

1.43	<b>1056 Approval Process</b>	Page 1 of 2
Issue date: 10/2015	Revision date:	Division Staff
Form(s): None	(Authorizing Utah Law): (Division Rule): Etc.	

**I. Directive Purpose:**

The purpose of this Directive is to set forth the process and procedures for 1056 approvals for the Division of Services for People with Disabilities (Division).

**II. Definitions:**

- A. "Activating Administrator" refers to the Division employee who is responsible for activating a person's PCSP in automated rollovers.
- B. "Material Change" means changes to a plan budget that result in an alteration to the date range, rate, or total number of units, for any one service item on the 1056.

**III. Policy:**

- A. All 1056s are to be processed using the UPI system.
  - 1. This eliminates the need for any paper processing.
  - 2. Effective November 1, 2015, all paper processing will end and both service providers and support coordinators will be required to use the UPI authenticated approval system for processing all 1056's.
- B. The 1056s being processed using the UPI system do not require physical signatures.
- C. Approval of Parties:
  - 1. The Division will provide implied administrative approval of each 1056 when a person's new plan is activated.
    - a. The Division controls new plans by maintaining control over the person's pro forma budget.
  - 2. The support coordinator or Activating Administrator, as the entity activating the person's PCSP, is the entity approving the 1056 and as such approves the 1056 upon activating the PCSP.
  - 3. Service providers are responsible to manually approve each 1056 in the UPI application once a plan is activated and the plan includes a budget line change for a person for whom the service provider is providing services.
    - a. Approval or Rejection of the 1056 must occur within ten (10) calendar days of the email notification.
- D. Only those material changes to a plan budget line require approval of a new 1056.
- E. Support coordinators have the ability to view the status of all 1056s for persons on the support coordinators case load.
- F. If the employee of a service provider or support coordinator company wants to have access to the 1056 approval screen in the UPI system, the Division USTEPS Team must receive a Form 0-8.

**IV. Procedures:**

- A. Once a plan has been activated and includes a budget line change for a person for whom the service provider is providing services:
  - 1. Service providers will be notified by email that a new plan has been activated.
  - 2. The service provider is required to manually approve or reject any new 1056s by:
    - a. Retrieving the 1056 through the UPI application; and
    - b. If the service provider rejects, they must provide a detailed reason for the rejection.

3. Approval or rejection must occur within ten (10) calendar days of the email notification.
- B. If the 1056 is rejected, the person's assigned support coordinator will be notified by email.