



Department of Children, Equality, Disability, Integration and Youth

UBU Your Place Your Space

Amber Status Review Guidance Note

Valid for Amber Status Review process July 2021

As part of the UBU application process in 2020, it was recognised that not all funded organisations may have been in a position to comply fully with all UBU Your Place Your Space rules. A period of up to one year was allowed for services that were otherwise eligible for entry, to meet the full rules of the scheme i.e. those that were recommended for an amber RAG status. As part of the application process action plans were put in place to assist funded organisations in becoming compliant, monitored by ETBs through the Performance and Oversight Engagement Framework (POEF) process. This process seeks to establish that each funded organisation assigned an amber RAG status has or has not come within the rules of the scheme, leading to either a green RAG status or a red RAG status.

[The Amber Status Review](#) is a process to confirm that Funded Organisations assigned an amber RAG status as part of the 2020 UBU Application Process are now meeting the full scheme rules. Each ETB will carry out a review of Funded Organisations assigned an amber status within their functional area, and notify the Department as to whether the organisation is in compliance with the full rules of the scheme. At the end of the application process in 2020, the Department issued decision letters regarding the RAG status of applications. The following applies to the scope of the 2021 Amber Status Review:

- The Department, due to time constraints, issued a number of amber RAG status determinations in 2020. Where ETBs immediately resolved such an amber status item as notified by the Department, for example in relation to the training costs, and issued a green status notification to the Funded Organisation, this process need not be undertaken.
- Covid-19: Where the Funded Organisation may not be in a position to meet the full rules of the scheme by July 2021, the Department will accept 'remain amber' recommendations from ETBs that are satisfied that the Funded Organisation has been unable to meet the full rules of the scheme as a result of Covid-19.

The overall process is designed to support the ETBs to make a recommendation to the DCEDIY for each Funded Organisation assigned an amber status, indicating whether the Funded Organisation is fully compliant with the rules of the scheme (green), or that it has failed to meet the rules (red), or that they should remain amber due to Covid-19. The Department will assess the recommendations and reach a final decision.

The UBU Your Place Your Space Policy and Operating Rules

Section 5.1 of the UBU Policy and Operating Rules states that Funded Organisations must provide an action plan detailing how and when they will become compliant with the assessment criteria within the first 12 months of the scheme, and that organisations not in compliance will be not be eligible for funding in 2022 (6 months to exit scheme).

Section 5.3 notes similar and that Funded Organisations will be assigned a **red** amber status if not fully compliant with the assessment criteria. Furthermore, it is noted that *“Compliance with the full set of scheme rules rather than the completion of agreed action plan(s) is the primary objective and further funding decisions will be made on that basis.”* The Planning and Progress Review Meeting (PPRM) is the appropriate forum to keep track of ongoing action plan progress.

ETBs will make a recommendation to the Department regarding the RAG status of a Funded Organisation and the Department will verify that decision or make an alternative decision, outlining the reasons why.

The role of different stakeholders in the Amber Status Review process

DCEDIY

- Issue the Amber Status Review guidance and templates to ETBs
- Acknowledge receipt of the recommendations from ETBs
- Review the Amber Status Review template for each Funded Organisation recommendation and seek more information where necessary
- Make a final decision on the ETB recommendation and communicate this to the ETB by 30 July 2021 (except where further engagement with ETB is required)
- Process appeals in a timely manner

ETB

- Review each Funded Organisation RAG Action Plan and PPRM templates to assess that the assessment criteria a met in full
- Assign a RAG status recommendation to each Funded Organisation holding an amber status, as follows:
 - **Green:** Assessment Criteria and scheme rules fully met
 - **Red:** Assessment Criteria and scheme rules not fully met**or**
 - **Amber:** Remain Amber recommendation to the Department indicating why amber status should be retained – see **Remain Amber** section below

- Submit the Amber Status Review template (including the remain amber template where a 'remain amber' status is assigned) to DCEDIY by 23 July 2021.
- Relay the Department's decision and updated RAG status to the Funded Organisation
- Process any appeals in line Section 9.10 of the ETB User Guide and make a recommendation to DCEDIY

Funded Organisation

- Submit to the ETB an update on outstanding RAG Action Plans in advance of each scheduled PPRM. This information along with the completed PPRM template(s) are the key documents to inform the Amber Status Review process
- Provide any additional documentation requested by the ETB in relation to the process
- Right of appeal if red RAG status decision issues

Steps in the Process

- DCEDIY will provide the ETB with the Amber Status Review templates and guidance
- The ETBI Youth Support Service will provide additional capacity building and guidance where required
- The ETB Coordination Group will complete the Amber Status Review template by reviewing the updated RAG Action Plan and PPRM template, along with any other documentation relevant to the process
- The ETB will provide their final recommendation to DCEDIY for each Funded Organisation using the Amber Status Review template (all recommendations should be provided on one template) and where a remain amber recommendation is being made include the remain amber template by 23 July 2021
- DCEDIY will communicate the final decision to the ETB by 30 July 2021
- ETBs will communicate the decision to the Funded Organisation
- Both parties will file the Amber Status Review template and associated documentation appropriately

