

# **PUERTO RICO MEDICAID STATE PLAN**

## **SECTION 4 GENERAL PROGRAM ADMINISTRATION**

JULY 2023

**OFFICIAL**

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AT 80-38

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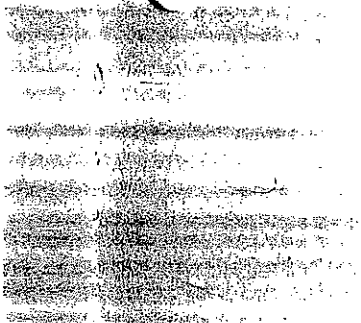
State/Territory: Puerto Rico

SECTION 4 - GENERAL PROGRAM ADMINISTRATION

Citation  
42 CFR 431.15  
AT-79-29

4.1 Methods of Administration

The Medicaid agency employs methods of administration found by the Secretary of Health and Human Services to be necessary for the proper and efficient operation of the plan.



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TN No. 74-1

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1989

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Revision: HCFA-AT-80-38 (BPP)  
May 22, 1980

State Commonwealth of Puerto Rico

Citation  
42 CFR 431.202  
AT-79-29  
AT-80-34

4.2 Hearings for Applicants and Recipients

The Medicaid agency has a system of hearings that meets all the requirements of 42 CFR Part 431, Subpart E.

TN # 74-1  
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TN # —

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Revision: HCFA-AT-87-9 (BERG)  
AUGUST 1987

OMB No.: 0938-0193

State/Territory: Puerto Rico

Citation  
42 CFR 431.301  
AT-79-29

4.3 Safeguarding Information on Applicants and Recipients

Under State statute which imposes legal sanctions, safeguards are provided that restrict the use or disclosure of information concerning applicants and recipients to purposes directly connected with the administration of the plan.

52 FR 5967

All other requirements of 42 CFR Part 431, Subpart F are met.

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35

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MARCH 1987

OMB No.: 0938-0193

State/Territory: Puerto Rico

Citation

42 CFR 431.800(c)

50 FR 21839

1903(u)(1)(D) of  
the Act,

P.L. 99-509

(Section 9407)

4.4 Medicaid Quality Control

- (a) A system of quality control is implemented in accordance with 42 CFR Part 431, Subpart P.
- (b) The State operates a claims processing assessment system that meets the requirements of 431.300(e), (g), (h), (j), and (k).

Yes.

Not applicable. The State has an approved Medicaid Management Information System (MMIS).

TN No. 88-1  
Supersedes  
TN No. 85-4

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**ACT 20 1988**  
1989

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ENCLOSURE A

**OFFICIAL**

Medicaid State Plan Preprint

State/Territory: PUERTO RICO

**PROPOSED SECTION 4 – GENERAL PROGRAM ADMINISTRATION**

4.44 Medicaid Prohibition on Payment to Institutions or Entities Located Outside of the United States

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Citation

Section 1902(a)(80) of the Social Security Act, P.L. 111-148 (Section 6505)

The State shall not provide any payments for items or services provided under the State plan or under a waiver to any financial institution or entity located outside of the United States.

TN No. 11-001

Supersedes

TN No. NEW

**New**

Approval Date:

MAR 31 2011

Effective Date: January 1, 2011



Revision: HCFA-PM-88-10 (BERC)  
SEPTEMBER 1988

OMB No.: 0938-0193

State/Territory: Puerto Rico

Citation  
42 CFR 455.12  
AT-78-90  
48 FR 3742  
52 FR 48817

4.5 Medicaid Agency Fraud Detection and Investigation Program

The Medicaid agency has established and will maintain methods, criteria, and procedures that meet all requirements of 42 CFR 455.13 through 455.21 and 455.23 for prevention and control of program fraud and abuse.

TN No. 59-1  
Supersedes  
TN No. 83-6

Approval Date AUG 15 1989

Effective Date JUL 1 1989

HCFA ID: 1010P/0012P

Revision:

**OFFICIAL**

State PUERTO RICO

### PROPOSED SECTION 4 - GENERAL PROGRAM ADMINISTRATION

#### 4.5 Medicaid Recovery Audit Contractor Program

<p><u>Citation</u></p> <p>Section 1902(a)(42)(B)(i) of the Social Security Act</p> <p>Section 1902(a)(42)(B)(ii)(I) of the Act</p> <p>Section 1902 (a)(42)(B)(ii)(II)(aa) of the Act</p>	<p><u>      </u> The State has established a program under which it will contract with one or more recovery audit contractors (RACs) for the purpose of identifying underpayments and overpayments of Medicaid claims under the State plan and under any waiver of the State plan.</p> <p><u>XX</u> The State is seeking an exception to establishing such program for the following reasons:</p> <p><u>The Medicaid Program in Puerto Rico is administered by private Managed Care Organizations (MCOs) through a managed care system. We understand that the RAC requirements should not apply to the Puerto Rico MEDICAID Program. See attached letter dated December 22, 2010.</u></p> <p><u>      </u> The State/Medicaid agency has contracts of the type(s) listed in section 1902(a)(42)(B)(ii)(I) of the Act. All contracts meet the requirements of the statute. RACs are consistent with the statute.</p> <p>Place a check mark to provide assurance of the following:</p> <p><u>      </u> The State will make payments to the RAC(s) only from amounts recovered.</p> <p><u>      </u> The State will make payments to the RAC(s) on a contingent Basis for collecting overpayments.</p> <p>The following payment methodology shall be used to determine State payments to Medicaid RACs for identification and recovery of overpayments (e.g., the percentage of the contingency fee):</p> <p><u>      </u> The State attests that the contingency fee rate paid to the Medicaid RAC will not exceed the highest rate paid to Medicare RACs, as published in the Federal Register.</p> <p><u>      </u> The State attests that the contingency fee rate paid to the Medicaid RAC will exceed the highest rate paid to Medicare RACs, as published in the Federal Register. The State will only submit for FFP up to the amount equivalent to that published rate.</p>
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TN No. 10-001  
Supersedes  
TN No. \_\_\_\_\_

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Effective Date: DEC 22 2010

# OFFICIAL

Section 1902 (a)(42)(B)(ii)(II)(bb)  
of the Act

\_\_\_\_\_ The contingency fee rate paid to the Medicaid RAC that will exceed the highest rate paid to Medicare RACs, as published in the Federal Register. The State will submit a justification for that rate and will submit for FFP for the full amount of the contingency fee.

Section 1902 (a)(42)(B)(ii)(III)  
of the Act

\_\_\_\_\_ The following payment methodology shall be used to determine State payments to Medicaid RACs for the identification of underpayments (e.g., amount of flat fee, the percentage of the contingency fee):

Section 1902 (a)(42)(B)(ii)(IV)(aa)  
of the Act

\_\_\_\_\_ The State has an adequate appeal process in place for entities to appeal any adverse determination made by the Medicaid RAC(s).

Section 1902(a)(42)(B)(ii)(IV)(bb)  
of the Act

\_\_\_\_\_ The State assures that the amounts expended by the State to carry out the program will be amounts expended as necessary for the proper and efficient administration of the State plan or a waiver of the plan.

Section 1902 (a)(42)(B)(ii)(IV)(cc)  
Of the Act

\_\_\_\_\_ The State assures that the recovered amounts will be subject to a State's quarterly expenditure estimates and funding of the State's share.

\_\_\_\_\_ Efforts of the Medicaid RAC(s) will be coordinated with other contractors or entities performing audits of entities receiving payments under the State plan or waiver in the State, and/or State and Federal law enforcement entities and the CMS Medicaid Integrity Program.

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Supersedes  
TN No. \_\_\_\_\_

Approval Date: FEB 09 2011

Effective Date: DEC 22 2010

Revision: HCFA-AT-80-38 (BPP)  
May 22, 1980

State Commonwealth of Puerto Rico

Citation  
42 CFR 431.16  
AT-79-29

4.6 Reports

The Medicaid agency will submit all reports in the form and with the content required by the Secretary, and will comply with any provisions that the Secretary finds necessary to verify and assure the correctness of the reports. All requirements of 42 CFR 431.16 are met.

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IN #     

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May 22, 1980

State Commonwealth of Puerto Rico

Citation  
42 CFR 431.17  
AT-79-29

4.7 Maintenance of Records

The Medicaid agency maintains or supervises the maintenance of records necessary for the proper and efficient operation of the plan, including records regarding applications, determination of eligibility, the provision of medical assistance, and administrative costs, and statistical, fiscal and other records necessary for reporting and accountability, and retains these records in accordance with Federal requirements. All requirements of 42 CFR 431.17 are met.

TN # 74-1  
Supersedes  
TN # —

Approval Date 10/25/74 Effective Date 4/1/74

Revision: HCFA-AT-80-38 (BPP)  
May 22, 1980

State Commonwealth of Puerto Rico

Citation  
42 CFR 431.18 (b)  
AT-79-29

4.8 Availability of Agency Program Manuals

Program manuals and other policy issuances that affect the public, including the Medicaid agency's rules and regulations governing eligibility, need and amount of assistance, recipient rights and responsibilities, and services offered by the agency are maintained in the State office and in each local and district office for examination, upon request, by individuals for review, study, or reproduction. All requirements of 42 CFR 431.18 are met.

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# —

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Revision: HCFA-AT-80-38 (BPP)  
May 22, 1980

State Commonwealth of Puerto Rico

Citation  
42 CFR 433.37  
AT-78-90

4.9 Reporting Provider Payments to Internal Revenue Service

There are procedures implemented in accordance with 42 CFR 433.37 for identification of providers of services by social security number or by employer identification number and for reporting the information required by the Internal Revenue Code (26 U.S.C. 6041) with respect to payment for services under the plan.

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Supersedes  
TN # —

Approval Date 10/15/74 Effective Date 4/1/74

New: HCFA-PM-99-3  
JUNE 1999

State:                     [Puerto Rico]

Citation

42 CFR 431.51

AT 78-90

46 FR 48524

48 FR 23212

1902(a) (23)

P.L. 100-93

(section 8(f))

P.L. 100-203

(Section 4113)

Section 1902(a) (23)  
Of the Social  
Security Act  
P.L. 105-33

Section 1932(a) (1)  
Section 1905(t)

4.10 Free Choice of Providers

- (a) Except as provided in paragraph (b), the Medicaid agency assures that an individual eligible under the plan may obtain Medicaid services from any institution, agency, pharmacy person, or organization that is qualified to perform the services, including of the Act an organization that provides these services or arranges for their availability on a prepayment basis.
- (b) Paragraph (a) does not apply to services furnished to an individual –
- (1) Under an exception allowed under 42 CFR 431.54, subject to the limitations in paragraph (c), or
  - (2) Under a waiver approved under 42 CFR 431.55, subject to the limitations in paragraph (c), or
  - (3) By an individual or entity excluded from participation in accordance with section 1902(p) of the Act,
  - (4) By individuals or entities who have been convicted of a felony under Federal or State law and for which the State determines that the offense is inconsistent with the best interests of the individual eligible to obtain Medicaid services, or
  - (5) Under an exception allowed under 42 CFR 438.50 or 42 CFR 440.168, subject to the limitations in paragraph (c).
- (c) Enrollment of an individual eligible for medical assistance in a primary care case management system described in section 1905(t), 1915(a), 1915(b) (1), or 1932(a); managed care organization, prepaid inpatient health plan, a prepaid ambulatory health plan, or a similar entity shall not restrict the choice of the qualified person from whom the individual may receive emergency services or services under section 1905 (a)(4)(c).

