



# Making a Difference When It Matters Most

Corporate Responsibility Report

**maximus**  
Moving people forward.

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## Introduction from our Chief Executive Officer

The past year has been a year unlike any in our lifetime. The global COVID-19 pandemic altered every aspect of our lives. The death of the countless Black Americans and other People of Color who have lost their lives awakened a deeper understanding of the racial prejudice and injustice that exist today.

Our mission of *Helping Government Serve the People*® has guided our business for decades and has perhaps never been more relevant than during these times. We are entrusted to assist some of the most vulnerable citizens around the world each day, and in doing so, to treat each and every person we serve – and each other – with dignity and respect.

For more than 45 years, Maximus has helped government transform the lives of their citizens. Governments hire companies like Maximus because we not only provide a better experience for consumers and beneficiaries, we also effectively and efficiently operate government health and human services programs and delivering challenging outcomes. The importance of our work has never been more greatly felt than this past year, as more and more people turned to their government for information and assistance in response to this historic COVID-19 pandemic.

We recognize that our role as a business leader includes the responsibility to create a positive impact. We remain committed to practicing good corporate citizenship. We must treat the pandemic of racism with the same concern, vigilance, and collective commitment we are using to fight the other health pandemic we face.

I am aware that we have an opportunity to further lead by example. Maximus can and will do more.

I thank our directors, officers, employees, and other representatives of Maximus for your shared mission in ensuring Maximus succeeds as a corporate responsibility business leader.

A handwritten signature in blue ink that reads "Bruce L. Caswell". The signature is fluid and cursive, with the first letters of the first and last names being capitalized and prominent.

## About Us

Maximus helps millions of people access the vital government services they need. We make complex programs more accessible and easier to use and understand, including for some of the most vulnerable and at-risk communities. Every program and contract is different and our solutions are built specifically for each government customer's needs.

### Helping government

It all starts with understanding governments' unique challenges. We understand the complexities of running public programs because it is our sole focus.

### Serving people

We never forget government programs have the power to transform lives. That is why we are continually enhancing access and ease of use for citizens.

### Improving outcomes

Programs are more than processes and rules. Our ongoing focus is ensuring policy translates into outcomes that matter.

### Achieving success

With more than 45 years of experience administering programs, Maximus aligns the inner workings of government, the needs of people, and the goals of public policy for breakthrough results.

We proudly design, develop, and deliver innovative and impactful health and human services programs to ensure these challenges do not create barriers to access of these life and community changing services.



**34,000+**

Employees worldwide



**45+ years**

Working with local, state federal, and international government clients



**\$3.46B** revenue

\$2.89B (fiscal year 2019)



**9**

Countries served



**Reston, VA**

Headquarters

## Our Material Drivers

Every interaction – from beginning to end – that consumers have when seeking a government service becomes part of their Citizen Journey®. Whether it's accessing a government website, calling a contact center, using a mobile app to access benefits, or visiting an agency office, they are all interactions that reflect on their experience and perception of the process. with a fundamental goal in mind to make a meaningful impact on people's lives.

### The Work We Do



Answer **43 million** calls annually to support health insurance enrollment for a large federal agency



Complete **1.5 million** health assessments in the U.S. and U.K. each year



Oversee **70%** of the market share of Medicaid managed care administration



Handle **7 million** contact center inquiries per month



Manage **20 million** citizen services cases



Perform **2 million+** independent benefit reviews

Every contract is different and our solutions are built specifically for our government clients' needs. We offer a full business process solution to these government clients. Within these solutions, we will typically innovate on a new, individual component, such as digital access to programs or consumer engagement. These may include new solutions and features as well as significantly improved solutions to better address the government client's needs.

As such, we are always striving to better support our clients and beneficiaries through our three-pronged strategy:

### Clinical Evolution

- While operating consumer engagement centers and providing case management services remain a foundational element of our business, we see macro-trends that drive demand for BPO services with more of a clinical dimension.
- Healthcare costs continue to rise. People are living longer and more people with chronic conditions and diseases. At the same time, there is a wide range of health conditions that are preventable through healthier lifestyles.
- Further, when we look closely at the social determinants of health outcomes, opportunities emerge where Maximus can help our clients address these challenges with solutions that are strengthened with our growing clinical expertise.
- As our assessments and appeals business has expanded, we've seen a shift in our workforce. Our teams of healthcare professionals tend to bring a higher level of expertise and longer tenure.



## Digital Transformation

- There is a cultural shift as we think about digital disruption within the government services market and new models for engagement and efficiencies. Using digital technologies, we help governments run more streamlined programs and serve people by making it easier for them to engage with health and human services programs.
- We have positive momentum with market-leading applications, performance analytics, and technology.
- Advanced analytics play an increasing role in modeling our solutions and optimizing the outcomes we deliver.
- Digital automation, such as next generation interactive voice recognition and process automation, allows us to continue to drive efficiencies and improve the quality of our operations.
- Through our current and planned investments in data governance, rapid innovation & delivery methodology, and continued growth of digital competencies across the organization, we are well positioned to deliver new solutions underpinned by AI, machine learning, and cognitive computing capabilities as part of the next phase of our digital strategy.
- Through our client-focused approach, we provide better decision support tools for our employees and lower costs while accomplishing more complex transactions.
- These efforts enhance our competitive position and improve our overall service delivery across our operations.

## Market Expansion

- We continue to bring core capabilities to new programs and clients, add new capabilities to access adjacent markets, and expand geographically.



## Material ESG Risks and Opportunities for Maximus

To inform our ESG strategy and goal-setting, Maximus conducts a comprehensive materiality assessment at least every three to five years as well as a more regular review process in between. We refreshed our materiality assessment in 2021 with the aim of updating our strategy and allowing us to identify and prioritize ESG issues that are of the greatest concern to our stakeholders and those of greatest impact upon our business. To continuously improve upon our ESG strategy, we engage a wide variety of stakeholders for input as part of the process. Participating in ongoing, two-way dialogue with our stakeholders strengthens our understanding of important ESG issues, helping us set associated priorities to make respective decisions.

While this refreshment process is an important periodic endeavor, we view the issues categorized in the environmental, social, and governance categories as timeless and consistent with our mission, vision, and principles.

To complete the 2021 materiality assessment, our ESG Committee took the following steps:

<b>1: Stakeholder Identification</b>	<ul style="list-style-type: none"><li>• Identify internal and external stakeholders at Maximus with a view on the Company's long-term success:<ul style="list-style-type: none"><li>- Investors</li><li>- Customers (citizens)</li><li>- Employees</li><li>- Clients (government)</li><li>- Business Entities</li></ul></li></ul>
<b>2: ESG Identification</b>	<ul style="list-style-type: none"><li>• Generate a view of the universe of ESG topics</li><li>• Consider leading ESG reporting standards &amp; frameworks like SASB, GRI and TCFD, third-party rating evaluations, peer reporting, emerging trends, thought leadership, and regulatory filings</li></ul>
<b>3: Business Relevance</b>	<ul style="list-style-type: none"><li>• Consider the degree to which the identified ESG topics could impact our business, financial condition, operating results, prospects, or stock price</li><li>• This includes a review of SEC filings, earnings call scripts, leadership agendas, and Board of Director and Committee materials</li></ul>
<b>4: Stakeholder Relevance</b>	<ul style="list-style-type: none"><li>• Consider the degree to which the identified ESG materials may affect or be of interest to our key stakeholders</li><li>• This includes shareholder perception study, stewardship meeting feedback, third-party rating assessment results, and internal subject matter experts</li></ul>
<b>5: Mapping</b>	<ul style="list-style-type: none"><li>• Map each issue according to prioritization established in Step 3 &amp; 4 to populate an initial ESG materiality matrix</li></ul>
<b>6: Engagement</b>	<ul style="list-style-type: none"><li>• Engage a variety of stakeholders to refine the draft matrix</li><li>• Following refinement, the Board of Directors Nominating and Governance Committee will review and approve the final matrix</li></ul>
<b>7: Disclosure</b>	<ul style="list-style-type: none"><li>• While all identified issues are important, the content of our ESG disclosure efforts will focus primarily on the issues in the upper right-hand quadrant of the materiality matrix, as these are determined to be the most material to our business and to our stakeholders</li><li>• Other issues may be included as appropriate</li></ul>

*We use the term "material" in line with GRI and SASB terminology. We do not use the term as defined by the U.S. Securities and Exchange Commission (SEC) or other securities law.*

## Stakeholder Engagement

We define stakeholders to be individuals and organizations who can impact or be impacted by our operations. They include shareholders, customers, and clients (i.e., governmental agencies), consumers and beneficiaries (individuals served through the public programs we operate), employees, suppliers, communities, regulating bodies, and competitors.

