



# PREPARING A PAY FOR OUTCOMES FEASIBILITY STUDY CHECKLIST AND BIBLIOGRAPHY

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# INTRODUCTION

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The Feasibility Study Checklist and Bibliography (“Checklist”) is a companion worksheet mapped to the Pay for Outcomes (PFO) Supplemental Information Request (SIR). It is intended to provide awardees with supplemental information to help them prepare a feasibility study and facilitate tracking the completion of required study components.

The PFO feasibility study must be completed prior to proposing MIECHV funds for outcome payments related to a PFO initiative. The Checklist is aligned with the PFO SIR in presentation of the components that applicants must address in their feasibility studies:

1. PFO Initiative Funding
2. Target Population
3. Proposed Intervention and Providers
4. Potential Outcome Measures and Payment Schedule
5. Ability to Rigorously Evaluate and Meet the Requirements of a PFO Evaluation
6. PFO Initiative Duration
7. Stakeholders and Partnerships
8. Determination of Feasibility

For each of the above components, the Checklist contains citations to literature that awardees might find useful as they prepare their feasibility studies. Reference numbers listed in the second column of the Checklist correspond to items in the annotated bibliography that appears below the Checklist. (Where a specific part of a referenced report addresses a component, that portion of the document is called out with a citation number and a letter pointing to that specific material, e.g., “12a”). These citations do not constitute a comprehensive bibliography of the relevant literature but are more narrowly designed to help address issues associated with preparing a feasibility study. Note that many items in the Checklist require assessment of local conditions that are unique to the awardee's community and therefore are not directly addressed in the literature.

For each component, the Checklist also contains a set of requirements within each component that must be completed in preparing a feasibility study, as outlined in the SIR. A notes field provides space for the awardee to record any comments for future reference, and a check box allows tracking of the completion of each requirement. The Checklist is followed by an annotated bibliography that briefly describes the material in each of the numbered references in the Checklist.

# CHECKLIST

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## COMPONENT 1: PFO INITIATIVE FUNDING

Refer to annotated bibliography references: 2a, 12a

Checklist Items	Notes	Completed
Describe the funding sources for the PFO initiative, in addition to MIECHV funds.		<input type="checkbox"/>

## COMPONENT 2: TARGET POPULATION

Refer to [annotated bibliography](#) references: 4, 9

Checklist Items	Notes	Completed
Describe the unmet need for home visiting services that the PFO initiative will address, and the baseline outcomes that the PFO initiative seeks to improve.		<input type="checkbox"/>
Identify the at-risk communities the PFO initiative will serve (based on the findings from most recently completed statewide needs assessment update).		<input type="checkbox"/>
Identify the LIAs that might participate in the PFO initiative.		<input type="checkbox"/>
Describe the size and demographic characteristics of the populations in target communities in the geographic area that will be included in the PFO initiative.		<input type="checkbox"/>

## COMPONENT 3: PROPOSED INTERVENTION AND PROVIDERS

Refer to [annotated bibliography](#) references: 3

Checklist Items	Notes	Completed
Describe the evidence-based home visiting model(s) that would be appropriate for implementation as part of a PFO initiative.		<input type="checkbox"/>

Checklist Items	Notes	Completed
Describe the entire landscape of potential providers that can serve the needs of the target population, and their experience in implementing evidence-based home visiting programs.		<input type="checkbox"/>
Describe the provider's experience implementing the evidence-based home visiting model.		<input type="checkbox"/>
Describe the provider's capacity to meet enrollment targets of the PFO initiative, and (if currently a MIECHV-funded LIA), their track record of performance and maintaining enrollment capacity percentage.		<input type="checkbox"/>
Describe the range of referral pathways for recruitment of the target population to meet enrollment targets.		<input type="checkbox"/>
Describe the provider's capacity to collect and report program data and participate in the PFO evaluation.		<input type="checkbox"/>

## COMPONENT 4: POTENTIAL OUTCOME MEASURE(S) AND PAYMENT SCHEDULE

Refer to [annotated bibliography](#) references: 2b, 4, 6, 7, 8, 9, 10, 13a (Also note that benchmark areas and constructs are defined in the SIR.)

