



- Mandatory
- Informational
- Best Practice
- Other

## TECHNICAL ASSISTANCE

**Date:** 08/07/2024  
**Contact:** [DWDHumanResources@dwd.in.gov](mailto:DWDHumanResources@dwd.in.gov)  
**Program:** Indiana Department of Workforce Development (DWD)  
**Subject:** DWD Technical Assistance 2022-11, Change 1  
DWD Employee Education Reimbursement and Tuition Assistance Programs

---

### Purpose

The purpose of this technical assistance is to outline and clarify the process of submission and approval for education reimbursement and tuition assistance requests from Department of Workforce Development (DWD) employees, consistent with the Indiana State Personnel Department's (SPD) Education Reimbursement and Tuition Assistance policy.

### Change 1 Summary

This guidance has been updated to comply with SPD's new *Education Reimbursement and Tuition Assistance* policy and the new *Education Reimbursement & Tuition Assistance Form*.

### Rescissions

DWD TA 2022-11 *DWD Employee Education Reimbursement and Tuition Assistance Programs*

### References

SPD Policy *Education Reimbursement and Tuition Assistance*<sup>1</sup>

### Definitions

**Accredited:** Official recognition or approval that the content, curriculum, faculty or instructors meet defined standards as issued by a governing body, governmental entity, or professional organization.

**Assistance:** Payment to an approved college or university for eligible expenses submitted in accordance with this policy. A list of approved colleges and universities can be found under 'Partnerships' on the Education Discounts and Partnership Page.<sup>2</sup>

---

<sup>1</sup> <https://www.in.gov/spd/policies-and-procedures/standardized-policies/>.

<sup>2</sup> <https://www.in.gov/spd/employee-resources/state-employee-discounts/education-discounts/>.

**Distribution Date:** Date on which Reimbursement or Assistance payment is received by the employee or participating institution.

**Professional Organization:** An association made up of members who are part of the same industry or career field.

**Reimbursement:** Payment to employee for eligible expenses submitted in accordance with policy.

**Tuition:** The charge by the accredited training or educational institution, school, or professional organization for the instruction of the course taken.

## Content

As required by SPD's policy, the education reimbursement and tuition assistance processes are employee-driven. Employees who wish to take advantage of these programs are responsible for complying with all guidelines and procedures set forth in SPD's *Education Reimbursement and Tuition Assistance* policy and this guidance.

Reimbursement and Assistance are subject to the provisions of the SPD policy, this guidance, and the availability of funds for this purpose. The maximum amount of Reimbursement and Assistance per employee per calendar year is \$5,250.00.<sup>3</sup>

Regardless of the program being pursued, employees are urged to consult with their formal supervisor to determine if the course(s) and associated costs will be eligible for Reimbursement or Assistance prior to course enrollment or form submission.

### *Employee Eligibility*

An employee who meets the following criteria is eligible for this program:

1. They have been employed full time continuously with the state for at least 12 months prior to their submission of the Education Reimbursement & Tuition Assistance Form;
2. They have not received a disciplinary action in the one year immediately preceding the date of initial approval for the course for which Reimbursement or Assistance is sought; and
3. They have not exhausted \$5,250.00 in the calendar year per the IRS regulations.

### *Courses Eligible for Reimbursement and Assistance*

Eligible courses include all core and elective courses required for completion of a certificate, state licensure, General Education Development (GED), High School Equivalency (HSE), associate's, bachelor's, master's, or doctoral degree program offered through, in, or associated with an accredited training or educational institution, school, or professional organization. This includes credit/no credit or pass/fail courses, refresher courses, or preparatory course work for licensure or certification when required for the completion of the program, or courses taken as a non-degree seeking student.

---

<sup>3</sup> Approved Reimbursement and Assistance under this guidance are not contracts of employment.

### ***Maximum Annual Amount for Reimbursement and Assistance***

Employees may receive up to \$5,250.00 per calendar year for Reimbursement and Assistance. Total Reimbursement and Assistance calculations are determined based on the Distribution Date. Employees may access both programs within a calendar year,<sup>4</sup> but the combined total annual amount may not exceed \$5,250. The table below provides an example of how an employee may utilize both programs within a calendar year.

