



A Study to Assess the Implementation Status of the HBNC Program and the Integrity of Incentive-Related Data Among ASHA Workers and Supervisors in Jaipur District of Rajasthan

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UNDER THE GUIDANCE OF:

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UNIVERSITY

Background: Neonatal Mortality & HBNC in India

Home-Based Newborn Care (HBNC)

- Introduced in 2011 under NHM
- 7 postnatal home visits by ASHAs to:
 - 1) Promote early breastfeeding
 - 2) Identify neonatal danger signs
 - 3) Ensure hygienic cord care
 - 4) Facilitate timely referrals

Progress & Challenges

India made significant strides in reducing neonatal mortality, yet still faced ~600,000 neonatal deaths in 2017.

Urban areas have seen faster declines compared to rural, widening health inequities.

In response, key initiatives were launched:

- 1) National Health Mission (NHM, 2005)
- 2) Janani Suraksha Yojana (JSY, 2005)
- 3) ASHA Program (2006)

Coverage & Data Integrity Issues

- NFHS-4 (2015–16): Only 50–55% of newborns in Rajasthan receive complete HBNC coverage.
- Performance-based incentives, while motivating, have led to:
 - 1) Overreporting
 - 2) Data inflation
 - 3) Concerns over data validity and program impact

Rationale for the Study

Key Issues in HBNC Implementation

HBNC is a cornerstone of community-based neonatal care, but **data inaccuracies and incentive irregularities** reduce program effectiveness.

Unexplored Gaps

Limited research on:

- 1) The gap between reported vs. actual services in urban Rajasthan.
- 2) The robustness of supervisory mechanisms in verifying:
 - HBNC service delivery
 - Incentive eligibility

Challenges on the Ground

Weak supervision may lead to:

- False disbursements or underpayments

ASHAs' knowledge gaps in HBNC guidelines:

- Affect service quality
- Compromise reporting accuracy

Objectives of the Study

1. To evaluate discrepancies between reported HBNC visits and actual service delivery as recorded by supervisors and ASHAs.
2. To analyze the timeliness and transparency of ASHA incentive payments and identify barriers to prompt disbursement.
3. To assess the status of HBNC program implementation in the selected region.
4. To evaluate ASHA workers' knowledge and awareness of HBNC protocols.
5. To explore the association between ASHAs' knowledge and the accuracy of incentive reporting.

Research Questions

1. What is the level of integrity in the incentive data reported by ASHA workers and verified by supervisors?
2. How frequently are discrepancies or fake entries observed in ASHA incentive records?
3. What is the status of HBNC implementation in selected blocks of Rajasthan?
4. What is the level of knowledge and awareness among ASHAs regarding HBNC protocols?
5. What is the relationship between ASHA workers' knowledge and the accuracy of reported services?

Methodology - Overview



RESEARCH DESIGN: CROSS-SECTIONAL, MIXED-METHODS APPROACH (QUANTITATIVE & QUALITATIVE).



STUDY SETTING: SIX URBAN PRIMARY HEALTH CENTERS (UPHCS) IN JAIPUR DISTRICT.



STUDY POPULATION: ASHAS ($\geq$ 1 MONTH EXPERIENCE) AND SUPERVISORS (ANMS, PHMS).



ETHICAL CONSIDERATIONS: IIHMR UNIVERSITY IEC APPROVAL; INFORMED CONSENT OBTAINED.

Methodology - Sampling & Data Collection

Sample Size

ASHAs: 52

Selected to ensure representation from all 6 UPHCs

Based on feasibility & field constraints

Assumptions:

- 30% expected discrepancy
- 95% confidence level
- 10% margin of error
- Minimum required ≈ 50

Supervisors: 13

- Selected purposively based on monitoring roles

Tools Used

ASHA Questionnaire: HBNC knowledge, visit adherence, newborn care, incentives, records, challenges

Supervisor Questionnaire: Verification mechanisms, record accuracy, supervision, fake entry detection

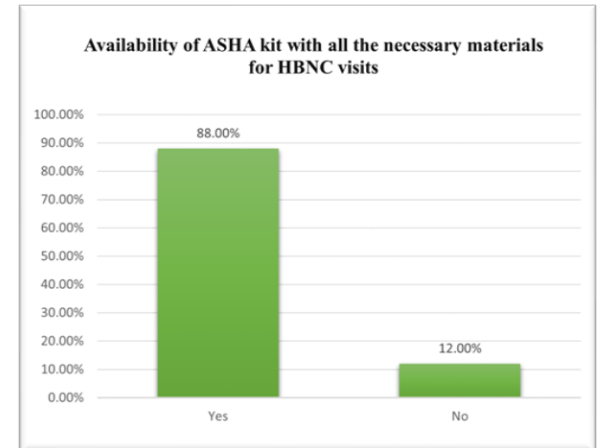
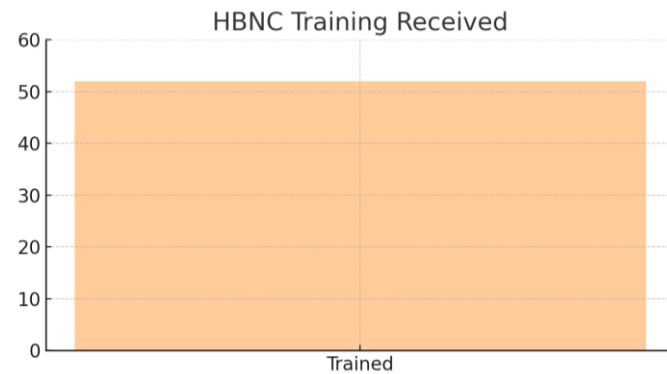
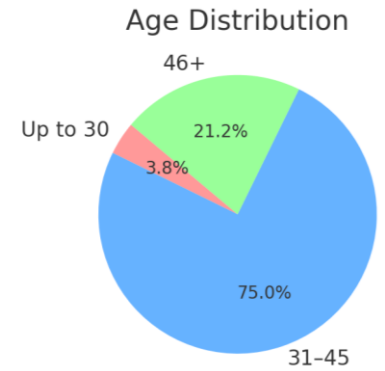
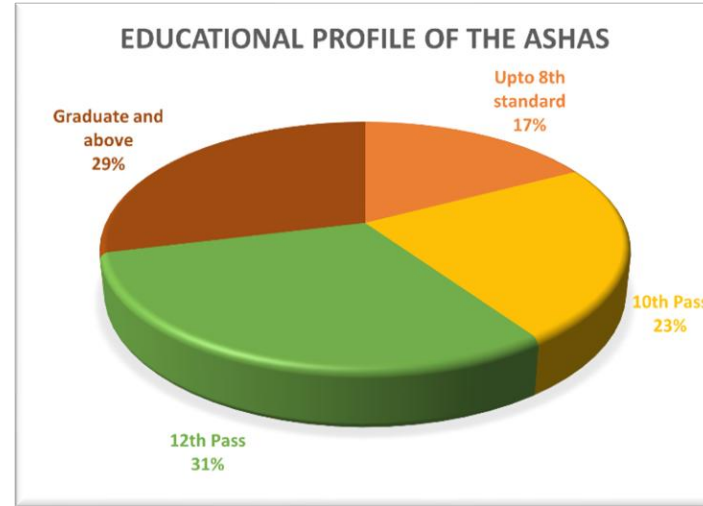
Register Checklist: Review of HBNC registers & child health incentive records

