

UCFE INSTRUCTIONS FOR STATE AGENCIES

Chapter VI - Reopened, Additional and Continued Clams Process

1. Introduction to Form ES-931A, Request for Separation Information of Additional Claim-UCFE.

This form is used by the SWA to request separation information or the reason for non-pay status when a claimant has previously established a benefit year under the UCFE program and is filing an additional claim after an intervening period of employment in a Federal agency.

When the claimant has a previous nonmonetary disqualification, the SWA should also request, in connection with this form, wages and/or weeks of employment pertaining to the period of intervening employment, to determine if the claimant has met the requalification requirements previously imposed.

The Form ES-931A is subject to the same response and control requirements as the Form ES-931.

The Federal agency should indicate if the claimant was laid off and will, or may be, recalled to work, the last day of active pay status and the reason for placement in non-pay status (e.g., "Laid off lack of work. Will be recalled when needed").

The same additional claim forms and procedure will be used for taking and processing additional and reopened UCFE claims as are used for State UC claims, except claims forms and related records will be identified as UCFE. If the most recent (or, if applicable, any intervening) civilian employment prior to the filing of an additional claim (UCFE, UCX, or joint claim involving UCFE and/or UCX benefits) was with a Federal agency, Form ES-931A will be sent to the appropriate Federal agency payroll office. In such cases, Form ES-931A will be used in lieu of the separation notice normally used with State UC additional claims.

NOTE: For intervening non-Federal employment in connection with an additional UCFE or joint claim involving UCFE and/or UCX benefits, the State agencies separation notice normally used with a State UC additional claim would be used in the same manner as if the claim were a State UC-only additional claim.

a. **Additional Interstate Claim.** Additional and reopened interstate UCFE claims are filed following the regular interstate procedures, except the use of the Form IB-3 does not apply. When taking an additional claim, the claimstaker must ensure that all intervening employment, including Federal civilian employment and active U.S. military service is shown on the Form IB-1 and a

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Separation Fact-finding Report, Form IB-11S, is completed for any potential separation issues.

b. **Reopened Interstate Claims.** Any time there is a break in the claims series that was not due to intervening employment, a reopened claim is taken and the reason for the failure to report is provided on an Interstate Fact-finding Report, Form IB-11. A reopened claim is also taken when the claimant has an existing benefit year and is filing under the interstate program for the first time or from a different agent State even though there has been no break in the claims series.