**Table 1**

	Spring Semester	Summer Session	Fall Semester	Total
Education Reimbursement	\$3,000	\$500		\$3,500
Assistance			\$1,750	\$1,750
<b>Maximum Total</b>				<b>\$5,250</b>

**NOTE: Employees may not apply for Reimbursement and Assistance for the same course.**

### ***Eligible Costs for Reimbursement and Assistance***

Only tuition costs are eligible for Reimbursement and Assistance. All other fees are ineligible.

### ***Coordination with Other Educational Financial Aid Programs***

Employees interested in pursuing advanced academic or professional education are encouraged to file a FAFSA<sup>®</sup> as they may qualify for additional federal loans, grants, and other scholarships. Receiving Reimbursement or Assistance does not prohibit an employee from filing a FAFSA<sup>®</sup> for additional federal aid.

The following funds **must** be deducted from the total amount requested for Reimbursement or Assistance prior to consideration for payment, except as required by federal law or regulation:

- Scholarship awards;
- Grant funding; and
- Financial assistance (including any applicable employee discounts)

These funds can be applied first to non-eligible courses taken concurrently with the eligible courses at the same institution before being deducted from the total amount requested for Reimbursement or Assistance.

**NOTE: Student loans do not need to be deducted from the total amount requested.**

### ***Eligible Educational Institutions<sup>5</sup>***

#### **Education Reimbursement**

Any accredited training or educational institution, school, or professional organization.

<sup>4</sup> January 1 – December 31.

<sup>5</sup> See <https://www.in.gov/spd/employee-resources/state-employee-discounts/education-discounts/> for additional information.

### **Institutions Offering State Employee Discounts/Scholarships<sup>6</sup>**

- Indiana State University
- Indiana Tech
- Indiana Wesleyan University
- Oakland City University
- Indiana University O’Neill School of Public Affairs
- Purdue University Global
- Robert H. McKinney School of Law at IU Indianapolis
- University of Phoenix
- WGU Indiana

### **Tuition Assistance**

Ivy Tech Community College (Ivy Tech)

### ***Successful Course Completion***

Successful completion of a course means receiving a satisfactory grade of at least a “C” or above (or an equivalent “pass” grade).

Courses dropped after an official “drop/add” date are not eligible for Reimbursement or Assistance. No Reimbursement or Assistance will be provided if a course is taken more than once, or an employee takes another attempt at a course previously reimbursed or assisted by the state. No Reimbursement or Assistance will be provided if the employee does not complete the course with a satisfactory grade of at least a “C” or above (or an equivalent “pass” grade).

After the employee successfully completes a course, they are responsible for providing all required information and documentation, as outlined in **Attachment A**.

A course is considered complete as of the date that official notice of the final grade is provided to DWD.

### ***Employee and Agency Responsibilities Overview***

The responsibilities listed below are a general overview. Employees and formal supervisors should carefully review **Attachment A** for detailed process instructions and documentation requirements.

#### **Employee**

DWD employees accessing Reimbursement or Assistance must complete the following:

- Submit a completed *Education Reimbursement & Tuition Assistance Form* (State Form 57438) to their supervisor at least **30 calendar days prior** to the course start date.
  - Update the *Education Reimbursement & Tuition Assistance Form* to reflect any changes in course availability due to educational institution, school, or professional organization changes before the course start date.
- Request Reimbursement or Assistance only for eligible courses and costs under this policy;
- Maintain adherence to SPD policy and this guidance to avoid disqualification;

---

<sup>6</sup> Employees may also access the Reimbursement program with these institutions.

- Inform DWD of successful course completion, proof of payment, and final grade within **30 calendar days** of course completion or **within 30 days** of grades released, whichever date comes last; and
- Submit any required documentation or completed forms to enable Reimbursement or Assistance or otherwise complying with SPD policy and this guidance.

Reimbursement to the employee will not be issued until the eligible course is successfully completed and official notice of the final grade is submitted for verification.

### **DWD Formal Supervisors**

Formal supervisor responsibilities include, but are not limited to, the following:

- Work with both the employee and DWD HR throughout the reimbursement or tuition assistance process.
- Assist employees with obtaining course eligibility verification and/or application completion, if requested; and
- Submitting all required documentation and employee information to DWD HR.

### **DWD Human Resources (DWD HR)**

DWD HR responsibilities include, but are not limited to, the following:

- Managing application approvals; and
- Submitting all required documents to DWD Finance for processing.

