



- Mandatory
- Informational
- Best Practice
- Other

TECHNICAL ASSISTANCE

Date: 10/28/2024
Contact: DWDHumanResources@dwd.in.gov
Program: Indiana Department of Workforce Development (DWD)
Subject: DWD Technical Assistance 2022-11, Change 2
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 2 Summary

This guidance has been updated to align with the State Comptroller's non-travel employee reimbursement process.

Rescissions

DWD TA 2022-11, Change 1 *DWD Employee Education Reimbursement and Tuition Assistance Programs*

References

- SPD Policy *Education Reimbursement and Tuition Assistance*¹
- Indiana State Comptroller, *2024 Non-Travel Employee Reimbursement Guide*²

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.³

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

² The guide is available for download at [PeopleSoft Financials Training Documentation: Travel & Expense](#).

³ <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 (Reimbursement and Assistance) 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 \$5,250.00.⁴

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 (State Form 57438);⁵
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

⁴ Approved Reimbursement and Assistance under this guidance are not contracts of employment.

⁵ State Form 57438 can be downloaded at <https://www.in.gov/spd/policies-and-procedures/standardized-policies/>.

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.

Maximum Annual Amount for Reimbursement and Assistance

Employees may receive up to \$5,250.00 per calendar year for Reimbursement and/or Assistance. Total Reimbursement and Assistance calculations are determined based on the Distribution Date. Employees may access both programs within a calendar year,⁶ 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
Maximum Total				\$5,250

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® 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® 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.

⁶ January 1 – December 31.

Eligible Educational Institutions⁷

Education Reimbursement

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

Institutions Offering State Employee Discounts/Scholarships⁸

- 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 documentation, as outlined in **Attachment A**, and submitting the PeopleSoft Non-Travel Expense Report (Expense Report) for reimbursement, as instructed in the *2024 Non-Travel Employee Reimbursement Guide*.

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:

⁷ See <https://www.in.gov/spd/employee-resources/state-employee-discounts/education-discounts/> for additional information.

⁸ Employees may also access the Reimbursement program with these institutions.

- 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;
- Adhere to SPD policy and this guidance to avoid disqualification;
- 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
- Complete the Expense Report and submit all required documentation per instructions provided in the *2024 Non-Travel Employee Reimbursement Guide*.

Reimbursement to the employee will not be issued until the eligible course is successfully completed and official notice of the final grade and proof of payment have been submitted within the specified timeline.

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/Assistance process;
- Assist employees with obtaining course eligibility verification and/or application completion, if requested;
- Submit all required documentation to DWD HR; and
- Authorize reimbursements.

DWD Human Resources (DWD HR)

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

- Manage application approvals; and
- Ensure employees receive the final approved application so they can complete the Expense Report for reimbursement.

DWD Finance

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

- Authorize reimbursements; and
- Route reimbursements to the State Comptroller's Accounts Payable department.

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.

Attachment A

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

Employee responsibilities are highlighted yellow
Formal Supervisor responsibilities are highlighted blue
DWD HR/Agency Designee responsibilities are highlighted green.
DWD Finance 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, prior 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 & Tuition Assistance Form</i> (State Form 57438).⁹</p> <p>NOTE: This form must be submitted at least 30 calendar days before the first day of the course.</p>
3	<p>Submit the following to your supervisor least 30 calendar days before the first day of the course:</p> <ul style="list-style-type: none"> • The completed <i>Education Reimbursement & Tuition Assistance Form</i>; and • Course description(s) from the institution.

Reset Form

EDUCATION REIMBURSEMENT & TUITION ASSISTANCE FORM
State Form 57438 (R/6/24)

Indiana State
Personnel Department

EMPLOYEE INFORMATION: Employee to complete.

Name: _____ I am requesting: Education Reimbursement Tuition Assistance

Employee Home Address Number and Street: _____ City, State, ZIP Code: _____

Agency/Department: _____ Work Telephone Number: _____

Facstaff ID Number: _____ Email Address: _____

COURSE INFORMATION: Employee to complete all relevant sections, put N/A if not applicable.

Institution or Organization Name: _____ Course Start Date (MM/DD/YYYY): _____ Course End Date (MM/DD/YYYY): _____

Type of degree/certificate sought: _____ If Applicable: Undergraduate Graduate Course

Course Number	Course Name (Attach a copy of the course description)	Credit Hours	Tuition Per Credit Hour

FEES AND ASSISTANCE: Employee to complete all relevant sections, put N/A if not applicable.

Are you receiving any other form of financial aid or tuition reimbursement? Yes No

Total Requested Amount (Estimate): _____

Estimated Amount of Assistance: _____


Amount of Assistance: \$ _____ Estimated Tuition Amount: \$ _____

AGREEMENT: Employee to complete.

I, the undersigned applicant, have read, understand, and agree to comply with the Education Reimbursement & Tuition Assistance Policy. I understand approval of this application does not entitle the applicant to reimbursement of any payments – the provisions of the Education Reimbursement & Tuition Assistance Policy apply and are incorporated herein.

Applicant's Signature: _____ Approver's Printed Name: _____ Date (MM/DD/YYYY): _____

⁹ State Form 57438 and SPD policy can be accessed at <https://www.in.gov/spd/policies-and-procedures/standardized-policies/>.

