



*Proprietary & Confidential*

FINAL REPORT

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**County of Orange**  
**CASE MANAGEMENT SERVICES PERFORMANCE AUDIT**

September 13, 2023

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# I. EXECUTIVE SUMMARY

## A. BACKGROUND, SCOPE, AND METHODOLOGY

County of Orange (the County) engaged Moss Adams to conduct a performance audit of Case Management Services (CMS) for the County's Welfare to Work (WTW) program. The County's Social Services Administration (SSA) provides case management services for WTW through contracted and in-house case managers. Case managers assist WTW participants in obtaining employment and achieving self-sufficiency.

The primary objective of this performance audit was to evaluate CMS program outcomes that have been achieved by SSA staff and their contractor, Maximus, under a collaborative public-private service model. Additional sub-objectives were to:

- Validate the program outcomes presented in the County's report titled "County and Contract Case Management Analysis"
- Determine the extent to which SSA and Maximus staff's provision of CMS to County participants met legislative and regulatory requirements, federal and state standards, and reporting requirements
- Evaluate the reliability, validity, and relevance of data reported to the State of California (the State) for consistency with SSA's CMS program objectives and desired outcomes
- Evaluate the extent to which SSA and Maximus staff have achieved federal and state-mandated outcomes
- Evaluate the extent to which Maximus has met CMS contract performance outcomes
- Evaluate the cost effectiveness and efficiency of SSA and Maximus staff's CMS program performance
- Evaluate the efficacy of the current public-private service model
- If the current public-private service model is no longer effective, provide alternative service delivery options including an analysis of benefits and potential drawbacks

Throughout this analysis, the term "County" is used to refer to outcomes achieved by the CMS program as a whole (including SSA and Maximus case management), and to the County's leadership in charge of the CMS program. When comparing case management outcomes, "Maximus" is used to refer to the County's CMS contractor and the cases it manages, and "SSA" is used to refer to the cases managed by in-house case management staff.

## B. SUMMARY OF FINDINGS AND RECOMMENDATIONS

Findings and recommendations were grouped into the following three categories, as included in the following table: 1) Validating Performance Comparison Efforts, 2) Achievement of Mandated Outcomes, and 3) Cost Efficiency and Cost Effectiveness.

## FINDINGS AND RECOMMENDATIONS

### Validating Performance Comparison Efforts

1.	<b>Finding</b>	Despite challenges with calculation methodologies and historical data retention, the overall message in the County and Contractor Case Management Analysis report appears to be an appropriate reflection of relative performance between the County and Maximus case management. However, there are opportunities to enhance performance reporting to promote precision and understanding of the metrics presented.
	<b>Recommendation</b>	<ul style="list-style-type: none"> <li>A. Performance metrics should be accompanied by a metrics definition document to ensure consistency of calculations and clarity for stakeholders.</li> <li>B. The County should establish procedures to ensure that all data used in performance comparison efforts at the time of calculation is consistently retained.</li> <li>C. To continue including 30-day and 90-day retention metrics in performance comparison efforts, the County should develop a process to update the date of employment based on supporting documentation to ensure precision.</li> <li>D. Performance metrics that are reported to reflect annual performance should be calculated using complete annual data, rather than the mean of monthly calculations throughout the year.</li> </ul>

### Achievement of Mandated Outcomes

2.	<b>Finding</b>	Similar to other California counties, Orange County as a whole was unable to meet federal WPR requirements between FFY19 and FFY22.
	<b>Recommendation</b>	As long as WPR requirements exist, continue to develop and implement strategies for increasing WPR. Strategies should include continuously using data to monitor and improve progress toward meeting WPR requirements and to pinpoint systemic problems.
3.	<b>Finding</b>	Based on analysis of case data provided by the County, Maximus met CMS contract requirements between FFY19 and FFY21, except for work participation requirements.
	<b>Recommendation</b>	<ul style="list-style-type: none"> <li>A. As part of efforts to holistically monitor case management outcomes, consider adjusting expected outcomes for both SSA- and County-managed cases to include reduction of barriers to engagement and employment.</li> <li>B. As part of continued efforts to develop and implement strategies for increasing WPR, pay special attention to systemic problems that may be resulting in Maximus's lower achievement of WPR and implement strategies to combat identified issues.</li> </ul>

### Cost Efficiency and Cost Effectiveness

4.	<b>Finding</b>	Based on limited available data, Maximus case management was more cost-efficient than SSA case management.
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## FINDINGS AND RECOMMENDATIONS

	<b>Recommendation</b>	<p>A. Determine the extent to which the relative cost efficiency of SSA and Maximus service providers should be prioritized in the provision of case management services, and what costs the County is willing to incur to measure cost efficiency accurately and reliably.</p> <p>B. If cost efficiency is a high priority and the County is willing to spend the appropriate money to accomplish this task, build the data infrastructure necessary to fully measure the output of case managers by assessing the number and complexity of services provided by case workers.</p> <p>C. If the County does not have the desire or capacity to invest in the costs of developing comprehensive cost efficiency measurement tools, continue to monitor the relative cost efficiency of SSA and Maximus case management by regularly determining the cost per case-month for each provider on an annual basis and use the analysis for future decision-making and strategies related to the public-private partnership.</p>
<b>5.</b>	<b>Finding</b>	<p>Neither case management provider was definitively more cost-effective than the other. Based on an analysis of available outcome and cost data, SSA case management appears to be both more effective and more costly than Maximus case management.</p>
	<b>Recommendation</b>	<p>Monitor the difference in cost and effectiveness between SSA and Maximus case management. Effectiveness should, at a minimum, be assessed via WPR. Ideally, multiple outcome metrics should be used to assess relative cost effectiveness beyond WPR to ensure assessments are well-rounded and reflect more than one aspect of case management performance.</p>

## II. BACKGROUND, SCOPE, AND METHODOLOGY

### A. BACKGROUND

County of Orange (the County) engaged Moss Adams to conduct a performance audit of Case Management Services (CMS) for the County's Welfare to Work (WTW) program. WTW is a mandated program under CalWORKs (California Work Opportunity and Responsibility to Kids), California's version of the federal Temporary Assistance for Needy Families (TANF) Program. At the County, CalWORKs and WTW are housed under the Social Services Administration (SSA) in the Family Self-Sufficiency and Adult Services Division. SSA is the largest County agency, serving over one in four residents.

The WTW program is designed to help adults receiving cash aid move from economic dependency to self-sufficiency through employment-focused and/or training activities that lead to unsubsidized employment. The program achieves this through case management, allowable work and/or work preparation activities, and supportive services like childcare, transportation, and ancillary services. County case managers are responsible for engaging participants in allowable activities, verifying that the participant is meeting required weekly participation hours, and documenting participation in the case record. Allowable work and work preparation activities include, but are not limited to, employment, subsidized employment, unpaid work experience, job search/job readiness assistance, and vocational education. Case managers also aim to remove barriers to work and work preparation activities to help participants obtain employment and achieve self-sufficiency. This includes:

- Identifying barriers to employment such as childcare, transportation, mental health, substance use, domestic abuse, English language proficiency, and housing
- Initiating referrals to community and faith-based organizations and contracted service providers that support participation in WTW activities
- Arranging for Employment Readiness Assessments
- Developing individualized case plans
- Monitoring the attendance and progress of participants in assigned WTW activities

Case management services are provided by both in-house (SSA) case managers and contracted (Maximus) case managers. In May 2022, the Orange County Board of Supervisors authorized execution of a new contract with Maximus US Services, Inc. (Maximus) for provision of case management services effective July 1, 2022 through June 30, 2025. Maximus held a similar contract during a previous five-year term that was extended through June 30, 2022.