### **DWD Finance**

DWD Finance responsibilities include, but are not limited to, the following:

- In the PeopleSoft Financials system, properly document the use of funds for this purpose in accordance with standards established by the State Budget Agency;
- Code expenses using the appropriate account; and
- Ensure that payment, if appropriate, is issued as soon as practicable after required program documentation is provided.

### ***Reimbursement to Approved Colleges and Universities***

DWD will reimburse approved colleges and universities upon receipt of the following from the approved college or university:

- Official documentation for completion of the course(s) with a grade of “C” or higher (or an equivalent “pass” grade), or the receipt of a certificate of satisfactory completion when no grade may be given by the college or university, and
- An invoice reflecting the amount due for the completed course(s).

## **Attachments**

**Attachment A** - DWD Step-by-Step Process Guide for Accessing Education Reimbursement and Tuition Assistance

## **Additional Information**

Questions regarding the content of this publication should be directed to [DWDHumanResources@dwd.in.gov](mailto:DWDHumanResources@dwd.in.gov).

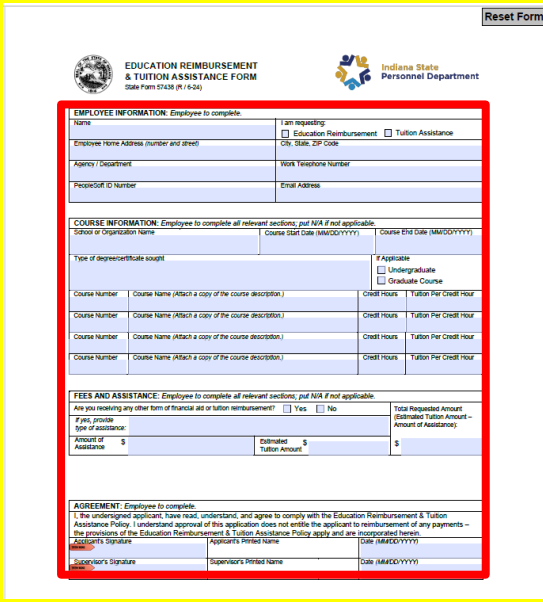
## Attachment A

### DWD Step-by-Step Process Guide for Accessing Education Reimbursement and Tuition Assistance

<b>Employee</b> responsibilities are highlighted yellow
<b>Formal Supervisor</b> responsibilities are highlighted blue
<b>DWD HR/Agency Designee</b> responsibilities are highlighted green.
<b>DWD Finance</b> responsibilities are highlighted in purple.

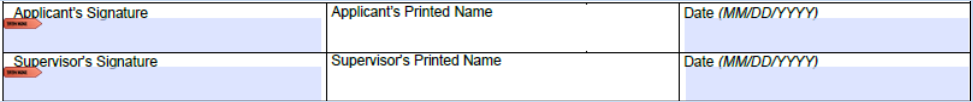
Step #	Employee
1	Read SPD's <i>Education Reimbursement and Tuition Assistance</i> policy and this guidance in its entirety. Then, <b>prior</b> to course enrollment, employees should consult with their formal supervisor to discuss proposed course content to determine course eligibility for Reimbursement or Assistance.

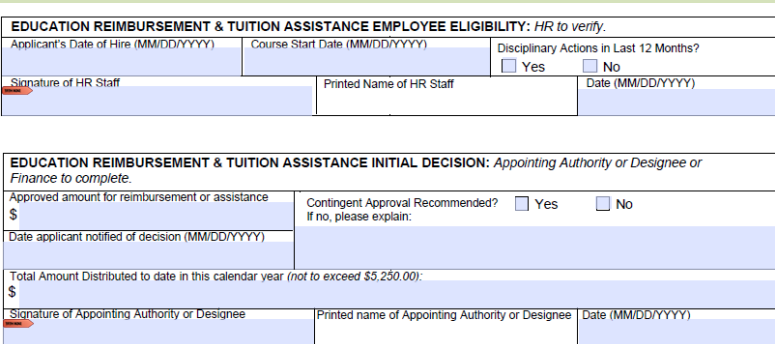
Step #	Formal Supervisor
1	If requested, assist employee with course eligibility verification.