**Freedom of Choice is not applicable to Puerto Rico**

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Approval Date           ~~FEB 24 2004~~



Division: HCFA-AT-80-38 (BPP)  
May 22, 1980

State Commonwealth of Puerto Rico

Citation  
42 CFR 431.610  
AT-78-90  
AT-80-34

4.11 Relations with Standard-Setting and Survey Agencies

(a) The State agency utilized by the Secretary to determine qualifications of institutions and suppliers of services to participate in Medicare is responsible for establishing and maintaining health standards for private or public institutions (exclusive of Christian Science sanatoria) that provide services to Medicaid recipients. This agency is Department of Health of

Puerto Rico

(b) The State authority(ies) responsible for establishing and maintaining standards, other than those relating to health, for public or private institutions that provide services to Medicaid recipients is (are): Department of Health of

Puerto Rico.

(c) ATTACHMENT 4.11-A describes the standards specified in paragraphs (a) and (b) above, that are kept on file and made available to the Health Care Financing Administration on request.

N # 74-1  
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# —

Approval Date 10/15/74 Effective Date 4/1/74

Revision: HCFA-AT-80-38 (BPP)  
May 22, 1980

State Commonwealth of Puerto Rico

42 CFR 431.610  
R-78-90  
R-89-34

4.11(d) The Department of Health of  
Puerto Rico (agency)  
which is the State agency responsible  
for licensing health institutions,  
determines if institutions and  
agencies meet the requirements for  
participation in the Medicaid  
program. The requirements in 42 CFR  
431.610(e), (f) and (g) are met.

74-1  
Mercedes  
N

Approval Date 10/25/74 Effective Date 4/1/74

Revision: HCFA-AT-80-38 (BPP)  
May 22, 1980

State Commonwealth of Puerto Rico

Citation  
42 CFR 431.105 (b)  
AT-78-90

4.12 Consultation to Medical Facilities

- (a) Consultative services are provided by health and other appropriate State agencies to hospitals, nursing facilities, home health agencies, clinics and laboratories in accordance with 42 CFR 431.105 (b).
- (b) Similar services are provided to other types of facilities providing medical care to individuals receiving services under the programs specified in 42 CFR 431.105 (b).

Yes, as listed below:

Not applicable. Similar services are not provided to other types of medical facilities.

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N # —

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AUGUST 1991

OMB No.: 0938-

State/Territory: Puerto Rico

Citation 4.13 Required Provider Agreement

With respect to agreements between the Medicaid agency and each provider furnishing services under the plan:

- 42 CFR 431.107 (a) For all providers, the requirements of 42 CFR 431.107 and 42 CFR Part 442, Subparts A and B (if applicable) are met.
- 42 CFR Part 483 1919 of the Act (b) For providers of NF services, the requirements of 42 CFR Part 483, Subpart B, and section 1919 of the Act are also met.
- 42 CFR Part 483, Subpart D (c) For providers of ICF/MR services, the requirements of participation in 42 CFR Part 483, Subpart D are also met.
- 1920 of the Act (d) For each provider that is eligible under the plan to furnish ambulatory prenatal care to pregnant women during a presumptive eligibility period, all the requirements of section 1920(b)(2) and (c) are met.

Not applicable. Ambulatory prenatal care is not provided to pregnant women during a presumptive eligibility period.

All services are provided through Department of Health facilities.

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Supersedes 88-1 Approval Date MAY 1 1992 Effective Date JAN 1 - 1992  
TN No. 88-1

HCFA ID: 7982E

State/Territory: [Puerto Rico]Citation

1902 (a)(58)

1902(w)

4.13 (e)

For each provider receiving funds under the plan, all the requirements for advance directives of section 1902(w) are met:

- (1) Hospitals, nursing facilities, providers of home health care or personal care services, hospice programs, managed care organizations, prepaid inpatient health plans, prepaid ambulatory health plans (unless the PAHP excludes providers in 42 CFR 489.102), and health insuring organizations are required to do the following:
  - (a) Maintain written policies and procedures with respect to all adult individuals receiving medical care by or through the provider or organization about their rights under State law to make decisions concerning medical care, including the right to accept or refuse medical or surgical treatment and the right to formulate advance directives.
  - (b) Provide written information to all adult individuals on their policies concerning implementation of such rights;
  - (c) Document in the individual's medical records whether or not the individual has executed an advance directive;
  - (d) Not condition the provision of care or otherwise discriminate against an individual based on whether or not the individual has executed an advance directive;
  - (e) Ensure compliance with requirements of State Law (whether

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45(b)

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October 1991

(MB)

OMB No.:

State/Territory: [Puerto Rico]

statutory or recognized by the courts) concerning advance directives; and

(f) Provide (individually or with others) for education for staff and the community on issues concerning advance directives.

(2) Providers will furnish the written information described in paragraph (1)(a) to all adult individuals at the time specified below:

(a) Hospitals at the time an individual is admitted as an inpatient.

(b) Nursing facilities when the individual is admitted as a resident.

(c) Providers of home health care or personal care services before the individual comes under the care of the provider;

(d) Hospice program at the time of initial receipt of hospice care by the individual from the program; and

(e) Managed care organizations, health insuring organizations, prepaid inpatient health plans, and prepaid ambulatory health plans (as applicable) at the time of enrollment of the individual with the organization.

(3) Attachment 4.34A describes law of the State (whether statutory or as Recognized by the courts of the State) concerning advance directives.

Not applicable. No State law or court decision exist regarding advance directives.

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DECEMBER 1991

**OFFICIAL**

State/Territory:                     [Puerto Rico]                    

Citation      4.14      Utilization/Quality Control

42 CFR 431.60      (a)      A Statewide program of surveillance and  
42 CFR 456.2      utilization control has been implemented that  
50 FR 15312      safeguards against unnecessary or inappropriate  
1902(a)(30)(C) and      use of Medicaid services available under this  
1902(d) of the      plan and against excess payments, and that  
Act, P.L. 99-509      assesses the quality of services. The  
(Section 9431)      requirements of 42 CFR Part 456 are met:

  x   Directly

  x   By undertaking medical and utilization review requirements through a contract with a Utilization and Quality Control Peer Review Organization (PRO) designated under 42 CFR Part 462. The contract with the PRO —

- (1) Meets the requirements of §434.6(a):
- (2) Includes a monitoring and evaluation plan to ensure satisfactory performance;
- (3) Identifies the services and providers subject to PRO review;
- (4) Ensures that PRO review activities are not inconsistent with the PRO review of Medicare services; and
- (5) Includes a description of the extent to which PRO determinations are considered conclusive for payment purposes.

1932(c)(2)  
and 1902(d) of the  
ACT, P.L. 99-509  
(section 9431)

  x   A qualified External Quality Review Organization performs an annual External Quality Review that meets the requirements of 42 CFR 438 Subpart E each managed care organization, prepaid inpatient health plan, and health insuring organizations under contract, except where exempted by the regulation

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**94-1**

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MAY 1985

State: Puerto Rico

OMB NO. 0938-0193

Citation  
42 CFR 456.2  
50 FR 15312

4.14 (b) The Medicaid agency meets the requirements of 42 CFR Part 456, Subpart C, for control of the utilization of inpatient hospital services.

Utilization and medical review are performed by a Utilization and Quality Control Peer Review Organization designated under 42 CFR Part 462 that has a contract with the agency to perform those reviews.

Utilization review is performed in accordance with 42 CFR Part 456, Subpart H, that specifies the conditions of a waiver of the requirements of Subpart C for:

All hospitals (other than mental hospitals).

Those specified in the waiver.

No waivers have been granted.

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TN No. 75-8

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 JULY 1985

OMB NO.: 0938-0193

State/Territory: Puerto Rico

Citation  
 42 CFR 456.2  
 50 FR 15312

4.14 (c) The Medicaid agency meets the requirements of 42 CFR Part 456, Subpart D, for control of utilization of inpatient services in mental hospitals.

Utilization and medical review are performed by a Utilization and Quality Control Peer Review Organization designated under 42 CFR Part 462 that has a contract with the agency to perform those reviews.

Utilization review is performed in accordance with 42 CFR Part 456, Subpart H, that specifies the conditions of a waiver of the requirements of Subpart D for:

All mental hospitals.

Those specified in the waiver.

No waivers have been granted.

Not applicable. Inpatient services in mental hospitals are not provided under this plan.

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 TN No. 75-8

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MAY 1985

State: Puerto Rico

OMB NO. 0938-0193

Citation  
42 CFR 456.2  
50 FR 15312

4.14 (d) The Medicaid agency meets the requirements of 42 CFR Part 456, Subpart E, for the control of utilization of skilled nursing facility services.

Utilization and medical review are performed by a Utilization and Quality Control Peer Review Organization designated under 42 CFR Part 462 that has a contract with the agency to perform those reviews.

Utilization review is performed in accordance with 42 CFR Part 456, Subpart H, that specifies the conditions of a waiver of the requirements of Subpart E for:

All skilled nursing facilities.

Those specified in the waiver.

No waivers have been granted.

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MAY 1985

State: Puerto Rico

OMB NO. 0938-0193

Citation  
42 CFR 456.2  
50 FR 15312

4.14  (e) The Medicaid agency meets the requirements of 42 CFR Part 456, Subpart F, for control of the utilization of intermediate care facility services. Utilization review in facilities is provided through:

Facility-based review.

Direct review by personnel of the medical assistance unit of the State agency.

Personnel under contract to the medical assistance unit of the State agency.

Utilization and Quality Control Peer Review Organizations.

Another method as described in ATTACHMENT 4.14-A.

Two or more of the above methods. ATTACHMENT 4.14-B describes the circumstances under which each method is used.

Not applicable. Intermediate care facility services are not provided under this plan.

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December 1991

**OFFICIAL**

State/Territory:                     [Puerto Rico]                    

Citation            4.14    Utilization/Quality Control (Continued)

42 CFR 438.356(e)

For each contract, the State must follow an open, competitive procurement process that is in accordance with State law and regulations and consistent with 45 CFR part 74 as it applies to State procurement of Medicaid services.

42 CFR 438.354

42 CFR 438.356(b) and (d)

The State must ensure that an External Quality Review Organization and its subcontractors performing the External Quality Review or External Quality Review-related activities meets the competence and independence requirements.

                    Not applicable.

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**04-001**

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Approval Date ~~APR 20 2004~~

Revision: HCFA-PM-92-2 (HSQB)  
MARCH 1992

State/Territory: Puerto Rico

Citation 4.15 Inspection of Care in Intermediate Care Facilities for the Mentally Retarded, Facilities Providing Inpatient Psychiatric Services for Individuals Under 21, and Mental Hospitals

42 CFR Part  
456 Subpart  
I, and  
1902(a)(31)  
and 1903(g)  
of the Act

— The State has contracted with a Peer Review Organization (PRO) to perform inspection of care for:

— ICFs/MR;

— Inpatient psychiatric facilities for recipients under age 21; and

— Mental Hospitals.

42 CFR Part  
456 Subpart  
A and  
1902(a)(30)  
of the Act

— All applicable requirements of 42 CFR Part 456, Subpart I, are met with respect to periodic inspections of care and services.

— Not applicable with respect to intermediate care facilities for the mentally retarded services; such services are not provided under this plan.

— Not applicable with respect to services for individuals age 65 or over in institutions for mental disease; such services are not provided under this plan.

— Not applicable with respect to inpatient psychiatric services for individuals under age 21; such services are not provided under this plan.

NOT APPLICABLE

TN No. 92-5  
Supersedes  
TN No. 76-5

Approval Date NOV 19 1992

Effective Date JUL 1 1992

HCFA ID: \_\_\_\_\_

Revision: HCFA-AT-80-38 (BPP)  
May 22, 1980

State Commonwealth of Puerto Rico

Citation  
42 CFR 431.615 (c)  
AT-78-90

4.16 Relations with State Health and Vocational  
Rehabilitation Agencies and Title V  
Grantees

The Medicaid agency has cooperative arrangements with State health and vocational rehabilitation agencies and with title V grantees, that meet the requirements of 42 CFR 431.615.

