Report Summary

Objectives

(1) Comprehend and document the sources of data that were collected to report on the performance indicator (PI); (2) identify and test critical controls (both electronic data processing and manual) of systems from which the performance data were generated; (3) test the adequacy, accuracy, reasonableness, completeness, and consistency of the underlying data for the PI; and (4) recalculate the measure to ascertain its accuracy.

Background

KPMG audited the following PIs, which were included in the Social Security Administration's Fiscal Year 2009 Performance and Accountability Report (PAR): (1) Achieve the Target to Eliminate the Oldest Hearings Pending, (2) Achieve the Target to Eliminate the Oldest Appeals Council Cases Pending, and (3) Achieve the Target for Average Processing Time of Appeals Council Decisions.

To view the full report, visit http://www.ssa.gov/oig/ADOBEPDF/A-15-10-11075.pdf

Performance Indicator Audit: Hearings and Appeals Backlog
(A-15-10-11075)

Our Findings

Our audit identified areas for improvement related to internal controls and accuracy of the underlying data presented and disclosed in the PAR.

Our Recommendations

1. Consider implementing policies, procedures, and/or training to ensure disability hearing and Appeals Council request form dates are properly entered into the Case Processing and Management System (CPMS) or the Appeals Review Processing System (ARPS).

2. Consider implementing policies and procedures to ensure the Notice of Disposition is sent to the claimant in a timely manner and recorded accurately in CPMS or ARPS.

3. Consider implementing procedures to ensure the CPMS Batch Processing Spreadsheet is completed accurately on a daily basis along with the sign off page to document the review of the spreadsheet.

4. Consider implementing procedures to ensure independent personnel regularly review activity on the Disability Adjudication Reporting Tool database.