### B. SCOPE AND METHODOLOGY

The primary objective of this performance audit was to evaluate CMS program outcomes that have been achieved by SSA staff and their contractor, Maximus, under a collaborative public-private service model. Additional sub-objectives were to:

- Validate the program outcomes presented in the County's report titled "County and Contract Case Management Analysis"

- Determine the extent to which SSA and Maximus staff's provision of CMS to County participants met legislative and regulatory requirements, federal and state standards, and reporting requirements
- Evaluate the reliability, validity, and relevance of data reported to the State for consistency with SSA's CMS program objectives and desired outcomes
- Evaluate the extent to which SSA and Maximus staff have achieved federal and state-mandated outcomes
- Evaluate the extent to which Maximus has met CMS contract performance outcomes
- Evaluate the cost effectiveness and efficiency of SSA and Maximus staff's CMS program performance
- Evaluate the efficacy of the current public-private service model
- If the current public-private service model is no longer effective, provide alternative service delivery options including an analysis of benefits and potential drawbacks

Our analysis was informed by employee interviews, document review, data analysis, testing, and research into best practices for public-private partnerships in case management services. Throughout this analysis, Federal Fiscal Year (FFY) was used to report work participation rate (WPR) and contract compliance metrics that are assessed from October 1 to September 30. County Fiscal Year (FY) was used to report cost efficiency and cost effectiveness, aligning with financial data that was measured on a July 1 to June 30 basis. The federal fiscal years analyzed as part of this report are FFY19, FFY20, FFY21, and FFY22. The state fiscal years analyzed as part of this report are FY19, FY20, FY21, and FY22.

This project was conducted between October 2022 and June 2023 and consisted of four major phases:

- **Project Initiation and Management:** This phase concentrated on comprehensive planning and project management, including identifying employees to interview, identifying documents and data to review, communicating results, and establishing regular reports on project status.
- **Fact Finding:** This phase included interviews with SSA and Maximus stakeholders, document and process reviews, and best practice research.
  - *Interviews:* We conducted interviews and focus groups with key personnel and stakeholders within the County and Maximus, such as administrative managers, case managers, supervisors, and directors. As the project progressed, we continued to hold as-needed meetings to understand complex data, reports, and limitations.
  - *Process Review:* We conducted two process walkthroughs and one data walkthrough with SSA staff.
  - *Document Review:* We reviewed various documents and reports, including policies and procedures, organization charts, budgets, performance and caseload data, reporting methodologies, Maximus contracts, program plans, and state and federal program requirements.
  - *Best Practice Research:* We conducted research on best practices for public-private partnerships, particularly pertaining to the provision of case management services.
- **Analysis:** This phase served as the assessment portion of the project where, based on information gathered, we evaluated the importance, impact, and scope of our observations in order to develop recommendations. In this phase, we:

- Reviewed compliance with select federal and state program requirements
- Assessed the reliability and validity of 12 program outcomes presented in the County’s report titled “County and Contract Case Management Analysis”
- Reviewed supporting documentation for a judgmental sample of five cases for each of the 12 performance metrics tested from the County and Contract Case Management Analysis report
- Analyzed the following, informed by our prior document review:
  - Existing participant feedback surveys
  - County and Maximus caseload data
  - County and Maximus federal WPR for FFY19–FFY22
  - WPR, starting wage, and 30- and 90-day employment retention for Maximus cases (contract outcomes)
  - Cost per case-month for SSA and Maximus
  - Cost effectiveness of SSA and Maximus cases
- Assessed the public-private partnership model
- **Reporting:** This phase concluded the project by reviewing draft findings and recommendations with SSA’s leadership team to validate facts and confirm the practicality of recommendations.

Throughout this analysis, the term “County” is used to refer to outcomes achieved by the CMS program as a whole (including SSA and Maximus case management), and to the County’s leadership in charge of the CMS program. When comparing case management outcomes, “Maximus” is used to refer to the County’s CMS vendor and the cases it manages, and “SSA” is used to refer to the cases managed by in-house case management staff.

## C. STATEMENT OF COMPLIANCE WITH GAGAS

We conducted this performance audit in accordance with Generally Accepted Government Auditing Standards (GAGAS). Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.



### III. COMMENDATIONS

Based on interviews and document review, the provision of case management services at the County has many commendable qualities and practices, including:

- **Mission-Driven Staff:** Based on interviews, both SSA and Maximus staff demonstrate care and commitment to the people served by the County's social services.
- **Care for Participants:** There is significant emphasis on serving participants in ways that set them up for long-term success.
- **Success at Scale:** The organization manages high volumes of work through strong organizational systems, collaboration, and continued dedication.

## IV. FINDINGS AND RECOMMENDATIONS

Based on the input gathered from interviews, document review, data analysis, testing, and best practice research, we prepared a comprehensive set of findings and recommendations, which are presented in three categories: 1) Validating Performance Comparison Efforts, 2) Achievement of Mandated Outcomes, and 3) Cost Efficiency and Cost Effectiveness. The findings and recommendations for each category are detailed in this section.

### A. VALIDATING PERFORMANCE COMPARISON EFFORTS

1.	Finding	Despite challenges with calculation methodologies and historical data retention, the overall message in the County and Contractor Case Management Analysis report appears to be an appropriate reflection of relative performance between the County and Maximus case management. However, there are opportunities to enhance performance reporting to promote precision and understanding of the metrics presented.
	Recommendation	<ul style="list-style-type: none"><li>A. Performance metrics should be accompanied by a metrics definition document to ensure consistency of calculations and clarity for stakeholders.</li><li>B. The County should establish procedures to ensure that all data used in performance comparison efforts at the time of calculation is consistently retained.</li><li>C. To continue including 30-day and 90-day retention metrics in performance comparison efforts, the County should develop a process to update the date of employment based on supporting documentation to ensure precision.</li><li>D. Performance metrics that are reported to reflect annual performance should be calculated using complete annual data, rather than the mean of monthly calculations throughout the year.</li></ul>

In 2022, Orange County SSA analyzed and compared performance outcomes for SSA and Maximus managed cases, presenting the results of this analysis in a document titled County and Contractor Case Management Analysis (attached in [Appendix A](#)). This document contains 16 metrics that evaluate SSA and Maximus case management outcomes in areas of work participation, employment, engagement, and time on CALWORKS. An objective of this performance audit was to validate the information presented in this document.

Although each component of the data presented in the County and Contractor Case Management Analysis report could not be validated due to challenges with calculation methodologies and historical data retention, the message and figures included in the report appear to be an appropriate reflection of comparative performance between the County and Maximus. The County did not document outcome definitions or calculation methodologies for the performance outcomes, which resulted in minor differences between our calculations and the County's report. Additionally, due to limitations of the CalWIN system, the County did not always have the exact data that was used to create the report

at the time, which made it difficult to recreate their calculations for some measures. Additionally, we identified two issues that impacted the accuracy of the data presented in the report.

1. The County calculated the report information based on an annual average of monthly data rather than taking the full year's data and creating the calculations. When we calculated the metrics based on the annual data, we found that there were meaningful differences due to this calculation methodology, especially for 30- and 90-day retention measures. This information is presented in [Appendix B](#).
2. The County relied on employment dates that were reported by clients and did not update the verified employment dates based on paystubs in CalWIN, which impacts the reliability of employment retention metrics.

The issues identified applied to the performance outcomes for both SSA and Maximus managed cases and did not appear to significantly impact the results. Therefore, the overall message in the report—that SSA-managed case outcomes were generally slightly higher than Maximus-managed case outcomes—appears to be accurate.

### ***Data Validations***

We undertook two efforts to validate the County and Contractor Case Management Analysis:

1. **Recalculating Performance Metrics:** Using data provided by the County from its case management system, CalWIN, we attempted to recalculate the series of performance outcomes contained in the report. Due to the labor-intensive efforts needed to manually calculate WPR, which would not have been replicable within the scope and time period of this audit (see also [Finding 2](#)), we focused these validation efforts on the 12 metrics around employment, WTW engagement, and time on CALWORKs. Recalculation efforts aimed to determine whether the performance outcomes presented in the report accurately reflected the underlying data. In other words, did the report accurately depict the data?
2. **Review of Supporting Documentation:** We also attempted to verify the accuracy of the CalWIN data that was used to calculate the metrics in the County and Contractor Case Management Analysis by reviewing supporting documentation for a sample of cases in the data. We selected a judgmental sample of five cases for each of the 12 performance outcomes reviewed. Documentation review efforts aimed to determine whether the underlying data accurately reflected the case management activities that occurred. In other words, to the extent possible to ascertain, did the data accurately represent verifiable information?