ATTACHMENT 4.16-A describes the cooperative arrangements with the health and vocational rehabilitation agencies.

TN # 74-1  
Supersedes  
TN #     

Approval Date 10/15/74 Effective Date 4/1/74

Revision: HCFA-AT-82-29 (BPP)  
December 1982

State Puerto Rico

Citation  
42 CFR 433.36(c)  
AT-78-90  
47 FR 43644

4.17 Liens and Recoveries

Liens are imposed against an individual's property.

No.

Yes.

- (a) Liens are imposed against an individual's property before his or her death because of Medicaid claims paid or to be paid on behalf of that individual following a court judgement which determined that benefits were incorrectly paid for that individual.

Item (a) is not applicable. No such lien is imposed.

Item (a) applies only to an individual's real property;

Item (a) applies only to an individual's personal property; or

Item (a) applies to both an individual's real and personal property.

- (b) Liens are placed against the real property of an individual before his or her death because of Medicaid claims paid or to be paid for that individual in accordance with 42 CFR 433.36 ~~(g) (1)~~ and (g) (2).

Item (b) is not applicable. No such lien is imposed.

TN # 83-2  
Supersedes  
# 74-1

Approval Date 3/10/83

Effective Date 1/1/83

Division: HCFA-AT-82-29 (BPP)  
December 1982

State Puerto Rico

Citation

42 CFR 433.36(c)  
AT-78-90  
47 FR 43644

- 4.17 (c) Adjustments or recoveries for Medicaid claims correctly paid are imposed only in accordance with section 433.36(h).
- (d) No money payments under another program are reduced as a means of recovering Medicaid claims incorrectly paid.
- (e) ATTACHMENT 4.17-A —
- (a) Specifies the process for determining that an institutionalized individual cannot reasonably be expected to be discharged from the medical institution and return home. The description of the process meets the requirements of 42 CFR 433.36(d).
- (b) Defines the terms specified in 42 CFR 433.36(e).
- (c) Specifies the criteria by which a son or daughter can establish that he or she has been providing care, as specified under 42 CFR 433.36(f).

TN # 83-2  
Mercedes  
TN # Neu

Approval Date 3/0/83 Effective Date 4/1/83



**OFFICIAL**

State/Territory: \_\_\_\_\_ [Puerto Rico]

- Citation 4.18 Recipient Cost Sharing and Similar Charges  
 42 CFR 447.51 through 447.58 (a) Unless a waiver under 42 CFR 431.55(g) applies, deductibles, coinsurance rates, and co-payments do not exceed the maximum allowable charges under 42 CFR 447.54.
- 1916(a) and (b) of the Act (b) Except as specified in items 4.1 8(b)(4), (5), and (6) below, with respect to individuals covered as categorically needy or as qualified Medicare beneficiaries (as defined in section 1905(p)(l) of the Act) under the plan:
- (1) No enrollment fee, premium, or similar charge is imposed under the plan.
- (2) No deductible, coinsurance, co-payment, or similar charge is imposed under the plan for the following:
- (i) Services to individuals under age 18, or under-
- Age 19
  - Age 20
  - Age 21

Reasonable categories of individuals who are age 18 or older, but under age 21, to whom charges apply is listed below, if applicable.

- (ii) Services to pregnant women related to the pregnancy or any other medical condition that may complicate the pregnancy.

TN # 07-002  
Supersedes TN # 03-05

Effective Date OCT 01 2007  
Approval Date SEP 11 2009

State/Territory: Puerto RicoCitation 4.1 8(b)(2)

(Continued)

42 CFR 447.51  
through  
447.58

(iii) All services furnished to pregnant women.

[ ] Not applicable. Charges apply for services to pregnant women unrelated to the pregnancy.

(iv) Services furnished to any individual who is an inpatient in a hospital, long-term care facility, or other medical institution, if the individual is required, as a condition of receiving services in the institution to spend for medical care costs all but a minimal amount of his or her income required for personal needs.

(v) Emergency services if the services meet the requirements in 42 CFR 447.53(b)(4).

(vi) Family planning services and supplies furnished to individuals of childbearing age.

(vii) Services furnished by a managed care organization, health insuring organization, prepaid inpatient health plan, or prepaid ambulatory health plan in which the individual is enrolled, unless they meet the requirements of 42 CFR 447.60.

42 CFR 438.108  
42 CFR 447.60

[X] Managed care enrollees are charged deductibles, coinsurance rates, and copayments in an amount equal to the State Plan service cost-sharing.

[ ] Managed care enrollees are not charged deductibles, coinsurance rates, and copayments.

1916 of the Act,  
P.L. 99-272,  
(Section 9505)

(viii) Services furnished to an individual receiving hospice care, as defined in section 1905(o) of the Act.

TN # 07-002  
Supersedes TN # 03-05

OCT 01 2007

Effective Date \_\_\_\_\_  
Approval Date SEP 11 2009

Revision: HCFA-PM-91-4  
AUGUST 1991

(BPD)

**ORIGINAL**

OMB No.: 0938-

State/Territory: [Puerto Rico]

Citation 4.18(b) (Continued)

42 CFR 447.51  
through  
447.58

(3) Unless a waiver under the 42 CFR 431.55 (g) applies, nominal deductible, coinsurance, co-payments, or similar charges are imposed for services that are not excluded from such charges under item (b)(2) above.

Not applicable. No such charges are imposed.

(i) For any service, no more than one type of charge is imposed

(ii) Charges apply to services furnished to the following age groups:

- 18 or older
- 19 or older
- 20 or older
- 21 or older

Charges apply to services furnished to the following reasonable categories of individuals listed below who are 18 years of age or older but under age 21.

TN # 07-002  
Supersedes TN # 92-02.

Effective Date OCT 01 2007  
Approval Date SEP 11 2009

Revision: HCFA-PM-91-4  
AUGUST 1991

(BPD)

OMB No.: 0938-

**OFFICIAL**

State/Territory: Puerto Rico

Citation 4.18(b) (3) (Continued)

42 CFR 447.51  
447.58

(iii) For the categorically needy and qualified Medicare beneficiaries, Attachment 4.18.A specifies the:

- (A) Service(s) for which a charge(s) is applied;
- (B) Nature of the charge is imposed on each service;
- (C) Amount(s) and basis for determining the charge(s);
- (D) Method used to collect the charge (s);
- (E) Basis for determining whether an individual is unable to pay the charge and the means by which such an individual is identified to providers;
- (F) Procedures for implementing and enforcing the exclusions from cost sharing contained in 42 CFR 447.53(b) and
- (G) Cumulative maximum that applies to all deductible, coinsurance or co-payment charges imposed on a specified time period.

(X) Not applicable. There is no maximum.

TN # 07-002  
Supersedes TN # 92-02

Effective Date OCT 01 2007  
Approval Date SEP 11 2009

Revision: HCFA-PM-91-4  
AUGUST 1991

(BPD) **OFFICIAL**

OMB No.: 0938-

State/Territory: [Puerto Rico]

Citation

1916 (c) of the 4.18(b)(4)  
Act

- ( ) A monthly premium is imposed on pregnant women and infants who are covered under Section 1902(a)(10)(A)(ii)(IX) of the Act and whose income equals or exceeds 150% percent of federal poverty level applicable to a family of the size involved. The requirements of section 1916(c) of the Act are met. Attachment 4.18-D specifies the method the States uses for determining the premium and the use criteria for determining what constitutes undue hardship for waiving payment of premiums by recipients.

1902 (a)(52) 4.18 (b)(5)  
And 1925 (b)  
Of the Act

- ( ) For families receiving extended benefits during a second 6 months period under section 1925 of the Act, a monthly premium is imposed in accordance with sections 1925(b)(4) and (5) of the Act.

1916 (d) of 4.18 (b)(6)  
The Act

- ( ) A monthly premium, set on a sliding scale, imposed on qualified disabled and working individuals who are covered under section 1902 (a)(10)(E) (ii) of the Act and whose income exceeds 150% (but does not exceed 200%) of the Federal Poverty Level applicable to a family of the size involved. The requirements of section 1916 (d) of the Act are met. Attachment 4.18-E specifies the method and standards the State uses for determining the premium.

TN # 07-002  
Supersedes TN # 92-02

Effective Date OCT 0 1 2007  
Approval Date ~~SEP 1 1 2009~~

Revision: HCFA-PM-91-4  
AUGUST 1991

(BPD)

OMB No.: 0938-

State/Territory: \_\_\_\_\_ [Puerto Rico]

**OFFICIAL**

Citation 4.18 (c)

(X) Individuals are covered as medically  
needy under the plan

42 CFR 447.51  
Through 447.58

(1) ( ) An enrollment fee, premium or similar  
charge is imposed. Attachment 4.18-B  
specifies the amount of and liability  
period for such charges subject to the  
maximum allowable charges in the 42  
CFR 447.52 (b) and defines the State's  
policy regarding the effect on recipients  
of non-payment of the enrollment fee,  
premium, or similar charge.

(2) No deductible, coinsurance, copayment,  
or similar charge is imposed under the  
plan for the following:

(i) Services to the individuals under  
age 18 or under:

- ( ) age 19
- ( ) age 20
- ( ) age 21

Reasonable categories of  
individuals who are age 18, but  
under age 21 to whom charges  
apply are listed below, if  
applicable.

TN # 07-002  
Supersedes TN # 92-02

Effective Date OCT 01 2007  
Approval Date SEP 11 2009

Revision: HCFA-PM-91-4  
AUGUST 1991

(BPD)

OMB No.: 0938-

**OFFICIAL**State/Territory: Puerto Rico

Citation  
42 CFR 447.51  
Through 447.58

4.18 (c) (2)

Continued

1916 of the Act P.L. 99-272  
P.L. 99-272 (Section 9505)

42 CFR 438.108  
42 CFR 447.60

- (ii) Services to pregnant women related to the pregnancy or any other medical condition that may complicate the pregnancy
- (iii) All services furnished to pregnant women.
  - ( ) Not applicable. Charges apply for services to pregnant women unrelated to the pregnancy.
- (iv) Services furnished to any individual who is an inpatient in a hospital, long term care facility, or any other medical institution, if the individual is required, as a condition of receiving services in the institution, to spend for medical care costs all but a minimal amount of his income required for personal needs.
- (v) Emergency services if the services meet the requirements in section 42 CFR 447.53 (b) (4).
- (vi) Family planning services and supplies furnished to individuals of childbearing age.
- (vii) Services furnished to an individual receiving hospice care, as defined in section 1905(o) of the Act
- (viii) Services furnished by a managed care organization, health insuring organization, or prepaid inpatient health plan, or prepaid ambulatory health plan in which the individual is enrolled, unless they meet the requirements of 42 CFR 447.60.
  - [x] Managed care enrollees are charged deductibles, coinsurance rates, and copayments in an amount equal to the State Plan service cost-sharing.
  - [ ] Managed care enrollees are not charged deductibles, coinsurance rates and copayments.

TN # 07-002  
Supersedes TN # 92-02

Effective Date OCT 01 2007  
Approval Date SEP 11 2009

Revision: HCFA-PM-91-4  
AUGUST 1991

(BPD)

OMB No.: 0938-

**OFFICIAL**

State/Territory: Puerto Rico

Citation 4.18 (c) (3) Unless a waiver under 42 CFR 431.55 (g) applies, nominal deductible, coinsurance, co-payment, or similar charges are imposed on services that are not excluded from such charges under item (b) (2) above.

