

**§ 411.400**

ticket for purposes of suspending continuing disability reviews (see §§ 411.190, 411.195 and 411.200).

REFERRALS BY EMPLOYMENT NETWORKS  
TO STATE VR AGENCIES

**§ 411.400 Can an EN to which a beneficiary's ticket is assigned refer the beneficiary to a State VR agency for services?**

Yes. An EN may refer a beneficiary it is serving under the Ticket to Work program to a State VR agency for services. However, a referral can be made only if the State VR agency and the EN have an agreement that specifies the conditions under which services will be provided by the State VR agency. This agreement must be in writing and signed by the State VR agency and the EN prior to the EN referring any beneficiary to the State VR agency for services.

AGREEMENTS BETWEEN EMPLOYMENT  
NETWORKS AND STATE VR AGENCIES

**§ 411.405 When does an agreement between an EN and the State VR agency have to be in place?**

Each EN must have an agreement with the State VR agency prior to referring a beneficiary it is serving under the Ticket to Work program to the State VR agency for specific services.

**§ 411.410 Does each referral from an EN to a State VR agency require its own agreement?**

No. The agreements between ENs and State VR agencies should be broad-based and apply to all beneficiaries who may be referred by the EN to the State VR agency for services, although an EN and a State VR agency may want to enter into an individualized agreement to meet the needs of a single beneficiary.

**§ 411.415 Who will verify the establishment of agreements between ENs and State VR agencies?**

The PM will verify the establishment of these agreements. Each EN is re-

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quired to submit a copy of the agreement it has established with the State VR agency to the PM.

**§ 411.420 What information should be included in an agreement between an EN and a State VR agency?**

The agreement between an EN and a State VR agency should state the conditions under which the State VR agency will provide services to a beneficiary when the beneficiary is referred by the EN to the State VR agency for services. Examples of this information include-

- (a) Procedures for making referrals and sharing information that will assist in providing services;
- (b) A description of the financial responsibilities of each party to the agreement;
- (c) The terms and procedures under which the EN will pay the State VR agency for providing services; and
- (d) Procedures for resolving disputes under the agreement.

**§ 411.425 What should a State VR agency do if it gets an attempted referral from an EN and no agreement has been established between the EN and the State VR agency?**

The State VR agency should contact the EN to discuss the need to establish an agreement. If the State VR agency and the EN are not able to negotiate acceptable terms for an agreement, the State VR agency should notify the PM that an attempted referral has been made without an agreement.

**§ 411.430 What should the PM do when it is informed that an EN has attempted to make a referral to a State VR agency without an agreement being in place?**

The PM will contact the EN to explain that a referral cannot be made to the State VR agency unless an agreement has been established that sets out the conditions under which services will be provided when a beneficiary's ticket is assigned to the EN and the EN is referring the beneficiary to the State VR agency for specific services.

## Social Security Administration

## § 411.465

### RESOLVING DISPUTES ARISING UNDER AGREEMENTS BETWEEN EMPLOYMENT NETWORKS AND STATE VR AGENCIES

#### § 411.435 How will disputes arising under the agreements between ENs and State VR agencies be resolved?

Disputes arising under agreements between ENs and State VR agencies must be resolved using the following steps:

(a) When procedures for resolving disputes are spelled out in the agreement between the EN and the State VR agency, those procedures must be used.

(b) If procedures for resolving disputes are not included in the agreement between the EN and the State VR agency and procedures for resolving disputes under contracts and inter-agency agreements are provided for in State law or administrative procedures, the State procedures must be used to resolve disputes under agreements between ENs and State VR agencies.

(c) If procedures for resolving disputes are not spelled out in the agreement or in State law or administrative procedures, the EN or the State VR agency may request that the PM recommend a resolution to the dispute.

(1) The request must be in writing and include:

- (i) a copy of the agreement;
- (ii) information on the issue(s) in dispute; and
- (iii) information on the position of both the EN and the State VR agency regarding the dispute.

(2) The PM has 20 calendar days after receiving a written request to recommend a resolution to the dispute. If either the EN or the State VR agency does not agree with the PM's recommended resolution to the dispute, the EN or the State VR agency has 30 calendar days after receiving the PM's recommendation to request a decision by us on the matter in dispute.

### Subpart G—Requirements For Individual Work Plans

#### § 411.450 What is an Individual Work Plan?

An individual work plan (IWP) is a required written document signed by an employment network (EN) (other

than a State VR agency) and a beneficiary, or a representative of a beneficiary, with a ticket. It is developed and implemented in partnership when a beneficiary and an EN have come to a mutual understanding to work together to pursue the beneficiary's employment goal under the Ticket to Work program.

#### § 411.455 What is the purpose of an IWP?

The purpose of an IWP is to outline the specific employment services, vocational rehabilitation services and other support services that the EN and beneficiary have determined are necessary to achieve the beneficiary's stated employment goal. An IWP provides written documentation for both the EN and beneficiary. Both parties should develop and implement the IWP in partnership. The EN shall develop and implement the plan in a manner that gives the beneficiary the opportunity to exercise informed choice in selecting an employment goal. Specific services needed to achieve the designated employment goal are discussed and agreed to by both parties.

#### § 411.460 Who is responsible for determining what information is contained in the IWP?

The beneficiary and the EN share the responsibility for determining the employment goal and the specific services needed to achieve that employment goal. The EN will present information and options in a way that affords the beneficiary the opportunity to exercise informed choice in selecting an employment goal and specific services needed to achieve that employment goal.

#### § 411.465 What are the minimum requirements for an IWP?

- (a) An IWP must include at least—
- (1) A statement of the vocational goal developed with the beneficiary, including, as appropriate, goals for earnings and job advancement;
  - (2) A statement of the services and supports necessary for the beneficiary to accomplish that goal;
  - (3) A statement of any terms and conditions related to the provision of these services and supports;