**ERP Training Program Assessment Checklist**   
**(For Internal Auditors – Training Phase of ERP Implementation)**

Purpose/Scope: This checklist helps auditors verify that management has designed and implemented comprehensive training programs to help mitigate user adoption risks, and that address important business process changes and regulatory compliance requirements in the new system.

**Source: [CITE SOURCES HERE (E.G. INTERVIEWEES, DOCUMENTS REVIEWED, ETC.)]**

**Procedures**:

* Assign a risk level to each component to provide context and help prioritize any noted gaps or weaknesses.
* Indicate whether management has met, not met, or partially met the criteria for each component.
* If a component is not applicable, indicate “NA” in the Yes column.
* Maintain this record for regulatory and compliance audits.

**Conclusion:**

**[PROVIDE AN OVERALL ASSESSMENT HERE BASED ON THE ANSWERS BELOW]**

**Risk Levels:   
🔴 High Risk** – Requires immediate mitigation before proceeding to the next phase.  **🟠 Moderate Risk** – Needs monitoring and mitigation strategies to reduce exposure.**🟢 Low Risk** – Adequate controls in place; proceed with implementation.

| **Training Component** | **Risk** | **Yes** | **No** | **Partial** | **Comments** |
| --- | --- | --- | --- | --- | --- |
| 1. **Training Program Scope & Objectives** | | | | | |
| * 1. Defined Training Goals: Clear objectives aligned with ERP system functionality and business processes. |  |  |  |  |  |
| * 1. Training Coverage: Includes all ERP modules relevant to higher education (e.g., finance, HR, student records, financial aid). |  |  |  |  |  |
| * 1. Role-Based Training: Tailored sessions for different user groups (faculty, finance, HR, IT, administrators). |  |  |  |  |  |
| * 1. Training Format Variety: Includes hands-on workshops, e-learning modules, user guides, and live demonstrations. |  |  |  |  |  |
| 1. **User Group Identification & Training Needs** | | | | | |
| * 1. User Role Assessment: Identification of employees requiring training based on system access and responsibilities. |  |  |  |  |  |
| * 1. Training Audience Segmentation: Distinct training programs for power users, end-users, and IT support teams. |  |  |  |  |  |
| * 1. Department-Specific Training: Ensuring customized training for finance, payroll, student services, and faculty. |  |  |  |  |  |
| * 1. New vs. Experienced Users: Differentiated training approaches for first-time users versus legacy system users. |  |  |  |  |  |
| 1. **Training Content & Material Evaluation** | | | | | |
| * 1. Comprehensive Training Manual: Availability of user guides, FAQs, and system navigation instructions. |  |  |  |  |  |
| * 1. Compliance Training Integration: Coverage of FERPA, HEA, PCI DSS, GDPR, and grant management policies. |  |  |  |  |  |
| * 1. Hands-on Testing & Sandbox Environment: Availability of a test system for users to practice without real data risks. |  |  |  |  |  |
| * 1. Real-Life Scenarios & Use Cases: Inclusion of institution-specific case studies to improve understanding. |  |  |  |  |  |
| 1. **Training Delivery & Effectiveness** | | | | | |
| * 1. Instructor Qualifications: Trainers are ERP-certified and knowledgeable about higher education processes. |  |  |  |  |  |
| * 1. Training Accessibility: Sessions available in multiple formats (in-person, virtual, recorded webinars). |  |  |  |  |  |
| * 1. Attendance & Engagement Tracking: Monitoring participation rates and user feedback. |  |  |  |  |  |
| * 1. Post-Training Assessments: Users tested on key functions to validate knowledge retention. |  |  |  |  |  |
| 1. **Change Management & Communication** | | | | | |
| * 1. Leadership Support & Communication: Clear messaging from university leadership on ERP transition and training expectations. |  |  |  |  |  |
| * 1. Training Awareness Campaigns: Emails, newsletters, and town halls to keep employees informed. |  |  |  |  |  |
| * 1. Helpdesk & Support Availability: Clear escalation paths for users who need additional guidance. |  |  |  |  |  |
| * 1. Follow-Up Refresher Training: Ongoing training sessions planned post-implementation for continuous learning. |  |  |  |  |  |
| 1. **Post-Training Evaluation & Continuous Improvement** | | | | | |
| * 1. User Satisfaction Surveys: Feedback collection on training effectiveness and areas for improvement. |  |  |  |  |  |
| * 1. Performance Monitoring: Review of ERP usage errors post-training to identify knowledge gaps. |  |  |  |  |  |
| * 1. Additional Training Recommendations: Adjustments to content or delivery based on user feedback. |  |  |  |  |  |
| * 1. Documentation & Compliance Records: Training logs maintained for regulatory compliance audits. |  |  |  |  |  |