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.