Stakeholders	Type of Engagement	Material Areas of Interest
<b>Investors</b>	<ul style="list-style-type: none"> <li>• Quarterly earnings conference calls</li> <li>• Investor presentations, events, and one-on-one meetings</li> <li>• Annual governance roadshow</li> <li>• Annual shareholder meeting</li> </ul>	<ul style="list-style-type: none"> <li>• Financial performance</li> <li>• Ethics, governance, and regulatory and legal compliance</li> <li>• Diversity, Equity, &amp; Inclusion (DE&amp;I)</li> <li>• Data privacy and security</li> <li>• Employee retention, recruitment, and engagement</li> <li>• Human rights</li> <li>• Climate change / sustainability</li> <li>• Transparency / external reporting</li> </ul>
<b>Clients &amp; Customers</b>	<ul style="list-style-type: none"> <li>• Direct engagement</li> <li>• Client satisfaction surveys</li> <li>• Research, resources, and insights</li> </ul>	<ul style="list-style-type: none"> <li>• Performance and quality</li> <li>• Ethics</li> <li>• Customer satisfaction</li> <li>• Environment</li> <li>• Employee health, safety, and wellbeing</li> <li>• Data privacy and security</li> </ul>
<b>Consumers</b>	<ul style="list-style-type: none"> <li>• Day-to-day operations</li> <li>• Customer satisfaction surveys</li> <li>• Citizen engagement centers</li> </ul>	<ul style="list-style-type: none"> <li>• Experience</li> <li>• Ethics</li> </ul>
<b>Employees</b>	<ul style="list-style-type: none"> <li>• My Maximus (intranet)</li> <li>• Communications (emails, videos, webinars, listening sessions, mobile application, and more)</li> <li>• Pulse surveys</li> <li>• Employee engagement survey</li> </ul>	<ul style="list-style-type: none"> <li>• DE&amp;I</li> <li>• Employee learning, development and career opportunities</li> <li>• Compensation</li> <li>• Employee health, safety, and wellbeing</li> <li>• Ethics</li> <li>• Community engagement</li> </ul>
<b>Suppliers</b>	<ul style="list-style-type: none"> <li>• Supplier Code of Conduct</li> <li>• Direct engagement with major suppliers</li> </ul>	<ul style="list-style-type: none"> <li>• Supply chain</li> <li>• DE&amp;I</li> <li>• Ethics</li> <li>• Environment</li> </ul>
<b>Community</b>	<ul style="list-style-type: none"> <li>• Donations</li> <li>• Partner collaboration</li> </ul>	<ul style="list-style-type: none"> <li>• DE&amp;I</li> <li>• Community engagement</li> <li>• Environment</li> </ul>
<b>Regulating Bodies</b>	<ul style="list-style-type: none"> <li>• Direct engagement on public policy issues</li> <li>• Indirect advocacy through coalitions and trade groups</li> <li>• Support of candidates through carefully managed Maximus Political Action Committee</li> <li>• Industry engagement via meetings and conference calls</li> </ul>	<ul style="list-style-type: none"> <li>• Regulatory ESG issues</li> <li>• Tax</li> <li>• Employee health, safety, and wellbeing</li> <li>• Data privacy and security</li> </ul>



## Maximus ESG Material Issues

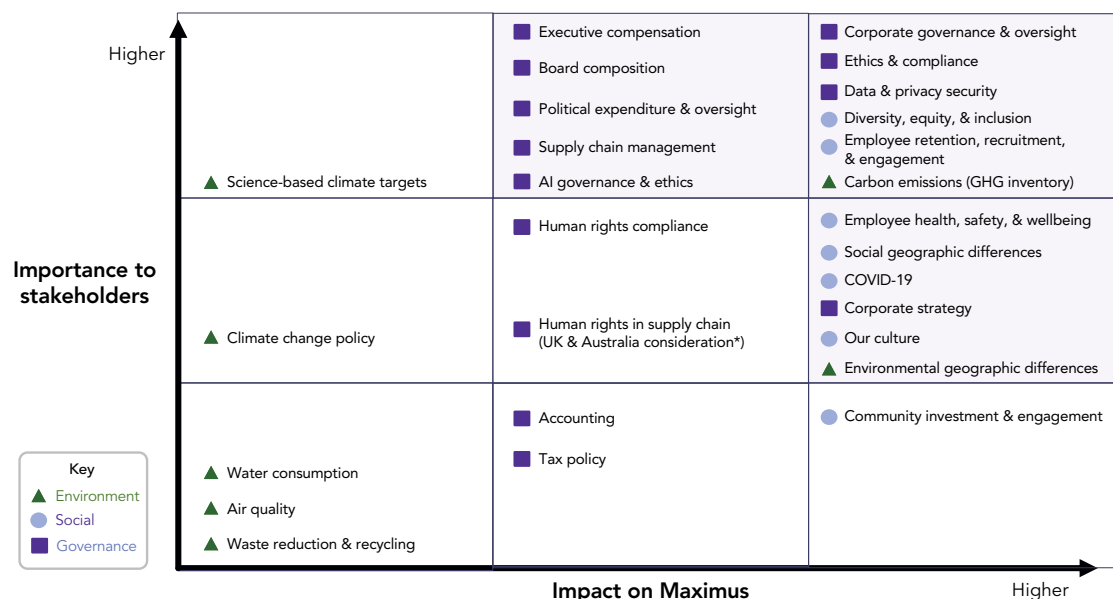
Through a review of previous materiality assessment results, peer and industry benchmarking, reporting standards, gap analysis, and the Company's strategic priorities, risks, and opportunities, we developed a list of potential material topics which include:

<p><b>▲ Environment</b></p> <ul style="list-style-type: none"> <li>• Air quality</li> <li>• Carbon emissions &amp; greenhouse gas (GHG) inventory</li> <li>• Climate change policy</li> <li>• Environmental geographic differences</li> <li>• Science-based climate targets</li> <li>• Waste reduction &amp; recycling</li> <li>• Water consumption</li> </ul>	<p><b>● Social</b></p> <ul style="list-style-type: none"> <li>• Employee health, safety &amp; wellbeing</li> <li>• Employee retention, recruitment &amp; engagement</li> <li>• Community investment &amp; engagement</li> <li>• COVID-19</li> <li>• Diversity, equity &amp; inclusion</li> <li>• Our culture</li> <li>• Social geographic differences</li> </ul>	<p><b>■ Governance</b></p> <ul style="list-style-type: none"> <li>• Accounting</li> <li>• AI governance &amp; ethics</li> <li>• Board Composition</li> <li>• Corporate strategy <ul style="list-style-type: none"> <li>- Digital transformation</li> <li>- Clinical evolution</li> <li>- Market expansion</li> </ul> </li> <li>• Data &amp; privacy security</li> <li>• Ethics &amp; compliance</li> <li>• Executive compensation</li> <li>• Human rights compliance</li> <li>• Human rights in supply chain</li> <li>• Political expenditures &amp; oversight</li> <li>• Supply chain management</li> <li>• Tax policy</li> </ul>
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## ESG Materiality Mapping

Following ESG and stakeholder identification, as well as analysis of degree of impact for each item, we mapped each issue according to the determined prioritization to populate an ESG materiality matrix.

We then engaged further with stakeholders to refine the matrix, and the Nominating and Governance Committee provided final approval.



# ESG Pillars

As a result of our materiality assessment, we target four ESG Pillars to guide Maximus and our ESG strategy.



- I. Principles of governance
- II. Process and protection: data security, privacy, and AI
- III. Our people & community
- IV. Our planet & environment





## Principles of Governance

Quality and ethics are the cornerstones upon which Maximus was founded and which we continue to operate. We are proud that our employees share a common commitment to accountability, responsibility, and integrity. At Maximus, we view corporate governance as a critical method for ensuring fairness and transparency to our many stakeholders.

The Maximus Board of Directors consists of nine members who support four standing committees.

### Standing Committees of the Board



#### Audit Committee

- Oversees management of market and operational risks that could have a financial impact, such as those relating to internal controls and liquidity.



#### Nominating and Governance Committee

- Manages the risks associated with governance issues, such as the independence and performance of the Board, as well as government relations expenditures and environment, social, governance (ESG) matters.



#### Compensation Committee

- Responsible for managing the risks relating to the Company's executive compensation and succession plans and policies.



#### Technology Committee

- Provides oversight with respect to the Company's global information technology, including data security and privacy.

### ESG Oversight

Our Board of Directors provides leadership and oversight with respect to environmental, social, and governance issues and practices. The Nominating and Governance Committee has formal oversight of ESG matters. They receive reports from management on these issues. The full Board regularly receives reports from the Committees and management.