### **Recalculating Performance Metrics**

We were able to recreate many of the performance outcomes within the County and Contractor Case Management Analysis, but we were unable to recreate the results for some of the performance outcomes. Of the 96 figures contained in the report (12 metrics each for SSA and Maximus over four years), 54 metrics (56%) were able to be recalculated exactly, and the small differences found in six metrics (6%) could be explained by a rounding error in the report. There were 21 further metrics (22%) that were able to be calculated within a one to two unit difference of the figures in the County and Contractor Case Management Analysis. Eleven metrics (11%) were calculated with a difference more than two units away from the numbers contained in the report. Two metrics (2%) could not be calculated because data provided to us was in a non-numeric format and unable to be analyzed. Two other metrics related to average monthly clients with hours in UEM for SSA and Maximus managed cases could not be calculated because the County's data files had been irreversibly changed from their prior state when the County and Contractor Case Management Analysis was created. This

altered data prevents recalculation because the County’s original results would differ due to the changes in data. [Appendix C](#) details the results of these recalculation efforts.

RESULTS	NUMBER OF METRICS	PERCENT OF TOTAL METRICS
Recalculated precisely	54	56%
Difference could be attributable to rounding error	6	6%
Within one or two units of report, but not due to rounding error	21	22%
Greater than two-unit difference	11	11%
Incalculable due to non-numeric data format	2	2%
Incalculable due to data change	2	2%

It was unclear why our results were different from the County’s calculations in some instances. However, because the County did not document the calculation methodologies for these performance outcomes, it is possible County staff used different methodologies at the time of original calculation. Additionally, data in CalWIN is not static—it can be updated and changed over time—and data from the time the County and Contractor Case Management Analysis was created was not retained for all metrics.

The County should accompany reported performance outcomes with a formal supplementary document that clearly defines each performance outcome, describes the data used to calculate each performance outcome, and delineates the calculations used to create these performance outcomes.<sup>1</sup> This document would help clarify what aspects of performance these figures are measuring, would help ensure that these metrics are calculated consistently by staff over time, and would make these metrics more easily verifiable by third parties.

Performance measures should be clearly defined and should be precisely named. In addition to the naming issues with monthly average metrics reported as annual figures as described below in the [Annual Reporting](#) section, some performance measures are imprecisely named. For example, the County explained that the performance measure titled “% of Discontinued Cases that Came Back on Aid within One Year” actually measures the percent of discontinued cases that returned to aid the following month, over the course of the year. Additionally, as noted above, the Median Days from Registration to Beginning of Activity metric actually represents Median Days from Registration to First Scheduled Activity. It is important for the County to clearly define its performance measures and calculation methodologies to improve consistency of data analysis over time and allow for accurate trend analysis.

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<sup>1</sup> Although created for state CalOAR metrics, the California Department of Social Services [All County Letter \(ACL\) No. 19-40](#) provides a useful model for what such a document may look like.

Additionally, if the County continues to use these performance measures to analyze and compare the performance of SSA and Maximus case managers, it should ensure that data used to calculate these performance metrics are retained. Any analyses of CalWIN data are inherently point-in-time evaluations—data is pulled from the system on a specified date. However, these data within CalWIN can be updated and changed in the future. While the County retained the majority of data for the County and Contractor Case Management Analysis with minor exceptions, to ensure that data analyses are reproducible and auditable, the County should establish procedures to ensure that all data used to calculate performance measurements are consistently retained.

### Review of Supporting Documentation

For each of the 12 metrics of interest, we selected five cases for supporting documentation review to evaluate the accuracy of the data. Working with County staff, we examined the supporting documents for each case to determine if the underlying CalWIN data matched available evidence. During this review, we determined that one of the performance outcomes, Median Months on CalWORKs, would not have supporting documentation available because this metric is calculated automatically in the system. Therefore, we excluded this metric from our documentation review. For eight of the 11 remaining performance outcomes, we identified no significant discrepancies between the data and supporting documentation. The other three performance outcomes—30-day retention, 90-day retention, and Median Days from Registration to Beginning of Activity—had minor documentation issues discussed below:

- **30-Day Retention and 90-Day Retention:** Although we were able to review documentation supporting sustained employment for all cases reviewed, most of the dates on the employment documentation were different from the dates listed in CalWIN. Therefore, the dates used to determine whether participants retained employment for 30 or 90 days did not appear to reflect actual dates of client employment. However, it is unlikely the employment dates in CalWIN varied more than 30 days from actual employment because the County's policies require case managers to verify employment monthly. Case managers enter employment dates in CalWIN based on information provided by clients but do not revise employment dates in the system based on their monthly review. Still, since this monthly process exists to verify employment occurred, the calculation is likely reasonable, though not precise. To improve accuracy, the County should consider either removing the 30-day and 90-day retention from outcome comparison efforts or establish a process to ensure that the data in CalWIN accurately and consistently reflects the dates in which clients begin and end employment, such as by adjusting the employment date based on supporting documentation.
- **Median Days from Registration to Beginning of Activity:** In our review of documentation for the metric named "Median Days from Registration to Beginning of Activity," supporting documentation was not available for three of the five cases. County staff explained that this was likely because the client did not show up to the first activity as scheduled. This means that the dates in CalWIN actually represent the client's first *scheduled* activity, rather than the client *actually* beginning their first activity. Although this performance measure might still be useful, it does not reflect what its name implies. If the County chooses to include this performance measure in future reports, it should be renamed to better reflect the outcome measures, such as "Median Days from Registration to First *Scheduled* Activity."

### Annual Reporting

Although the County and Contractor Case Management Analysis presents performance outcomes on an annual basis, the metrics in the report are not constructed using annual data; instead, they are

averages of monthly metrics for the 12-month period. Instead of calculating performance outcomes using all cases and clients over the course of a year, the County and Contractor Case Management Analysis report calculates each performance outcome by calculating monthly metrics and then reports the arithmetic mean of these figures. County staff reported this methodology was used due to ease, since they already calculate these metrics monthly. However, this approach resulted in meaningful differences in assessing the performance of both SSA and Maximus for certain measures, as described below.

For the eight performance outcomes that are not explicitly described as monthly averages, this method of calculation distorts the depictions of case management outcomes. For SSA and Maximus, same-year caseload varies month-to-month by as much as 27% or 32%, respectively, over this period. Calculating annual performance outcomes as a mean of monthly figures assigns equal weight to months that have significantly different caseloads; months with lower caseloads are overrepresented and months with higher caseloads are underrepresented. This can distort the performance of both SSA and Maximus case management over the time periods reported.

YEAR	CASE MANAGER	MINIMUM CASES IN A MONTH	MAXIMUM CASES IN A MONTH	VARIANCE	PERCENT VARIANCE FROM MINIMUM
2018–2019	SSA	1,438	1,714	276	19%
	Maximus	1,479	1,778	299	20%
2019–2020	SSA	1,444	1,827	383	27%
	Maximus	1,489	1,967	478	32%
2020–2021	SSA	1,735	1,960	225	13%
	Maximus	1,733	2,052	319	18%
2021–2022 YTD	SSA	1,757	1,909	152	9%
	Maximus	1,782	1,893	111	6%

Reporting a mean of monthly figures particularly distorted performance outcomes dealing with employment retention. Calculating retention figures monthly means that the 30-day and 90-day retention status of job placements are determined each month and are included in the performance outcome calculations, regardless of whether the job placement began less than 30 or 90 days ago, thus making a positive retention finding impossible. Additionally, job placements that have existed longer than 30 or 90 days are repeatedly counted in the months after the retention milestone is achieved. These job placements are repeatedly counted in job retention metric calculations, even though the milestone for a unique job placement is only achieved once.

Rather than determining whether each unique job placement resulted in a client maintaining employment for greater than or equal to 30 days or 90 days, the County and Contractor Case Management Analysis determines whether all job placements in each month have been maintained

for 30 or 90 days, and then averages these monthly assessments. For both performance outcomes, this skews representations of performance.

As a part of our data analysis, we calculated this metric using annual data, examining the proportion of unique job placements within each year that resulted in a 30-day or 90-day retention. These results, and their variance from the figures in the County and Contractor Case Management Analysis are presented below. This demonstrates the impact of reporting a mean of monthly figures for these metrics as opposed to reporting a true annual metric. To better represent performance, metrics reported annually should be calculated annually, rather than by the mean of monthly calculations. [Appendix B](#) also lists these figures, along with other performance outcomes calculated annually.

