ESG/EPCs; deleterious materials; residential (living) sector seminars (various). I also undertook an (internal) DCF upskilling course.</p> <p>The full list of courses and dates are attached separately in the excel document (took place throughout 202X).</p>	This 'informal' CPD was geared towards both maintaining market knowledge, important in the real estate sector but also maintaining and developing skills and knowledge of existing and emerging property sectors and issues.	16 hrs



**Chartered  
Institute of  
Taxation.**

30 Monck Street  
London  
SW1P 2AP  
T: +44 (0)20 7340 0550  
E: [standards@ciot.org.uk](mailto:standards@ciot.org.uk)  
E: [standards@att.org.uk](mailto:standards@att.org.uk)

W: [www.tax.org.uk](http://www.tax.org.uk)  
W: [www.att.org.uk](http://www.att.org.uk)

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