#### Oversight



- Maximus Board of Directors
- Corporate Nominating & Governance Committee

#### Management



- Chief Financial Officer

#### Implementation



- Senior Director, ESG & Investor Relations
- Global ESG Steering Committee
- ESG Subcommittees

Additionally, the Social Value Steering Group was established in the United Kingdom to guide how we work in communities. The steering group members work to maximize our local impact through staff volunteering, inclusive employment and training initiatives, environmental projects, and partnerships with voluntary, community, and social enterprises.

## Government Relations Oversight

As a business that serves government, Maximus believes it is essential to establish a dialogue with policymakers, legislators, and executive branch leadership about the positive and negative impacts that pending public policy actions can have on the government's goals and Company's business objectives.

The Nominating and Governance Committee of the Maximus Board of Directors has formal oversight of the Company's policies pertaining to political contributions and compliance with all U.S. laws and regulations, political activities including contributions from the employee-funded Maximus Political Action Committee, significant lobbying priorities and expenditures, and expenditures related to principal trade organizations.

Considering recent events, Maximus management, in consultation with the Nominating and Governance Committee, remains committed to our fundamental principle of engagement in the political process which is, and will continue, to never support or fund candidates or elected officials who encourage or support violence against the government of the United States.

Learn more at [maximus.com/government-relations](https://maximus.com/government-relations).

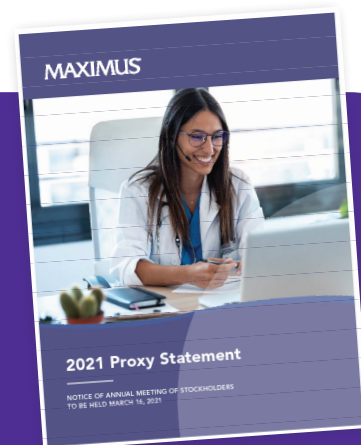
Information on our committee structures and policies are available on the [Maximus Corporate Governance](#) webpage. Biographies of the board members and a Board skills matrix can be found on the [Maximus Board of Directors](#) webpage and within our recent [Proxy](#).

### 2021 Proxy

Review our 2021 proxy for additional information regarding governance, our board of Directors, skills matrix, and more.

### Board Refreshment

Maximus acknowledges the importance of regular "board refreshment," including issues of age, length of service, independence, expertise, gender, orientation, and ethnicity. As such, the appointment of several new and diverse, independent directors provides Maximus with exceptional added value, insights, and perspectives.



## Governance Practice Highlights

7 of our 9 directors meet the SEC definition of independent directors and each of our 4 board committees are chaired by an independent director

The Chairman of our Board of Directors is independent

We have not adopted a "poison pill"

Our charter provides for majority voting for the election of directors

We amended our charter in 2020 to provide for annual election of all directors

The average years of tenure for our 9 directors is 8.1 and 4 of our 7 independent directors have less than five years of service

4 of our 9 directors self-identify as a woman or Person of Color or both

Our directors are not 'over-boarded'

ESG initiatives and endeavors are subject to oversight from the Nominating and Governance Committee

Our policies prohibit hedging or pledging of stock by our directors and management

Our executives are required to hold a specified amount of stock in the corporation

The Board Member skills matrix is published in our annual proxy

Confidential ethics hotline is available 24 hours a day, 7 days a week, available in each of our geographies

We adopted a human rights statement in 2020, that reflect the principles in the UN's Global Compact Guiding Principles of Business and Human Rights

ESG and government relations matters are overseen by the Nominating and Governance Committee

## Running our Business with Integrity

Our pledge to conduct our business ethically and with integrity extends to our responsibility to respect human rights as guided by international human rights principles. It is our duty to conduct our business through responsible workplace practices. We endeavor to ensure our business operations are free from complicity in human rights abuses.

Maximus has earned a reputation for service excellence and an unwavering commitment to the highest ethical principles and values. To maintain this reputation, we strive to consistently demonstrate the highest standards of accountability, integrity, responsibility, and ethics in our daily activities, across the organization and around the world, and across all disciplines, including procurement and subcontracting; compliance with laws and regulation; privacy and security; organizational and personal conflicts of interest; accounting, time-keeping, expense reporting, and billing; and equal opportunity and non-discrimination. Ethics at Maximus is more than simply following specific rules or laws; it is a shared commitment to hold to the highest standards of conduct.



We strive to be champions for an inclusive and collaborative culture that is free from discrimination and harassment, where everyone is treated with respect and dignity. Our expectation is that Maximus and its employees always conduct business according to the highest standards of ethics and performance, and in full compliance with all applicable laws. Our commitment to act with integrity is summarized in our [Standards of Business Conduct and Ethics](#).

Maximus regularly communicates our ethical business practices and expectations to employees. Employees are provided a mandatory ethics training webinar on an annual basis. As part of the onboarding process, newly hired employees must acknowledge that they read our Code of Conduct and participate in our online ethics training. Depending on their role, some employees must complete additional secondary compliance training.

## Grievance Mechanism

All directors, officers, employees, and representatives of Maximus have a responsibility to report concerns or seek advice regarding violations of our Code of Conduct. Maximus has established a number of reporting channels including a confidential ethics hotline, human capital hotline, audit committee hotline, HIPAA privacy and security hotline, and direct email access to the Maximus compliance officer and/or legal team.

The confidential ethics reporting line is available 24 hours a day, 7 days a week. Maximus is committed to non-retaliation and non-retribution for employees who make good faith reports of compliance concerns, issues, and observations.

## Human Rights

Our approach to human rights is people-focused and always evolving. We respect cultural and regional differences while maintaining our commitment to respect individuals' rights, and continually listen to and learn from our employees, customers, and other stakeholders.

Maximus is committed to human rights in every aspect of its business around the world. This commitment includes respecting the dignity and value of all individuals, encouraging all individuals to reach their full potential, encouraging initiative by individuals, and providing all individuals with equal opportunities.

Maximus respects international human rights principles aimed at promoting and protecting human rights, including the United Nations Global Compact, the United Nations Guiding Principles on Businesses and Human Rights, and the International Labour Organization's Declaration on Fundamental Principles and Rights at Work.

View our [Global Human Rights Statement](#) and our [UK Human Rights Statement](#).

## Our Supply Chain

In 2021, Maximus launched our [Supplier Code of Conduct](#), a set of standards based upon a common-sense principle – do the right thing always. Maximus requires all of its suppliers, vendors, teaming partners, and subcontractors to meet these same standards. Maximus is committed to:

- Partner only with Suppliers who comply with an ethical code of conduct
- Exclude Suppliers who commit acts of misconduct
- Improve social outcomes for those we serve

## Merlin Standard Certification

Maximus U.K. received the Merlin Standard certification. The purpose of the Merlin Standard is to support the development, recognition and promotion of sustainable excellence, and positive partnership working within supply chains.

The Merlin Standard for delivering excellence in supply chain management is built upon 8 fundamental and integrated principles: Design, Procure, Contract, Funding, Develop, Performance Manage, QA & Compliance, and Review & Close. Within each principle, there are a number of criteria, which provide a structured approach to achieving excellence in supply chain management.

[Learn more](#) about the Merlin Standard.

We value our strong relationships with our vendors and seek to work together in our mutual commitment to the highest ethical values.



## Process and Protection: Data Security, Privacy, and AI

Maximus is dedicated to maintaining the security and privacy of company, client, and consumer information we manage.

### Privacy Statement

Maximus predominately serves in the role of a data “custodian.” Our government clients maintain the role of data owners, which includes the responsibility for establishing the information security and privacy requirements that govern its access and use by contract. As such, each Maximus project that requires an public-facing website on behalf of the client, includes a website privacy policy reflecting the specific language required by the client.

[Our Privacy Statement](#) applies to personal information we collect on the Maximus website located at maximus.com (the “Site”) and describes the types of information collected, how that information is used, and the choices users have about collection and use of this information. This privacy statement does not govern privacy practices associated with offline activities, websites other than this Site, or products and services not available or enabled via this Site, except as expressly set forth in our Privacy Statement.

### Oversight

Privacy issues are managed by our Chief Privacy Officer, who works with a team dedicated to handling privacy compliance, with oversight from our General Counsel. Data security is overseen by our Chief Information Security Officer (CISO), who reports directly to our Chief Financial Officer.

The Technology Committee of our Board of Directors oversees data privacy issues and related risk management. The Technology Committee and BOD receives updates at least quarterly from the CISO.