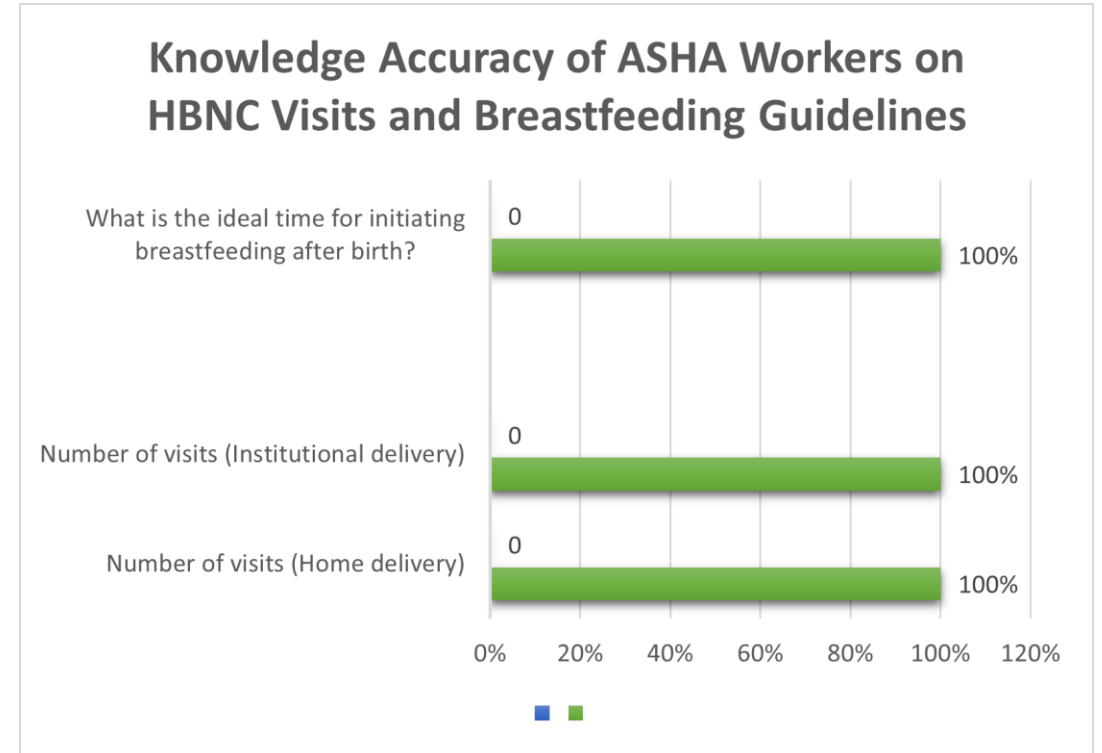
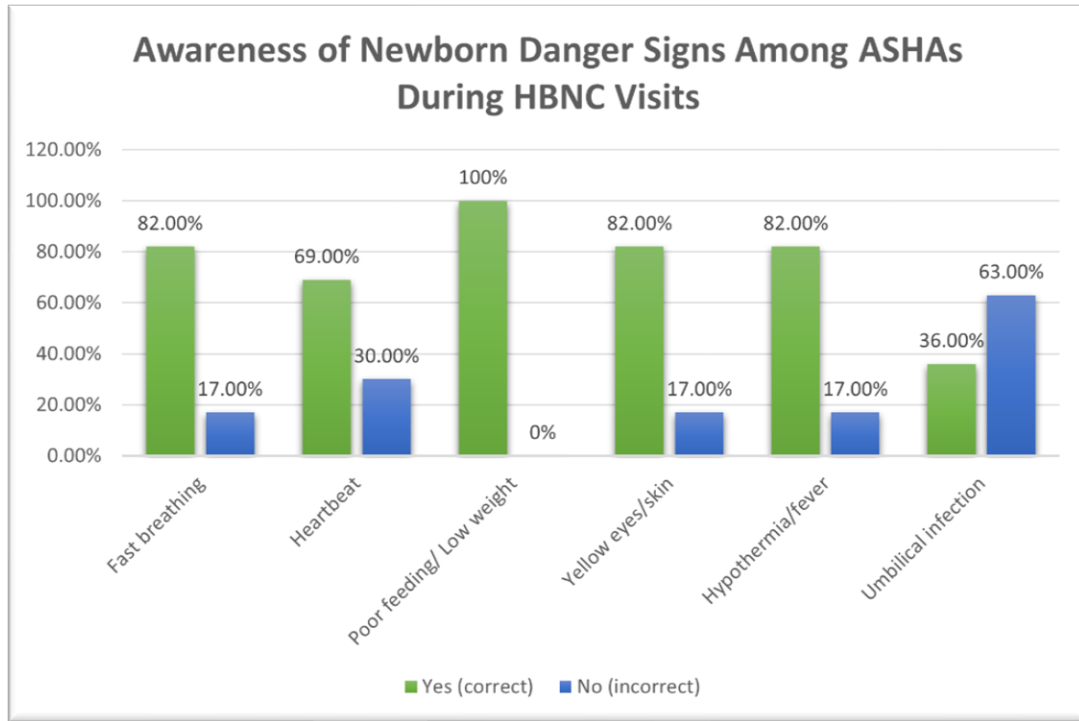
Data Collection Process

- Permissions obtained from UPHC Medical Officers
- Face-to-face interviews in Hindi using printed tools
- Responses manually recorded and digitized in Excel for analysis