PERFORMANCE MEASURE	YEAR	CASE MANAGER	UNIQUE JOB PLACEMENT ANNUAL METRIC	MONTHLY METRIC IN REPORT	DIFFERENCE	
30-Day Retention	2018–2019	SSA	94%	97%	-3%	
		Maximus	91%	96%	-5%	
	2019–2020	SSA	95%	97%	-2%	
		Maximus	92%	97%	-5%	
	2020–2021	SSA	97%	99%	-2%	
		Maximus	96%	99%	-3%	
	2021–2022 YTD	SSA	90%	96%	-6%	
		Maximus	84%	91%	-7%	
	90-Day Retention	2018–2019	SSA	44%	52%	-8%
			Maximus	42%	51%	-9%
2019–2020		SSA	52%	59%	-7%	
		Maximus	53%	56%	-3%	
2020–2021		SSA	70%	73%	-3%	
		Maximus	66%	73%	-7%	
2021–2022 YTD		SSA	61%	70%	-9%	
		Maximus	48%	57%	-9%	

## B. ACHIEVEMENT OF MANDATED OUTCOMES

### Work Participation Rate

<b>2.</b>	<b>Finding</b>	Similar to other California counties, Orange County as a whole was unable to meet federal WPR requirements between FFY19 and FFY22.
	<b>Recommendation</b>	As long as WPR requirements exist, continue to develop and implement strategies for increasing WPR. Strategies should include continuously using data to monitor and improve progress toward meeting WPR requirements and to pinpoint systemic problems.

Work participation requirements refer to the categories of WTW activities that participants undertake to remain eligible for the WTW program. As noted previously, participants are required to meet the minimum participation requirements in approved WTW activities to receive cash aid. This includes activities such as employment, job readiness assistance, and vocational education. WPR is the percentage of WTW participants who meet work participation requirements in a given time frame.

Based on federal and state requirements, the County is required to achieve a 50% WPR for all families (including two-parent families), and a 90% WPR for two-parent families. While federal and state WPR requirements are the same, the work participation activities that count toward WPR are different for state and federal requirements. Given this, the following analysis is based on federally approved work participation activities.

Based on analysis of data provided by the County, the County as a whole (including both SSA- and Maximus-managed cases), was unable to meet federal WPR requirements between FFY19–22 (see the “All Cases” column in the following table). However, many California counties struggle to meet WPR requirements. In each year from FFY19-FFY21, Orange County’s WPR rates exceeded or equaled California statewide WPR rates.<sup>2</sup> When considering SSA and Maximus cases separately, neither SSA nor Maximus consistently met WPR requirements, though SSA achieved a higher WPR every FFY and achieved the required WPR for all families in FFY19 and FFY22.

WORK PARTICIPATION RATE FOR ALL FAMILIES, INCLUDING TWO-PARENT FAMILIES				
FFY	Requirement	All Cases	SSA Cases	Maximus Cases
FFY19	50%	40.6%	51.9%	47.2%
FFY20	50%	30.7%	39.6%	25.2%
FFY21	50%	34.3%	43.7%	28.5%
FFY22	50%	45.6%	51.7%	45.2%

<sup>2</sup> California statewide WPR rates were retrieved from the [U.S. Department of Health & Human Services State TANF Data and Reports](#). FFY22 data is not yet available.



WORK PARTICIPATION RATE FOR TWO-PARENT FAMILIES				
FFY	Requirement	All Cases	SSA Cases	Maximus Cases
FFY19	90%	48.1%	53.6%	51.8%
FFY20	90%	31.2%	40.2%	25.6%
FFY21	90%	37.2%	46.5%	27.8%
FFY22	90%	51.4%	59%	49.5%

The analysis above is based on federally approved work participation activities. We were unable to calculate the WPR based on state-approved work participation activities because the County’s current case management system, CalWIN, does not have a way to easily track and monitor work participation requirements. Since the County submits annual reports to the State detailing which cases met and did not meet federal work participation requirements, we used these reports to calculate the federal WPR cited above. Similar reports do not exist based on state work participation requirements. Manually calculating WPR would not have been replicable within the scope and time period of this audit.

Management indicated the County has tried to improve WPR achievement, but there are several challenges. Federal WPR requirements for two-parent families (90%) appear to be difficult to meet. As noted above, based on a review of publicly available reports, many counties in California are not meeting this requirement. County staff described federal WPR requirements for two-parent families as unmettable and reported the State prioritizes participant engagement and removal of barriers to employment, despite WPR being a federal and state requirement. Even with these challenges, the County has established a variety of strategies and reports to monitor WPR with the aim of improving it, such as:

- *Trigger Reports:* Trigger reports track hours and participation, and alert staff when participants are not meeting requirements. Staff can then take immediate action to ensure engagement and help participants meet work participation requirements.
- *Monthly Contact:* Monthly contact is a requirement for all case managers to assess what took place in the last month and whether there are any barriers to their clients’ participation in the program, and to look forward at the month ahead to ensure they are proactively addressing barriers to work participation.
- *Sanction Re-Engagement Reports:* In the event that a participant is non-compliant with WTW requirements, re-engagement reports allow case managers to monitor their status. These reports are available for both SSA- and Maximus-managed cases.

Federal WPR requirements for all families (50%) are reportedly easier to meet. However, the COVID-19 pandemic affected the County’s ability to meet this outcome in FFY20 and FFY21. Case managers from SSA and Maximus indicated it was difficult to continue programmatic work during the pandemic due in large part to the lack of job availability for participants, the risk to participants of attending work or work-related activities, difficulties with hiring case managers, and loosened program requirements. Even with these challenges, it is important for the County to achieve WPR requirements to avoid paying penalties for non-compliance.

There are several potential reasons Maximus achieved lower WPRs than SSA, including:

- **Higher caseloads for case managers:** During the audit period, Maximus case managers had an average 21.2% higher monthly caseload than SSA case managers.
- **Difficulty hiring and retaining adequate staffing:** Staff reported County case managers are paid more than Maximus case managers, which results in Maximus case workers often applying for and being hired by the County.
- **Reported difficulties with the transition to working from home during the COVID-19 pandemic:** In interviews, Maximus staff reported that Maximus case managers disproportionately lacked laptops and remote access to the County’s case management system, and that this disparity was particularly notable in FFY20 and FFY21. However, SSA staff report that the difficulties transitioning to working from home were felt equally by SSA and Maximus case managers.

### Maximus Contract Requirements

3.	Finding	Based on analysis of case data provided by the County, Maximus met CMS contract requirements between FFY19 and FFY21, except for work participation requirements.
	Recommendation	<p>A. As part of efforts to holistically monitor case management outcomes, consider adjusting expected outcomes for both SSA- and County-managed cases to include reduction of barriers to engagement and employment.</p> <p>B. As part of continued efforts to develop and implement strategies for increasing WPR, pay special attention to systemic problems that may be resulting in Maximus’s lower achievement of WPRs and implement strategies to combat identified issues.</p>

The County’s contract with Maximus includes several requirements designed to ensure Maximus meets the County’s expectations for case management services, including requirements related to employment outcomes and work participation. The County has a robust contract monitoring process in place, including regular review of Maximus’s performance and validation of its performance-related data. We reviewed Maximus’s contract compliance based on the requirements set forth in the contract term 2016–2022 as it aligned with our audit period, FFY19–FFY22. Though Maximus did not meet the work participation requirements in its contract, it met, and in most cases exceeded, its other contract requirements. This success suggests the County is effectively holding Maximus accountable to most of its contract requirements.