## Certifications

As a vendor to multiple state, federal and foreign governments, Maximus has established standards to safeguard our information and businesses. Information security controls frameworks, such as HIPAA, NIST SP 800-53, CMS MARS-E, IRS 1075, ISO 27001 and more define how we ensure the confidentiality, integrity and availability of information in a manner that can be measured. Maximus architects our security policy to adhere to the 242 Information Security control objectives and 26 privacy objectives defined by the National Institute of Standards and Technology (NIST). Our cybersecurity strategy includes policies and standards, security controls, risk management programs, employee training, assurance processes and technologies that protect the environment that processes, stores and transmits our data.

We have received several accreditation and certifications.

### Federal Risk and Authorization Management Program (FedRAMP)

Maximus offers three Federal Risk and Authorization Management Program (FedRAMP) solutions, enabling us to provide state-of-the-art, secure customer care technology to federal agencies.

- **Maximus Intelligent Assistant** software as a service (SaaS) enables agencies to enhance their self-service offerings by allowing citizens to complete a wide variety of transactions. It merges artificial intelligence (AI) and human understanding to deliver rich, conversational, human-like interactions.
- **Maximus Cloud** infrastructure as a service (IaaS) offering is an enterprise-level, multi-tenant private and community cloud built to support programs of all sizes and complexities. It provides security, visibility and enhanced performance through proactive monitoring, alerting and maintenance without service interruption.
- **Maximus Engagement Platform** as a service (PaaS) offering is designed for government agencies in need of a scalable, tailorable telephony infrastructure for their citizen engagement centers. It provides a full range of technology capabilities to customize operations of any size, while meeting security and privacy requirements.

### ISO/IEC 27001

This certification pertains to information security management systems.

- Fit for Work (U.K.)
- Health Management Ltd. (U.K.)
- Maximus Federal
- Maximus UK Employment and Training

### Learn more about ISO/IEC 27001

See our Accreditations and Certifications on our [website](#).

## Training

Employees are provided a mandatory data privacy and security training webinar on an annual basis. Depending on their role, some employees must complete additional secondary compliance training. As part of the onboarding process, all new employees are required to complete and pass data and information security fundamentals training within their first 90 days of employment.

We supplement the annual training with ongoing training provided through intranet articles and emails. Training topics include, but are not limited to the following:

- Data protection principles regarding the use, protection, storage, transmission, and disposal of confidential information, with specific focus on how certain data may not be used
- Guiding principles of information security:
  - Ensure the confidentiality, integrity and availability of all company, customer, and/or consumer information it manages
  - Protect against any anticipated threats or hazards and secure such information from unauthorized access, disclosure, or use
- Physical security measures, such as facilities, devices, clean desk policy, printing, shredding, and health measures put in place as a result of the global COVID-19 pandemic
- User ID protection and password requirements
- Recognizing and reporting security incidents
- Managers' role in data and information security
- Phishing, including simulation and quiz-based training courses, available in multiple languages

Additionally, the IT and Communications teams promote Data and Information Security Awareness Month on an annual basis to reinforce policies, processes, guidelines, and principles.

## Incident Reporting

Like all multinational companies, Maximus faces cybersecurity threats on a regular basis.

Maximus developed a robust incident management process to respond to a wide variety of cyber incidents globally. This process includes triage, investigation, evidence collection and storage, root cause analysis, and incident resolution with executive reporting.

Learn more about [Maximus data security](#).



## Our People and Community

Today, we are a team of more than 34,000 dedicated professionals across the United States, Australia, Canada, Italy, Saudi Arabia, Singapore, South Korea, Sweden, and the United Kingdom. Our employees are dedicated to improving the lives of others and we recognize their efforts by offering competitive wages and comprehensive benefits packages.

### Diversity, Equity, and Inclusion

Our mission of *Helping Government Serve the People*<sup>®</sup> has guided our business for decades. We are entrusted to assist some of the most vulnerable individuals around the world each day, and in doing so, to treat each and every person we serve – and each other – with dignity and respect. Diversity, equity, and inclusion (DE&I) are central to our company identity and how we lead in our work.

DE&I are an important part of who we are as a company and broadly outlines the comprehensive efforts we are taking to create a more inclusive workplace. In 2020 we hired Dr. Arvenita Washington Cherry to develop and lead our DE&I efforts.

As we work toward increasing diversity across Maximus, including the Board of Directors, we are proud to share that 44% of our Board members self-identify as a woman and/or Person of Color.

During fiscal year 2020:

- Hired more than 38,000 employees across the globe
- In the U.S.
  - Employed more than 2,100 persons with disabilities
  - More than 71% of total U.S. hires self-identify as women

We continue to refine our focus on recruiting diverse individuals at all levels of the organization to reflect the populations we serve.

In 2020, we furthered the Company's DE&I strategy with a focus on furthering the Company's efforts in DE&I by identifying opportunities to make improvements, which range from increasing more equitable hiring practices to integrating DE&I as central to company culture. Our DE&I team actively engages with employees and management in order to capture their sentiments about the Company's culture, while also working with local leaders and community organizations that seek to bring attention to social justice, human rights, civil rights, equity, and inclusion. We also launched two DE&I committees which maximizes staff diversity across race and ethnicity, gender, position, division, and thought.

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**The DE&I Design Committee is a working group of Maximus employees that previews, gives input, and tests DE&I initiatives before they are implemented at Maximus.**

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**The DE&I Steering Committee, comprised of leaders at Maximus, acts as a "think tank" for what DE&I activities will be undertaken at the Company and helps to serve as champions for implementing initiatives.**



In the summer of 2020, a company-wide DE&I webinar conversation was facilitated by an independent consultant and featured Bruce Caswell, our Chief Executive Officer, and Michelle Link, our Chief Human Resources Officer. The topic addressed was the result of survey feedback from colleagues.

We held a social justice donation drive, resulting in a donation given to the NAACP Legal Defense and Education Fund (LDF) and an ongoing partnership.

In 2021, Bruce signed as a signatory to the CEO Action for Diversity and Inclusion, as well as The Valuable 500.

The Maximus pledge with CEO Action for Diversity and Inclusion is critical as Maximus will engage with other CEO Action signatories, provide engagement opportunities for employees, and drive thought leadership on DE&I.

The Valuable 500 is a global movement putting disability inclusion on the business leadership agenda, calling for 500 of the most influential business leaders to ignite systemic change.

These actions are consistent with the human rights statement of commitment we adopted in early 2020 that reflect the principles in the UN Global Compact and the UN Guiding Principles of Business and Human Rights.

## Individuals with Disabilities Inclusion Program

Maximus has continued to expand its talent acquisition efforts in the field of vocational rehabilitation and disability to create key partnerships that would facilitate effective hiring and onboarding of individuals with disabilities. Our talent acquisition team builds relationships with local community-based organizations and veterans service organizations. These efforts include site visits to these local organizations, as well as hosting onsite discussions with local vocational rehabilitation counselors to educate them on Maximus work opportunities available to job candidates with disabilities.



**850+**

Employees participated in sensitivity and unconscious bias training



**4,600+**

Individuals with disabilities were hired between fiscal years 2016 and 2020

We expanded our disability inclusion training to hiring managers, including a focus on the hiring of veterans with disabilities and the effect that unconscious bias may have on hiring decisions for these and other protected classes.

Our businesses were recognized for their efforts in supporting people with disabilities and long-term health conditions. Maximus UK entities were among the first to be awarded Disability Confident Leader status by the UK Government. We were the first employment service provider to achieve nationally recognized Disability Confident Recruiter status by the Australian Network on Disability. We were also recognized by the Virginia Department of Aging and Rehabilitation Services as a Champion of Disability Employer.

In the United Kingdom, we support hundreds of employers to improve their disability confidence and attain the accreditation, through specialist support, tailored training, and webinars. For example, every quarter for the past year, we worked with the U.K. Department for Work and Pensions to promote the scheme to employers through webinars that reached more than 600 U.K. employers.

Being a Disability Confident Leader and Recruiter means we are helping people with disabilities secure jobs within our business units, as well as taking action to keep and develop our employees.

It also means we are a leading advocate for employing individuals with disabilities and are helping other organizations become Disability Confident.

By continuing our Disability Confident journey, we help ensure that people with disabilities and those with long-term health conditions have the opportunities to fulfill their potential and realize their aspirations.