Checklist Items	Notes	Completed
Identify the potential outcome measures for the PFO initiative and how they align with MIECHV benchmark areas and constructs.		<input type="checkbox"/>
Address how the outcomes will be measured.		<input type="checkbox"/>
Describe the consideration of potential payment amounts for each outcome measure, the payment schedule associated with each, and how it would align with the evaluation reporting timeline.		<input type="checkbox"/>

Checklist Items	Notes	Completed
Ensure payment amounts are reflective of federal, state and/or local cost savings, cost avoidance and/or social benefit, and that they are appropriate and reasonable relative to the outcome measure achieved.		<input type="checkbox"/>

## COMPONENT 5: ABILITY TO RIGOROUSLY EVALUATE AND MEET THE REQUIREMENTS OF A PFO EVALUATION

Refer to [annotated bibliography](#) references: 1a, 8, 13b

Checklist Items	Notes	Completed
Describe the capacity and independence of third-party evaluators, as well as your experience engaging with third-party evaluators.		<input type="checkbox"/>
Describe the availability and quality of data to evaluate each outcome measure, including your experience and capacity to access administrative data.		<input type="checkbox"/>
Identify, if any, data sharing agreements that will be needed, and if these agreements already exist.		<input type="checkbox"/>
Describe the recipient's experience and capacity using data to evaluate, track, and monitor progress on the outcome measure(s) for the PFO initiative.		<input type="checkbox"/>
Identify whether the size of the target population is sufficient to be included in the PFO initiative.		<input type="checkbox"/>

## COMPONENT 6: PFO INITIATIVE DURATION

Refer to [annotated bibliography](#) references: 5

Checklist Items	Notes	Completed
Describe the anticipated duration of the PFO initiative, including the length of service provision, and the last date that outcome payments are expected to be made.		<input type="checkbox"/>

Checklist Items	Notes	Completed
Describe the amount of time needed to complete the evaluation, determine if outcome payments will be made, and obligate funds.		<input type="checkbox"/>
Identify if the project, both the intervention and evaluation, can be completed within the 10-year PFO statutory period of availability.		<input type="checkbox"/>

## COMPONENT 7: STAKEHOLDERS AND PARTNERSHIPS

Refer to [annotated bibliography](#) references: 2c, 11, 12b

Checklist Items	Notes	Completed
Describe the potential key stakeholders and partners for a PFO initiative, their level of interest/engagement, and any significant or known barriers to partnership.		<input type="checkbox"/>
Describe the agreements or Memorandums of Understanding (MOUs) that are or would need to be in place to implement a PFO initiative.		<input type="checkbox"/>
Describe the opportunities and challenges associated with engaging home visiting service providers and families in a PFO initiative.		<input type="checkbox"/>

## COMPONENT 8: DETERMINATION OF FEASIBILITY

Refer to [annotated bibliography](#) references: 1b, 2d, 13c

Checklist Items	Notes	Completed
Describe the primary benefits and assets associated with implementation of a PFO initiative, as identified through the feasibility study.		<input type="checkbox"/>
Describe the primary risks and challenges associated with implementation of a PFO initiative, as identified through the feasibility study.		<input type="checkbox"/>
Describe if the PFO initiative is NOT determined to be feasible, consider what steps would be necessary to address the findings should this approach be pursued in the future.		<input type="checkbox"/>