42 CFR 447.51 through 447.58

( ) Not applicable. No such charges are imposed.

(i) For any service, no more than one type of charge is imposed.

(ii) Charges apply to services furnished to the following age group:

- 18 or older:
- 19 or older:
- 20 or older:
- 21 or older:

Reasonable categories of individual who are 18 years of age, but not under 21, to whom charges apply are listed below, if applicable.

TN # 07-002  
Supersedes TN # 92-02

Effective OCT 01 2007  
Approval Date SEP 11 2009



Revision: HCFA-PM-91-4  
AUGUST 1991

(BPD)

OMB No.: 0938-

**OFFICIAL**

State/Territory: Puerto Rico

Citation 4.18 (c) (3)

(Continued)

447.51 through  
447.58

- (iii) For the medically needy, and other optional, Attachment 4.18 C specifies the:
- (A) Service(s) for the charge(s) is applied;
  - (B) Nature of the charge is imposed on each service;
  - (C) Amount(s) of and basis for determining the charge(s);
  - (D) Method used to collect the charge(s);
  - (E) Basis for determining whether an individual is unable to pay the charge(s); and the means by which such an individual is identified to providers;
  - (F) Procedures for implementing and enforcing the exclusions from cost sharing contained in 42 CFR 447.53 (b); and
  - (G) Cumulative maximum that applies to all deductible, coinsurance, or co-payment charges imposed on a family during a specified time period.

(X) Not applicable. There is no maximum.

TN # 07-002  
Supersedes TN # 92-02

Effective Date: OCT 01 2007  
Approval Date: SEP 11 2008

Revision: HCFA-PM-91-4 (BPD)  
AUGUST 1991

OMB No.: 0938-

State/Territory: Puerto Rico

Citation 4.19 Payment for Services

42 CFR 447.252 (a) The Medicaid agency meets the requirements of  
1902(a)(13) 42 CFR Part 447, Subpart C, and sections  
and 1923 of 1902(a)(13) and 1923 of the Act with respect to  
the Act payment for inpatient hospital services.

ATTACHMENT 4.19-A describes the methods and standards used to determine rates for payment for inpatient hospital services.

Inappropriate level of care days are covered and are paid under the State plan at lower rates than other inpatient hospital services, reflecting the level of care actually received, in a manner consistent with section 1861(v)(1)(G) of the Act.

Inappropriate level of care days are not covered.

TN No. 92-2 Approval Date MAY 1 1992 Effective Date JAN 1 - 1992  
Supersedes  
TN No. 88-1

HCFA ID: 7982E

State/Territory: Puerto Rico

Citation  
42 CFR 447.201  
42 CFR 447.302  
52 FR 28648  
1902(a)(13)(E)  
1903(a)(1) and  
(n), 1920, and  
1926 of the Act

4.19(b) In addition to the services specified in paragraphs 4.19(a), (d), (k), (l), and (m), the Medicaid agency meets the following requirements:

- (1) Section 1902(a)(13)(E) of the Act regarding payment for services furnished by Federally qualified health centers (FQHCs) under section 1905(a)(2)(C) of the Act. The agency meets the requirements of section 6303 of the State Medicaid Manual (HCFA-Pub. 45-6) regarding payment for FQHC services. ATTACHMENT 4.19-B describes the method of payment and how the agency determines the reasonable costs of the services (for example, cost-reports, cost or budget reviews, or sample surveys).
- (2) Sections 1902(a)(13)(E) and 1926 of the Act, and 42 CFR Part 447, Subpart D, with respect to payment for all other types of ambulatory services provided by rural health clinics under the plan.

ATTACHMENT 4.19-B describes the methods and standards used for the payment of each of these services except for inpatient hospital, nursing facility services and services in intermediate care facilities for the mentally retarded that are described in other attachments.

1902(a)(10) and  
1902(a)(30) of  
the Act

SUPPLEMENT 1 to ATTACHMENT 4.19-B describes general methods and standards used for establishing payment for Medicare Part A and B deductible/coinsurance.



NOT APPLICABLE

TN

No. 94-2  
 Supersedes  
 TN No. 92-2 Approval Date NOV 18 1994 Effective Date JUL 1 - 1994

Revision: HCFA-AT-80-38 (BPP)  
May 22, 1980

State Commonwealth of Puerto Rico

Citation  
42 CFR 447.40  
AT-78-90

4.19(c) Payment is made to reserve a bed during a recipient's temporary absence from an inpatient facility.

Yes. The State's policy is described in ATTACHMENT 4.19-C.

No.

TN # 78-7  
Supersedes  
TN # 77-7

Approval Date 9/29/78 Effective Date 9/23/78

State/Territory: Puerto Rico

Citation

- 42 CFR 447.252
- 47 FR 47964
- 48 FR 56046
- 42 CFR 447.280
- 47 FR 31518
- 52 FR 28141

4.19 (d)

(1) The Medicaid agency meets the requirements of 42 CFR Part 447, Subpart C, with respect to payments for skilled nursing and intermediate care facility services.

ATTACHMENT 4.19-D describes the methods and standards used to determine rates for payment for skilled nursing and intermediate care facility services.

(2) The Medicaid agency provides payment for routine skilled nursing facility services furnished by a swing-bed hospital.

At the average rate per patient day paid to SNFs for routine services furnished during the previous calendar year.

At a rate established by the State, which meets the requirements of 42 CFR Part 447, Subpart C, as applicable.

Not applicable. The agency does not provide payment for SNF services to a swing-bed hospital.

(3) The Medicaid agency provides payment for routine intermediate care facility services furnished by a swing-bed hospital.

At the average rate per patient day paid to ICFs, other than ICFs for the mentally retarded, for routine services furnished during the previous calendar year.

At a rate established by the State, which meets the requirements of 42 CFR Part 447, Subpart C, as applicable.

Not applicable. The agency does not provide payment for ICF services to a swing-bed hospital.

(4) Section 4.19(d)(1) of this plan is not applicable with respect to intermediate care facility services; such services are not provided under this State plan.

**OFFICIAL**

TN No. 88-3  
Supersedes  
TN No. 84-1

Approval Date OCT 20 1988 Effective Date 4/1/88

revision: HCFA-AT-80-38 (BPP)  
May 22, 1980

State Commonwealth of Puerto Rico

Citation

42 CFR 447.45 (c)  
AT-79-50

4.19 (e) The Medicaid agency meets all requirements of 42 CFR 447.45 for timely payment of claims.

ATTACHMENT 4.19-E specifies, for each type of service, the definition of a claim for purposes of meeting these requirements.

IN # 79-6

Supersedes

Approval Date

11/9/79

Effective Date

10/1/79

IN # (NEW ITEM)

# OFFICIAL

62

Revision: HCFA-PM-87-4 (BERC)  
MARCH 1987

OMB No.: 0938-0193

State/Territory: Puerto Rico

Citation  
42 CFR 447.15  
AT-78-90  
AT-80-34  
48 FR 5730

4.19 (f) The Medicaid agency limits participation to providers who meet the requirements of 42 CFR 447.15.

No provider participating under this plan may deny services to any individual eligible under the plan on account of the individual's inability to pay a cost sharing amount imposed by the plan in accordance with 42 CFR 431.55(g) and 447.53. This service guarantee does not apply to an individual who is able to pay, nor does an individual's inability to pay eliminate his or her liability for the cost sharing change.

TN No. 88-1  
Supersedes  
TN No. 83-5

Approval Date OCT 20 1988

Effective Date 4/1/88

HCFA ID: 1010P/0012P

Revision: HCFA-AT-80-38 (BPP)  
May 22, 1980

State Commonwealth of Puerto Rico

Citation            4.19(g) The Medicaid agency assures appropriate  
42 CFR 447.201        audit of records when payment is based on  
42 CFR 447.202        costs of services or on a fee plus  
AT-78-90                cost of materials.

TN # 77-5  
Supersedes  
TN # 78-3

Approval Date 9/17/79    Effective Date 8/6/79



1407  
EFFECTIVE

Revision: HCFA-AT-80-60 (BPP)  
August 12, 1980

State Commonwealth of Puerto Rico

Citation  
42 CFR 447.201  
42 CFR 447.203  
AT-78-90

4.19(h) The Medicaid agency meets the requirements of 42 CFR 447.203 for documentation and availability of payment rates.

TN # 79-5  
Supersedes  
TN # 78-3

Approval Date 9/2/79 Effective Date 8/12/79

NCT  
EFFECTIVE

Revision: HCFA-AT-80-38 (BPP)  
May 22, 1980

State Commonwealth of Puerto Rico

Citation

42 CFR 447.201  
42 CFR 447.204  
AT-78-90

4.19 (i) The Medicaid agency's payments are sufficient to enlist enough providers so that services under the plan are available to recipients at least to the extent that those services are available to the general population.

TN # 78-5  
Supersedes  
LN # 78-3

Approval Date 9/17/79

Effective Date 8/6/79

Revision: HCFA-PM-91-4  
AUGUST 1991

(BPD)

OMB No.: 0938-

Territory: Puerto Rico

Citation

- 42 CFR 447.201 4.19(j) The Medicaid agency meets the requirements  
and 447.205 of 42 CFR 447.205 for public notice of any  
46 FR 58677 changes in Statewide method or standards  
for setting payment rates.
- 1920 of the   /(k) The Medicaid agency meets the requirements  
Act, of section 1920(d) of the Act with respect  
P.L. 99-509 to payment for ambulatory prenatal care  
(Section 9407) furnished to pregnant women during a presumptive  
eligibility period.
- 1903(v) of the (1) The Medicaid agency meets the requirements  
Act of section 1903(v) of the Act with respect to payment  
for medical assistance furnished to an alien who is  
not lawfully admitted for permanent residence or  
otherwise permanently residing in the United States  
under color of law. Payment is made only for care  
and services that are necessary for the treatment of  
an emergency medical condition, as defined in section  
1903(v) of the Act.

Not Applicable

TN No. 92-2  
Supersedes  
TN No. 88-3

Approval Date MAY 1 1992

Effective Date JAN 1 - 1992

HCFA ID: 7984E

Revision: HCFA-PM-92-7 (MB)  
 October 1992

State/Territory: PUERTO RICO

Citation

1903(i)(14)  
 of the Act

4.19(1) The Medicaid agency meets the requirements of section 1903(i)(14) of the Act with respect to payment for physician services furnished to children under 21 and pregnant women. Payment for physician services furnished by a physician to a child or a pregnant woman is made only to physicians who meet one of the requirements listed under this section of the Act.

NOT APPLICABLE

TN No. 93-2  
 Supersedes            Approval Date JAN 11 1994 Effective Date JUL 1 - 1993  
 TN No. **New**

Revision: HCFA-PM-94-8 (MB)  
October 1994

STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT  
STATE / TERRITORY: COMMONWEALTH OF PUERTO RICO

Citation

- 1928(c)(2)(C)(ii)  
of the Act
- 4.19 (m) Medicaid Reimbursement for Administration of Vaccines under the Pediatric Immunization Program
- (i) A provider may impose a charge for the administration of a qualified pediatric vaccine as stated in 1928 (c) (2) (C) (ii) of the Act. Within this overall provision, Medicaid reimbursement to providers will be administered as follows.
- (ii) The State:
- Sets a payment rate at the level of the regional maximum established by the DHHS Secretary.
  - Is a Universal Purchase State and sets a payment rate at the level of the regional maximum established in accordance with State law.
  - Sets a payment rate below the level of the regional maximum established by the DHHS Secretary.
  - Is a Universal Purchase State and sets a payment rate below the level of the regional maximum established by the Universal Purchase State.
- The State pays the following rate for the administration of a vaccine:  
Not applicable, see note that follows.
- 1923 of the Act
- (iii) Medicaid beneficiary access to immunizations is assured through the following methodology:  
The Puerto Rico Department of Health provides vaccines to children ages 0-18 through the Children's Immunization Program. The coverage benefits of the Puerto Rico Medicaid Program also include immunizations for Medicaid beneficiaries' ages 19-20. Each managed care organization (MCO), contracted by the State, will contract with immunization providers, duly certified by the Puerto Rico Department of Health, to provide the immunization services.