## Serving Veterans and their Families

Military Times Best for Vets: Employers 2020 ranked Maximus as a top employer nationwide in the U.S. for veterans. In particular, Maximus was cited for having especially high scores by Military Times due to its excellent retention support programs, as well as our recruitment and employment practices. Maximus UK signed the Armed Forces Covenant, pledging to support those who serve or who have served in the armed forces, and their families. The Company supports all military-connected employees regardless of whether they have served themselves, at home or abroad, are a military spouse, or have any other military connection. Highlights include:

- Retention support for all military connected employees and benefits and programming designed specifically for active Guard and Reserve employees
- Partnering with the Posse Foundation's Veterans Program to provide professional development workshops and orientation support for post-9/11 veterans pursuing bachelor's degrees at colleges and universities across the country
- Promoting the hiring of veterans through targeted sourcing strategies and outreach to veteran service organizations to increase the pool of qualified military-related applicants
- Veterans recognition month every November and spotlights of our military and veteran employees
- Military Spouse Employment Partnership participation in hiring events, quarterly partner meetings, and employer roundtables

In addition to enhancing diversity in our own workforce, Maximus Outreach Diversity tconnects hard-to-reach job seekers with businesses, helping organizations satisfy Affirmative Action and Equal Employment Opportunity obligations.

Meet one of our distinguished veterans, Kari Miller-Ortiz, on [what Veterans Day means to her](#).

## Global Imperative

Our international business entities are committed to furthering our ESG strategy around the globe. In addition to our Disability Confident Leader and Recruiter accreditations, Maximus UK was among the first government services providers to be accredited as a Living Wage Employer, committing to fair pay for colleagues, suppliers, and partners. While we have always been committed to paying our colleagues fairly, becoming a Living Wage Employer allows us to take this commitment further by ensuring our commitment to a fair day's wage extends beyond our own organization and enables us to advocate a real Living Wage for our supply chain partners, and suppliers as well.

## Recognition

In 2021, Maximus was ranked #3 in Washington Business Journal's "Corporate Diversity Index" for Large Companies in Greater D.C.

We were also included in the 2021 Forbes list for "America's Best Employers for Diversity."

Learn more at [maximus.com/DEI](https://maximus.com/DEI).

## Employee Engagement

As a result of global health pandemic, we adapted our survey program to include more regular "pulse checks" as well as a COVID-19 specific engagement survey. We re-launched our annual global engagement survey in February, 2021. We are committed to utilize the same survey consultant for the next three years.

According to the 2021 employee engagement survey results, the majority of our employees agree that:

- Leadership has taken actions to build a diverse and inclusive work environment
- They trust their immediate supervisor, are encouraged to work together as a team, and are provided feedback that helps improve their performance routinely
- Their immediate supervisor/manager is an active supporter of change, and they are encouraged to initiate change when they see a better way of doing things
- The learning and development activities provided by Maximus have prepared them for the work they do

To address needs during a global health pandemic, we made a variety of wellbeing support services available including:

- Wellness and mindfulness mobile apps, such as Headspace and Wellbeats
- Mental health workshops with experts, developed in conjunction with our Chief Medical Officer
- Employee Assistance Program availability to all Maximus employees, regardless of whether or not they selected to participate Maximus benefits plans

## Social Impact Internship Project

Amid the global pandemic, Maximus transitioned to a virtual intern program to help ensure students' safety, while maintaining compensation offers for all interns. The interns led a pro-bono consulting project where they partnered with the Maximus Foundation to create solutions for nonprofits faced with a need to shift their operations to ensure continuity of services as a result of COVID-19. The program followed a diversity, equity, and inclusion framework with a focus on inclusive practices for individuals with disabilities facing social isolation concerns during the pandemic. As a result of these efforts, Maximus was selected as one of Forbes magazine and WayUp's "Top 100 Internship Programs in the U.S. for 2020".

## Professional Development

We value ongoing development and continuous learning and strive to support and provide learning opportunities to all Maximus employees. The Maximus Center for Employee Development (CED) supports enterprise-wide professional development by offering a variety of instructor-led and self-paced learning programs ranging in audience from individual contributors to frontline supervisors and executive leadership. Additionally, our project training teams manage customized programs in support of contract requirements, customer service, local leadership development, and employee engagement.

### Center for Employee Development

The Maximus CED oversees enterprise-wide professional development. Their areas of focus include:

- **Core Business Acumen:** Time management, professionalism, problem solving, business writing, presentations, communications, desktop technology, and Maximus systems
- **People Management and Leadership Development:** Supervisory skills, performance management, teamwork, coaching and mentoring, and leadership
- **Client Management and Business Development:** Customer service, client relationship management, consulting skills, sales and marketing, and proposal writing
- **Project Management:** Scope, contracts, financials, quality, risk, and communications management

The CED leverages the following tools to engage our employees:

**Maximus University:** The Company's internal development site where employees can:

- Access training tools and systems
- Register for upcoming courses
- View past training recordings
- Explore working from home resources

**Workday Learning (U.S. only):** The Company's web-based learning enablement system through which employees can:

- Register and take self-paced training
- View training history
- Complete onboarding tasks and compliance training
- Complete annual compliance training

**Similar systems are available to our global employees.**

- Workday Performance (U.S. only): The Company's web-based performance system where employees can set and maintain business goals
- Percipio (Global): An online learning tool providing more than 13,195 online learning resources to our global exempt and professional employees

## Benefits and Employee Recognition

Our continued success as a Company depends on our ability to meet the needs of our employees.

Maximus remains committed to the health and financial wellness of our employees. We know that our benefits program is an important part of the total compensation package that helps us attract and retain a talented group of team members. Our benefits program is focused on:

- Providing core benefits that help bring employees peace of mind and financial stability should the unexpected occur, with some of those benefits covered at 100% by Maximus
- Partnering with benefit carriers that provide strong networks of physicians to provide employees and their family with the best available care
- Offering a competitive, yet affordable package that provides comprehensive coverage

At Maximus, we like to recognize employees for a job well-done in a variety of ways from project bonuses and a management bonus plan to employee recognition activities and staff award programs.

Learn more on the [Maximus Benefits & Rewards](#) webpage.

## Our Community

At Maximus, we hold a strong sense of corporate citizenship and responsibility. We recognize the importance of giving back to the communities in which we live and work. In response, the Maximus Board of Directors created the Maximus Foundation in 2000.

The Maximus Foundation is committed to supporting organizations and programs that promote personal growth and self-sufficiency through improved health, augmented child and family development, and community development. We provide financial support for nonprofit organizations and charities that share our commitment in helping disadvantaged populations and underserved communities.

The Maximus Foundation is funded by charitable gifts from the employees of Maximus and supplemented by grants from the Company.



Maximus and our employees donated more than \$156,000 to support social justice and equity across the U.S. in partnership with the NAACP Legal Defense Fund. We were moved by the outpouring support from employees across our Company, participating in our matching campaign and tripling the impact of every dollar they donated. We are proud to belong to a community that takes collective action and invests in its vision of inclusivity, using our privilege to empower Black and Brown voices during this era-defining moment.

The Company also showed our support in combatting the pandemic through a philanthropic donation to the CDC Foundation.

Learn more about the Maximus Foundation on our [website](#).



Although the COVID-19 pandemic restricted the ability to volunteer in person across the globe, we continued to provide financial and virtual volunteer support with our partners. As an illustration of our typical engagement activities, watch our 2019 in review video.

## Strengthening the Communities We Serve

At Maximus, we strive to be a valued partner to the communities where we work. Many of the people that Maximus assists through government programs are our employees' family, friends, and neighbors. We are all in this together, and our company and our people understand the importance of being part of something bigger and making a difference in people's lives.

Watch a [video](#) about our efforts in our local Lynn Haven, Florida community.



## Global Community Perspective

### Maximus Foundation UK

**Colleague Led - Community Focused.** The UK Foundation has supported **157 charities** with a **donations totaling £392,500** since it was established in 2015. They donated **£95,000 in 2020** to help community groups and charities most affected by the pandemic.

Learn more by visiting the [Maximus Foundation UK website](#), as well as in their [2019 Annual Review](#).

### MAX Foundation (Australia)

Launched its grant program in 2017, making awards to **14 nonprofits**. The Maximus Foundation partnered with our affiliate Australian corporate foundation, MAX Foundation, in a multi-country disaster relief effort to support those impacted by the devastating fires in Australia, jointly contributing **\$100,000 Australian Dollars**, collected through employee and corporate contributions in both countries.

Learn more by visiting the [MAX Foundation website](#).

## Our Planet and Environment

As a responsible organization whose business activities have a global reach, Maximus has an important role in contributing efforts to reduce our impact on the environment of the communities in which we live and work, and to minimize relevant climate change risks.

We primarily provide business process solutions (BPS) services to local, state, federal, and international governments and therefore have a relatively small environmental footprint. However, we are committed to taking responsibility for reducing the footprint we do have, particularly as it relates to emissions associated with ongoing climate change. Energy use at our office facilities represents our biggest contribution to scope 1 and scope 3 greenhouse gas emissions, and therefore our strategy focuses primarily on energy reduction efforts, such as energy-saving lighting in our facilities, which provides not only greener solutions, but also more cost-effective measures for the Company.