MAXIMUS CONTRACT REQUIREMENTS	
Required Performance	Actual Performance
Percent of participants with a starting wage of at least 20% above CA minimum wage: <ul style="list-style-type: none"> <li>27% by 10/1/19</li> <li>28% by 10/1/20</li> <li>28% by 10/1/21</li> </ul>	Met requirements. <ul style="list-style-type: none"> <li>By 10/1/19: 38.2%</li> <li>By 10/1/20: 39.1%</li> <li>By 10/1/21: 34.9%</li> </ul>
At least 70% of participants retain employment at least 30 days	Met requirements in years data was available. <ul style="list-style-type: none"> <li>By 10/1/19: Verified data was unavailable because the County did not start validating data until June 2019</li> <li>By 10/1/20: 81.3%</li> <li>By 10/1/21: 78.7%</li> </ul>
At least 50% of participants retain employment for at least 90 days	Met requirements in years data was available. <ul style="list-style-type: none"> <li>By 10/1/19: Verified data was unavailable because the County did not start validating data until June 2019</li> <li>By 10/1/20: 54.9%</li> <li>By 10/1/21: 57.1%</li> </ul>
Percent of participants meeting the minimum number of required hours in WTW activities: <ul style="list-style-type: none"> <li>57% by 10/1/19</li> <li>58% by 10/1/20</li> <li>58% by 10/1/21</li> </ul>	Did not meet requirements, see <a href="#">Finding 2</a> . <ul style="list-style-type: none"> <li>FFY18–19: 47.2%</li> <li>FFY19–20: 25.2%</li> <li>FFY20–21: 28.5%</li> </ul>

The above analysis shows that while Maximus struggled to engage participants in work participation activities between FFY19 and FFY21, Maximus was successful in meeting employment-related outcomes once participants were employed, including minimum wage and employment retention requirements. This suggests participant engagement in work activities is an important area to improve for Maximus-managed cases. Since SSA also struggled to engage participants in work participation activities during this time (see [Finding 2](#)), this is also an important area to improve for SSA-managed cases.

One way the County has tried to increase participant engagement in work activities is by increasing its focus on removing barriers to engagement and employment. Participants may face a number of barriers to engagement and employment that make it challenging to participate in work activities, including transportation, childcare, substance abuse, and domestic violence. Helping participants remove these barriers may be an effective way to increase the likelihood participants will engage in work activities. Given its focus on removing barriers to engagement and employment, the County should consider adjusting expected outcomes for both SSA- and Maximus-managed cases to include reduction of barriers to engagement and employment as part of its efforts to holistically monitor case management outcomes. By monitoring both work participation activities and barriers to engagement and employment, the County may have a more holistic picture of participant engagement. Additionally, as part of its continued efforts to develop and implement strategies for increasing WPR,

the County should pay special attention to systemic problems that may be resulting in Maximus's lower achievement of WPR and implement strategies to combat identified issues.

## C. COST EFFICIENCY AND COST EFFECTIVENESS

### Cost Efficiency

<b>4.</b>	<b>Finding</b>	Based on limited available data, Maximus case management was more cost-efficient than SSA case management.
	<b>Recommendation</b>	<p><b>A.</b> Determine the extent to which the relative cost efficiency of SSA and Maximus service providers should be prioritized in the provision of case management services, and what costs the County is willing to incur to measure cost-efficiency accurately and reliably.</p> <p><b>B.</b> If cost efficiency is a high priority and the County is willing to spend the appropriate money to accomplish this task, build the data infrastructure necessary to fully measure the output of case managers by assessing the number and complexity of services provided by case workers.</p> <p><b>C.</b> If the County does not have the desire or capacity to invest in the costs of developing comprehensive cost efficiency measurement tools, continue to monitor the relative cost efficiency of SSA and Maximus case management by regularly determining the cost per case-month for each provider on an annual basis and use the analysis for future decision-making and strategies related to the public-private partnership.</p>

The following tables show measurements of cost efficiency for SSA and Maximus case management. Only direct costs were considered for both providers, due to limitations with data related to indirect costs and to ensure that cost data for SSA case management properly aligned with cost data for Maximus case management. Additionally, costs the County incurs for managing the Maximus contract are included in cost totals for Maximus because these costs would not be incurred if case management was provided exclusively by the County. Caseload was measured in terms of case-months, defined as the number of cases managed within a given month.

This case-month analysis shows that Maximus is more cost-efficient overall and also more cost-efficient in each fiscal year. It is important to note, however, that this relative cost efficiency declined by approximately 20% from FY19 to FY22.

COST EFFICIENCY IN CASE-MONTHS				
Time Period	Provider	Costs	Case-Months	Cost per Case-Month
All Years	SSA	\$27,397,819.72	81,979	\$334.21
	Maximus	\$21,744,875.73	82,934	\$262.19
FY19	SSA	\$7,055,373.20	18,900	\$373.30
	Maximus	\$4,898,808.78	19,258	\$254.38
FY20	SSA	\$6,904,985.80	18,601	\$371.22
	Maximus	\$5,596,243.27	19,237	\$290.91
FY21	SSA	\$7,253,240.52	22,174	\$327.11
	Maximus	\$5,711,440.58	22,171	\$257.61
FY22	SSA	\$6,184,220.20	22,304	\$277.27
	Maximus	\$5,538,383.09	22,268	\$248.71

RELATIVE COST EFFICIENCY			
Time Period	More Cost-Efficient Service Provider	Difference in Cost per Case-Month	Percent Difference in Cost Efficiency
All Years	Maximus	\$72.01	21.5%
FY19	Maximus	\$118.92	31.9%
FY20	Maximus	\$80.31	21.6%
FY21	Maximus	\$69.50	21.2%
FY22	Maximus	\$28.55	10.3%

The overall higher cost efficiency of Maximus case management is due to Maximus staff managing slightly more cases than SSA staff, while resulting in fewer direct costs for the County. The gradual reduction in Maximus efficiency and the resultant increase in relative SSA efficiency are likely due to the following factors:

- Decreased SSA case management staffing, which lowered SSA yearly case management costs by over \$870K between FY19 and FY22
- A sharp increase in Maximus contract costs between FY19 and the following three fiscal years, due to higher direct service salaries and benefits
- The gradually increasing costs of the County's compliance, support, and procurement costs for the Maximus contract

Although Maximus's margin of greater cost efficiency declined over the audit period, it would rapidly increase if the level of SSA case management staffing were returned to that of the FY19–21 period. Between FY21 and the most recent fiscal year, a decrease in 5.8 SSA case management FTE was associated with an over \$1 million decrease in its case management costs. If the level of SSA staffing were increased to that of previous years, as measured by case-months, the decline in Maximus's cost efficiency outperformance would quickly reverse.

Although the above metrics on relative cost efficiency are the result of valuable and important analyses, the degree to which cost efficiency can be truly measured by existing data is limited. Cost efficiency can be defined by the amount of output produced for a given cost. Currently, the only data through which the County can measure the relative output of County or Maximus case managers is caseload data, which details which cases are managed by which case managers within a given month. The County does not have data that can connect caseload data to the specific services provided by case managers in arranging, coordinating, monitoring, and evaluating their clients' services. Such data would allow for a determination of the full outputs of case managers, which would then allow for more thorough assessments of cost efficiency.

Although the existing data on cost efficiency favors Maximus, the insufficient level of output detail captured in current data sources does not allow us to definitively measure the relative difference in cost efficiency between SSA and Maximus case management. This complicates the County's ability to prioritize cost efficiency by adjusting its level of social services privatization.

The County should determine the extent to which determining the relative cost efficiency of SSA and Maximus service providers should be prioritized in its provision of case management services, along with what costs the County is willing to incur to measure cost efficiency accurately and reliably. If cost efficiency is a high priority and the County is willing to spend the appropriate money to accomplish this task, it should build the data infrastructure necessary to fully measure the output of case managers by assessing the number and complexity of services provided by case workers.

If the County does not have the desire or capacity to invest in the costs of developing comprehensive cost efficiency measurement tools, it should continue to monitor the relative cost efficiency of SSA and Maximus case management by regularly determining the cost per case-month for each provider on an annual basis. The County should assess if this metric continues to show that Maximus is more cost-efficient during the new contract period. The County should also assess if Maximus's declining margin of cost efficiency continues to trend downward. Results should be used for future decision-making and strategies related to the public-private partnership.

## Cost Effectiveness

<b>5. Finding</b>	<b>5. Finding</b>	Neither case management provider was definitively more cost-effective than the other. Based on an analysis of available outcome and cost data, SSA case management appears to be both more effective and more costly than Maximus case management.
<b>Recommendation</b>	<b>Recommendation</b>	Monitor the difference in cost and effectiveness between SSA and Maximus case management. Effectiveness should, at a minimum, be assessed via WPR. Ideally, multiple outcome metrics should be used to assess relative cost effectiveness beyond WPR to ensure assessments are well-rounded and reflect more than one aspect of case management performance.

Cost-effectiveness is an important operational goal for case management services, particularly because the County operates these services through a public-private model. As such, the County should seek to provide case management services within an operational framework that assesses and emphasizes cost effectiveness. The relative cost-effectiveness of SSA and Maximus case managers was assessed through differences in WPR, as this metric is the only program-wide, mandated outcome.