Key Findings

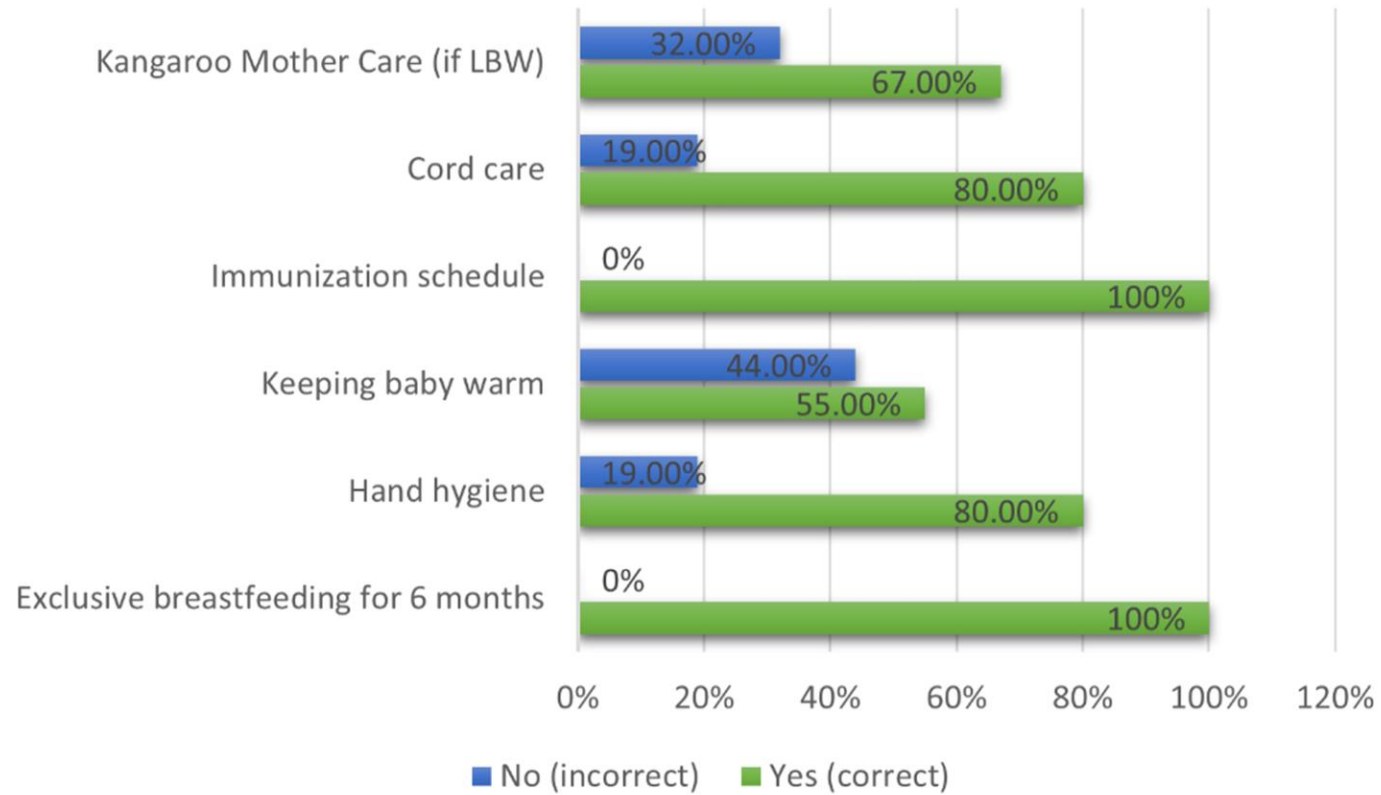
Respondent Profiles



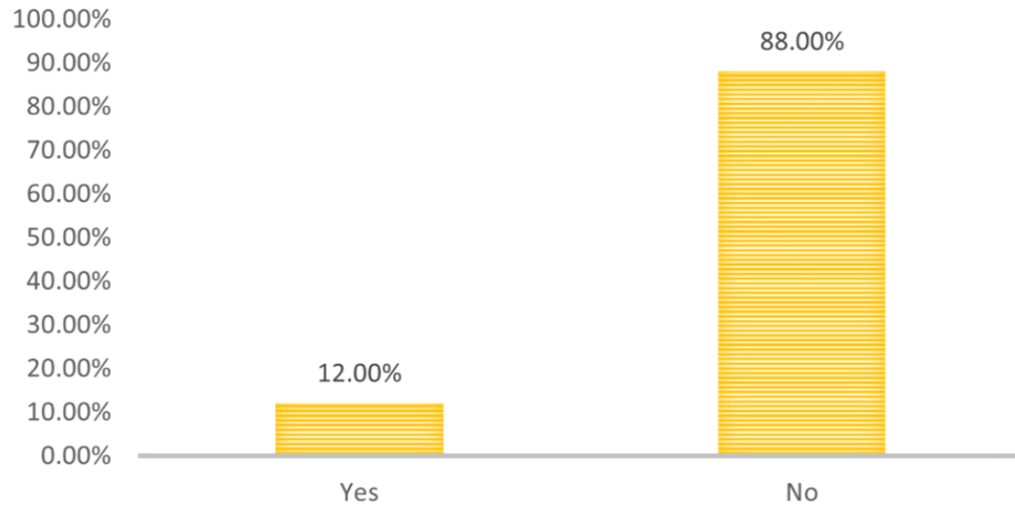


Knowledge and Awareness of HBNC among ASHA workers

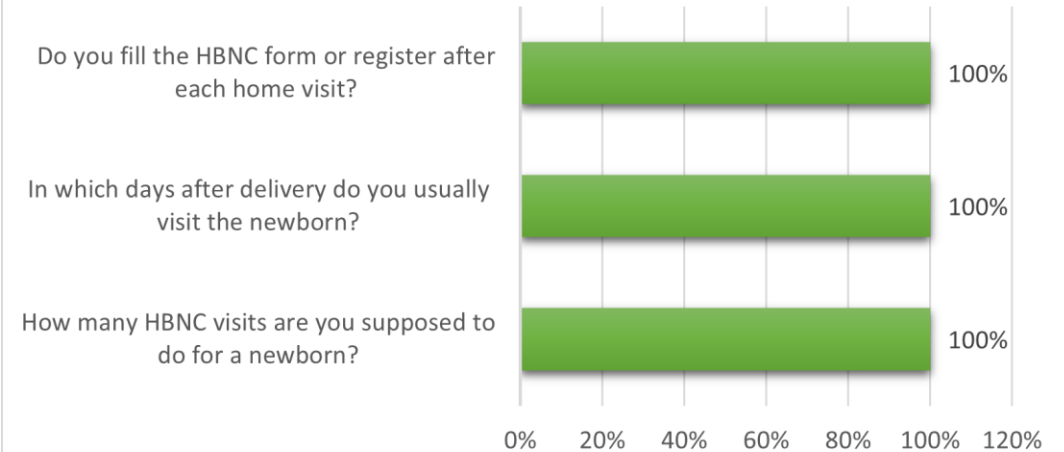
Knowledge of ASHAs on Essential Newborn Care Practices



