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GOVERNOR

December 22, 2023

TO: REGIONAL CENTER EXECUTIVE DIRECTORS

SUBJECT: SELF-DETERMINATION PROGRAM: UPDATED INITIAL PERSON-CENTERED PLAN AND PRE-ENROLLMENT TRANSITION SUPPORTS GUIDANCE

The purpose of this correspondence is to provide updated guidance about the Initial Person-Centered Plan and Pre-Enrollment Transition Supports available to potential Self-Determination Program (SDP) participants. This guidance replaces the Department's guidance dated [July 28, 2022](#), [December 2, 2022](#) and [June 30, 2023](#). This guidance is issued pursuant to Welfare and Institutions Code section 4685.8(p)(2) which authorizes the Department of Developmental Services (Department) to issue program directives or similar instructions until regulations are adopted.

This guidance makes the following changes:

- Provider eligibility to offer services under Options A and B is updated.
- Self-Directed (SD) Supports will no longer include supports provided by Financial Management Services (FMS) providers (previously called FMS SD Supports). FMS providers will instead be paid for transition supports they provide as identified in the guidance dated [December 22, 2023](#).
- General SD Supports may be authorized for up to 40 hours.
- Regional centers shall timely pay invoices for an Initial Person-Centered Plan following receipt of invoice.
- Regional centers shall submit monthly reports on the status of pre-enrollment transition supports capacity.
- The General SD Supports service definition is updated to allow billing for collateral contacts, documentation, and activities associated with the services described in Enclosure A.
- General SD Supports providers shall bill for services in accordance with the sample invoice template in Enclosure B.

Options For Receiving an Initial Person-Centered Plan and Pre-Enrollment Transition Supports

The Initial Person-Centered Plan and Pre-Enrollment Transition Supports are available to potential SDP participants who have met the SDP orientation requirement and are pursuing enrollment in the SDP. These services are available up to the date the services in the individual spending plan are authorized to begin.

The Initial Person-Centered Plan and Pre-Enrollment Transition Supports can be accessed as follows:

- **Option A**
Availability of up to \$2,500 for an Initial Person-Centered Plan and transition supports through purchase reimbursement (service code 024) or through a vendored provider of person-centered plan services.
- **Option B**
Available since August 1, 2022, Option B separates the Initial Person-Centered Plan (Purchase Reimbursement, service code 024) and the Pre-Enrollment Transition Supports (General Self-Directed Supports, service code 099). It is anticipated that each regional center will work with their local community partners to identify and vendor providers of this service and add these providers to the list of vendors on the regional center's website.

The following guidance regarding the Initial Person-Centered Plan and Pre-Enrollment Transition Supports applies to Option B:

The Initial Person-Centered Plan

A potential participant transitioning into SDP, who has completed an SDP orientation, may request the development of an Initial Person-Centered Plan. A Person-Centered Plan describes what the potential SDP participant wants their life to be like in the future so they can work towards their goals. It is based on their strengths, capabilities, preferences, lifestyle and culture. It can be used to inform the development of the Individual Program Plan (IPP). Regional centers may purchase and make payment up to \$1,000 for the Initial Person-Centered Plan from:

- Vendored providers of person-centered plan services; or
- Non-vendored providers who demonstrate they have received training or certification in the person-centered plan/facilitation process. Payment to non-vendored providers is to be made as a "Purchase Reimbursement" under service code 024. Payments for this service under service code 024 do not require vendorization as a person-centered plan services provider.

Regional centers may increase payment on a case-by-case basis for potential SDP participants whose Initial Person-Centered Plan requires more time due to a lack of natural supports to assist with the enrollment process, when the preferred language is other than English, or when there is a higher level of service need as a result of their disability. Payment may be made only after the regional center receives the invoice that shows a written Initial Person-Centered Plan has been delivered as agreed to by the potential SDP participant.

The Initial Person-Centered Planning process may be provided in-person or remotely based upon the participant's choice and need and as agreed to by the participant, provider and IPP team.

Pre-Enrollment Transition Supports

Pre-Enrollment Transition Supports are offered in a variety of ways which do not require a vendored service provider:

- Regional center service coordinators assist individuals and families with the transition.
- Regional centers work with their Self-Determination Local Volunteer Advisory Committee to identify or contract for local transition supports. Funding information can be found on the Department's [SDP Program Directives](#) webpage.
- Regional center Participant Choice Specialists assist individuals pursuing self-direction through the SDP.

For potential SDP participants who need additional transition support, a vendored service is available called "General Self-Directed (SD) Supports," service code 099, to support transition to the SDP. General SD Supports are authorized to be provided after SDP orientation and before a potential SDP participant is enrolled in the SDP. This service is for any assistance, coaching and/or training supports needed by a potential SDP participant and their family or their representative to successfully enroll in SDP. General SD Supports may be provided in-person or remotely based upon the participant's choice and need and as agreed to by the participant, provider and IPP team. In vendoring new providers for this service, regional centers must use service code 099. (See Enclosure A for detailed information about General SD Supports.)

Regional centers may authorize General SD Supports for up to 40 hours. The General SD Supports vendor shall provide the potential participant's IPP team with written information about the proposed transition services they intend to provide and the estimated number of hours. Additional hours may be requested by the IPP team and authorized by the regional center on a case-by-case basis for potential SDP participants who need more intensive supports to successfully transition into SDP such as potential participants and their family members who do not have access to natural supports to assist with the enrollment process, whose preferred language is other than English, or have a higher level of service need. as a result of their disability. Hourly rates for [General SD Supports](#) are set by the Department.

Provider Eligibility for Service Options A and B

Providers who submit a complete standardized vendorization packet as described in the Department's [March 20, 2023](#) correspondence to their vendoring regional center by February 29, 2024:

- Shall receive a written confirmation of receipt of the standardized vendorization packet from their vendoring regional center.
- May submit the written confirmation for receipt to other regional centers where they provide pre-enrollment supports to demonstrate submission of the standardized vendorization packet.
- May continue with current individuals supported and accept new referrals under Option A until the date their vendor application has been approved or denied.

Separate vendorization is not required in each regional center catchment area for General SD Supports providers. If the provider of General SD Supports would like to be vendored to provide services in a new catchment area, they will notify the new regional center.

Providers who do not submit a complete standardized vendorization packet as described in the [March 20, 2023](#) correspondence to their vendoring regional center by February 29, 2024:

- Shall only provide pre-enrollment supports to individuals currently supported by that provider.
- Shall work with the above individuals and their planning teams to identify a timeline for completing services through Option A.

California Code of Regulations, Title 17 vendorization requirements as described in sections 54302 through 54334 and vendorization appeal process in sections 54380 through 54390 are applicable.

Payment for the Initial Person-Centered Plan and General SD Supports

An initial person-centered plan billed through Purchase Reimbursement (service code 024) shall be paid timely by regional centers following receipt of an invoice. An invoice shall include at minimum, the following (see Enclosure B for sample template):

- Hourly billing rate
- Date that each service/task is provided
- Description of the service/task performed
- Amount of time spent on each service/task provided for the time period of the invoice and the prorated cost of that service

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Providers of General SD Supports shall work with the regional center of the potential SDP participant for billing processes. Regional centers shall require General SD Supports providers to bill in accordance with the sample invoice template included in Enclosure B.

Potential SDP participants are not required to have either an Initial Person-Centered Plan or use General SD Supports to enroll in SDP. While billing of these services is to be identified separately, the process of carrying out Pre-Enrollment Transition Supports should feel seamless to the potential SDP participant.

Regional Center Reporting

Beginning March 1, 2024, and through December 31, 2024, regional centers shall submit a monthly report to the Department that includes the below information:

- Number of active vendors of General SD Supports;
- Number of vendor applications in progress for General SD Supports;
- Description of actions to build capacity of General SD Supports providers; and,
- Description of other efforts to build capacity for Pre-Enrollment Transition Supports that do not require a vendored service provider.

The Department will send regional centers the link to the online reporting platform via email within 14 days of this guidance.

Participants or their families with questions regarding this guidance should contact their regional center service coordinator. General SD Supports applicants with questions should contact their regional center. Regional centers should direct their questions to sdp@dds.ca.gov.

Sincerely,

Original Signed by:

VICKI L. SMITH, Ph.D.
Deputy Director
Policy and Program Development Division

Enclosures

cc: See next page.

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cc: Regional Center Administrators
Regional Center Directors of Consumer Services
Regional Center Community Services Directors
Association of Regional Center Agencies
State Council on Developmental Disabilities
Nancy Bargmann, Department of Developmental Services
Brian Winfield, Department of Developmental Services
Carla Castañeda, Department of Developmental Services
Jim Knight, Department of Developmental Services
Ernie Cruz, Department of Developmental Services
Suzy Requarth, Department of Developmental Services
Kathleen Dempsey, Department of Developmental Services

Service Definition – General Self-Directed Supports (Service Code 099)

General Self-Directed Supports (General SD Supports) occur after a potential participant completes a Self-Determination Program (SDP) orientation and before enrollment in the SDP.

Providers of General SD Supports must meet distinct vendor qualifications. The General SD Supports vendor packet can be found in the March 20, 2023 correspondence on the Department's [SDP Program Directives](#) webpage.

Regional centers may authorize General SD Supports for up to 40 hours following receipt of written information about the proposed services, estimated hours and service cost. Additional hours may be authorized on a case-by-case basis for potential SDP participants who need more intensive supports to successfully transition into SDP as specified in the Department's guidance.

General SD Supports, as directed by the potential SDP participant, may provide assistance and coaching and/or training individually or as part of a group setting to help the potential SDP participant(s) gain a thorough understanding of the SDP.

General SD Supports include the following services provided by a qualified General SD Supports provider to a potential SDP participant enrolling in SDP. Examples of responsibilities include assistance, coaching and/or training in the following areas:

1. Individual program planning.
 - a. Coordination with an individual who provided the Initial Person-Centered Plan.
 - b. Assistance at the individual program planning meeting to identify the potential SDP participant's needs, goals and services in the SDP.
2. Coordinating how services and supports are provided.
 - a. Finding and hiring qualified staff or an agency provider.
 - b. Negotiating staff pay or provider rate.
 - c. Understanding the process for obtaining criminal background checks for staff, if applicable.
 - d. Basic information about who can provide services (e.g., qualifications, rules on who may or may not be paid).
 - e. Basic information about how to manage staff (e.g., setting expectations and hours of work, timely submission and claiming for hours worked).
 - f. Coaching on all aspects of onboarding and training staff.
3. Understanding how to manage the 12-month SDP individual budget through the spending plan.
 - a. Education about generic sources of funding to maximize use of SDP funds.

- b. Understanding the process and providing assistance to obtain a certified 12-month budget, understanding how an SDP individual budget is developed and reviewing/developing the individual spending plan.
 - c. Learning and developing basic skills in budgeting and tracking monthly expenditures.
 - d. Basic information about the use of SDP funds (e.g., as required in state or federal law and regulations).
 - e. Assistance with establishing communication and coordination between the regional center, FMS provider, and staff.
4. Collateral contacts, documentation, and activities associated with the above.

Initial Person-Centered Plan (Service Code 024) and General Self-Directed Supports (Service Code 099) – Sample Invoice Template

Name:
 Address:
 Phone Number:
 Hourly Billing Rate:

Name of Participant:
 UCI Number:
 Regional Center:

Month/Year:

Date	Specific Service/Task	Time by Task	Cost of Task
X/X/XXXX	Service/Task 1: Description of service/task performed	Amount of time spent on service/task	Amount of time x hourly billing rate
X/X/XXXX	Service/Task 1: Description of service/task performed	Amount of time spent on service/task	Amount of time x hourly billing rate

Acceptable examples (based on an hourly rate of \$50)

Date	Specific Service/Task	Time by Task	Cost of Task
7/14/2023	Met with individual to draft spending plan.	1.75 hours	\$87.50
7/25/2023	Contacted a potential provider to determine availability to provide services.	0.50 hours	\$25.00

Non-acceptable examples

Date	Specific Service/Task	Time by Task	Cost of Task
7/2023	Provided pre-enrollment transition supports.	12.75 hours	\$637.50
7/2023	Monthly pre-enrollment services.	As needed	\$500 monthly fee