To assess cost-effectiveness, the relative margin of effectiveness must be examined alongside the relative margin of cost. Because the two-parent WPR population is contained within the all-families WPR population, this cost-effectiveness analysis focuses on the all-families WPR metric. The table below illustrates that SSA case management is more effective, but that this effectiveness comes with additional costs.

SSA AND MAXIMUS: MARGINS OF WPR PERFORMANCE AND COST				
Fiscal Year	Type of WPR Measure	Margin of SSA Outperformance	Additional SSA Costs	Margin of Additional SSA Costs
All Years	All Families	10.3%	\$5,652,944	26.0%
FY19	All Families	3.5%	\$2,156,564	44.0%
FY20	All Families	10.1%	\$1,308,743	23.4%
FY21	All Families	18.2%	\$1,541,800	27.0%
FY22	All Families	8.3%	\$645,837	11.7%

Another way to conceptualize the difference in cost efficiency between SSA and Maximus is by determining the additional cost of SSA case management per 1% of all families' WPR outperformance. As can be seen in the table below, this metric varied significantly throughout the audit period, from \$77,812 up to \$616,161.

COST PER ADDITIONAL 1% OF WPR PERFORMANCE		
Fiscal Year	Type of WPR Measure	Additional Cost of SSA Case Management per 1% of WPR Outperformance
All Years	All Families	\$548,373
FY19	All Families	\$616,161
FY20	All Families	\$129,578
FY21	All Families	\$84,714
FY22	All Families	\$77,812

Some aspects of this cost-efficiency analysis are relatively simple to explain. SSA's relative cost efficiency increased during the audit period because the margin between SSA and Maximus costs declined. This marginal difference in case management costs declined over the audit period mostly due to lower SSA costs caused by reduced staffing.

From a technical standpoint, SSA's outperformance is also easy to explain. A greater proportion of SSA cases met their WPR hours requirements during the audit period. From an operational and organizational standpoint, however, SSA's relatively higher performance cannot be definitively explained. It may relate to one or more of the following three factors, which were also discussed previously in [Finding 2](#): caseload, employment conditions during the pandemic, and difficulty retaining Maximus case managers due to competition with the County.

#### Caseload

During the audit period, Maximus case managers had an average monthly caseload 21.2% higher than SSA case managers. Having fewer cases to manage could be associated with more effective case management.

CASELOAD					
Fiscal Year	Average Caseload Per Month				
	SSA	Maximus	Provider with Greater Caseload	Difference	Percent Difference
All Years	33.0	40.0	Maximus	7.0	21.2%
FY19	26.7	40.0	Maximus	13.3	49.6%
FY20	30.3	36.4	Maximus	6.1	20.2%
FY21	40.1	38.2	SSA	1.9	4.8%
FY22	35.0	45.5	Maximus	10.5	30.0%



## **Employment Conditions**

SSA case managers are better compensated than Maximus case managers, which may affect performance and lead to turnover at Maximus, as described below. SSA managers also have additional non-compensation benefits associated with being in a union. This may affect performance as it encourages employee retention, impacts employee morale, and defines employee performance metrics. Maximus case managers also had considerable difficulties transitioning to remote work during the COVID-19 pandemic.

### **SSA Acquiring Maximus Case Managers**

In our interviews, respondents indicated that there have been multiple instances in which case managers originally began working for Maximus case management but were then hired by SSA. This practice may allow SSA to acquire the Maximus case managers it views as particularly high-performing. Although this certainly cannot account for the entirety of SSA's effectiveness, it may affect the marginal difference in performance, as high performers transition from Maximus to SSA employment.

Case management cost-effectiveness is not a problem with a technical solution that can be solved by changing the County's degree of case management privatization. As detailed above, the margin of SSA outperformance comes with additional cost.

Because there is currently no technical solution for which social services provider is more cost-effective, the issue of cost-effectiveness comes down to a deliberate policy choice for the County, operationalizing the value it places on SSA's higher costs and higher performance. The County should examine the value of SSA's greater WPR performance and assess its worth for participants and for the County itself. The County should examine this value in the context of the opportunity cost of the additional \$5.65 million spent during the audit period on SSA case management.

# APPENDIX A: COUNTY AND CONTRACTOR CASE MANAGEMENT ANALYSIS

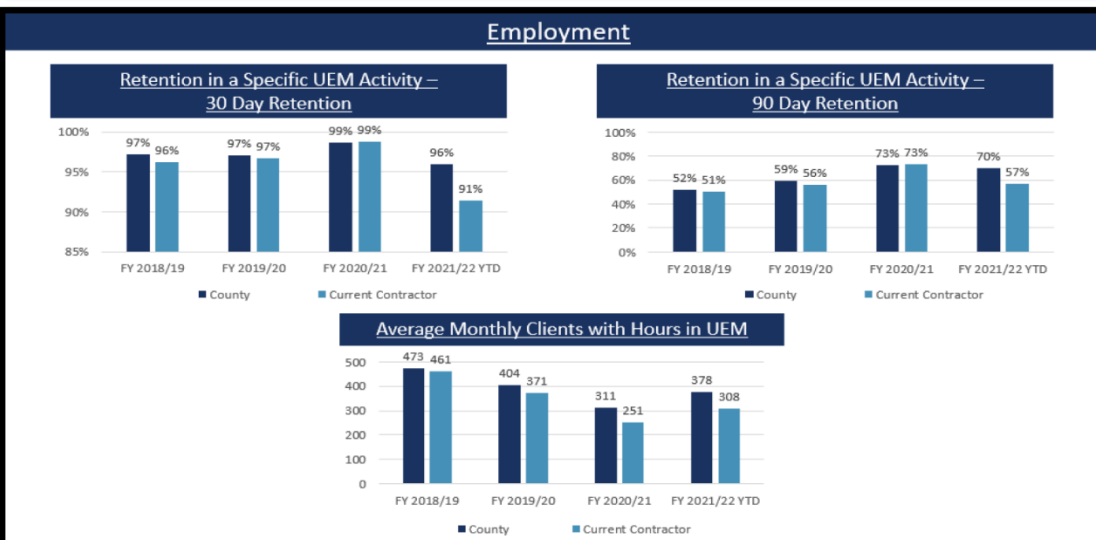
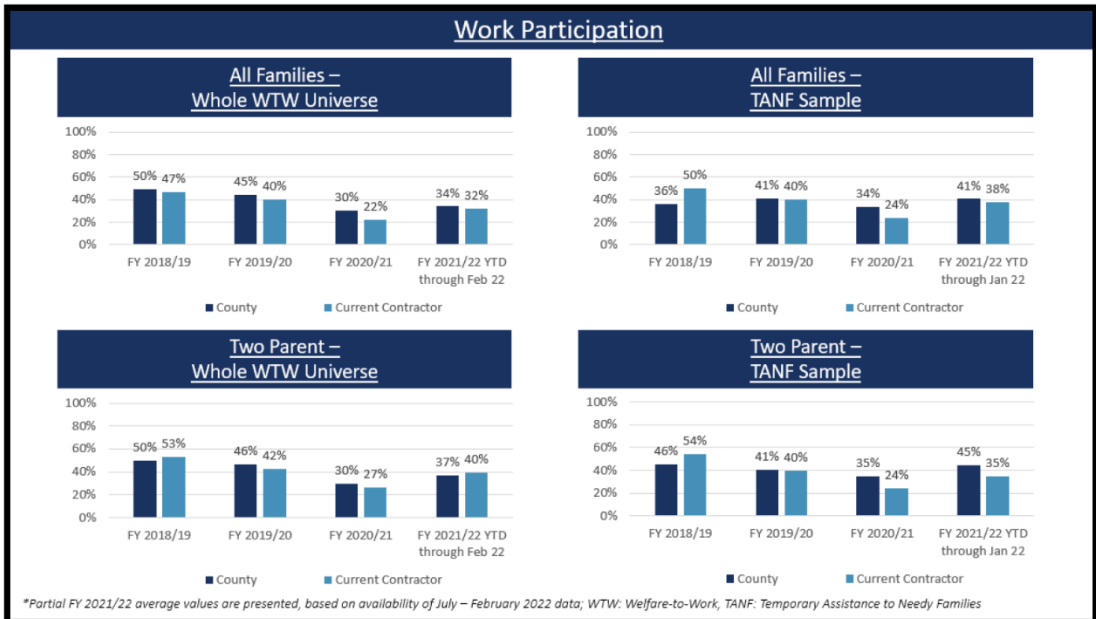
## ATTACHMENT B