PROPORTION OF ASHAS FACING DIFFICULTIES DURING HBNC VISITS

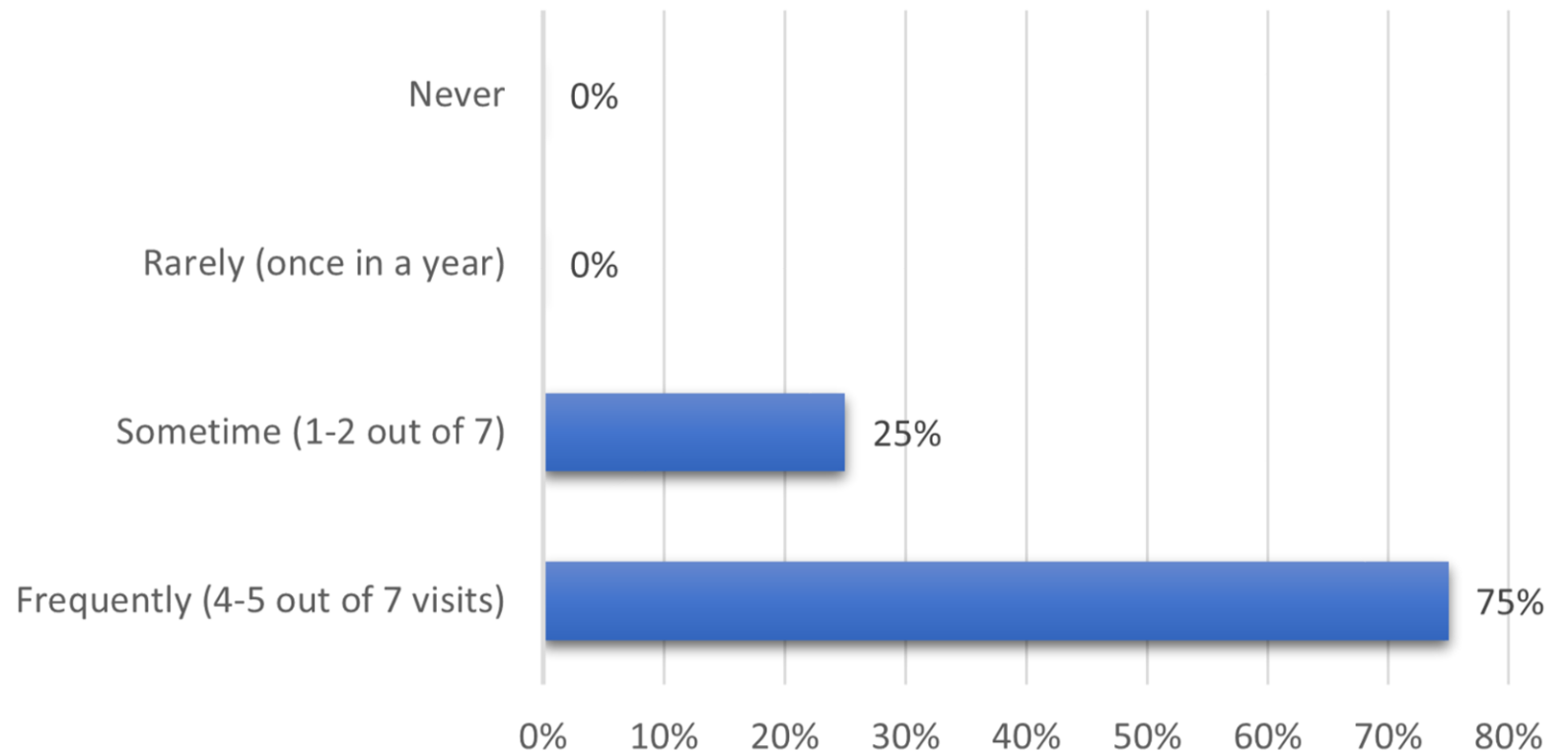


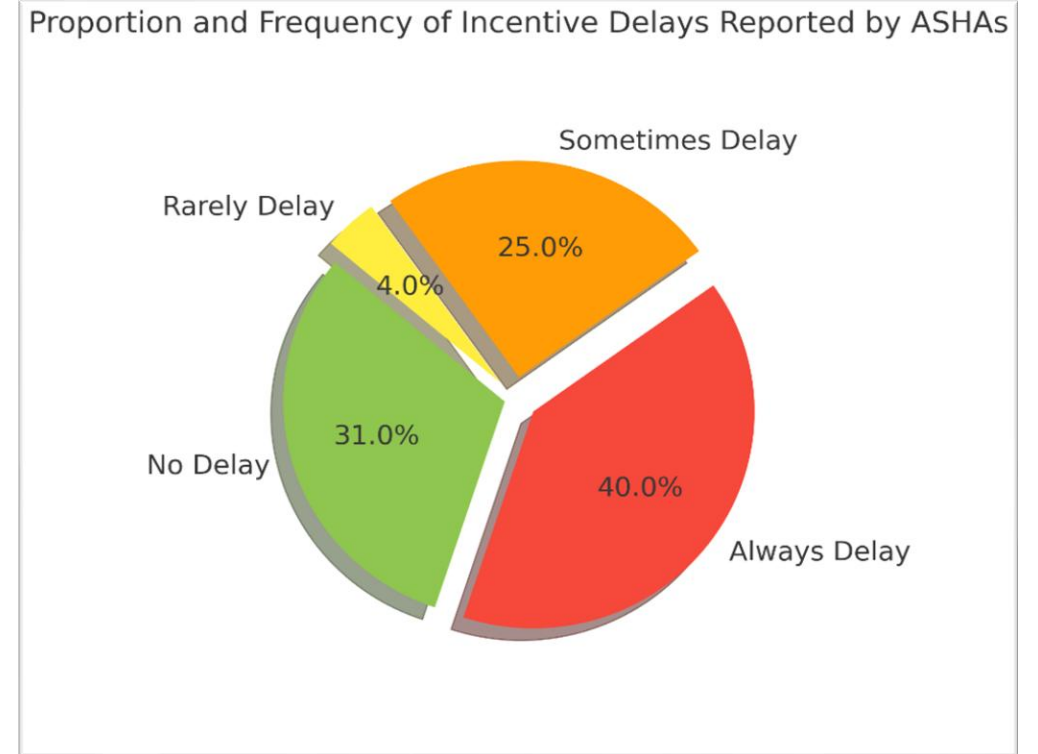
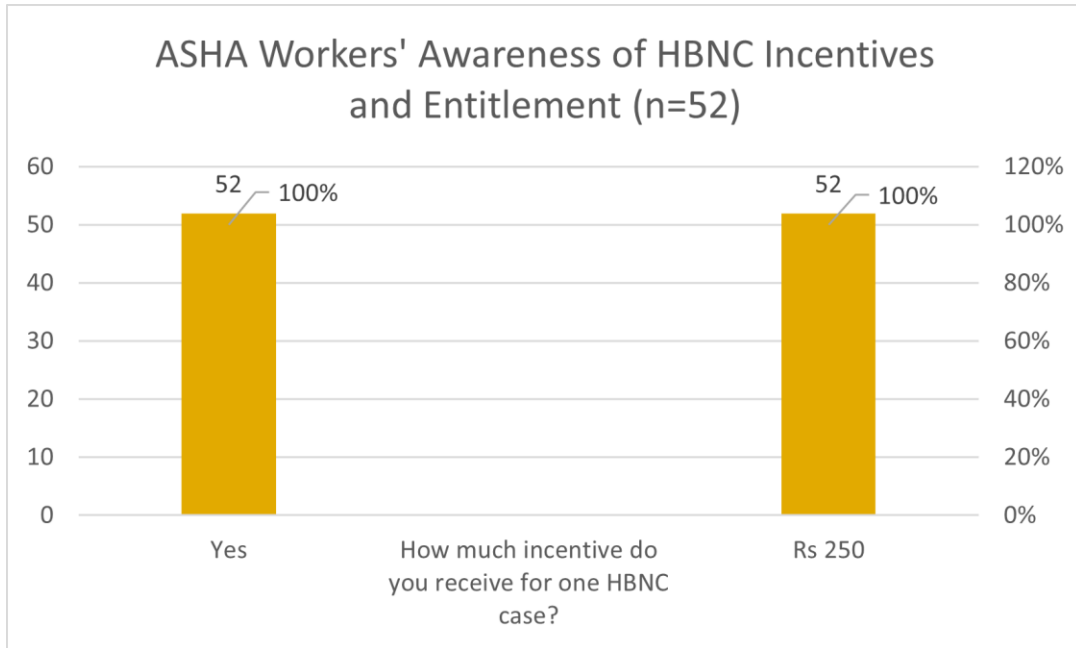
ASHA Workers' Adherence to Key HBNC Protocols (100% Compliance)