Maximus offices around the country have implemented several “green initiatives” to reduce the environmental impact on our planet. We support:

- Conserving energy to reduce carbon emissions



**LED light program FY 2020**  
(expanding in FY 2021)



**13 sites**  
(U.S.)



**\$1M**  
per year  
savings



**5.5M kWh**  
per year  
savings

- Implementing staggered climate control daily start-up times and building temperature standards for summer cooling and winter heating
- Installing sun film on sun-exposed windows to reduce glare and hot spots within our facility to lower electricity usage from climate control systems
- Eliminating paper waste through innovative solutions. We work hand-in-hand with our government customers to recommend ways to reduce paper consumption; this can often be a more cost-effective way to achieve business goals. For example:
  - Replacing traditional paper services with digital services
  - Developing intranet sites to post program information and reports using digital “fast alerts” to keep staff abreast of important information
  - Encouraging customers to authorize telephone and web program enrollments as opposed to using and mailing paper enrollments, resulting in a reduced reliance on printed collateral materials and paper products
  - Enabling community-based organizations to implement efficient business practices by providing technology and technical assistance to submit program enrollments digitally
- Reducing, reusing and recycling office waste wherever possible. For example:
  - Installing safe and efficient water filtration systems to replace bottled water coolers
  - Using recycled paper for mailings and promotional materials

Prior to the global pandemic and certainly accelerated by it, Maximus has prioritized video conferencing over business travel, further reducing travel costs and environmental impact. It also diminishes travel time for employees, provides for stronger work-life balance, and increases productivity. This solution also helps Maximus attract the highest caliber talent with today’s digitally focused workforce.

## Workplace Recognition

We are honored to be included in several workplace recognition awards.

### Ragan’s 2021 Workplace Wellness Awards

Maximus was recognized for our Outstanding Wellness Program and as a finalist in the CSR & Diversity Awards for our COVID-19 employee communications campaign.



### Forbes’ list of America’s Best Employers for Diversity 2021

Maximus made the Forbes’ list of employers that host the most diverse boards and executive ranks, as well as the most proactive diversity and inclusion initiatives.



## Greenhouse Gas Inventory

In 2019, Maximus launched an initiative to begin measuring and disclosing our environmental impact, guided by global standardized frameworks such as the Greenhouse Gas (GHG) Protocol, the Carbon Disclosure Project, and the United States Environmental Protection Agency. Fiscal year 2020 greenhouse gas inventory is available at [maximus.com/greenhouse-gas-inventory](https://www.maximus.com/greenhouse-gas-inventory) to provide for further year over year analysis.

Our overall sustainability strategy includes voluntary measures to minimize GHG emissions and energy use, track environmental risks, and improve environmental data collection and visibility. Our strategy is a cross-functional effort working with corporate real estate, corporate responsibility, finance, and operations.

Updates are regularly reported to the Board of Director's Nominating and Governance Committee, ensuring continued progress towards meeting goals of reducing environmental impact.

## U.S. Greenhouse Gas Footprint at a Glance

Fiscal Year 2019			Fiscal Year 2020	
Scope 1 Emissions	CO2-e (metric tons)	Percentage of total	CO2-e (metric tons)	Percentage of total
Stationary Combustion	685	2.7 %	1543	4.30%
Mobile Sources	8	.03%	14	.04%
Purchased Gases	n/a*	n/a*	10	.03%
<b>Location-Based Scope 2 Emissions</b>				
Purchased and Consumed Electricity	24,913	97.3%	34,228	95.6%
<b>Total Organization Emissions</b>				
Total Scope 1 & Location-Based Scope 2	25,606	100%	35,795	100%
<b>Scope 3 Emissions</b>				
Employee Business Air Travel	10,261 bookings	27,543 Flight Segments	4,993 Bookings	13,428 Flight Segments
Employee Business Car Rental Travel	4,760 car rentals	4 day rental period (average)	2,261 car rentals	4 day rental period (average)

# Coronavirus

## Protecting our People

When faced with the COVID-19 global pandemic, we knew that in order to protect the people we serve, we had to protect our own people first.

We took quick and decisive steps to safeguard the wellbeing of our people, led by our COVID Response Team, which included our Chief Medical Officer. We rapidly implemented new policies that emphasized paid sick leave and social distancing, and significantly enhanced cleaning regimens. We developed our COVID-19 emergency income-continuity plan which covered scenarios such as quarantine, childcare, government-mandated restrictions, office closures, and employees who are in high risk categories in the early months of the pandemic, while protecting their health insurance. To further support our team members, we launched topical videos from our Chief Medical Officer, mental health seminars, virtual development training classes, as well as wellness mobile apps.

One of the most important and challenging accomplishments was the systematic transition of employees to a work from home model. This was a heroic effort in procuring new equipment, increasing network capacity and security, and deploying new services all while keeping operations running to meet program needs. Most government programs were not designed to be operated in a remote environment, presenting high hurdles to immediately enable a remote workforce. Our ability to deploy HIPAA-compliant work from home capabilities enables us to maintain operational continuity and assist program participants remotely for more complex services, including clinical and social assessments required to access important government benefits and services.

At peak, we successfully transitioned 63% of our U.S. workforce to work from home, while 32% remained in an office setting and the remainder were on leave. Outside of the U.S., 76% of our employees shifted to a work from home model at peak.

While both tragic and challenging, the pandemic provided us the opportunity to test new ways to serve citizens who need access to vital services. We are also gaining new information related to citizen engagement, channel preferences, and agent performance which enables us to optimize this model. This also allows us to evaluate the optimal environment for each individual employee over the longer term.



View our interactive  
[COVID Resource Guide](#)



## Supporting Government and Citizens in a Time of Need

From day one, we have been helping government respond swiftly and effectively to the COVID-19 pandemic – keeping essential services open and accessible to the public while prioritizing employee safety and wellbeing.

Most of the government programs we administer provide a vital lifeline to people. This put Maximus employees at the forefront of the COVID-19 response.

Initially, our COVID-19 work centered around more immediate pandemic-driven needs such as contact tracing, screening and scheduling for testing, and unemployment insurance programs. Our work has expanded as government demand increased.

A few of the ways we have been helping individuals and families access health, economic, and social services during the crisis include:

### **Supporting clients in crisis**

We quickly ramped up approximately 13,000 agents on one vaccine hotline contract, which required initially hiring nearly 20,000 prospective staff. On one day, our largest ever starting class of more than 12,500 remote agents started with Maximus. And the cloud-based telephony infrastructure built and stress-tested for the same contract was among the largest ever constructed for government, capable of handling up to a half-million calls per hour or 160 calls per second.

### **Contact tracing across multiple states**

Contact tracing had never been attempted at the scale required for COVID-19. Maximus supported many states augment their public health resources with home-based contact tracers and disease investigators. Since early May, we hired, trained, and deployed more than 1,300 agents.

### **Coordinating response through outbound test result engagement center**

In just four days, Maximus launched an outbound call center for the Office of the Assistant Secretary for Health (OASH). At its peak, it received test results from 47 federally facilitated COVID-19 testing sites across 12 states. More than 260 onsite and home-based agents notify individuals of their test results, and we provided HHS staff with real-time reports of results by area and age.

### **Supporting IRS to ensure citizens receive the benefits they need**

We support the IRS with the Economic Incentive Payments processing, ensuring funds are provided to citizens and scaling up to 3,200 agents to meet demand. In order to improve the user experience and drive efficiency, we implemented our interactive virtual agent system in response to the increased demand.

### **Finding a solution to rising unemployment claims**

Maximus is augmenting agencies in more than a dozen states with remote staff to answer questions, support initial claims processing, and support the adjudication of unemployment claims. Since March 2020, we hired, trained, and deployed more than 3,000 work-from-home staff to support unemployment programs, with the majority of these programs launched in less than a week.

Learn more at [maximus.com/covid-19](https://www.maximus.com/covid-19).

## Our Social Value Delivered to Citizens

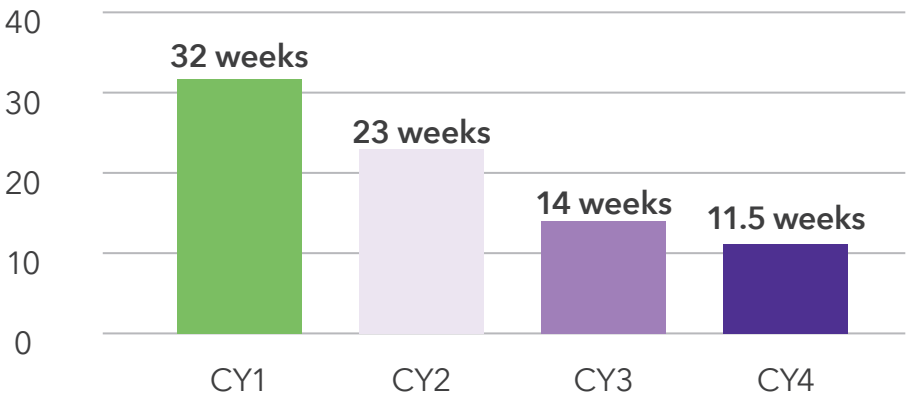
Maximus continues improving the citizen journey.