### County and Contractor Case Management Analysis

### Performance Measures

Fiscal Year Comparison: FY 2018-19 Through FY 2021-22 YTD\*



# ATTACHMENT B

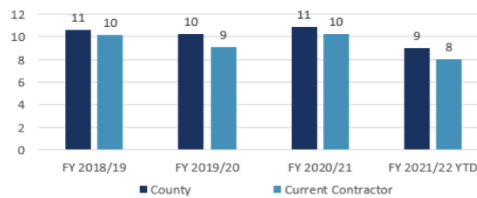


**SSA RESEARCH**  
COUNTY OF ORANGE

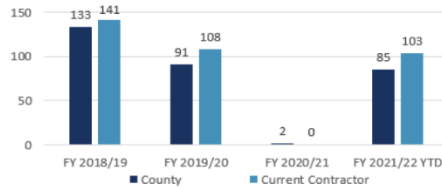
## County and Contractor Case Management Analysis

### Welfare to Work Engagement

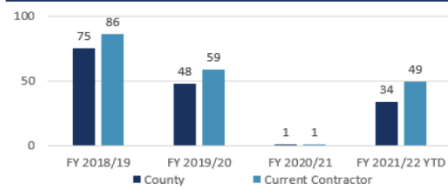
Median Days from Registration to Beginning of Activity



Average Monthly Issuances – Noncompliance



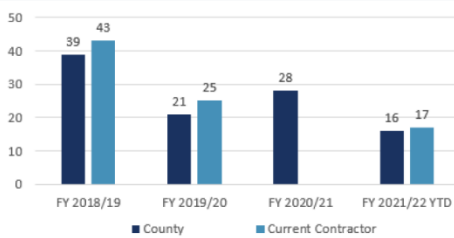
Average Monthly Issuances – Sanctions



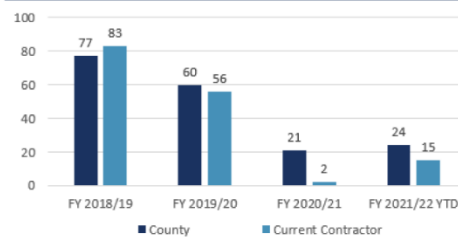
\*Partial FY 2021/22 average values are presented, based on availability of July – February 2022 data for each measure  
Sanctions and non-compliance numbers were lower in FY 2019-22 due to a pause on issuances from approximately April 2020 through September 2021

### Welfare to Work Engagement

Median Days from Registration to Noncompliance



Median Days from Registration to Sanction



\*Partial FY 2021/22 average values are presented, based on availability of July – February 2022 data for each measure  
Sanctions and non-compliance numbers were lower in FY 2019-22 due to a pause on issuances from approximately April 2020 through September 2021

# ATTACHMENT B

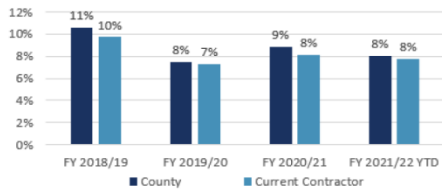


**SSA RESEARCH**  
COUNTY OF ORANGE

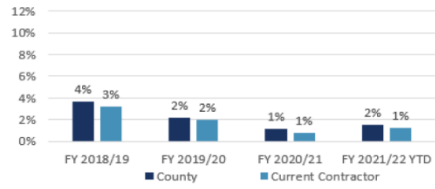
## County and Contractor Case Management Analysis

### Time on CalWORKs

**% of Cases that Discontinued CalWORKs**

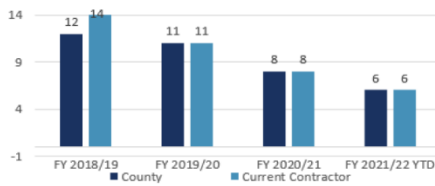


**% Discontinued Due to Earned Income**

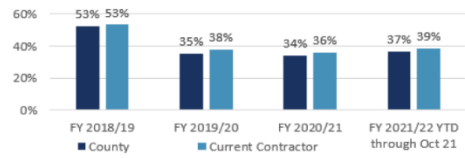


*\*Partial FY 2021/22 average values are presented, based on availability of July 21 – February 2022 data for each measure*

**Median Months on CalWORKs**



**% of Discontinued Cases that Came Back on Aid within One Year**



*\*Partial FY 2021/22 average values are presented, based on availability of July – February 2022 data for each measure*

# APPENDIX B: COUNTY AND CONTRACTOR CASE MANAGEMENT ANALYSIS RECALCULATIONS – ANNUAL CALCULATION METHOD

Metric	Year	Group	Exact Calculated Value	Rounded Value	In Report	Difference	
30-Day Retention	2018–2019	SSA	94.3%	94%	97%	-3%	
		Maximus	91.3%	91%	96%	-5%	
	2019–2020	SSA	94.6%	95%	97%	-2%	
		Maximus	92.4%	92%	97%	-5%	
	Unique Job Placements	2020–2021	SSA	97.4%	97%	99%	-2%
			Maximus	96.3%	96%	99%	-3%
2021–2022 YTD	SSA	90.2%	90%	96%	-6%		
	Maximus	83.6%	84%	91%	-7%		
90-Day Retention	2018–2019	SSA	44.0%	44%	52%	-8%	
		Maximus	42.0%	42%	51%	-9%	
	2019–2020	SSA	52.3%	52%	59%	-7%	
		Maximus	53.1%	53%	56%	-3%	
	Unique Job Placements	2020–2021	SSA	69.6%	70%	73%	-3%
			Maximus	66.4%	66%	73%	-7%
2021–2022 YTD	SSA	61.4%	61%	70%	-9%		
	Maximus	47.6%	48%	57%	-9%		
Median Days from Registration to Beginning of Activity	2018–2019	SSA	11.00	11	11	0	
		Maximus	10.00	10	10	0	
	2019–2020	SSA	11.00	11	10	+1	
		Maximus	9.00	9	9	0	
	2020–2021	SSA	11.00	11	11	0	
		Maximus	10.00	10	10	0	

Metric	Year	Group	Exact Calculated Value	Rounded Value	In Report	Difference
	2021–2022 YTD	SSA	10.00	10	9	+1
		Maximus	9.00	9	8	+1
Median Days from Registration to Noncompliance	2018–2019	SSA	38.50	39	39	0
		Maximus	46.00	46	43	+3
	2019–2020	SSA	22.00	22	21	+1
		Maximus	27.00	27	25	+2
	2020–2021	SSA	42.00	42	28	+14
		Maximus	0	0	0	0
2021–2022 YTD	SSA	21.00	21	16	+5	
	Maximus	21.00	21	17	+4	
Median Days from Registration to Sanction	2018–2019	SSA	76.00	76	77	-1
		Maximus	83.00	83	83	0
	2019–2020	SSA	60.00	60	60	0
		Maximus	57.00	57	56	+1
	2020–2021	SSA	42.00	42	21	+21
		Maximus	1.50	2	2	0
2021–2022 YTD	SSA	43.00	43	24	+19	
	Maximus	43.00	43	15	+28	
Percent of Cases that Discontinued CalWORKs	2018–2019	SSA	10.91%	11%	11%	0%
		Maximus	9.95%	10%	10%	0%
	2019–2020	SSA	7.68%	8%	8%	0%
		Maximus	7.53%	8%	7%	+1%
	2020–2021	SSA	8.82%	9%	9%	0%
		Maximus	8.33%	8%	8%	0%
		SSA	8.39%	8%	8%	0%