Performance of ASHA in HBNC Activities and Service Delivery

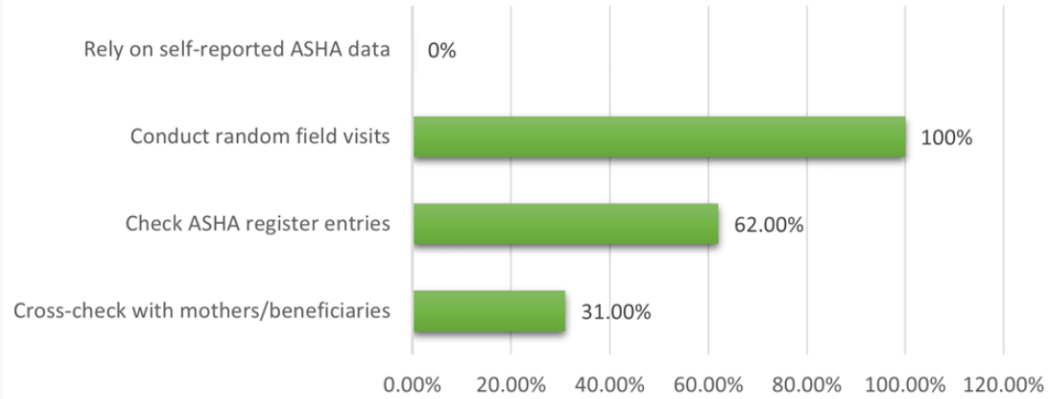
Frequency of Supervisory Verification During ASHA Home Visits by ANM/PHM