Step #	Employee
2	<p>Employees seeking Reimbursement or Assistance must complete all items on page 1 (excluding the supervisor's signature line) of the <i>Education Reimbursement &amp; Tuition Assistance Form</i> (State Form 57438).<sup>7</sup></p> <p><b>NOTE: This form must be submitted at least 30 calendar days before the first day of the course.</b></p> <div style="text-align: right;">  </div>
3	<p>Submit the following to your supervisor least <b>30 calendar days before the first day</b> of the course:</p> <ul style="list-style-type: none"> <li>The completed <i>Education Reimbursement &amp; Tuition Assistance Form</i>;</li> <li>Course description(s) from the institution; and</li> <li>Completed supplier (vendor) forms for reimbursement:<sup>8</sup> <ul style="list-style-type: none"> <li>Request for Taxpayer Identification Number and Certification (IRS Form W-9); and</li> <li>Automated Direct Deposit Authorization Agreement (State Form 47551).</li> </ul> </li> </ul>

<sup>7</sup> State Form 57438 and SPD policy can be accessed at <https://www.in.gov/spd/policies-and-procedures/standardized-policies/>.

<sup>8</sup> The IRS Form W-9 and State Form #47551 can be accessed on the DWD Intranet under the Finance tab on the Accounts Payable page.

Step #	Formal Supervisor
2	Supervisors should receive the completed/signed <i>Education Reimbursement &amp; Tuition Assistance Form</i> with <b>page 1</b> completed and course description(s) from the institution from the employee. Review, verify for accuracy, and sign/date <b>page 1</b> of the application.   <p>The image shows a form with two rows. The first row is for the Applicant's Signature, Printed Name, and Date (MM/DD/YYYY). The second row is for the Supervisor's Signature, Printed Name, and Date (MM/DD/YYYY). A red arrow points to the Supervisor's Signature field.</p>
3	Submit the signed form and employee documentation to DWD HR. <sup>9</sup>

Step #	DWD HR/Agency Designee
1	DWD HR will work with the appropriate Agency Designee to complete the following:   <p>The image shows two forms. The first form is titled 'EDUCATION REIMBURSEMENT &amp; TUITION ASSISTANCE EMPLOYEE ELIGIBILITY: HR to verify.' and contains fields for Applicant's Date of Hire, Course Start Date, Disciplinary Actions in Last 12 Months (Yes/No), Signature of HR Staff, Printed Name of HR Staff, and Date. The second form is titled 'EDUCATION REIMBURSEMENT &amp; TUITION ASSISTANCE INITIAL DECISION: Appointing Authority or Designee or Finance to complete.' and contains fields for Approved amount for reimbursement or assistance, Date applicant notified of decision, Contingent Approval Recommended? (Yes/No), Total Amount Distributed to date in this calendar year (not to exceed \$5,250.00), Signature of Appointing Authority or Designee, Printed name of Appointing Authority or Designee, and Date.</p>
2	Following the initial decision, HR/Agency Designee will notify the eligible employee of the decision and provide them with a copy of the signed application for their records.

Step #	Employee
4	<b>NOTE: Should any change in coursework or request be modified following the initial application, the employee must notify DWD HR immediately. A modification in coursework or initial application constitutes a new request which may be reviewed again and could result in a different determination.</b>
5	Complete the course.
6	No more than <b>30 calendar days</b> from the <b>date of course completion</b> , email the following documents to your formal supervisor: <ul style="list-style-type: none"> <li>• Official documentation for completion of the course with a grade of "C" or higher (or an equivalent "pass" grade), or the receipt of a certificate of satisfactory completion when no grade may be given by the educational institution;</li> <li>• Proof of payment, including itemized receipts of tuition, or account statements for reimbursement; and</li> <li>• Updates, if any, to the previously submitted vendor forms to enable reimbursement (IRS Form W-9 and State Form 47551, Automated Direct Deposit Authorization Agreement).</li> </ul> The email body must contain the following information: <sup>10</sup> <ul style="list-style-type: none"> <li>• Employee name and Peoplesoft ID #; and</li> <li>• PeopleSoft Department Number</li> </ul> Maintain a copy of the documents for your records.

<sup>9</sup> [DWDHumanResources@dwd.in.gov](mailto:DWDHumanResources@dwd.in.gov).

<sup>10</sup> Seek assistance from your formal supervisor if you are unsure of the correct number/codes.