Metric	Year	Group	Exact Calculated Value	Rounded Value	In Report	Difference
	2021–2022 YTD	Maximus	8.40%	8%	8%	0%
Percent Discontinued Due to Earned Income	2018–2019	SSA	4.05%	4%	4%	0%
		Maximus	3.62%	4%	3%	+1%
	2019–2020	SSA	2.30%	2%	2%	0%
		Maximus	2.11%	2%	2%	0%
	2020–2021	SSA	1.24%	1%	1%	0%
		Maximus	0.97%	1%	1%	0%
	2021–2022 YTD	SSA	1.62%	2%	2%	0%
		Maximus	1.49%	1%	1%	0%
Median Months on CalWORKs	2018–2019	SSA	12	12	12	0
		Maximus	13	13	14	-1
	2019–2020	SSA	11	11	11	0
		Maximus	11	11	11	0
	2020–2021	SSA	8	8	8	0
		Maximus	8	8	8	0
	2021–2022 YTD	SSA	6	6	6	0
		Maximus	6	6	6	0

## APPENDIX C: COUNTY AND CONTRACTOR CASE MANAGEMENT ANALYSIS RECALCULATIONS – MONTHLY AVERAGE METHOD

Metric	Year	Group	Exact Calculated Value	Rounded Calculated Value	In Report	Match?	Difference Between Rounded Values	
30-Day Retention	2018–2019	SSA	97.0%	97%	97%	TRUE	0%	
		Maximus	96.0%	96%	96%	TRUE	0%	
	2019–2020	SSA	96.9%	97%	97%	TRUE	0%	
		Maximus	96.5%	97%	97%	TRUE	0%	
	2020–2021	SSA	98.6%	99%	99%	TRUE	0%	
		Maximus	98.6%	99%	99%	TRUE	0%	
	2021–2022 YTD	SSA	95.8%	96%	96%	TRUE	0%	
		Maximus	91.3%	91%	91%	TRUE	0%	
	90-Day Retention	2018–2019	SSA	51.2%	51%	52%	FALSE	-1%
			Maximus	49.6%	50%	51%	FALSE	-1%
2019–2020		SSA	58.2%	58%	59%	FALSE	-1%	
		Maximus	54.8%	55%	56%	FALSE	-1%	
2020–2021		SSA	70.8%	71%	73%	FALSE	-2%	
		Maximus	72.4%	72%	73%	FALSE	-1%	
2021–2022 YTD		SSA	69.9%	70%	70%	TRUE	0%	
		Maximus	56.1%	56%	57%	FALSE	-1%	
Average Monthly Clients with Hours in UEM	2018–2019	SSA	473.25	473	473	TRUE	0	
		Maximus	460.92	461	461	TRUE	0	
	2019–2020	SSA	406.42	406	404	FALSE	+2	
		Maximus	372.00	372	371	FALSE	+1	



Metric	Year	Group	Exact Calculated Value	Rounded Calculated Value	In Report	Match?	Difference Between Rounded Values
	2020–2021	SSA	313.08	313	311	FALSE	+2
		Maximus	252.33	252	251	FALSE	+1
	2021–2022 YTD	SSA	Data Changed	N/A	378	N/A	N/A
		Maximus	Data Changed	N/A	308	N/A	N/A
<b>Median Days from Registration to Beginning of Activity</b>	2018–2019	SSA	10.63	11	11	TRUE	0
		Maximus	10.17	10	10	TRUE	0
	2019–2020	SSA	10.29	10	10	TRUE	0
		Maximus	9.08	9	9	TRUE	0
	2020–2021	SSA	11.04	11	11	TRUE	0
		Maximus	10.46	10	10	TRUE	0
	2021–2022 YTD	SSA	9.69	10	9	FALSE	+1
		Maximus	8.88	9	8	FALSE	+1
<b>Average Monthly Issuances – Non-compliance</b>	2018–2019	SSA	133.25	133	133	TRUE	0
		Maximus	142.83	143	141	FALSE	+2
	2019–2020	SSA	90.75	91	91	TRUE	0
		Maximus	109.00	109	108	FALSE	+1
	2020–2021	SSA	2.08	2	2	TRUE	0
		Maximus	0.00	0	0	TRUE	0
	2021–2022 YTD	SSA	85.63	86	85	FALSE	+1
		Maximus	102.88	103	103	TRUE	0
<b>Average Monthly Issuances – Sanctions</b>	2018–2019	SSA	75.17	75	75	TRUE	0
		Maximus	86.75	87	86	FALSE	+1
	2019–2020	SSA	48.08	48	48	TRUE	0
		Maximus	58.67	59	59	TRUE	0

Metric	Year	Group	Exact Calculated Value	Rounded Calculated Value	In Report	Match?	Difference Between Rounded Values
	2020–2021	SSA	1.25	1	1	TRUE	0
		Maximus	0.67	1	1	TRUE	0
	2021–2022 YTD	SSA	34.13	34	34	TRUE	0
		Maximus	49.50	50	49	FALSE	+1
Median Days from Registration to Non-Compliance	2018–2019	SSA	38.50	39	39	TRUE	0
		Maximus	43.04	43	43	TRUE	0
	2019–2020	SSA	20.92	21	21	TRUE	0
		Maximus	25.11	25	25	TRUE	0
	2020–2021	SSA	28.67	29	28	FALSE	+1
		Maximus	0	0	0	TRUE	0
	2021–2022 YTD	SSA	22.58	23	16	FALSE	+7
		Maximus	21.17	21	17	FALSE	+4
Median Days from Registration to Sanction	2018–2019	SSA	76.88	77	77	TRUE	0
		Maximus	83.04	83	83	TRUE	0
	2019–2020	SSA	54.91	55	60	FALSE	-5
		Maximus	55.94	56	56	TRUE	0
	2020–2021	SSA	21.33	21	21	TRUE	0
		Maximus	1.50	2	2	TRUE	0
	2021–2022 YTD	SSA	40.40	40	24	FALSE	+16
		Maximus	28.07	28	15	FALSE	+13
Percent of Cases that Discontinued CalWORKs	2018–2019	SSA	12.06%	12%	11%	FALSE	+1%
		Maximus	11.31%	11%	10%	FALSE	+1%
	2019–2020	SSA	8.48%	8%	8%	TRUE	0%
		Maximus	8.37%	8%	7%	FALSE	+1%

Metric	Year	Group	Exact Calculated Value	Rounded Calculated Value	In Report	Match?	Difference Between Rounded Values
	2020–2021	SSA	10.08%	10%	9%	FALSE	+1%
		Maximus	9.66%	10%	8%	FALSE	+2%
	2021–2022 YTD	SSA	9.13%	9%	8%	FALSE	+1%
		Maximus	9.08%	9%	8%	FALSE	+1%
<b>Percent Discontinued Due to Earned Income</b>	2018–2019	SSA	4.19%	4%	4%	TRUE	0%
		Maximus	3.80%	4%	3%	FALSE	+1%
	2019–2020	SSA	2.43%	2%	2%	TRUE	0%
		Maximus	2.30%	2%	2%	TRUE	0%
	2020–2021	SSA	1.27%	1%	1%	TRUE	0%
		Maximus	0.99%	1%	1%	TRUE	0%
	2021–2022 YTD	SSA	1.66%	2%	2%	TRUE	0%
		Maximus	1.49%	1%	1%	TRUE	0%
<b>Median Months on CalWORKs</b>	2018–2019	SSA	11.83	12	12	TRUE	0
		Maximus	13.58	14	14	TRUE	0
	2019–2020	SSA	10.83	11	11	TRUE	0
		Maximus	11.42	11	11	TRUE	0
	2020–2021	SSA	7.50	8	8	TRUE	0
		Maximus	8.08	8	8	TRUE	0
	2021–2022 YTD	SSA	5.88	6	6	TRUE	0
		Maximus	6.00	6	6	TRUE	0
<b>% of Discontinued Cases that Came Back on Aid the Month After</b>	2018–2019	SSA	28.35%	28%	53%	FALSE	-25%
		Maximus	33.22%	33%	53%	FALSE	-20%
	2019–2020	SSA	28.18%	28%	35%	FALSE	-7%
		Maximus	32.58%	33%	38%	FALSE	-5%

Metric	Year	Group	Exact Calculated Value	Rounded Calculated Value	In Report	Match?	Difference Between Rounded Values
Dis-continuanace	2020–2021	SSA	44.58%	45%	34%	FALSE	+11%
		Maximus	46.34%	46%	36%	FALSE	+10%
	2021–2022 YTD	SSA	Data in Non-Numeric Format	N/A	37%	N/A	N/A
		Maximus		N/A	39%	N/A	N/A



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