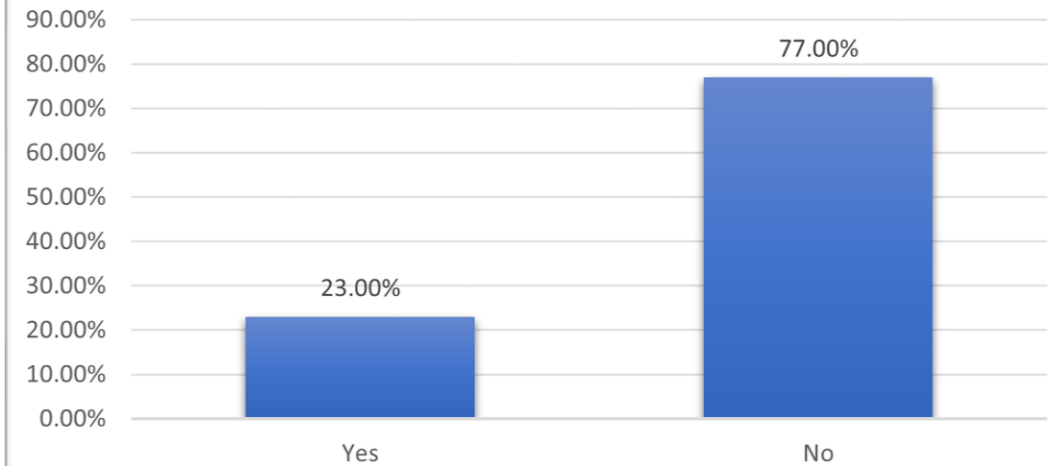


Knowledge and awareness of ASHAs about incentives and reporting of HBNC services

Methods Used by Supervisors to Verify HBNC Home Visits by ASHAs

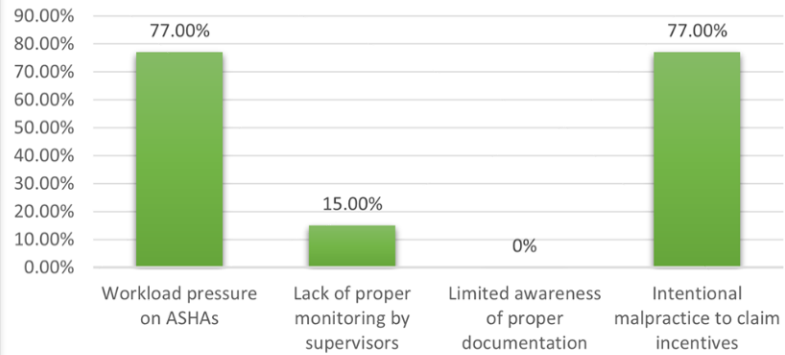


Detection of Inaccuracies in ASHA HBNC Reports by Supervisors

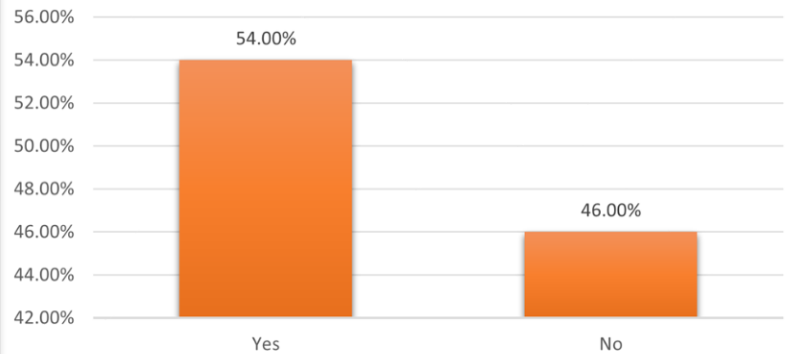


Role of supervisors in ASHA Supervision & Incentive Verification

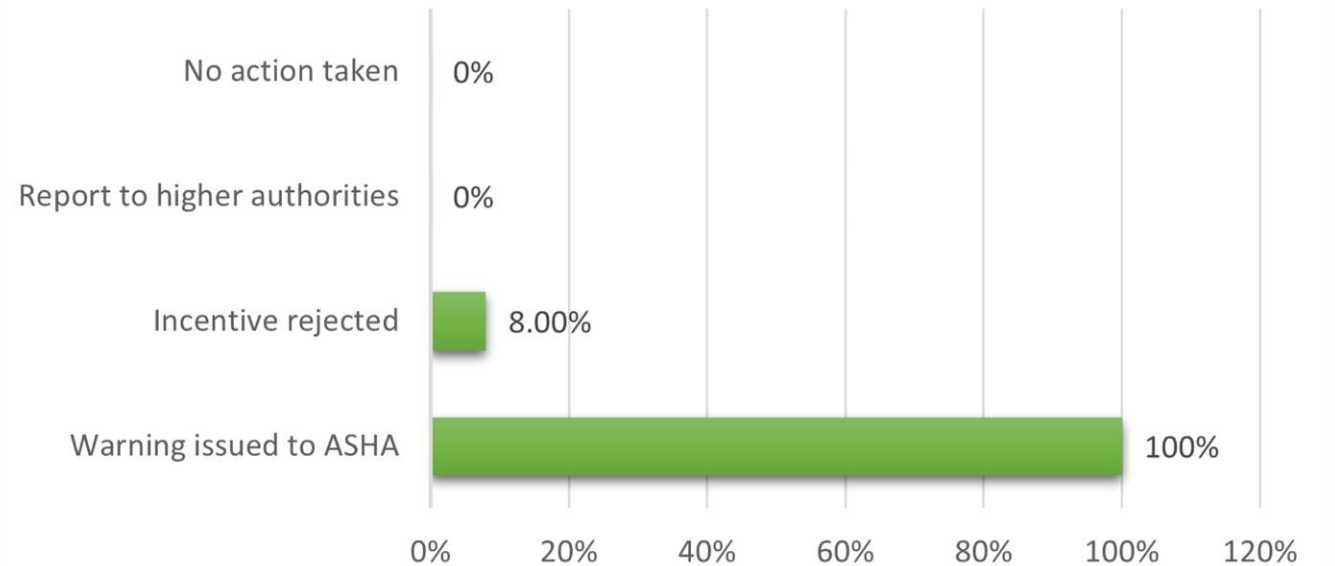
Commonly Reported Causes Behind Inaccurate ASHA Documentation



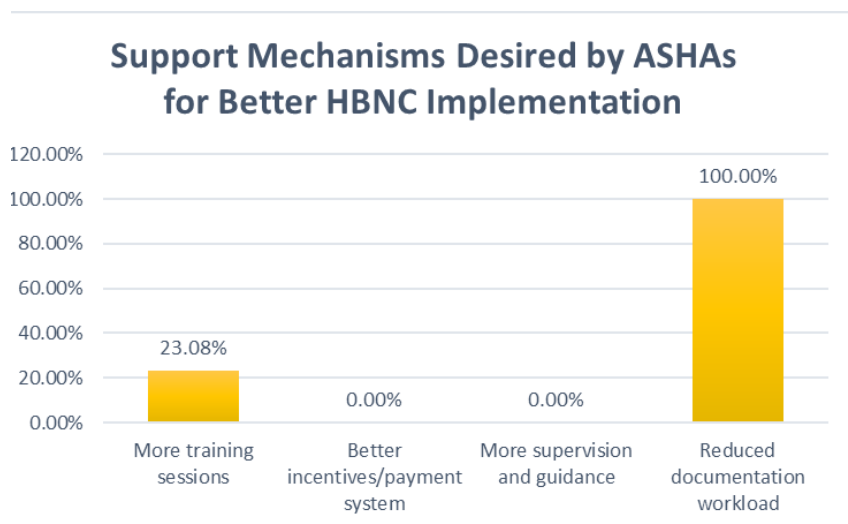
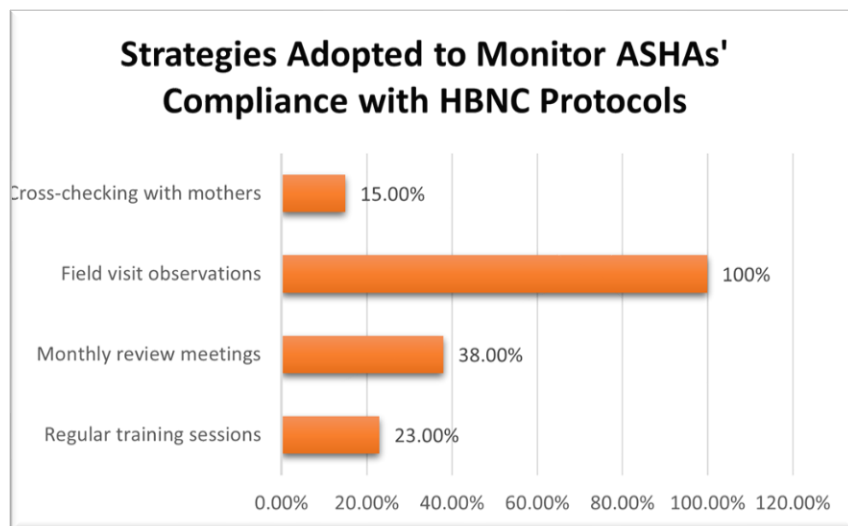
Incidence of Reported Delays in ASHA Incentive Disbursement by Supervisors



Actions Taken by Supervisors Upon Identifying False Entries in ASHA Reports



Participation of supervisors in monitoring and support for ASHAs



- All supervisors (100%) accompany ASHAs often during home visits.
- None reported knowledge gaps among ASHAs.

Theme	Mentions
PCTS app not working or updated	49 responses
Duplicate work due to digital + paper	12 responses
Unhygienic conditions in slums	1 response
Mothers-in-law not allowing visits	2 responses
Superstition/fear of nazar or infection	3 responses
Damaged equipment	2 responses
ASHA claim form and Mamta card unavailability	5 responses

Challenges
reported by
Respondents
(n=65)

Suggestion	Frequency
Reduced documentation burden for ASHAs	13 (100%)
More training sessions	3 supervisors
Streamlined monitoring using app-only or register-only	2 supervisors

Suggestion	Frequency
Refresher training on PCTS & login procedures	32 ASHAs
Timely replacement of damaged equipment	2 ASHAs
Avoid dual workload (registers + app)	11 ASHAs