# ANNOTATED BIBLIOGRAPHY

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1. [Early Health “Pay for Success” Social Impact Finance: Scaling Up Prenatal Health Care in Virginia](#). ReadyNation. November 2014. Using Virginia as an example, this paper describes the use of pay for success to scale up effective prenatal health interventions. Specific topics related to development of a feasibility study include:
  - a. Illustration of the use of data in evaluating home visiting outcomes.
  - b. Summary of challenges associated with implementing a pay for success project (p. 20).
2. [Funding Home Visiting with a Pay for Outcomes Approach](#). Office of Planning, Research & Evaluation (OPRE) Report # 2019-70. May 2019. This report summarizes findings from a roundtable discussion with home visiting and PFO stakeholders concerning the feasibility, structuring, implementation, funding, and evaluation of a PFO project. Specific topics related to development of a feasibility study include:
  - a. Discussion of funding models and sources (p. 19).
  - b. Discussion of selection of outcomes (p. 12).
  - c. Definition of types of stakeholders and discussion of the need for stakeholder engagement (p. 6).
  - d. Description of benefits of a PFO project (p. 3).
3. **Home Visiting Evidence of Effectiveness (HOMVEE)**. [Models eligible for Maternal, Infant, and Early Childhood Home Visiting \(MIECHV\) funding](#). U.S. Department of Health & Human Services, Administration for Children & Families. This page lists models that are approved for MIECHV funding, summarizes the nature of the models, and describes the evidence for their effectiveness.
4. **Planning for a Pay for Outcomes Approach in Home Visiting**. [Module 1: Overview of Outcomes Demonstrated in Home Visiting Studies](#). OPRE Report # 2020-90. September 2020. This document is the first in a series of four modules that address outcomes in home visiting programs. This module identifies outcomes that have been successfully achieved in previous home visiting programs.
5. **Planning for a Pay for Outcomes Approach in Home Visiting**. [Module 1: Overview of Outcomes Demonstrated in Home Visiting Studies – Study Profiles](#). OPRE Report # 2020-90. September 2020. This supplement to Module 1 provides profiles of the studies of home visiting programs whose outcomes are summarized in reference 4. The profiles include information about the duration of the follow-up period during which the outcomes were measured.
6. **Planning for a Pay for Outcomes Approach in Home Visiting**. [Module 2: Economic Value of Home Visiting Outcomes](#). OPRE Report # 2020-90. September 2020. This document is the second in a series of four modules that address outcomes in home visiting programs. It quantifies costs and savings associated with the outcomes that have been achieved in previous home visiting programs.

7. **Planning for a Pay for Outcomes Approach in Home Visiting. [Module 3: Economic Value of Outcomes in Non-Home Visiting Research](#). OPRE Report # 2020-90. September 2020.** This document is the third in a series of four modules that address outcomes in home visiting programs. It presents monetized outcomes from non-home visiting studies that correspond to home visiting outcome domains with limited representation in the home visiting literature: child development and school readiness, child health, and maternal health.
8. **Planning for a Pay for Outcomes Approach in Home Visiting. [Module 4: Administrative and Government Cost Data Sources](#). OPRE Report # 2020-90. September 2020.** This document is the fourth in a series of four modules that address outcomes in home visiting programs. It identifies administrative and government data sources that can be used to help monetize outcomes.
9. **Pay for Success Issue Brief Series. [Issue Brief 5: Defining Success](#). Social Finance. October 2020.** This is one of a series of ten issue briefs discussing various considerations associated with establishing any pay for success project. This brief provides generic guidelines for defining outcomes.
10. **Pay for Success Issue Brief Series. [Issue Brief 7: Is the Price Right?](#) Social Finance. October 2020.** This is one of a series of ten issue briefs discussing various considerations associated with establishing any pay for success project. This brief describes strategies for establishing payment amounts for project outcomes.
11. **Pay for Success Issue Brief Series. [Issue Brief 8: Pay for Success Contracting](#). Social Finance. October 2020.** This is one of a series of ten issue briefs discussing various considerations associated with establishing any pay for success project. This brief addresses contracting requirements for a pay for success project.
12. **[Promoting Prenatal Health and Positive Birth Outcomes: A Snapshot of State Efforts](#). OPRE Report # 2017-65. December 2017.** This document summarizes state efforts to promote prenatal health and improve birth outcomes, including but not limited to home visiting. Specific topics related to development of a feasibility study include:
  - a. Identification of funding sources for state efforts to promote prenatal health, improve birth outcomes, and implement home visiting.
  - b. A list of major stakeholders involved in ongoing efforts to promote prenatal health, improve birth outcomes, and implement home visiting.
13. **[Using Performance-Based Contracting to Strengthen Performance](#). Health Resources and Services Administration, Maternal and Child Health Bureau.** This report describes the concept of performance-based contracting, a structure similar to a pay for outcomes approach. Specific topics related to development of a feasibility study include:
  - a. A discussion of incentive payments that can help guide setting outcome payments (p. 6).
  - b. A discussion of data collection and reporting to monitor performance (p. 8).
  - c. A description of challenges and benefits associated with performance-based contracting (p. 9).