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2. Form ES-931A

ES-931A - REQUEST FOR SEPARATION INFORMATION FOR ADDITIONAL CLAIM-UCFE		
(STATE AGENCY NAME)	LOCAL OFFICE:	DATE A/C CLAIM FILED:
	CONTACT:	DATE NEW CLAIM FILED:
	TELEPHONE:	DATE OF REQUEST:
SECTION I. IDENTIFICATION DATA		
1. NAME (LAST, FIRST, MIDDLE, MAIDEN (IF ANY))	2. SOCIAL SECURITY NUMBER	3. BIRTH DATE(MM/DD/YY)
4. POSITION TITLE	5. PLACE OF EMPLOYMENT (CITY, STATE OR COUNTRY)	6. SEPARATION DATE (MM/DD/YY)
7. IS FEDERAL AGENCY ADDRESS BASED ON SF-87 <input type="checkbox"/> YES <input type="checkbox"/> NO	8. CLAIMANT WAS: <input type="checkbox"/> REGULAR FULL-TIME EMPLOYEE <input type="checkbox"/> INTERMITTENT OR PART-TIME EMPLOYEE	
SECTION II. FEDERAL AGENCY REPLY		
INSTRUCTIONS: COMPLETE SECTION II AND RETURN WITHIN 4 WORKDAYS		
1. FEDERAL FINDINGS TO DETERMINE FEDERAL CIVILIAN SERVICE		
A. DID THIS PERSON PERFORM "FEDERAL CIVILIAN SERVICE" AS DEFINED FOR UCFE PURPOSES FOR YOUR AGENCY ON OR AFTER THE NEW CLAIM DATE SHOWN ABOVE? <input type="checkbox"/> YES <input type="checkbox"/> NO IF "NO", ANSWER QUESTIONS B thru F:		
B. UNDER WHAT LEGAL AUTHORITY WAS INDIVIDUAL HIRED? _____		
C. WHAT FUNDING SOURCE WAS USED FOR SALARY PAYMENTS? _____		
*D. WERE PAYROLL DEDUCTIONS MADE FOR FEDERAL AND STATE TAXES? <input type="checkbox"/> YES <input type="checkbox"/> NO		
*E. WAS EMPLOYEE ELIGIBLE FOR :		
(1). ANNUAL AND SICK LEAVE? <input type="checkbox"/> YES <input type="checkbox"/> NO (2). HEALTH AND LIFE INSURANCE? <input type="checkbox"/> YES <input type="checkbox"/> NO		
(3). CIVIL SERVICE OR PERS RETIREMENT? <input type="checkbox"/> YES <input type="checkbox"/> NO		
*F. DID THE FEDERAL AGENCY PROVIDE DIRECTION AND CONTROL? <input type="checkbox"/> YES <input type="checkbox"/> NO		
*NOTE: IF "NO" TO D., E(1) THRU E(3) OR F EXPLAIN ON SEPARATE ATTACHMENT!		
2. IDENTIFICATION OF INCORRECT DATA SHOWN IN SECTION I (E.G., SOCIAL SECURITY NUMBER OR BIRTH DATE).		
3. TERMINAL ANNUAL LEAVE, SEPARATION AND SEVERANCE PAY INFORMATION		
A. DID THIS PERSON RECEIVE A LUMP-SUM PAYMENT(S) FOR TERMINAL ANNUAL LEAVE ON OR AFTER THE NEW CLAIM DATE SHOWN ABOVE? <input type="checkbox"/> YES <input type="checkbox"/> NO IF "YES", OR IF CURRENTLY ENTITLED TO SUCH A PAYMENT, RECORD PAYMENT INFORMATION BELOW FOR EACH PAYMENT OF ENTITLEMENT SINCE SUCH DATE.		
PAYMENT DATE: ___/___/___ DAYS OF LEAVE _____ PERIOD FROM: TIME: ___ DATE: ___/___/___ TO: TIME: ___ DATE: ___/___/___		
PAYMENT AMOUNT \$ _____ HOURS OF LEAVE: _____		
B. DATE OF SEPARATION: ___/___/___ C. LAST DAY OF ACTIVE PAY STATUS: ___/___/___		
D. REASON FOR SEPARATION OR NONPAY STATUS: _____		
E. DID THIS PERSON RECEIVE OR IS HE/SHE ENTITLED TO RECEIVE SEVERANCE PAY PROVIDED BY FEDERAL LAW OR AGENCY EMPLOYEE AGREEMENT? <input type="checkbox"/> YES <input type="checkbox"/> NO IF "YES", COMPLETE THE FOLLOWING INFORMATION: TOTAL ENTITLEMENT: \$ _____		
WEEKLY ENTITLEMENT \$ _____ NUMBER OF WEEKS: _____ BEGINNING DATE: ___/___/___ ENDING DATE: ___/___/___		
SECTION III		
A. SIGNATURE OF OFFICIAL: _____ DATE: _____		B. NAME OF PARENT FEDERAL AGENCY, 3-DIGIT FEDERAL AGENCY CODE, AND ADDRESS (IF DIFFERENT FROM ADDRESS SHOWN BELOW).
PRINT NAME: _____		
TITLE: _____		
TELEPHONE: () _____		
(STATE AGENCY TO COMPLETE)		
(FEDERAL AGENCY, 3 DIGIT FEDERAL AGENCY CODE AND ADDRESS.		

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3. Purpose and Use.