- As a result of the global pandemic, rapidly transitioned to remote delivery, where allowable by our client, offering multichannel support through video, phone, and chat to ensure continuity of delivery to those who needed it most
- Support Medicaid beneficiaries with overcoming barriers through independent health plan choice counseling to choose the best health plan for their needs
- Award winning mobile applications: 40%+ of applications completed via digital channels like mobile apps, which make the process easier for beneficiaries
- Canada Enterprise Omni-channel Contact Center: video chat capabilities, agent facilitated co-browsing to help citizens navigate online digital services, text and webchat, and traditional methods for optimal customer satisfaction
- Created a network of more than 200 community organizations to support the delivery of our employment support programmes in the U.K., funding specialist local services, sharing premises with voluntary organizations and developing new capabilities
  - Under the recently awarded U.K. Restart programme, we have committed to expand these networks to incorporate hundreds of additional voluntary sector organizations and small businesses, and to spend more than £10m to fund initiatives/local services.
- Created Customer Representative Group in the U.K. which represents more than 40 of the top disability charities in the country to partner with us to improve the overall consumer experience on the Health Assessment Advisory Services (HAAS) program
- Support more than 200,000 jobseekers into sustainable employment annually
- Hear from an individual who received support through our workforce services in this [video](#):

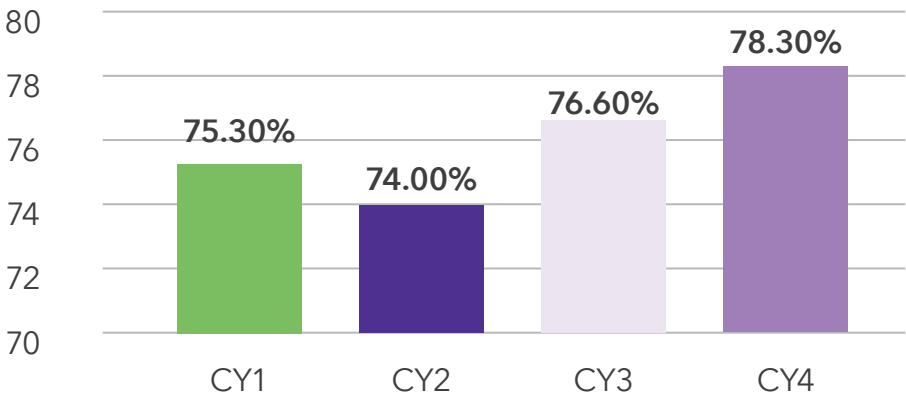
# Health Assessment Advisory Service: Expediting process and reducing anxiety

- As our largest contract in the Outside the U.S. Segment, we normally handle 780,000 face-to-face assessments and a quarter of a million paper-based assessments across 250 sites in the U.K. We have been performing this work since 2015, reducing turn around time and improving the customer experience year over year.
- Within HAAS, we have expedited the process and reduced anxiety for beneficiaries. Prior to the outbreak of the COVID-19 pandemic in 2020, which impacted the operation of the service, we reduced the time spent in the assessment process from 32 weeks to 11.5 weeks. Additionally, we improved the percentage of customers seen within 30 minutes to 78.3%, turning the contract around.

Time spent in the assessment process



Customers seen within 30 minutes



## Social Value Accreditations

### Utilization Review Accreditation Commission

The Utilization Review Accreditation Commission (URAC) develops national standards to improve quality, protect consumers, and improve health outcomes.

**Maximus Federal is certified by URAC in the following areas:**

- Credentials Verification Organization (CVO) – 4.0
- Independent Review Organization: External Review – 5.0
- Workers' Compensation Utilization Management – 7.2

[Learn more about URAC](#)

### Capability Maturity Model Integration

Capability Maturity Model Integration (CMMI)<sup>®</sup> certifications establish best practices for people, processes, and technology. The CMMI capability improvement framework provides organizations with a means to gauge the effectiveness of their core business practices and identify areas for improvement.

**Maximus Federal has been appraised at Maturity Level 5 (ML5) Version 2.0 (v2.0)**

- Maximus is one of only five U.S. companies serving the federal government who are appraised at CMMI ML5 for both services (CMMI-SVC) and for development (CMMI-DEV). Maximus is the only organization in the group to be appraised under v2.0, the latest version of the CMMI appraisal.
- CMMI ML5 is the highest appraisal rating that can be achieved, designated as "Optimizing," and is reserved for organizations that demonstrate true process optimization. Organizations that are appraised at CMMI ML5 are recognized for their quality and approach in following the principles of continuous improvement.

[Learn more about the CMMI Institute](#)

## ISO 9001:2015 Certified

This certification pertains to quality management systems.

- Adult Migrant English Program (MAX Solutions – Australia)
- California Department of Industrial Relations (DIR) Independent Bill Review (IBR)
- California Department of Industrial Relations (DIR) Independent Medical Review (IMR)
- California Diversion Program
- California Health Care Options
- California Medi-Cal
- Centers for Medicare and Medicaid Services (CMS) Qualified Independent Contractor (QIC) AdQIC
- Georgia Healthy Families
- Health Management (U.K.)

- jobactive (MAX Employment – Australia)
- MAX Employment (Australia)
- MAX Solutions (Australia)
- Medicare Part A (West), C, and D appeals programs
- New York Medicaid CHOICE
- New York Office for People With Development Disabilities (OPWDD) Assessments
- New York State of Health (NYSOH)
- Skills for Education and Employment (MAX Solutions – Australia)
- Social Security Administration (SSA) Ticket to Work Program
- Tennessee Eligibility Redeterminations Processing

[Learn more about ISO 9001: 2015](#)

## Sustainable Development Goals

In 2015, members of the United Nations adopted a plan to tackle the world's most pressing social, economic, and environmental challenges. This plan includes 17 Sustainable Development Goals (SDGs) that apply universally to all nations and seek to end extreme poverty, fight inequality and injustice, and protect our planet.

Businesses will play a key role in achieving the SDGs and Maximus is committed to contributing to this effort. We have identified a target SDG that aligns with our business, and our ESG pillars and material issues, and within which we believe we can make positive and lasting impact.

**SDG 8:** Promote sustained, inclusive, and sustainable economic growth, full and productive employment and decent work for all

**Maximus ESG Pillar:** Principles of Governance / Our People and Community

**Material Maximus Issue:** Human Rights

### Targets and results:

Maximus provides more than 34,000 jobs around the world. Through our citizen engagement centers, we are the largest employer in many of the communities in which we operate. Maximus helps foster economic development in these communities by staffing all of our operations with local employees. In addition, we maintain mutually beneficial relationships with businesses that bring demonstrated value to our customers and team.

Through supplier arrangements and more formal mentor-protégé relationships, we invest and develop partnerships with companies that are certified as small business (SB), small disadvantaged business (SDB), women-owned small business (WOSB), veteran-owned small business (VOSB), service-disabled veteran-owned small business (SDVOSB), Alaska Native Corporation (ANC), and American Indian Tribes, among others.

Through the CED, MAXU, and Percipio learning management system, we provide our employees with professional development opportunities through classroom training and live webinars on-the-job guided learning, coaching, and mentoring; and contact with key leadership and subject matter experts.

We also help individuals around the world find lasting employment in a wide variety of industries.

### United States

- 40,000+ individuals each day in the U.S. are supported by Maximus in finding employment through 21 employment and training centers across 10 states in the District of Columbia. We consistently place job seekers with pay rates above the federal minimum wage.
- More than 189,000 calls and more than 3.8 million minutes of support were provided in 165 non-English languages in fiscal year 2020. This supports our inclusive operational practices, as well as working to overcome language barriers to ensure opportunities for individuals.

