**Quick Guide To: Amber Status Review Process 2021**

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| **Recommended Status July 2021:** | **Classification:** | **ETB Action:** | **Note:** |
| **Green** | Amber Action Plan agreed for entry to the UBU scheme has been successfully completed & the ETB has signed off same. | * Ensure that the action plan has been signed off as completed by the ETB on the application form for the ETB file.
* Note supporting documentation provided by the FO during the PPRM and/or other engagements for the ETB file.
* Recommend Green status to the DCEDIY by the 23rd of July using the Amber Status Review Template.
 | It is not necessary to furnish the DCEDIY with the supporting documentation/evidence acquired by the ETB operating the agreed performance & oversight engagement framework which is part of the ETB intermediary role in relation to the scheme. All documentation/evidence should be filed appropriately. If the DCEDIY confirm the ETBs recommendation of ‘Green’ it will be the responsibility of the ETB to communicate same to the FO.  |
| **Red** | Amber Action Plan agreed for entry to the UBU scheme has not been successfully completed by the FO by the expiry date of July 2021. The delay and/or lack of progress on completing the agreed amber action plan cannot be attributed to the ongoing public health restrictions and or the impact of the Covid-19 ongoing pandemic.  | * Note documentation/evidence provided by the FO & discussion with the FO regarding lack of progress on the amber plan during the PPRM and/or other engagement for the ETB file.
* Recommend Red status to the DCEDIY by the 23rd July using the Amber Status Review Template.
 | The ETBs intermediary role in relation to the scheme requires the ETB to engage with the FO regarding amber action plans. At the regularly occurring PPRM & through other ETB/FO engagements the ETB monitors the amber action plan/s. Any delays to the plans or unforeseen challenges in complying with the scheme should be discussed by the FO with the ETB during the oversight & engagement framework accompanying the scheme. The ETB is responsible for recording any such discussions and agreeing actions to progress. ETBs should utilize these records to recommend a RED status to the DCEDIY.If the DCEDIY confirm the ETBs RED recommendation, an appeal in line with Section 9.10 of the ETB User Guide may commence.  |
| **Remain Amber**  | Amber Action Plan agreed for entry to the UBU scheme has not been successfully completed by the FO by the expiry date of July 2021. The delay and/or lack of progress on completing the agreed amber action plan can be attributed to the ongoing public health restrictions resulting from the Covid 19 pandemic. | * Note documentation/evidence provided by the FO & discussion with the FO regarding amber plan during the PPRM and/or other engagements for the ETB file. This will form the basis of the business case for recommending that the FO remain amber to complete the action plan.
* Provide recommendation of remain amber & associated timeframe to the DCEDIY by the 23rd July completing both templates (Amber Status Review Template AND Remain Amber Template).
 | The ETBs intermediary role in relation to the scheme requires the ETB to engage with the FO regarding amber action plans. At the regularly occurring PPRM & through other ETB/FO engagements the ETB monitors the amber action plan/s. Any delays to the plans or unforeseen challenges in complying with the scheme should be discussed by the FO with the ETB during the oversight & engagement framework accompanying the scheme. The ETB is responsible for recording any such discussions and agreeing actions to progress. ETBs should utilize these records to develop a business case for ‘remain amber’ which will form the basis of the ETB recommendation.  |