Transmittal No.: 15-002

Effective Date: April 1, 2015

Supersedes TN No.: 95-2

Approval Date: September 11, 2015

Revision: HCFA-AT-80-38 (BPP)  
May 22, 1980

State Commonwealth of Puerto Rico

Citation  
42 CFR 447.25 (b)  
AT-78-90

4.20 Direct Payments to Certain Recipients for  
Physicians' or Dentists' Services

Direct payments are made to certain recipients as specified by, and in accordance with, the requirements of 42 CFR 447.25.

Yes, for  physicians' services

dentists' services

ATTACHMENT 4.20-A specifies the conditions under which such payments are made.

Not applicable. No direct payments are made to recipients.

IN # 78-7  
Supersedes  
T 77-7

Approval Date 9/29/78 Effective Date 8/23/78

Revision: HCFA-AT-81-34 (BPP)

OFFICIAL

10-81

State Commonwealth of Puerto Rico

Citation

4.21 Prohibition Against Reassignment of  
Provider Claims

42 CFR 447.10(c)  
AT-78-90  
46 FR 42699

Payment for Medicaid services  
furnished by any provider under this  
plan is made only in accordance with  
the requirements of 42 CFR 447.10.

TN # 82-1  
Supersedes  
TN # 78-5

Approval Date 4/15/82

Effective Date 4/1/82

Revision: HCFA-PM-94-1 (MB)  
FEBRUARY 1994

State/Territory: Puerto Rico

Citation

4.22 Third Party Liability

- 42 CFR 433.137 (a) The Medicaid agency meets all requirements of:
- (1) 42 CFR 433.138 and 433.139.
  - (2) 42 CFR 433.145 through 433.148.
  - (3) 42 CFR 433.151 through 433.154.
  - (4) Sections 1902(a)(25)(H) and (I) of the Act.
- 1902(a)(25)(H) and (I)  
Act.  
of the Act
- 42 CFR 433.138(f) (b) ATTACHMENT 4.22-A --
- (1) Specifies the frequency with which the data exchanges required in §433.138(d)(1), (d)(3) and (d)(4) and the diagnosis and trauma code edits required in §433.138(e) are conducted;
  - (2) Describes the methods the agency uses for meeting the followup requirements contained in §433.138(g)(1)(i) and (g)(2)(i);
  - (3) Describes the methods the agency uses for following up on information obtained through the State motor vehicle accident report file data exchange required under §433.138(d)(4)(ii) and specifies the time frames for incorporation into the eligibility case file and into its third party data base and third party recovery unit of all information obtained through the followup that identifies legally liable third party resources; and
  - (4) Describes the methods the agency uses for following up on paid claims identified under §433.138(e) (methods include a procedure for periodically identifying those trauma codes that yield the highest third party collections and giving priority to following up on those codes) and specifies the time frames for incorporation into the eligibility case file and into its third party data base and third party recovery unit of all information obtained through the followup that identifies legally liable third party resources.
- 42 CFR 433.138(g)(1)(ii)  
and (2)(ii)
- 42 CFR 433.138(g)(3)(i)  
and (iii)
- 42 CFR 433.138(g)(4)(i)  
through (iii)

TN No.	<u>94-4</u>	Approval Date	<u>NOV 23 1994</u>	Effective Date	<u>JUL 1 - 1994</u>
Supersedes					
TN No.	<u>90-1</u>				



Revision: HCFA-PM-94-1 (MB)  
February 1994

State/Territory: Puerto Rico

Citation

42 CFR 433.139(b)(3)(ii)(A)

X (c) Providers are required to bill liable third parties when services covered under the plan are furnished to an individual on whose behalf child support enforcement is being carried out by the State IV-D agency.

(d) ATTACHMENT 4.22-B specifies the following:

42 CFR 433.139(b)(3)(ii)(c)

(1) The method used in determining a provider's compliance with the third-party billing requirements at §433.139(b)(3)(ii)(C).

42 CFR 433.139(f)(2)

(2) The threshold amount or other guideline used in determining whether to seek recovery of reimbursement from a liable third party, or the process by which the agency determines that seeking recovery of reimbursement would not be cost effective.

42 CFR 433.139(f)(3)

(3) The dollar amount or time period the State uses to accumulate billings from a particular liable third party in making the decision to seek recovery of reimbursement.

42 CFR 447.20

(e) The Medicaid agency ensures that the provider furnishing a service for which a third party is liable follows the restrictions specified in 42 CFR 447.20.

Revision: HCFA-PM-94-1 (MB)  
FEBRUARY 1994

State/Territory: Puerto Rico

Citation

4.22 (continued)

42 CFR 433.151(a)

(f) The Medicaid agency has written cooperative agreements for the enforcement of rights to and collection of third party benefits assigned to the State as a condition of eligibility for medical assistance with the following: (Check as appropriate.)

State title IV-D agency. The requirements of 42 CFR 433.152(c) are met.

Other appropriate State agency(s)--  
\_\_\_\_\_

Other appropriate agency(s) of another State--  
\_\_\_\_\_

Courts and law enforcement officials.

1902(a)(60) of the Act

(g) The Medicaid agency assures that the State has in effect the laws relating to medical child support under section 1908 of the Act.

1906 of the Act

(h) The Medicaid agency specifies the guidelines used in determining the cost effectiveness of an employer-based group health plan by selecting one of the following.

The Secretary's method as provided in the State Medicaid Manual, Section 3910.

The State provides methods for determining cost effectiveness on ATTACHMENT 4.22-C.

TN No. 94-4 Approval Date NOV 23 1994 Effective Date JUL 1 - 1994  
Supersedes  
TN No. 92-8

Revision: HCFA-AT-84-2 (BERC)  
 01-84

State/Territory: Puerto Rico

Citation

4.23 Use of Contracts

42 CFR 434.4  
 48 FR 54013

The Medicaid agency has contracts of the type(s) listed in 42 CFR Part 434. All contracts meet the requirements of 42 CFR Part 434.

Not applicable. The State has no such contracts.

42 CFR Part 438

The Medicaid agency has contracts of the type(s) listed in 42 CFR Part 438. All contracts meet the requirements of 42 CFR Part 438. Risk contracts are procured through an open, competitive procurement process that is consistent with 45 CFR Part 74. The risk contract is with (check all that apply):

a Managed Care Organization that meets the definition of 1903(m) of the Act and 42 CFR 438.2

a Prepaid Inpatient Health Plan that meets the definition of 42 CFR 438.2

a Prepaid Ambulatory Health Plan that meets the definition of 42 CFR 438.2

Not applicable

TN # 03-11  
 Supersedes TN # 94-1

Effective Date 08/13/03  
 Approval Date FEB 24 2004

Revision: HCFA-PM-94-2 (BPD)  
APRIL 1994

State/Territory: Puerto Rico

<p>Citation 42 CFR 442.10 and 442.100 AT-78-90 AT-79-18 AT-80-25 AT-80-34 52 FR 32544 P.L 100-203 (Sec. 4211) 54 FR 5316 56 FR 48826</p>	<p>4.24</p>	<p><u>Standards for Payments for Nursing Facility and Intermediate Care Facility for the Mentally Retarded Services</u></p> <p>With respect to nursing facilities and intermediate care facilities for the mentally retarded, all applicable requirements of 42 CFR Part 442, Subparts B and C are met.</p> <p><u>X</u> Not applicable to intermediate care facilities for the mentally retarded; such services are not provided under this plan.</p>
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TN No. <u>94-5</u>	Approval Date <u>NOV 15 1994</u>	Effective Date <u>JUL 1 - 1994</u>
Supersedes		
TN No. <u>81-2</u>		

Revision: HCFA-AT-80-38 (BPP)  
May 22, 1980

State Commonwealth of Puerto Rico

Citation  
42 CFR 431.702  
AT-78-90

4.25 Program for Licensing Administrators of Nursing Homes

The State has a program that, except with respect to Christian Science sanatoria, meets the requirements of 42 CFR Part 431, Subpart N, for the licensing of nursing home administrators.

TN # 74-1  
Supersedes  
TN #     

Approval Date 10/15/74 Effective Date 4/1/74

Revision: HCFA-PM- (MB)

State/Territory: Puerto RicoCitation1927(g)  
42 CFR 456.700

## 4.26 Drug Utilization Review Program

A.1. The Medicaid agency meets the requirements of Section 1927(g) of the Act for a drug use review (DUR) program for outpatient drug claims.

1927(g)(1)(A)

2. The DUR program assures that prescriptions for outpatient drugs are:

- Appropriate
- Medically necessary
- Are not likely to result in adverse medical results

1927(g)(1)(a)  
42 CFR 456.705(b) and  
456.709(b)

B. The DUR program is designed to educate physicians and pharmacists to identify and reduce the frequency of patterns of fraud, abuse, gross overuse, or inappropriate or medically unnecessary care among physicians, pharmacists, and patients or associated with specific drugs as well as:

- Potential and actual adverse drug reactions
- Therapeutic appropriateness
- Overutilization and underutilization
- Appropriate use of generic products
- Therapeutic duplication
- Drug disease contraindications
- Drug-drug interactions
- Incorrect drug dosage or duration of drug treatment
- Drug-allergy interactions
- Clinical abuse/misuse

1927(g)(1)(B)  
42 CFR 456.703  
(d)and(f)

C. The DUR program shall assess data use against predetermined standards whose source materials for their development are consistent with peer-reviewed medical literature which has been critically reviewed by unbiased independent experts and the following compendia:

- American Hospital Formulary Service Drug Information
- United States Pharmacopeia-Drug Information
- American Medical Association Drug Evaluations

*Not Applicable*

TN No. PR-93-4 Approval Date JAN 12 1994 Effective Date JUL 1 - 1993  
 Supersedes  
 TN No. 92-5

State/Territory: Puerto Rico

Citation

1927(g)(1)(D)  
42 CFR 456.703(b)

D. DUR is not required for drugs dispensed to residents of nursing facilities that are in compliance with drug regimen review procedures set forth in 42 CFR 483.60. The State has never-the-less chosen to include nursing home drugs in:

- Prospective DUR
- Retrospective DUR.

1927(g)(2)(A)  
42 CFR 456.705(b)

E.1. The DUR program includes prospective review of drug therapy at the point of sale or point of distribution before each prescription is filled or delivered to the Medicaid recipient.

1927(g)(2)(A)(i)  
42 CFR 456.705(b),  
(1)-(7))

2. Prospective DUR includes screening each prescription filled or delivered to an individual receiving benefits for potential drug therapy problems due to:

- Therapeutic duplication
- Drug-disease contraindications
- Drug-drug interactions
- Drug-interactions with non-prescription or over-the-counter drugs
- Incorrect drug dosage or duration of drug treatment
- Drug allergy interactions
- Clinical abuse/misuse

1927(g)(2)(A)(ii)  
42 CFR 456.705 (c)  
and (d)

3. Prospective DUR includes counseling for Medicaid recipients based on standards established by State law and maintenance of patient profiles.

1927(g)(2)(B)  
42 CFR 456.709(a)

F.1. The DUR program includes retrospective DUR through its mechanized drug claims processing and information retrieval system or otherwise which undertakes ongoing periodic examination of claims data and other records to identify:

- Patterns of fraud and abuse
- Gross overuse
- Inappropriate or medically unnecessary care among physicians, pharmacists, Medicaid recipients, or associated with specific drugs or groups of drugs.