Form ES-931A is to be used by the local office in connection with each UCFE-only, joint UCFE-UCX, UC-UCFE, or UC-UCFE-UCX additional claim when it is necessary for the SWA to obtain intervening Federal civilian employment separation information. The form is designed to obtain terminal annual leave and separation information from the Federal agency concerned, and will be used in lieu of the regular separation notice normally used in connection with State UC additional claims. **The Form ES-931A should not be used in connection with a "new claim". The claimant's reason(s) for separation (i.e. Form ES-935) will not be sent to the Federal agency concerned in connection with an additional claim.**

State agencies are also urged to use Forms ES-931A in-connection with State UC-only additional claims when it is necessary for SWA to obtain intervening Federal civilian employment. The use of Form ES-931A in all cases should expedite the Federal agency reply.

4. Number of Copies and Distribution.

Sufficient copies of Form ES-931A will be prepared to provide the number necessary for SWA use and one copy for retention by the Federal agency. The original and at least one copy will be submitted by the SWA's local office to the appropriate Federal agency payroll office. The Federal agency will return the form either to the SWA's central office or local office, as appropriate. Indicia return envelopes should not be included in mailings to Federal agencies because they are required to use their own envelopes and to return any other to the sender.

5. Preparation.

Most of the items are the same as (or similar to) those on Form ES-931. Section I, Identification Data, items are to be completed by the SWA. For the "Date of Request" entry, enter the date the Form ES-931A (**not** Form ES-931) was completed.

A signed Privacy Act release statement is no longer required from a claimant to authorize the release of information in Section II. However, if a State law requires all claimants to sign a Privacy Act release statement, then a UCFE claimant would also be required to sign a Privacy Act release statement.

Federal agencies will complete Section II of the form. A SWA should include Section II, items 3.A. and 3.E., if pertinent to UCFE operations under the State UI law. If item 3.A. is omitted,

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the following statement should be printed on the form: "A. ITEM OMITTED."
Terminal annual leave information is not needed by this State on additional claims."

6. Review by the SWA.

Prior to mailing, each Form ES-931A will be reviewed for completeness and accuracy of SWA entries, including a comparison with SWA entries contained on the corresponding Form ES-931, if any, prepared for any new UCFE claim for this claimant which had been taken previously. Comparison with the SWA regular additional claim form, requesting the beginning of a new benefit series, would also be appropriate. One copy of each Form ES-931A should be placed in a tickler file for necessary follow-up action.

7. Action by Federal Agency upon Receipt of Form ES-931A.

The Federal agency should return a completed Form ES-931A within 4 workdays of its receipt.

8. Action by SWA When Form ES-931A Is Returned by Federal Agency.

When the completed Form ES-931A is returned to the SWA, the separation information will be reviewed to determine the reason for separation. A nonmonetary determination will be issued if required. State law may require adjudication of any lump-sum payment for terminal annual leave, Federal civilian severance pay, or Federal civil service retirement pay (which may be indicated by completed item 3.A. and 3.E.). If any of the items on Form ES-931A are incomplete or incorrect, and such omission or error would affect the nonmonetary determination or otherwise affect the claim (including the claimant's benefit rights), a Form ES-934 will be sent to the Federal agency to request the necessary information.

9. SWA Action When Form ES-931A Is Not Returned.

The procedure for follow-up action regarding nonreceipt of a Form ES-931 will be followed, as appropriate, for nonreceipt of a Form ES-931A.

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10. **Taking Continued UCFE Claims.**

The same continued claim forms and procedure will be used for taking and processing continued UCFE claims. Claim forms and related records will be identified as UCFE.

a. **Continued Interstate UCFE Claims.** UCFE Interstate claimants follow the regular interstate by-pass procedures for filing continued claims. The Continued Interstate Claim, Form IB-2, will be issued to and used by UCFE claimants to the same extent that it is otherwise used for interstate claims.

11. **UCFE Benefits - Payments for Weeks of Less Than Full-Time Employment**

The amount of UCFE benefits to be paid for a week of less-than full-time work is determined in accordance with the provisions of the State UC law, including those provisions relating to rounding weekly benefit payments.

