

ETA 9162 Random Audit of EUC 2008 Claimants

(1) (2) (3) (4) (5) (6) (7) (8) (9) (10) (11)

A. Facsimile of Form

STATE	REGION	REPORT FOR PERIOD ENDING
		calendar quarter end date

Section A: Claimants referred to Random Audit

1. Claimants Eligible for Random Audit	(count)
2. Claimants Selected for Random Audit	(count)
3. Random Audits Conducted	(count)
4. Claimants Who Failed to Report or Contact the Agency, as Directed	(count)
5. Claimants Rescheduled for Random Audit	(count)

Section B: Random Audit Results

6. Claimants With No Issues Raised as Result of Random Audit	(count)
7. Claimants Without Sufficient Work Search Documentation	(count)
8. Claimants Disqualified Because Work Search Did Not Meet State Or Federal Standards	(count)
9. Claimants Disqualified, or Determined Ineligible, For Failure to Report, As Directed	(count)
10. Claimants Disqualified for Other Reasons	(count)

Comments:

OMB No.: 1205-0495 **OMB Expiration Date:** 11/30/2012 **Estimated Average Response Time:** 3 hours

OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is required to retain or obtain benefits under SSA 303(a)(6) (42 U.S.C. 503(a)) and Pub. L. 112-96 section 2142. Respondents have no expectation of confidentiality. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4526, 200 Constitution Ave., NW, Washington, DC, 20210.

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B. Purpose

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The ETA 9162 report is intended to provide a data describing random audits of the work search provision of PL 112-96. Random Audits are conducted to ensure that claimants in the Emergency Unemployment Compensation Program of 2008 (EUC08) are performing an appropriate work search as required by state and Federal Law. States will audit, on a weekly basis, a cohort of EUC claimants of pre-defined size. Any EUC08 claimant that receives a week of payment is potentially subject to random audit of their work search documentation.

C. Due Date and Transmittal.

The electronically submitted report is due in the ETA National Office on the first day of the second month following the quarter of reference (e.g. August 1 for the April-June quarter). The first report, based on data for the second calendar quarter of 2012, is due in the National Office on August 1, 2012. Any activity that occurs in late March of 2012 should be included with the report for the April to June time period.

D. General Reporting Instructions.

States should use ETA guidance as a source of information on how to conduct the random audits. Report the general items specified in Sections A of this report at the time they occur. Claimants identified for a random audit will receive an audit of their work search activities and records as required under state and Federal law. States will report summary data on the audits themselves, as well as any resulting disqualifications or denials from issues that were raised during the audit, in section B of the report.

Claimants eligible for Random Audit (Item 1) should tie very closely to the number of weeks paid for the reporting period that the state is reporting on their EUC-specific ETA 5159 report. Unless otherwise noted, all reporting elements should be a total count of occurrences during a reporting period, and not just a single occurrence for each individual claimant.

The state will conduct random audits on a pool of claimants of pre-defined size: 0.5% of all weeks paid in any Tier of the EUC program, with a minimum number of 50 and a maximum of number of 1,500, for any given week. There is no option for waivers in the random audit program so states should be reporting the appropriate number of audit activities relative to the weeks compensated being reported on the EUC-specific ETA 5159.

Because of operational issues such as backdating of claims and bi-weekly certification, and to minimize state burden, states should draw the pool for random audit from all weeks compensated, including individuals multiple times if they were paid multiple weeks. There is no need to produce a unique set of claimant

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identifiers for each individual week: states should draw their pool for random audits, for any given week, from all weekly certifications that they determined compensable in the prior week.

E. Item by Item Instructions

1. Claimants Eligible for Random Audit: Report the number of checks issued to claimants in the EUC08 program during the reporting period. Use the same protocol for tabulating this number that is used in generating the weeks compensated for the EUC-specific ETA 5159 report.
 2. Claimants Selected for Random Audit: Report the number of claimants from the pool described in item 1 that are selected to receive a random audit.
 3. Random Audits Conducted: Report the number of claimants who were selected for a random audit and had a random audit conducted. Include claimants who were scheduled for a random audit in a prior reporting period but have their audit conducted in the current reporting period.
 4. Claimants Who Failed to Report or Contact the Agency, as Directed: Report the number of claimants who were selected for a random audit and failed to report, irrespective of whether they were rescheduled or not.
 5. Claimants Rescheduled for Random Audit: Report the number of claimants who were scheduled for a random audit, did not have the random audit conducted and now have a scheduled date for a random audit.
 6. Claimants With No Issues Raised as Result of Random Audit: Report the number of random audits conducted which resulted in a finding that the claimant had met all state and Federal work search requirements and were not referred to adjudication on the basis of anything found during the random audit.
 7. Claimants Without Sufficient Work Search Documentation: Report the number of random audits conducted which resulted in a finding that the claimant could not properly document their work search. Include cases where the claimant was referred to adjudication and cases where the claimant was not referred to adjudication.
 8. Claimants Disqualified Because Work Search Did Not Meet State or Federal Standards: Report the number of claimants disqualified or determined ineligible for a week following a random audit that found the claimant's work search did not meet state or Federal requirements.
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9. ⁽¹⁾ Claimants ⁽²⁾ Disqualified, ⁽³⁾ or ⁽⁴⁾ Determined Ineligible, ⁽⁵⁾ For ⁽⁶⁾ Failure ⁽⁷⁾ to ⁽⁸⁾ Report, ⁽⁹⁾ As ⁽¹⁰⁾ Directed: Report the number of claimants disqualified or determined ineligible for a week following failure to participate in the random audit.
 10. Claimants Disqualified for Other Reasons: Report the number of claimants disqualified or determined ineligible for a week following a random audit in which the claimant's work search did meet state or Federal requirements but other issues were raised that resulted in subsequent disqualification or denial of the paid week that was the basis of the random audit.
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