*Not Applicable*

TN No. PR 93-4 Approval Date JAN 12 1994 Effective Date JUL 1 - 1993  
 Supersedes  
 TN No. 92-5

**OFFICIAL**

State/Territory: Puerto Rico

Citation

927(g)(2)(C)  
42 CFR 456.709(b)

F.2. The DUR program assesses data on drug use against explicit predetermined standards including but not limited to monitoring for:

- Therapeutic appropriateness
- Overutilization and underutilization
- Appropriate use of generic products
- Therapeutic duplication
- Drug-disease contraindications
- Drug-drug interactions
- Incorrect drug dosage/duration of drug treatment
- Clinical abuse/misuse

1927(g)(2)(D)  
42 CFR 456.711

3. The DUR program through its State DUR Board, using data provided by the Board, provides for active and ongoing educational outreach programs to educate practitioners on common drug therapy problems to improve prescribing and dispensing practices.

1927(g)(3)(A)  
42 CFR 456.716(a)

G.1. The DUR program has established a State DUR Board either:

- Directly, or
- Under contract with a private organization

1927(g)(3)(B)  
42 CFR 456.716  
(A) AND (B)

2. The DUR Board membership includes health professionals (one-third licensed actively practicing pharmacists and one-third but no more than 51 percent licensed and actively practicing physicians) with knowledge and experience in one or more of the following:

- Clinically appropriate prescribing of covered outpatient drugs.
- Clinically appropriate dispensing and monitoring of covered outpatient drugs.
- Drug use review, evaluation and intervention.
- Medical quality assurance.

927(g)(3)(C)  
42 CFR 456.716(d)

3. The activities of the DUR Board include:

- Retrospective DUR,
- Application of Standards as defined in section 1927(g)(2)(C), and
- Ongoing interventions for physicians and pharmacists targeted toward therapy problems or individuals identified in the course of retrospective DUR.

*Not Applicable*

TN No. <u>PR 93-4</u>	Approval Date <u>JAN 12 1994</u>	Effective Date <u>JUL 1 - 1993</u>
Supersedes		
TN No. <u>92-5</u>		



State/Territory: Puerto RicoCitation1927(g)(3)(C)  
42 CFR 456.711  
(a)-(d)

G.4 The interventions include in appropriate instances:

- Information dissemination
- Written, oral, and electronic reminders
- Face-to-Face discussions
- Intensified monitoring/review of prescribers/dispensers

1927(g)(3)(D)  
42 CFR 456.712  
(A) and (B)

H. The State assures that it will prepare and submit an annual report to the Secretary, which incorporates a report from the State DUR Board, and that the State will adhere to the plans, steps, procedures as described in the report.

1927(h)(1)  
42 CFR 456.722

I.1. The State establishes, as its principal means of processing claims for covered outpatient drugs under this title, a point-of-sale electronic claims management system to perform on-line:

- real time eligibility verification
- claims data capture
- adjudication of claims
- assistance to pharmacists, etc. applying for and receiving payment.

1927(g)(2)(A)(i)  
42 CFR 456.705(b)

2. Prospective DUR is performed using an electronic point of sale drug claims processing system.

1927(j)(2)  
42 CFR 456.703(c)

J. Hospitals which dispense covered outpatient drugs are exempted from the drug utilization review requirements of this section when facilities use drug formulary systems and bill the Medicaid program no more than the hospital's purchasing cost for such covered outpatient drugs.

*Not Applicable*

\* U.S. G.P.O.:1993-342-239:80043

TN No.  
Supersedes  
TN No.PR 93-4  
**New**

Approval Date

JAN 12 1994

Effective Date

JUL 1 - 1993

Revision: HCFA-AT-80-38 (BPP)  
May 22, 1980

State Commonwealth of Puerto Rico

Citation  
42 CFR 431.115 (c)  
AT-78-90  
AT-79-74

4.27 Disclosure of Survey Information and Provider  
or Contractor Evaluation

The Medicaid agency has established procedures for disclosing pertinent findings obtained from surveys and provider and contractor evaluations that meet all the requirements in 42 CFR 431.115.

TIN # 79-10  
speredes  
LN # 76-11

Approval Date 1/4/80 Effective Date 10/15/79

Revision: HCFA-PM-93-1  
January 1993

(BPD)

State/Territory: Puerto Rico

Citation4.28 Appeals Process

42 CFR 431.152;  
AT-79-18  
52 FR 22444;  
Secs.  
1902(a)(28)(D)(i)  
and 1919(e)(7) of  
the Act; P.L.  
100-203 (Sec. 4211(c)).

- (a) The Medicaid agency has established appeals procedures for NFs as specified in 42 CFR 431.153 and 431.154.
- (b) The State provides an appeals system that meets the requirements of 42 CFR 431 Subpart E, 42 CFR 483.12, and 42 CFR 483 Subpart E for residents who wish to appeal a notice of intent to transfer or discharge from a NF and for individuals adversely affected by the preadmission and annual resident review requirements of 42 CFR 483 Subpart C.

*Not Applicable*

TN No. PR 93-3 Approval Date JAN 12 1994 Effective Date JUL 1 - 1993  
Supersedes  
TN No. 89-1

New: HCFA-PM-99-3  
JUNE 1999

State:                     [Puerto Rico]                    

Citation

1902(a)(4)(C) of the  
Social Security Act  
P.L. 105-33

4.29 Conflict of Interest Provisions

The Medicaid agency meets the requirements of Section 1902(a)(4)(C) of the Act concerning the Prohibition against acts, with respect to any activity Under the plan, that is prohibited by section 207 or 208 of Title 18, United States Code.

1902(a)(4)(D) of the  
Social Security Act  
P.L. 105-33  
1932(d)(3)  
42 CFR 438.58

The Medicaid agency meets the requirements of 1902(a)(4)(D) of the Act concerning the safeguards against conflicts of interest that are at least as stringent as the safeguards that apply under section 27 of the Office of Federal Procurement Policy Act (41 U.S.C. 423).

IN #           03-06            
Supersedes TN #           79-4          

Effective Date           08/13/2003            
Approval Date           ~~FEB 24 2004~~

Revision: HCFA-PM-87-14 (BERC)  
OCTOBER 1987

OMB No.: 0938-0193

State/Territory: Puerto Rico

Citation  
42 CFR 1002.203  
AT-79-54  
48 FR 3742  
51 FR 34772

4.30 Exclusion of Providers and Suspension of Practitioners and Other Individuals

(a) All requirements of 42 CFR Part 1002, Subpart B are met.

The agency, under the authority of State law, imposes broader sanctions.

**OFFICIAL**

TN No. 88-4  
Supersedes  
TN No. 83-6

Approval Date OCT 20 1988 Effective Date 4/1/88

HCFA ID: 1010P/0012P

Revision: HCFA-AT-87-14 (BERC)  
OCTOBER 1987

OMB No.: 0938-0193

State/Territory:                     [Puerto Rico]                    

Citation (b) The Medicaid agency meets the requirements of –

1902(p) of the Act (1) Section 1902(p) of the Act by excluding from participation—

(A) At the State's discretion, any individual or entity for any reason for which the Secretary could exclude the individual or entity from participation in a program under title XVIII in accordance with sections 1128, 1128A, or 1866(b)(2).

42 CFR 438.808

(B) An MCO (as defined in section 1903(m) of the Act), or an entity furnishing services under a waiver approved under section 1915(b)(1) of the Act, that –

(i) Could be excluded under section 1128(b)(8) relating to owners and managing employees who have been convicted of certain crimes or received other sanctions, or

(ii) Has, directly or indirectly, a substantial contractual relationship (as defined by the Secretary) with an individual or entity that is described in section 1128(b) (8)(B) of the Act.

1932(d)(1)  
42 CFR 438.610

(2) An MCO, PIHP, PAHP, or PCCM may not have prohibited affiliations with individuals (as defined in 42 CFR 438.610(b)) suspended, or otherwise excluded from participating in procurement activities under the Federal Acquisition Regulation or from participating in non-procurement activities under regulations issued under Executive Order No.12549 or under guidelines implementing Executive Order No. 12549. If the State finds that an MCO, PCCM, PIHP, or PAHP is not in compliance the State will comply with the requirements of 42 CFR 438.610(c)

TN #           03-07            
Supersedes TN #           88-4          

Effective Date           08/13/03            
Approval Date           FEB 24 2004

Revision: HCFA-AT-87-14 (BERC)  
OCTOBER 1987

OMB No.: 0938-0193

State/Territory: [Puerto Rico]

Citation

1902(a)(39) of the Act  
P.L. 100-93  
(section 8(f))

(3) Section 1902(a)(39) of the Act by -

- (A) Excluding an individual or entity from participation for the period specified by the Secretary, when required by the Secretary to do so in accordance with sections 1128 and 1128A of the Act; and
- (B) Providing that no payment will be made with respect to any item or service furnished by an individual or entity during this period.

(c) The Medicaid agency meets the requirements of -

1902(a)(41)  
of the Act  
P.L. 96-272  
(sec. 308(c))

(1) Section 1902(a)(41) of the Act with respect to prompt notification to CMS whenever a provider is terminated, suspended, sanctioned, or otherwise excluded from participating under this State Plan; and

1902(a)(49) of the Act  
P.L. 100-93  
(sec. 5(a)(4))

(2) Section 1902(a)(49) of the Act with respect to providing information and access to information regarding sanctions taken against health care practitioners and providers by State licensing authorities in accordance with section 1921 of the Act.

TN # 03-07  
Supersedes TN # 88-4

Effective Date 08/13/03  
Approval Date FEB 24 2004

Revision: HCFA-PM-87-14 (BERC)  
OCTOBER 1987

OMB No.: 0938-0193

Puerto Rico

State/Territory: \_\_\_\_\_

Citation

455.103  
44 FR 41644  
1902(a)(38)  
of the Act  
P.L. 100-93  
(sec. 8(f))

4.31 Disclosure of Information by Providers and Fiscal Agents

The Medicaid agency has established procedures for the disclosure of information by providers and fiscal agents as specified in 42 CFR 455.104 through 455.106 and sections 1128(b)(9) and 1902(a)(38) of the Act.

435.940  
through 435.960  
52 FR 5967  
54 FR 8738

4.32 Income and Eligibility Verification System

(a) The Medicaid agency has established a system for income and eligibility verification in accordance with the requirements of 42 CFR 435.940 through 435.960.

PER PM 90-2

(b) ATTACHMENT 4.32-A describes, in accordance with 42 CFR 435.948(a)(6), the information that will be requested in order to verify eligibility or the correct payment amount and the agencies and the State(s) from which that information will be requested.

OFFICIAL

TN No. 88-4  
Supersedes  
TN No. 86-2

Approval Date OCT 20 1988  
10 89

Effective Date 4/1/88

HCFA ID: 1010P/0012P



Revision: HCFA-PM-87-14 (BERC)  
OCTOBER 1987

OMB No.: 0938-0193

State/Territory: Puerto Rico

Citation

1902(a)(48)  
of the Act,  
P.L. 99-570  
(Section 11005)  
P.L 100-93  
(sec. 5(a)(3))

4.33 Medicaid Eligibility Cards for Homeless Individuals

- (a) The Medicaid agency has a method for making cards evidencing eligibility for medical assistance available to an individual eligible under the State's approved plan who does not reside in a permanent dwelling or does not have a fixed home or mailing address.
- (b) ATTACHMENT 4.33-A specifies the method for issuance of Medicaid eligibility cards to homeless individuals.