Step #	Formal Supervisor						
2	Supervisors should receive the signed <i>Education Reimbursement & Tuition Assistance Form</i> with page 1 completed and course description(s) from the institution from the employee. Review, verify for accuracy, and sign/date page 1 of the application.  <table border="1" data-bbox="397 359 1362 457"> <tr> <td>Applicant's Signature</td> <td>Applicant's Printed Name</td> <td>Date (MM/DD/YYYY)</td> </tr> <tr> <td>Supervisor's Signature</td> <td>Supervisor's Printed Name</td> <td>Date (MM/DD/YYYY)</td> </tr> </table>	Applicant's Signature	Applicant's Printed Name	Date (MM/DD/YYYY)	Supervisor's Signature	Supervisor's Printed Name	Date (MM/DD/YYYY)
Applicant's Signature	Applicant's Printed Name	Date (MM/DD/YYYY)					
Supervisor's Signature	Supervisor's Printed Name	Date (MM/DD/YYYY)					
3	Submit the signed form and course description(s) to DWD HR. ¹⁰						

Step #	DWD HR/Agency Designee																								
1	DWD HR will work with the appropriate Agency Designee to complete the following: <table border="1" data-bbox="431 646 1203 982"> <tr> <td colspan="3">EDUCATION REIMBURSEMENT & TUITION ASSISTANCE EMPLOYEE ELIGIBILITY: HR to verify.</td> </tr> <tr> <td>Applicant's Date of Hire (MM/DD/YYYY)</td> <td>Course Start Date (MM/DD/YYYY)</td> <td>Disciplinary Actions in Last 12 Months? <input type="checkbox"/> Yes <input type="checkbox"/> No</td> </tr> <tr> <td>Signature of HR Staff</td> <td>Printed Name of HR Staff</td> <td>Date (MM/DD/YYYY)</td> </tr> <tr> <td colspan="3">EDUCATION REIMBURSEMENT & TUITION ASSISTANCE INITIAL DECISION: Appointing Authority or Designee or Finance to complete.</td> </tr> <tr> <td>Approved amount for reimbursement or assistance \$</td> <td colspan="2">Contingent Approval Recommended? <input type="checkbox"/> Yes <input type="checkbox"/> No If no, please explain:</td> </tr> <tr> <td>Date applicant notified of decision (MM/DD/YYYY)</td> <td colspan="2"></td> </tr> <tr> <td colspan="3">Total Amount Distributed to date in this calendar year (not to exceed \$5,250.00): \$</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> </table>	EDUCATION REIMBURSEMENT & TUITION ASSISTANCE EMPLOYEE ELIGIBILITY: HR to verify.			Applicant's Date of Hire (MM/DD/YYYY)	Course Start Date (MM/DD/YYYY)	Disciplinary Actions in Last 12 Months? <input type="checkbox"/> Yes <input type="checkbox"/> No	Signature of HR Staff	Printed Name of HR Staff	Date (MM/DD/YYYY)	EDUCATION REIMBURSEMENT & TUITION ASSISTANCE INITIAL DECISION: Appointing Authority or Designee or Finance to complete.			Approved amount for reimbursement or assistance \$	Contingent Approval Recommended? <input type="checkbox"/> Yes <input type="checkbox"/> No If no, please explain:		Date applicant notified of decision (MM/DD/YYYY)			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	Date (MM/DD/YYYY)
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Signature of Appointing Authority or Designee	Printed name of Appointing Authority or Designee	Date (MM/DD/YYYY)																							
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	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.
5	Complete the course.
6	No more than 30 calendar days from the date of course completion , email the following documents to your formal supervisor: <ul style="list-style-type: none"> • 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; and • Proof of payment, including itemized receipts of tuition, or account statements for reimbursement. <p>Maintain a copy of the documents for your records.</p>

¹⁰ DWDHumanResources@dwd.in.gov,

Step #	Formal Supervisor
4	Review employee documentation for accuracy.
5	Email documentation to DWD HR. ¹¹

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: Appointing Authority, Designee or Finance to complete.</th> </tr> </thead> <tbody> <tr> <td style="width: 50%;">Applicant's Date of Hire (MM/DD/YYYY)</td> <td colspan="2">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 (not to exceed \$5,250.00) \$</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: Appointing Authority, Designee or Finance to complete.			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 (not to exceed \$5,250.00) \$	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)
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Signature of Agency Finance Director	Printed name of Finance Director	Date (MM/DD/YYYY)																				
4	DWD HR will email the completed/signed application and employee documents to DWD Finance for processing within 15 calendar days of when Reimbursement and Assistance requirements have been successfully met. Once DWD HR receives the signed application from DWD Finance, they will provide the employee a copy to be used when they complete the Expense Report																					

Step #	Employee
7	Once the employee receives the signed final application from HR, they must complete and submit the Expense Report for reimbursement. NOTE: All required documentation must be attached. ¹²

Step #	Formal Supervisor
6	Check for appropriateness and amounts of expenses along with the required signatures and attachments. Authorize reimbursement of the expense.

Step #	DWD Finance
1	Check for appropriateness and amounts of expenses along with the required signatures and attachments. Authorize reimbursement of the expense.
2	Route the employee reimbursement to the State Comptroller's Accounts Payable department for final review and approval.

¹¹ DWDHumanResources@dwd.in.gov.

¹² See the 2024 Non-Travel Employee Reimbursement Guide for step-by-step instruction.