Recommendations reported by Respondents

Component	UPHC <u>Durgapura</u>	UPHC Tilak Nagar	UPHC Raghu Vihar
HBNC Card Entries	Irregular	Regular	Irregular
ASHA Knowledge	Adequate	Adequate	Adequate
HBNC Kit Availability & Use	Damaged & not used	Available & used	Available & used
Incentive Awareness	Present	Present	Present
Incentives Updated & Disbursed	Yes, timely	Yes, timely	Yes, timely
Child Health Incentive Register (ASHA claim forms)	Not maintained	Maintained	Not maintained
Supervision Authority	ANMs & PHM	ANMs	ANMs
Supervision Mode	Field visits	Visits & meetings	Field visits
Number of Visits Completed by ASHA (out of 7)	3	5	4

Component	UPHC Hawa Sadak	UPHC Jawahar Nagar	UPHC <u>Shashtri</u> Nagar
HBNC Card Entries	Regular	Regular	Regular
ASHA Knowledge	Adequate	Adequate	Adequate
HBNC Kit Availability & Use	Available & <u>Used</u>	Available & <u>Used</u>	Damaged & not Used
Incentive Awareness	Present	Present	Present
Incentives Updated & Disbursed	No	No	No
Child Health Incentive Register (ASHA claim forms)	maintained	Maintained	Maintained
Supervision Authority	ANMs & PHM	ANMs	ANMs
Supervision Mode	Field visits	Visits & meetings	Field visits
Number of Visits Completed by ASHA (out of 7)	4	5	4

Physical reports

गृह सम्पर्क की दिनांक	27-1-25	3-2-25	10-2-25	17-2-25	24-2-25
1. क्या नवजात जीवित है ?	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं
2. क्या माता जीवित है ?	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं
3. क्या माता पर्याप्त रूप से खाना खा रही है (प्रति दिन 4 से 6 बार) ?	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं
4. माता एक दिन में रक्त स्राव हेतु कितने पेट बदलती है ?		4	4	3	3
5. क्या शिशु को साफ कपड़े / कमल में लपेट कर माँ के पास रखा गया है ?	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं
6. क्या बच्चे को अच्छे से स्तनपान कराया जा रहा है (भूख लगने पर या 24 घण्टे में कम से कम 7-8 बार) ?	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं
7. क्या नवजात लगातार रो रहा है या दिन में 6 से कम बार मूत्र त्याग कर रहा है ?	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं
1. ताम्रपान भापे तथा दर्ज करें :-					
2. दुर्गंध युक्त स्राव एवं बुखार है ?	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं
3. क्या माता असामान्य रूप से बात कर रही है या उसे दौरे आ रहे हैं ?	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं
4. क्या माता द्वारा नवजात शिशु को जन्म के तुरन्त बाद स्तनपान कराया (एक घण्टे के भीतर) ?	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं
5. क्या कटे-फटे निपल, स्तन में दर्द या अत्यधिक मरे स्तन है ?	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं

गृह सम्पर्क		प्रसूता तथा नवजात की जाँच हेतु गृह सम्पर्क प्रपत्र आशा द्वारा भरे जाते				
गृह सम्पर्क की दिनांक	प्रथम सम्पर्क (पहला दिन)	द्वितीय सम्पर्क (3-5)	तृतीय सम्पर्क (6-8)	चतुर्थ सम्पर्क (13-15)	पंचम सम्पर्क (20-22)	षष्ठम सम्पर्क (26-30)
1. क्या नवजात जीवित है ?	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं
2. क्या माता जीवित है ?	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं
3. क्या माता पर्याप्त रूप से खाना खा रही है (प्रति दिन 4 से 6 बार) ?	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं
4. माता एक दिन में रक्त स्राव हेतु किन्तु फेरु बदलती है ?	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं
5. क्या शिशु को साफ कपड़े / कबल में लपेट कर माँ के पास रखा गया है ?	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं
6. क्या दूध को अच्छे से स्तनपान कराया जा रहा है (शुद्ध लगने पर या 24 घण्टे में कम से कम 7-8 बार) ?	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं
7. क्या नवजात लगातार रो रहा है या दिन में 6 से कम बार मूत्र त्याग कर रहा है ?	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं
8. तापमान माप तथा दर्ज करें :-						
9. दुर्गन्ध युक्त स्राव एवं दुखार है ?	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं
10. क्या माता असामान्य रूप से थका कर रही है या उसी दौर आ रहे हैं ?	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं
11. क्या माता द्वारा नवजात शिशु को लगभग के तुल्य बाद स्तनपान कराया (एक घण्टे के भीतर) ?	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं
12. क्या कटे-फटे निषल, स्तन में दर्द या अत्यधिक भार स्पर्श है ?	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं	हाँ/नहीं

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Conclusion - Summary of Findings

ASHA Knowledge and HBNC Implementation

Strong understanding of HBNC protocols among ASHAs

100% aware of visit schedule and breastfeeding initiation

Gaps in identifying danger signs (e.g., umbilical infection)

Logistical issues: incomplete HBNC kits

Socio-cultural barriers: resistance from family elders

Incentive Data Integrity and Payment Delays

- 69% of ASHAs reported payment delays
- 40.38% said delays were constant
- Payment delays demotivate ASHAs
- Threatens data accuracy and service delivery

Accuracy of Reports and Supervisory Verification

- Supervisors conduct regular verifications
- 23.08% detected fake entries
- Causes: workload pressure, malpractice
- Raises concerns on report credibility

Mismatch in Visit Data & Technology Issues

Discrepancy between reported visits and physical verification

Errors undermine planning and accountability

Technical issues with PCTS app and dual documentation

Increased risk of data entry errors

Implications of Findings

1. Undermined Program Evaluation and Accountability

Data discrepancies and instances of fake reporting compromise the accuracy of HBNC monitoring.

Inhibits evidence-based planning and decision-making.

2. Reduced ASHA Motivation and Burnout Risk

69% ASHAs reported delays in incentives; 40.38% reported consistent delays.

Leads to demotivation, affecting service delivery and reporting quality.

3. Increased Administrative Burden and Error Risk

Dual entry (digital + paper) increases workload.

Raises chances of duplication, inconsistency, and unusable data.

Recommendations

1. Streamline Incentives

Automate disbursement via integrated PCTS.

Enable real-time payment tracking for ASHAs.

2. Strengthen Data Verification

Conduct random field checks by third parties.

Use geotagged photos/digital timestamps for visit validation.

3. Digitize and Simplify Documentation

Fix PCTS app issues, provide technical support.

Eliminate redundant paperwork with digital sync to state systems.

Ensure complete HBNC kit provision.

4. Capacity Building and Support

Regular refresher trainings on HBNC and tech use.

Set up ASHA helplines and peer-support networks.

5. Feedback & Monitoring Systems

Create safe platforms for ASHAs to share operational challenges.

Develop performance dashboards for PHC-level tracking.

Appendix

The following questionnaire was used to collect data for the study titled "Study on implementation status of the HBNC program and incentive related data integrity among ASHA workers and supervisors in Jaipur district of Rajasthan."