OFFICIAL

TN No. 88-4  
Supersedes  
TN No. NEW

Approval Date OCT 20 1988  
1989

Effective Date 4/1/88

HCFA ID: 1010P/0012P

Revision: HCFA-PM-88-10 (BERC)  
SEPTEMBER 1988

OMB No.: 0938-0193

State/Territory: Puerto Rico

Citation  
1137 of  
the Act

P.L. 99-603  
(sec. 121)

4.34 Systematic Alien Verification for Entitlements

The State Medicaid agency has established procedures for the verification of alien status through the Immigration & Naturalization Service (INS) designated system, Systematic Alien Verification for Entitlements (SAVE), effective October 1, 1988.

The State Medicaid agency has elected to participate in the option period of October 1, 1987 to September 30, 1988 to verify alien status through the INS designated system (SAVE).

The State Medicaid agency has received the following type(s) of waiver from participation in SAVE.

Total waiver

Alternative system

Partial implementation

TN No. 89-1  
Supersedes  
TN No. New

Approval Date AUG 15 1989

Effective Date SEP 1 1989

HCFA ID: 1010P/0012P

**OFFICIAL**Revision: HCFA-PM-90- 2 (BPD)  
JANUARY 1990

OMB No.: 0938-0193

State/Territory: Puerto RicoCitation 4.35 Remedies for Skilled Nursing and Intermediate Care  
Facilities that Do Not Meet Requirements of  
Participation1919(h)(1)  
and (2)  
of the Act,  
P.L. 100-203  
(Sec. 4213(a))(a) The Medicaid agency meets the requirements of  
section 1919(h)(2)(A) through (D) of the Act  
concerning remedies for skilled nursing and  
intermediate care facilities that do not meet one  
or more requirements of participation.ATTACHMENT 4.35-A describes the criteria for  
applying the remedies specified in section  
1919(h)(2)(A)(i) through (iv) of the Act. Not applicable to intermediate care facilities;  
these services are not furnished under this plan. (b) The agency uses the following remedy(ies):

- (1) Denial of payment for new admissions.
- (2) Civil money penalty.
- (3) Appointment of temporary management.
- (4) In emergency cases, closure of the facility  
and/or transfer of residents.

1919(h)(2)(B)(ii)  
of the Act (c) The agency establishes alternative State remedies  
to the specified Federal remedies (except for  
termination of participation): ATTACHMENT 4.35-B  
describes these alternative remedies and specifies  
the basis for their use.1919(h)(2)(F)  
of the Act (d) The agency uses one of the following incentive  
programs to reward skilled nursing or intermediate  
care facilities that furnish the highest quality  
care to Medicaid residents: (1) Public recognition. (2) Incentive payments.TN No. 90-1  
Supersedes  
TN No. NEWApproval Date AUG 22 1990Effective Date APR 01 1990

HCFA ID: 1010P/0012P

Revision: HCFA-PM-91- 4 (BPD)  
AUGUST 1991

OMB No.: 0938-

State/Territory: Puerto Rico

Citation 4.36 Required Coordination Between the Medicaid and WIC Programs

1902(a)(11)(C)  
and 1902(a)(53)  
of the Act

The Medicaid agency provides for the coordination between the Medicaid program and the Special Supplemental Food Program for Women, Infants, and Children (WIC) and provides timely notice and referral to WIC in accordance with section 1902(a)(53) of the Act.

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TN No. 92-2 Approval Date MAY 1 1992 Effective Date JAN 1 - 1992  
 Supersedes New  
 TN No. New HCFA ID: 7982E

Revision: HCFA-PM-91- 10  
DECEMBER 1991

(BPD)

State/Territory: Puerto Rico

Citation

42 CFR 483.75; 42  
CFR 483 Subpart D;  
Secs. 1902(a)(28),  
1919(e)(1) and (2),  
and 1919(f)(2),  
P.L. 100-203 (Sec.  
4211(a)(3)); P.L.  
101-239 (Secs.  
6901(b)(3) and  
(4)); P.L. 101-508  
(Sec. 4801(a)).

4.38 Nurse Aide Training and Competency  
Evaluation for Nursing Facilities

- (a) The State assures that the requirements of 42 CFR 483.150(a), which relate to individuals deemed to meet the nurse aide training and competency evaluation requirements, are met.
- (b) The State waives the competency evaluation requirements for individuals who meet the requirements of 42 CFR 483.150(b)(1).
- (c) The State deems individuals who meet the requirements of 42 CFR 483.150(b)(2) to have met the nurse aide training and competency evaluation requirements.
- (d) The State specifies any nurse aide training and competency evaluation programs it approves as meeting the requirements of 42 CFR 483.152 and competency evaluation programs it approves as meeting the requirements of 42 CFR 483.154.
- (e) The State offers a nurse aide training and competency evaluation program that meets the requirements of 42 CFR 483.152.
- (f) The State offers a nurse aide competency evaluation program that meets the requirements of 42 CFR 483.154.

TN No. 92-10

Supersedes

TN No.

**New**

Approval Date OCT 14 1992

Effective Date JUL 1 1992

STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Commonwealth of Puerto Rico

**OFFICIAL**

<p>Citation 1902(a)(68) of the Act, P.L. 109-171 (section 6032)</p>	<p>4.42 <u>Employee Education About False Claims Recoveries.</u></p> <p>(a) The Medicaid agency meets the requirements regarding establishment of policies and procedures for the education of employees of entities covered by section 1902(a)(68) of the Social Security Act (the Act) regarding false claims recoveries and methodologies for oversight of entities' compliance with these requirements.</p> <p>(1) Definitions.</p> <p>(A) An "entity" includes a governmental agency, organization, unit, corporation, partnership, or other business arrangement (including any Medicaid managed care organization, irrespective of the form of business structure or arrangement by which it exists), whether for-profit or not-for-profit, which receives or makes payments, under a State Plan approved under title XIX or under any waiver of such plan, totaling at least \$5,000,000 annually.</p> <p>If an entity furnishes items or services at more than a single location or under more than one contractual or other payment arrangement, the provisions of section 1902(a)(68) apply if the aggregate payments to that entity meet the \$5,000,000 annual threshold. This applies whether the entity submits claims for payments using one or more provider identification or tax identification numbers.</p> <p>A governmental component providing Medicaid health care items or services for which Medicaid payments are made would qualify as an "entity" (e.g., a state mental</p>
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TN No. 07-18  
Supersedes  
TN No. \_\_\_\_\_

APR 16 2010  
Approval Date: \_\_\_\_\_ Effective Date: JAN 01 2007

STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Commonwealth of Puerto Rico

**OFFICIAL**

	<p>health facility or school district providing school-based health services). A government agency which merely administers the Medicaid program, in whole or part (e.g., managing the claims processing system or determining beneficiary eligibility), is not, for these purposes, considered to be an entity. An entity will have met the \$5,000,000 annual threshold as of January 1, 2007, if it received or made payments in that amount in Federal fiscal year 2006. Future determinations regarding an entity's responsibility stemming from the requirements of section 1902(a)(68) will be made by January 1 of each subsequent year, based upon the amount of payments an entity either received or made under the State Plan during the preceding Federal fiscal year.</p> <p>(B) An "employee" includes any officer or employee of the entity.</p> <p>(C) A "contractor" or "agent" includes any contractor, subcontractor, agent, or other person which or who, on behalf of the entity, furnishes, or otherwise authorizes the furnishing of, Medicaid health care items or services, performs billing or coding functions, or is involved in the monitoring of health care provided by the entity.</p> <p>(2) The entity must establish and disseminate written policies which must also be adopted by its contractors or agents. Written policies may be on paper or in electronic form, but must be readily available to all employees, contractors, or agents. The entity need not create an employee handbook if none already exists.</p>
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TN No. 07-12  
Supersedes  
TN No. \_\_\_\_\_

Approval Date: APR 16 2010 Effective Date: JAN 01 2007

STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Commonwealth of Puerto Rico

**OFFICIAL**

	<p>(3) An entity shall establish written policies for all employees (including management), and of any contractor or agent of the entity, that include detailed information about the False Claims Act and the other provisions named in section 1902(a)(68)(A). The entity shall include in those written policies detailed information about the entity's policies and procedures for detecting and preventing waste, fraud, and abuse. The entity shall also include in any employee handbook a specific discussion of the laws described in the written policies, the rights of employees to be protected as whistleblowers and a specific discussion of the entity's policies and procedures for detecting and preventing fraud, waste, and abuse.</p> <p>(4) The requirements of this law should be incorporated into each State's provider enrollment agreements.</p> <p>(5) The State will implement this State Plan amendment on <u>January 1, 2007</u>.</p> <p>(b) ATTACHMENT 4.42-A describes, in accordance with section 1902(a)(68) of the Act, the methodology of compliance oversight and the frequency with which the State will re-assess compliance on an ongoing basis.</p>
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TN No. 07-12  
Supersedes  
TN No. \_\_\_\_\_

Approval Date: APR 16 2010 Effective Date: JAN 01 2007



State/Territory: Puerto Rico

Citation

42 CFR 483.75; 42  
CFR 483 Subpart D;  
Secs. 1902(a)(28),  
1919(e)(1) and (2),  
and 1919(f)(2),  
P.L. 100-203 (Sec.  
4211(a)(3)); P.L.  
101-239 (Secs.  
6901(b)(3) and  
(4)); P.L. 101-508  
(Sec. 4801(a)).

- (g) If the State does not choose to offer a nurse aide training and competency evaluation program or nurse aide competency evaluation program, the State reviews all nurse aide training and competency evaluation programs and competency evaluation programs upon request.
- (h) The State survey agency determines, during the course of all surveys, whether the requirements of 483.75(e) are met.
- (i) Before approving a nurse aide training and competency evaluation program, the State determines whether the requirements of 42 CFR 483.152 are met.
- (j) Before approving a nurse aide competency evaluation program, the State determines whether the requirements of 42 CFR 483.154 are met.
- (k) For program reviews other than the initial review, the State visits the entity providing the program.
- (l) The State does not approve a nurse aide training and competency evaluation program or competency evaluation program offered by or in certain facilities as described in 42 CFR 483.151(b)(2) and (3).

State/Territory: Puerto Rico

Citation

42 CFR 483.75; 42  
CFR 483 Subpart D;  
Secs. 1902(a)(28),  
1919(e)(1) and (2),  
and 1919(f)(2),  
P.L. 100-203 (Sec.  
4211(a)(3)); P.L.  
101-239 (Secs.  
6901(b)(3) and  
(4)); P.L. 101-508  
(Sec. 4801(a)).

- (m) The State, within 90 days of receiving a request for approval of a nurse aide training and competency evaluation program or competency evaluation program, either advises the requestor whether or not the program has been approved or requests additional information from the requestor.
- (n) The State does not grant approval of a nurse aide training and competency evaluation program for a period longer than 2 years.
- (o) The State reviews programs when notified of substantive changes (e.g., extensive curriculum modification).
- (p) The State withdraws approval from nurse aide training and competency evaluation programs and competency evaluation programs when the program is described in 42 CFR 483.151(b)(2) or (3).
- X (q) The State withdraws approval of nurse aide training and competency evaluation programs that cease to meet the requirements of 42 CFR 483.152 and competency evaluation programs that cease to meet the requirements of 42 CFR 483.154.
- (r) The State withdraws approval of nurse aide training and competency evaluation programs and competency evaluation programs that do not permit unannounced visits by the State.

TN No. 92-10  
Supersedes  
TN No. **New**

Approval Date OCT 14 1992

Effective Date JUL 1 1992

State/Territory: Puerto Rico

Citation

42 CFR 483.75; 42  
CFR 483 Subpart D;  
Secs. 1902(a)(28),  
1919(e)(1) and (2),  
and 1919(f)(2),  
P.L. 100-203 (Sec.  
4211(a)(3)); P.L.  
101-239 (Secs.  
6901(b)(3) and  
(4)); P.L. 101-508  
(Sec. 4801(a)).