Things to consider

- The entire process is for Funded Organisations holding an **amber** RAG status only
- The purpose of the Amber Status Review process is to ensure that the Funded Organisation is either:
 - Fully compliant and holds a **green** RAG status
 - Not in compliance and holds a **red** RAG status and is preparing to exit the scheme
 - Not in compliance and holds an **amber status**, as they were not able to come within the full rules of the scheme as a result of Covid-19
- The ETB will review the PPRM template and RAG Action Plan, along with any additional documentation relevant to the process
- When completing the Amber Status Review template, ETBs should refer to the Assessment Criteria Declaration Form and the Action Plan item from the UBU Application Form
- Recommendations submitted to the Department must come from the Coordination Group

- ETBs should recall that the process is FOs about coming within the rules of the scheme, not just completing the action plan
- In the particular circumstance where a Funded Organisation has been unable to achieve the RAG Action Plan, due only to the impact of Covid-19, a completed **Remain Amber Template** must be submitted along with the Amber Review Template for consideration by DCEDIY
- If the amber RAG status issue was immediately resolved by the Funded Organisation, and the ETB issued a green status notification to the Funded Organisation, this process need not be undertaken
- Where a red RAG status decision is issued, Funded Organisations have the right of appeal

Remain amber recommendation

It is recognised that Covid-19 has impacted on many sectors of society, including youth organisations. The Department has to date taken a practical approach when considering the implications of Covid-19, and this extends to the Amber Status Review process. Where a Funded Organisation holding an amber RAG status has been unable to complete action plan items and meet the scheme rules as a direct result of Covid-19, the ETB Coordination Group must complete the Remain Amber Template outlining this. The Funded Organisation's inability to sufficiently progress actions to come within the full scheme rules must be solely attributable to restrictions resulting from Covid-19. The remain amber recommendation should be logical and clear links between the action plan item(s) and Covid-19 must be made. All action plan items not met by the Funded Organisation must be included. The Funded Organisation should be included in the Amber Status Review template, marked as **Amber**. The Remain Amber template must also be completed and submitted.

The Amber Status Review and Remain Amber templates will be assessed by the Department who will issue a final decision. Where the extension of the amber period has been approved, there are two options for the Funded Organisation to consider:

1. They may seek to have their amber RAG status assessed by the ETB prior to the UBU application renewal process, or
2. They may await and have their amber RAG status assessed by the ETB as part of the UBU application renewal process

It should be noted that both approaches carry risks in relation to the Funded Organisation's ongoing participation in the UBU Your Place Your Space scheme.

Template 1: Amber Status Review Template:

The UBU Your Place Your Space scheme rules require that ETBs communicate with the DCEDIY regarding the status of Funded Organisations who were assigned an amber RAG status in July 2020. ETBs should complete the table below in respect of each Funded Organisation with an Amber RAG status & submit to the DCEDIY.

Instructions to Complete:

ETB: Enter the name of your ETB

Column 1 – Enter the Funded Organisations Unique Identifier (UI). This UI is the FO’s registered number for UBU which was provided by DCEDIY to ETBs at the commencement of the scheme.

Column 2 – Enter the name of the Funded Organisation as it appears on the Application Form.

Column 3 – Enter the ETB recommended status for each FO.

Column 4 – Enter specific comments relating to the rationale for either Red or Amber status (Amber status selection must be accompanied by a business case)

Signature – The ETB Coordination Group Chair should sign off the ETB recommendation & submit to the DCEDIY

ETB:

| FO Unique Identifier | FO Name | Action Plan Status - Green/Red or Amber | Only provide comments for Red or Amber Status recommendations |
|----------------------|---------|---|---|
| | | Choose RAG status | |

The ETB Coordination Group, following the review process, recommends the above status for each Funded Organisations listed above. For FO(s) recommended by the ETB as ‘remain amber’ the ETB has completed and attached a Remain Amber Template for consideration by the DCEDIY.

Signed on behalf of the ETB:

Date:

Position:

Template 2: Remain Amber Template

This template should be completed by the ETB where the Funded Organisation has been unable to come within the rules of the scheme as a result of not being able to complete actions contained in the RAG Action Plan due to Covid-19 restrictions. The ETB should provide one template for each Funded Organisation where the recommendation is to 'remain amber'.

Instructions to Complete:

Row1 ETB: Enter the name of your ETB.

Row 2 Enter the Funded Organisation Unique Identifier (UI). This UI is the FO's registered number for UBU which was provided by DCEDIY to ETBs at the commencement of the scheme. Enter the name of the Funded Organisation as it appears on the UBU Application Form.

Row 4

Column 1: Enter the specific RAG Action that is **not** complete. Each incomplete action should be inserted into a separate row. Note that actions that have been completed should not be included in this template.

Column 2: Outline the specific rationale to explain why the particular action has not been completed. Note that this must be related to the restrictions resulting from the Covid-19 pandemic.

Column 3: Provide the manner in which the FO intends to address and complete the outstanding action(s).

Column 4: Enter the timeframe that the outstanding action(s) will be completed .

Signature – The ETB Coordination Group Chair should sign off the ETB recommendation & submit to the DCEDIY.

| ETB: | | | |
|--|-----------|---------------------------|-----------|
| Funded Organisation Unique Identifier: | | Funded Organisation Name: | |
| Incomplete RAG Action | Rationale | Plan to complete | Timeframe |
| | | | |
| | | | |
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| | | | |

The ETB Coordination Group, following the RAG review process, includes the proposed Remain Amber recommendation for consideration by the DCEDIY.

Signed on behalf of the ETB:

Date:

Position: