

DEPARTMENT OF DEVELOPMENTAL SERVICES

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DATE: JULY 28, 2022

TO: REGIONAL CENTER EXECUTIVE DIRECTORS

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

The purpose of this correspondence is to outline services available to potential Self-Determination Program (SDP) participants and their families who have completed an SDP orientation and who are transitioning to enrollment in the SDP. Enrollment occurs on the date the regional center changes the consumer's Case Management type to "S" for Self-Determination. The consumer is then considered enrolled in and a participant in the SDP. A potential SDP participant may receive an Initial Person-Centered Plan and/or Pre-Enrollment Transition Supports. For the Initial Person-Centered Plan and/or Pre-Enrollment Transition Supports, the participant must choose from Option A or Option B, described below. Beginning February 1, 2023, only Option B will be available.

OPTION A

Maintains, through January 31, 2023, the current guidance for the Initial Person-Centered Plan and Pre-Enrollment Transition Supports found in the Department of Developmental Services' (Department) directives of [February 13, 2019](#), [September 3, 2019](#), [October 30, 2020](#) and [July 15, 2021](#). Information on estimated rates can be found on the Department's SDP [FAQ webpage](#) under "Person-Centered Planning."

OPTION B

Available beginning August 1, 2022, and effective February 1, 2023, is the sole option for the Initial Person-Centered Plan and the Pre-Enrollment Transition Supports. As such, effective February 1, 2023, this guidance supersedes the Department's directives of [February 13, 2019](#), [September 3, 2019](#), [October 30, 2020](#) and [July 15, 2021](#).

"Building Partnerships, Supporting Choices"

Option B separates the Initial Person-Centered Plan from a new service for Pre-Enrollment Transition Supports. It is anticipated that each regional center will work with their local community partners to identify vendors who will provide this service by February 1, 2023, and add those new vendors 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.

Initial Person-Centered Plan

A consumer transitioning into SDP, who has completed an SDP orientation, may request the development of a 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 writing 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 planning services; or
- Non-vendored providers who demonstrate they have received training or certification in the person-centered planning/facilitation process. Payment to non-vendored providers is to be made as a "Purchase Reimbursement" under service code 024.

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.

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 in the Department's guidance of [February 11, 2022](#).

- Regional center Participant Choice Specialists assist individuals pursuing self-direction through the SDP.

For potential SDP participants who need additional transition supports, a new vendored service is available called “Self-Directed (SD) Supports,” service code 099, and is split between *General Self-Directed (General SD) Supports* and *Financial Management Services Self-Directed (FMS SD) Supports*. Regional centers may authorize SD Supports, in total, for up to 40 hours. Additional hours may be authorized on a case-by-case basis for potential SDP participants (see Enclosure).

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. This does not include supports related to developing an Initial Person-Centered Plan. In vendoring new providers for this service, regional centers must use service code 099. See Enclosure for detailed information about General SD Supports.

FMS SD Supports are authorized to be provided after SDP orientation and before a potential SDP participant is enrolled in the SDP. This does not include supports related to developing an Initial Person-Centered Plan. This service may only be provided by FMS agencies serving SDP participants. In vendoring providers for this service, regional centers must use service code 099. See Enclosure for detailed information about FMS SD Supports.

Potential SDP participants are not required to have either a Person-Centered Plan or use 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 Executive Directors
July 28, 2022
Page four

If participants or their families have questions regarding this correspondence, they should contact their regional center service coordinator and if Regional Centers have questions, they should contact sdp@dds.ca.gov.

Sincerely,

Original signed by:

MARICRIS ACON
Deputy Director
Federal Programs Division

Enclosure

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, DDS
Brian Winfield, DDS
Carla Castañeda, DDS
Jim Knight, DDS
Ernie Cruz, DDS
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Service Definition – Self-Directed Supports (Service Code 099)

Self-Directed Supports (SD Supports) occur after a consumer completes a Self-Determination Program (SDP) orientation and before potential enrollment in the SDP. Enrollment occurs on the date the regional center changes the consumer's Case Management type to "S" for Self Determination. The consumer is then considered enrolled in and a participant in the SDP.

SD Supports include two distinct types of assistance: General SD Supports and Financial Management Services (FMS) SD Supports. Providers of each must meet distinct vendor qualifications and both services may provide assistance, coaching and/or training via 1:1 or group setting to help the potential SDP participant(s) gain a thorough understanding of the SDP.

Regional centers may authorize SD Supports, in total, for up to 40 hours. 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, such as consumers and 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 SD Supports are set by the Department.

General SD Supports

Includes 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. Managing 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/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

General SD Supports Provider Qualifications: Vendors seeking to provide General SD Supports must submit a written qualification statement indicating their knowledge and/or experience in each of the following: knowledge of people with developmental disabilities, through lived experience, and/or one year of formal paid experience; completion of a training course about the self-determination program; and, knowledge of the Lanterman Developmental Disabilities Services Act, including SDP requirements.

Financial Management Services SD Supports

Includes the following services provided by a vendored FMS agency to a potential SDP participant enrolling in SDP. Examples of responsibilities include assistance, coaching and/or training in the following areas:

- 1. Education and coaching about
 - a. Employment laws, overtime rules, timesheet requirements and responsibilities, insurance requirements
 - b. Reviewing the monthly budget report provided by the FMS and responsibilities for reviewing the individual budget expenditures; requirements for adjustments to the individual budget and spending planning and FMS processes for these
- 2. Eligible goods and services requirements
 - a. Process for and assistance with obtaining criminal background checks
 - b. Verification that the proposed services are compliant with Home and Community-Based Services settings requirements
 - c. Review of and assistance in adjusting the individual spending plan to ensure the method for calculating the proposed expenditures are based on reliable costs and service utilization and adjustments, as needed

- d. Discussions with the regional center about inclusion of the spending plan and service authorizations in the e-billing system and other financial and billing requirements, POS processes and regional center processes to support a successful transition
3. Other topics, as needed, to support a smooth transition into the SDP

FMS SD Supports Provider Qualifications: The FMS agency must be vendored by the regional center to provide FMS SD Supports, must be a current FMS vendor for SDP participants and show a demonstrated ability to provide the duties specified above.