- (s) When the State withdraws approval from a nurse aide training and competency evaluation program or competency evaluation program, the State notifies the program in writing, indicating the reasons for withdrawal of approval.
- (t) The State permits students who have started a training and competency evaluation program from which approval is withdrawn to finish the program.
- (u) The State provides for the reimbursement of costs incurred in completing a nurse aide training and competency evaluation program or competency evaluation program for nurse aides who become employed by or who obtain an offer of employment from a facility within 12 months of completing such program.
- (v) The State provides advance notice that a record of successful completion of competency evaluation will be included in the State's nurse aide registry.
- (w) Competency evaluation programs are administered by the State or by a State-approved entity which is neither a skilled nursing facility participating in Medicare nor a nursing facility participating in Medicaid.
- (x) The State permits proctoring of the competency evaluation in accordance with 42 CFR 483.154(d).
- (y) The State has a standard for successful completion of competency evaluation programs.

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Supersedes

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Approval Date OCT 14 1992

Effective Date JUL 1 1992

Revision: HCFA-PM-91-10  
DECEMBER 1991

79r  
(BPD)

State/Territory: Puerto Rico

Citation

42 CFR 483.75; 42  
CFR 483 Subpart D;  
Secs. 1902(a)(28),  
1919(e)(1) and (2),  
and 1919(f)(2),  
P.L. 100-203 (Sec.  
4211(a)(3)); P.L.  
101-239 (Secs.  
6901(b)(3) and  
(4)); P.L. 101-508  
(Sec. 4801(a)).

- (z) The State includes a record of successful completion of a competency evaluation within 30 days of the date an individual is found competent.
- (aa) The State imposes a maximum upon the number of times an individual may take a competency evaluation program (any maximum imposed is not less than 3).
- (bb) The State maintains a nurse aide registry that meets the requirements in 42 CFR 483.156.
- (cc) The State includes home health aides on the registry.
- (dd) The State contracts the operation of the registry to a non State entity.
- (ee) ATTACHMENT 4.38 contains the State's description of registry information to be disclosed in addition to that required in 42 CFR 483.156(c)(1)(iii) and (iv).
- (ff) ATTACHMENT 4.38-A contains the State's description of information included on the registry in addition to the information required by 42 CFR 483.156(c).

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Supersedes

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**New**

Approval Date OCT 14 1992

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January 1993

# OFFICIAL

State/Territory: Puerto Rico

Citation  
Secs.

1902(a)(28)(D)(i)  
and 1919(e)(7) of  
the Act;  
P.L. 100-203  
(Sec. 4211(c));  
P.L. 101-508  
(Sec. 4801(b)).

4.39 Preadmission Screening and Annual  
Resident Review in Nursing Facilities

- (a) The Medicaid agency has in effect a written agreement with the State mental health and mental retardation authorities that meet the requirements of 42 (CFR) 431.621(c).
- (b) The State operates a preadmission and annual resident review program that meets the requirements of 42 CFR 483.100-138.
- (c) The State does not claim as "medical assistance under the State Plan" the cost of services to individuals who should receive preadmission screening or annual resident review until such individuals are screened or reviewed.
- (d) With the exception of NF services furnished to certain NF residents defined in 42 CFR 483.118(c)(1), the State does not claim as "medical assistance under the State plan" the cost of NF services to individuals who are found not to require NF services.
- (e) ATTACHMENT 4.39 specifies the State's definition of specialized services.

*Not Applicable*

TN No. PR 93-3  
Supersedes  
TN No. **New**

Approval Date JAN 12 1994

Effective Date JUL 1 - 1993

Revision: HCFA-PM-93-1 (BPD)  
January 1993

**OFFICIAL**

State/Territory: Puerto Rico

4.39 (Continued)

- (f) Except for residents identified in 42 CFR 483.118(c)(1), the State mental health or mental retardation authority makes categorical determinations that individuals with certain mental conditions or levels of severity of mental illness would normally require specialized services of such an intensity that a specialized services program could not be delivered by the State in most, if not all, NFs and that a more appropriate placement should be utilized.
- (g) The State describes any categorical determinations it applies in ATTACHMENT 4.39-A.

*Not Applicable*

TN No. PR 93-3  
 Supersede **New** Approval Date JAN 12 1994 Effective Date JUL 1 - 1993  
 TN No. New

Revision: HCFA-PM-92-3 (HSQB)  
APRIL 1992

OMB No.:

State/Territory: Puerto Rico

Citation4.40 Survey & Certification Process

## Sections

1919(g)(1)  
thru (2) and  
1919(g)(4)  
thru (5) of  
the Act P.L.  
100-203  
(Sec.  
4212(a))

(a) The State assures that the requirements of 1919(g)(1)(A) through (C) and section 1919(g)(2)(A) through (E)(iii) of the Act which relate to the survey and certification of non-State owned facilities based on the requirements of section 1919(b), (c) and (d) of the Act, are met.

1919(g)(1)  
(B) of the  
Act

(b) The State conducts periodic education programs for staff and residents (and their representatives). Attachment 4.40-A describes the survey and certification educational program.

1919(g)(1)  
(C) of the  
Act

(c) The State provides for a process for the receipt and timely review and investigation of allegations of neglect and abuse and misappropriation of resident property by a nurse aide of a resident in a nursing facility or by another individual used by the facility. Attachment 4.40-B describes the State's process.

1919(g)(1)  
(C) of the  
Act

(d) The State agency responsible for surveys and certification of nursing facilities or an agency delegated by the State survey agency conducts the process for the receipt and timely review and investigation of allegations of neglect and abuse and misappropriation of resident property. If not the State survey agency, what agency?

1919(g)(1)  
(C) of the  
Act

(e) The State assures that a nurse aide, found to have neglected or abused a resident or misappropriated resident property in a facility, is notified of the finding. The name and finding is placed on the nurse aide registry.

1919(g)(1)  
(C) of the  
Act

(f) The State notifies the appropriate licensure authority of any licensed individual found to have neglected or abused a resident or misappropriated resident property in a facility.

Not Applicable

TN No. 92-6

Supersedes

TN No.

**New**

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OMB No:

State/Territory: Puerto Rico

- 1919(g)(2)  
(A)(i) of  
the Act
- (g) The State has procedures, as provided for at section 1919(g)(2)(A)(i), for the scheduling and conduct of standard surveys to assure that the State has taken all reasonable steps to avoid giving notice through the scheduling procedures and the conduct of the surveys themselves. Attachment 4.40-C describes the State's procedures.
- 1919(g)(2)  
(A)(ii) of  
the Act
- (h) The State assures that each facility shall have a standard survey which includes (for a case-mix stratified sample of residents) a survey of the quality of care furnished, as measured by indicators of medical, nursing and rehabilitative care, dietary and nutritional services, activities and social participation, and sanitation, infection control, and the physical environment, written plans of care and audit of resident's assessments, and a review of compliance with resident's rights not later than 15 months after the date of the previous standard survey.
- 1919(g)(2)  
(A)(iii)(I)  
of the Act
- (i) The State assures that the Statewide average interval between standard surveys of nursing facilities does not exceed 12 months.
- 1919(g)(2)  
(A)(iii)(II)  
of the Act
- (j) The State may conduct a special standard or special abbreviated standard survey within 2 months of any change of ownership, administration, management, or director of nursing of the nursing facility to determine whether the change has resulted in any decline in the quality of care furnished in the facility.
- 1919(g)(2)  
(B) of the  
Act
- (k) The State conducts extended surveys immediately or, if not practicable, not later than 2 weeks following a completed standard survey in a nursing facility which is found to have provided substandard care or in any other facility at the Secretary's or State's discretion.
- 1919(g)(2)  
(C) of the  
Act
- (l) The State conducts standard and extended surveys based upon a protocol, i.e., survey forms, methods, procedures and guidelines developed by HCFA, using individuals in the survey team who meet minimum qualifications established by the Secretary.

Not Applicable

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OMB No:

State/Territory: Puerto Rico

- 1919(g)(2)  
(D) of the  
Act (m) The State provides for programs to measure and reduce inconsistency in the application of survey results among surveyors. Attachment 4.40-D describes the State's programs.
- 1919(g)(2)  
(E)(i) of  
the Act (n) The State uses a multidisciplinary team of professionals including a registered professional nurse.
- 1919(g)(2)  
(E)(ii) of  
the Act (o) The State assures that members of a survey team do not serve (or have not served within the previous two years) as a member of the staff or consultant to the nursing facility or has no personal or familial financial interest in the facility being surveyed.
- 1919(g)(2)  
(E)(iii) of  
the Act (p) The State assures that no individual shall serve as a member of any survey team unless the individual has successfully completed a training and test program in survey and certification techniques approved by the Secretary.
- 1919(g)(4)  
of the Act (q) The State maintains procedures and adequate staff to investigate complaints of violations of requirements by nursing facilities and onsite monitoring. Attachment 4.40-E describes the State's complaint procedures.
- 1919(g)(5)  
(A) of the  
Act (r) The State makes available to the public information respecting surveys and certification of nursing facilities including statements of deficiencies, plans of correction, copies of cost reports, statements of ownership and the information disclosed under section 1126 of the Act.
- 1919(g)(5)  
(B) of the  
Act (s) The State notifies the State long-term care ombudsman of the State's finding of non-compliance with any of the requirements of subsection (b), (c), and (d) or of any adverse actions taken against a nursing facility.
- 1919(g)(5)  
(C) of the  
Act (t) If the State finds substandard quality of care in a facility, the State notifies the attending physician of each resident with respect to which such finding is made and the nursing facility administrator licensing board.
- 1919(g)(5)  
(D) of the  
Act (u) The State provides the State Medicaid fraud and abuse agency access to all information concerning survey and certification actions.

NOT Applicable

TN No. 91-6

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TN No. **New**

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Revision: HCFA-PM-92- 2  
MARCH 1992.

(HSQB)

State/Territory: PUERTO RICO

Citation

4.41 Resident Assessment for Nursing Facilities

Sections  
1919(b)(3)  
and 1919  
(e)(5) of  
the Act

(a) The State specifies the instrument to be used by nursing facilities for conducting a comprehensive, accurate, standardized, reproducible assessment of each resident's functional capacity as required in §1919(b)(3)(A) of the Act.

1919(e)(5)  
(A) of the  
Act

(b) The State is using:

\_\_\_\_\_ the resident assessment instrument designated by the Health Care Financing Administration (see Transmittal #241 of the State Operations Manual) [§1919(e)(5)(A)]; or

1919(e)(5)  
(B) of the  
Act

\_\_\_\_\_ a resident assessment instrument that the Secretary has approved as being consistent with the minimum data set of core elements, common definitions, and utilization guidelines as specified by the Secretary (see Section 4470 of the State Medicaid Manual for the Secretary's approval criteria). [§1919(e)(5)(B)].

NOT APPLICABLE

TN No. 92-5

persedes

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**New**

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ENCLOSURE A

Medicaid State Plan Preprint

**OFFICIAL**

State/Territory: PUERTO RICO

**PROPOSED SECTION 4 – GENERAL PROGRAM ADMINISTRATION**

4.44 Medicaid Prohibition on Payment to Institutions or Entities Located Outside of the United States

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Citation

Section 1902(a)(80) of the Social Security Act, P.L. 111-148 (Section 6505)

X The State shall not provide any payments for items or services provided under the State plan or under a waiver to any financial institution or entity located outside of the United States.

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*New*

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