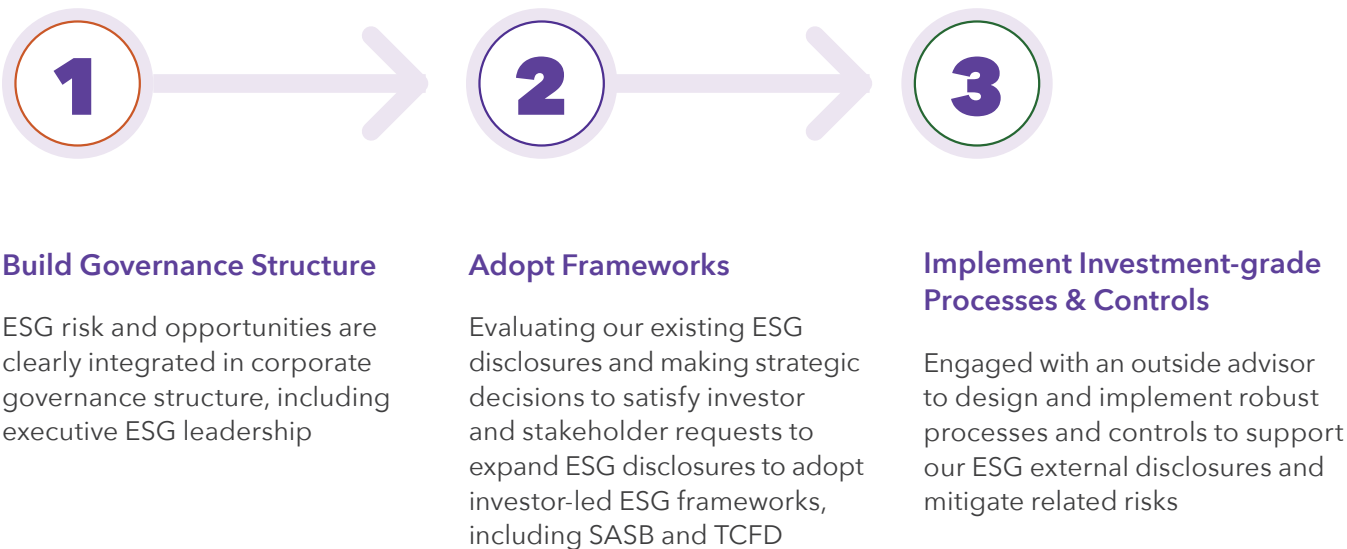
### United Kingdom

- Nearly 25,000 people were supported through our employment programmes in 2020 across more than a dozen programmes.
- Carried out more than 100,000 'check in' calls with service users and signposting individuals in need to additional support as we moved rapidly to a remote digital and telephony-based service throughout the pandemic.
- More than 200 delivery locations are offered by Maximus in communities across the U.K.

## Looking Forward

ESG is embedded in our founding mission of Helping Government Serve the People®. We have operated our business and have had programs in place consistent with ESG principles for several years. However, in today's current environment, we recognize there is a need to formalize these programs and increase our transparency for investors.

We have begun to make strategic strides via a three-step approach:



We want to thank all of our stakeholders: employees, officers, directors, shareholders, customers, subcontractors, and vendors who collectively make Maximus the unique organization we are and help us serve as an ESG and corporate responsibility leader.

## ESG Performance, Frameworks, and Data Matrix

### Sustainability Accounting Standards Board (SASB)

#### Sustainability Metrics

Accounting Metric	Brief Description	Maximus Location	SASB Code
<b>Data Security</b>			
Description of approach to identifying and addressing data security risks	Maximus developed a robust incident management process and subsequent oversight to respond to a wide variety of cyber incidents globally. This process includes triage, investigation, evidence collection and storage, root cause analysis, and incident resolution with executive reporting.	Corporate Responsibility Report: Process and Protection: Data Security, Privacy, and AI Section	SV-PS-230a.1
Description of policies and practices relating to collection, usage, and retention of customer information	Maximus respects your privacy and we have developed our Privacy Statement to demonstrate our commitment and applies to personal information collected on the Maximus website.	Corporate Responsibility Report: Process and Protection: Data Security, Privacy, and AI Section and <a href="https://www.maximus.com/privacy-statement">maximus.com/privacy-statement</a>	SV-PS-230a.2
<b>Workforce Diversity &amp; Engagement</b>			
Percentage of gender representation for U.S. employees	More than 71% of Fiscal Year 2020 new hires self-identify as female. More than 2,100 persons with disabilities hired in fiscal 2020 in the U.S.	2021 Proxy and Corporate Responsibility Report: Our People and Community Section	SV-PS-330a.1
Employee engagement	68% engagement index for global employees via our 2021 annual global employee engagement survey	2021 Corporate Responsibility Report: Our People and Community Section	SV-PS-330a.3
<b>Professional Integrity</b>			
Description of approach to ensuring professional integrity	71% engagement index for our U.S. employees with a Net Promoter Score of +12.	Corporate Responsibility Report: Principles of Governance Section	SV-PS-510a.1
Total amount of material monetary losses as a result of significant legal proceedings association with professional integrity	In fiscal year 2020, the Company did not experience material monetary losses as a result of significant legal proceedings association with professional integrity.	Material monetary loss as a result of significant legal proceedings would be reported in the Form 10-K and/or Proxy. As no reported losses, this is not included.	SV-PS-510a.2



## Activity Metrics

Accounting Metric	Brief Description	Maximus Location	SASB Code
Number of Employees	Approximately 34,000	2021 Proxy	SV-PS-000.A

## ESG Performance Data Matrix

Indicator	Scope	FY19	FY20	GRI	SASB
<b>Company Data</b>					
Revenue (billion USD)	Global	\$2.89	\$3.46	102-7	
Employees (as of September 30 each year)	Global	29,600	34,000	102-7	SV-PS-000.A
Owned floor space (thousand square feet)	Global	60,356	60,356	102-7	
Leased floor space (thousand square feet)	U.S.	4.2M	4.5M	102-7	
<b>Corporate Citizenship</b>					
Direct community investment through corporate philanthropy	U.S.	\$320,850	\$204,450	201-1	
Direct community investment through Maximus Foundation grants (millions USD)	U.S.	\$1,009,750	\$1,245,500	201-1	
Employee giving	U.S.	\$162,948	\$163,872	201-1	
<b>Environment</b>					
<b>Emissions</b>					
Scope 1: Stationary combustion (CO2e metric tons)	U.S.	685 CO2-e 2.7%	1543 CO2-e 4.3%	305-1	
Scope 1: Mobile sources (CO2e metric tons)	U.S.	8 CO2-e .03%	14 CO2-e .04%	305-1	
Scope 2: Purchased and consumed electricity (CO2e metric tons)	U.S.	24,913 CO2-e 97.3%	34,229 CO2-e 95.6%	305-1	
Total GHG emissions (location-based) (CO2e metric tons)	U.S.	25,606 CO2-e 100%	35,795 CO2-e 100%	505-5	

Indicator	Scope	FY19	FY20	GRI	SASB
Environment					
Additional data (Emissions)					
Air Travel (Employee Business)	U.S.	10,261 bookings and 27,543 flight segments	4,993 bookings and 13,428 flight segments		
Car Rental Travel (Employee Business)	U.S.	4,760 car rentals and an average 4 day rental period	2,261 car rentals and an average 4 day rental period		
Health and Safety					
Environment, Health, and Safety Commitment	<p>Maximus and all levels of Maximus management are committed to operate in a manner that protects the environment and the health and safety of employees, contractors, customers, and the communities where we conduct business. Through this commitment, we make Maximus a safe and responsible company by deploying environmental, health, and safety (EHS) management programs.</p> <p>Key EHS programs include emergency preparedness guide for U.S. locations, an enterprise-wide emergency notification system, all-employee awareness campaigns and communications, business continuity/disaster recovery planning for the U.S., and mandatory annual training to include active shooter, workplace safety and ergonomics, and preventing workplace bullying and harassment. The Maximus Corporate Crisis Management Team oversees the EHS plan.</p>				
Governance					
Members on the Board of Directors	Global	7	9	102-18	
Independent Directors on Board	Global	5	7	102-18, 102-22	
Women and/or People of Color Independent Directors	Global	4	4	102-22, 405-1	
Supply Chain					
Supplier Code of Conduct	In 2021, Maximus launched our Supplier Code of Conduct, available at <a href="https://www.maximus.com/supplier-code-conduct">maximus.com/supplier-code-conduct</a> .				
Talent Management					
Employees in Canada covered by collective bargaining agreements	Canada	484	421	102-9	
Employees in Australia covered by collective bargaining agreements	Australia	1,447	1,468	102-9	
Employees in the U.K. covered by collective bargaining agreements	U.K.	346	315	102-9	
Employees in the U.S. covered by collective bargaining agreements	U.S.	0	0	102-9	

\* As additional information becomes available throughout the year, data will be made available on our website at [maximus.com](https://www.maximus.com) and [maximus.com/corporate-responsibility](https://www.maximus.com/corporate-responsibility).