Any earnings disregarded under the State law are disregarded in computing UCFE benefits. If a claimant has a joint claim: UC-UCFE, UC-UCX, UCFE-UCX, or UC-UCFE-UCX, the amount of unemployment benefits to be paid him/her with respect to a week of less than full-time work is computed on the basis of the joint weekly benefit amount.

12. **Conducting UCFE Eligibility Reviews.**

The same claim forms and procedures will be used for conducting eligibility review interviews for claimants filing UCFE, or joint claims as are provided for claimants filing State UC-only claims. Questionnaires and other related claim documents will be identified as UCFE.

If a claimant was in non-pay status (e.g., LWOP) as a civilian employee of a Federal agency when he/she filed a new or additional UCFE claim, and is later separated from Federal civilian employment, the Federal agency should have notified the SWA. However, if the Federal agency in such cases failed to notify the SWA as to the separation from Federal civilian employment, the reason for such separation, the subsequent receipt (or nonreceipt) of a lump-sum payment for terminal annual leave, other matters which would affect the claimant's benefit entitlement, or some combination of these factors--questioning such non-pay status claimants at the periodic interview is an effective method of obtaining such information. If necessary, a Form ES-934 request may be required; in some cases, redetermination of a prior nonmonetary determination will be

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needed even if a UCFE claimant had no break in his/her claim series since such determination was made.

State agencies, when pertinent, should also question UCFE claimants as to a change in the status of retirement payments (e.g., receipt, discontinuance, or change in rate, subsequent to filing new, additional, or reopened claims).

13. Benefit Rights and Eligibility Review Interviews for UCFE Interstate Claimants.

Each interstate UCFE claimant will be provided benefit rights information by the agent and liable States in the same manner and to the same extent that information is provided to all other interstate claimants. The liable State will send to each UCFE claimant the same benefit rights information package that is sent to all other interstate claimants. See ET Handbook No. 392, Section IV, for the responsibilities of the agent and liable States.

Regular interstate procedures for requesting and conducting eligibility review interviews apply to claims filed under the UCFE program. See ET Handbook No. 392, Section V.

14. UCFE - Federal Agency Notice of Refusal of an Offer of Reemployment.

The UCFE Instructions for Federal Agencies, published by the USDOL, requires the appropriate Federal agency personnel office to inform the central office of the applicable SWA when a former civilian employee refuses an offer of reemployment with that Federal agency. The personnel office will notify the SWA in the State in which the former employee's "duty station" was located, whether or not the job offered is located in that State. Such notification will be by letter, giving the following information: employee's name and SSN; date of the job offer; the nature, location, and salary of the job offered; the reason(s) for the refusal (or, if unknown, so indicated); and the return mail address.

Information obtained from Federal agencies pertaining to refusals of offers of reemployment should be used in the same manner as similar information obtained from any other employer. If additional or clarifying information is needed, the SWA will correspond with the Federal agency personnel office which originated the notification. The SWA will, in accordance with the provisions of the particular State's UC law, determine whether the refusal of an offer of reemployment will have any

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effect on the payment of UCFE or other unemployment benefits. If the SWA receiving the notice of refusal of an offer of reemployment has no record of a current benefit-year claim in that State, the SWA may destroy the notice within 30 days after receipt, assuming the SWA's central office receives no notification that a claim has been filed in one of its local offices during such period. In any case, the SWA receiving the notice of refusal is not required to notify any other State.

The SWA's nonmonetary determination form, if any is prepared, should be used to inform the claimant and the Federal agency's payroll office (not the Federal agency personnel office originating the notice of refusal) of the determination made in each instance. The payroll office address may be determined from retained claim records (including Forms ES-931 and ES-931A), the SWA's list of Federal agency payroll offices, or by questioning the claimant. State agencies should not supply Federal agencies with "Notices of Refusal of Suitable Work" or similar forms, as Federal agencies cannot be expected to stock the forms used by all of the State agencies with which they may have dealings. Furthermore, the Office of Management and Budget has responsibility for approving all UCFE forms used to obtain information from Federal agencies.