Questionnaire for ASHA Workers

Section A: Demographic and Work Profile

1. Name of ASHA: _____
2. Age: _____
3. Education Level:
 - ☐ No Formal Education
 - ☐ Up to 8th Standard
 - ☐ 10th Pass
 - ☐ 12th Pass
 - ☐ Graduate and Above
4. PHC/UPHC Name: _____
5. District: _____
6. Have you received HBNC training? Yes [☐] No [☐]
7. Do you have the ASHA kit with all the necessary materials for HBNC visits?
Yes [☐] No [☐]

If No, what items are missing? _____

Section B: HBNC Service Delivery and Supervision

8. Do you conduct HBNC visits as per guidelines after delivery?
 - ☐ Yes
 - ☐ No
9. How many HBNC visits are you supposed to do for a newborn?
 - ☐ 3
 - ☐ 5
 - ☐ 6
 - ☐ 7
 - ☐ Don't know
10. In which days after delivery do you usually visit the newborn? (Tick all that apply)
 - ☐ Day 1

- ☐ Day 3
- ☐ Day 7
- ☐ Day 14
- ☐ Day 21
- ☐ Day 28
- ☐ Day 42

11. Do you fill the HBNC form or register after each home visit?
 - ☐ Yes
 - ☐ No
12. Is your HBNC record regularly verified by your supervisor (ANM/MPW)?
 - ☐ Yes
 - ☐ No
 - ☐ Not Sure
13. How often does your supervisor (ANM/MO) accompany or verify your home visits?
 - ☐ Frequently (4-5 out of 7 visits)
 - ☐ Sometime (1-2 out of 7)
 - ☐ Rarely (once in a year)
 - ☐ Never
14. Do you ever face difficulty in conducting HBNC visits?
 - ☐ Yes
 - ☐ No

If yes, mention the reasons: _____

Section C: Incentives and Reporting

15. Are you aware that you are entitled to incentives for conducting HBNC visits?
 - ☐ Yes
 - ☐ No
16. How much incentive do you receive for one HBNC case?
 - ☐ ₹100
 - ☐ ₹250
 - ☐ ₹500
 - ☐ Don't know
17. Have you ever experienced delays in receiving your incentives?
 - ☐ Yes
 - ☐ No
18. If yes, how often do you experience delays?
 - ☐ Rarely

☐ Sometimes

☐ Always

Section D: Knowledge and Awareness of HBNC

19. What is the ideal time for initiating breastfeeding after birth?

- ☐ Within 1 hour
- ☐ Within 6 hours
- ☐ Within 24 hours
- ☐ Don't know

20. What danger signs do you check for in a newborn during HBNC visits? (Tick all that apply)

- ☐ Fast breathing
- ☐ Heart beat
- ☐ Poor feeding/ low weight
- ☐ Yellow eyes/skin
- ☐ Hypothermia/fever
- ☐ Umbilical infection
- ☐ Don't know

21. What do you advise the mother during HBNC visits? (Tick all that apply)

- ☐ Exclusive breastfeeding for 6 months
- ☐ Hand hygiene
- ☐ Keeping baby warm
- ☐ Immunization schedule
- ☐ Cord care
- ☐ Kangaroo Mother Care (if LBW)

Section F: Suggestions and Feedback

22. What challenges do you face in implementing the HBNC program effectively?

23. Do you have any suggestions for improving the HBNC program or the incentive system? (Open-ended)

Questionnaire for Supervisors (ANM/MO/BPM/BDA)

Section A: Demographic and Work Profile

1. Name: _____

2. Designation:

- ☐ ANM
- ☐ Medical Officer
- ☐ Block Program Manager (BPM)
- ☐ Block Data Assistant (BDA)
- ☐ Other (specify): _____

3. PHC/CHC Name: _____

4. District: _____

5. Number of ASHAs under your supervision: _____

Section B: Role in ASHA Supervision & Incentive Verification

7. Do you verify and approve ASHA incentives for HBNC services?

- ☐ Yes
- ☐ No

8. How often do you check ASHA home visit records before approving incentives?

- ☐ Always
- ☐ Sometimes
- ☐ Rarely
- ☐ Never

9. How do you verify that ASHA has actually conducted HBNC home visits? (Tick all that apply)

- ☐ Cross-check with mothers/beneficiaries
- ☐ Check ASHA register entries
- ☐ Conduct random field visits
- ☐ Rely on self-reported ASHA data
- ☐ Other (specify): _____

10. Have you ever identified **fake or incorrect entries** in ASHA home visit reports?

- ☐ Yes
- ☐ No
- If yes, how frequently?
- ☐ Often
- ☐ Sometimes
- ☐ Rarely

11. What action is taken when false entries are identified?

- ☐ Warning issued to ASHA

☐ Incentive rejected

☐ Report to higher authorities

☐ No action taken

12. In your opinion, what are the main reasons for **fake or incorrect entries** in ASHA records?

- ☐ Workload pressure on ASHAs
- ☐ Lack of proper monitoring by supervisors
- ☐ Limited awareness of proper documentation
- ☐ Intentional malpractice to claim incentives

13. How transparent and efficient do you think the ASHA incentive payment process is?

- ☐ Very transparent
- ☐ Somewhat transparent
- ☐ Not transparent

14. Have ASHAs under your supervision reported **delays in incentive payments**?

- ☐ Yes
- ☐ No

Section C: Monitoring and Support for ASHAs

15. How frequently do you accompany ASHAs on HBNC home visits for monitoring?

- ☐ Always
- ☐ Often (2-3 visits out of 7)
- ☐ Sometimes (1 out of 7)
- ☐ Rarely

16. How do you ensure that ASHAs follow HBNC guidelines properly?

- ☐ Regular training sessions
- ☐ Monthly review meetings
- ☐ Field visit observations
- ☐ Cross-checking with mothers

17. Have you observed **gaps in ASHAs' knowledge and awareness** about HBNC?

- ☐ Yes
- ☐ No

If yes, what are the key knowledge gaps among ASHAs? (Tick all that apply)

- ☐ Timing and frequency of HBNC visits
- ☐ Newborn danger signs identification
- ☐ Counseling on exclusive breastfeeding
- ☐ Infection prevention and cord care

☐ Thermal protection for newborns

☐ Other (specify): _____

18. What support do ASHAs need to improve their performance in HBNC?

☐ More training sessions

☐ Better incentives/payment system

☐ More supervision and guidance

☐ Reduced documentation workload

☐ Other (specify): _____

Section D: Challenges and Recommendations

21. What challenges do you face while verifying and updating ASHA incentives?

22. What recommendations do you have for improving ASHA incentive monitoring and HBNC implementation?

An aerial, high-angle view of a multi-lane highway with several vehicles traveling in both directions. The road is light gray with white lane markings. The background is a soft, out-of-focus landscape with green and brown tones.

Thank You