Step #	Formal Supervisor
4	Review employee documentation and email content for accuracy. (See the <b>Employee</b> section above for requirements)
5	Email all information to DWD HR. <sup>11</sup>

Step #	DWD HR/Agency Designee																					
3	<p>DWD HR will work with the appropriate Agency Designee to complete the following:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="3">FINAL APPROVAL FOR REIMBURSEMENT FOLLOWING COURSE COMPLETION: <i>Appointing Authority, Designee or Finance to complete.</i></th> </tr> </thead> <tbody> <tr> <td colspan="2">Applicant's Date of Hire (MM/DD/YYYY)</td> <td>Course(s) End Date(s) (MM/DD/YYYY)</td> </tr> <tr> <td>Course Completion Information Received: <input type="checkbox"/> Yes <input type="checkbox"/> No</td> <td colspan="2">Grade(s) Earned</td> </tr> <tr> <td>Approved amount for reimbursement or assistance \$</td> <td colspan="2">Eligible for Reimbursement: <input type="checkbox"/> Yes <input type="checkbox"/> No</td> </tr> <tr> <td>Total amount distributed this calendar year (<i>not to exceed \$5,250.00</i>) \$</td> <td colspan="2">If no, please explain:</td> </tr> <tr> <td>Signature of Appointing Authority or Designee</td> <td>Printed name of Appointing Authority or Designee</td> <td>Date (MM/DD/YYYY)</td> </tr> <tr> <td>Signature of Agency Finance Director</td> <td>Printed name of Finance Director</td> <td>Date (MM/DD/YYYY)</td> </tr> </tbody> </table>	FINAL APPROVAL FOR REIMBURSEMENT FOLLOWING COURSE COMPLETION: <i>Appointing Authority, Designee or Finance to complete.</i>			Applicant's Date of Hire (MM/DD/YYYY)		Course(s) End Date(s) (MM/DD/YYYY)	Course Completion Information Received: <input type="checkbox"/> Yes <input type="checkbox"/> No	Grade(s) Earned		Approved amount for reimbursement or assistance \$	Eligible for Reimbursement: <input type="checkbox"/> Yes <input type="checkbox"/> No		Total amount distributed this calendar year ( <i>not to exceed \$5,250.00</i> ) \$	If no, please explain:		Signature of Appointing Authority or Designee	Printed name of Appointing Authority or Designee	Date (MM/DD/YYYY)	Signature of Agency Finance Director	Printed name of Finance Director	Date (MM/DD/YYYY)
FINAL APPROVAL FOR REIMBURSEMENT FOLLOWING COURSE COMPLETION: <i>Appointing Authority, Designee or Finance to complete.</i>																						
Applicant's Date of Hire (MM/DD/YYYY)		Course(s) End Date(s) (MM/DD/YYYY)																				
Course Completion Information Received: <input type="checkbox"/> Yes <input type="checkbox"/> No	Grade(s) Earned																					
Approved amount for reimbursement or assistance \$	Eligible for Reimbursement: <input type="checkbox"/> Yes <input type="checkbox"/> No																					
Total amount distributed this calendar year ( <i>not to exceed \$5,250.00</i> ) \$	If no, please explain:																					
Signature of Appointing Authority or Designee	Printed name of Appointing Authority or Designee	Date (MM/DD/YYYY)																				
Signature of Agency Finance Director	Printed name of Finance Director	Date (MM/DD/YYYY)																				
4	DWD HR will email the completed application, employee documents, and employee information within 15 calendar days of when Reimbursement and Assistance requirements have been successfully met to DWD Finance for processing.																					

Step #	DWD Finance		
1	<p>DWD Finance will process the reimbursement for payment directly to the employee upon receipt of all required documentation.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>REIMBURSEMENT PROCESSING INFORMATION: <i>Agency Fiscal Staff to complete.</i></th> </tr> </thead> <tbody> <tr> <td>Reimbursement/ Assistance Distribution Date (MM/DD/YYYY):</td> </tr> </tbody> </table>	REIMBURSEMENT PROCESSING INFORMATION: <i>Agency Fiscal Staff to complete.</i>	Reimbursement/ Assistance Distribution Date (MM/DD/YYYY):
REIMBURSEMENT PROCESSING INFORMATION: <i>Agency Fiscal Staff to complete.</i>			
Reimbursement/ Assistance Distribution Date (MM/DD/YYYY):			

<sup>11</sup> [DWDHumanResources@dwd.in.gov](mailto:DWDHumanResources@dwd.in.gov).