



ENDORSEMENT AND REVOCATION POLICY



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1. INTRODUCTION

1.1 The purpose of this document is to outline the industry agreed process for recording sub-standard working practices against industry and/or telecom network provider specific safety and quality standards within the Network Operative Passport Scheme (NOPS).

1.2 The rules outlined in this document are for all parties that have agreed to implement this scheme and those involved in ensuring people work safely and to the required quality standards on the telecommunication Network.

1.3 The aim of the scheme is to ensure the legal and safety compliance in the field with the intention of ensuring the safety of individuals and others including the general public and the installation standards/specifications from activities being performed by the operative whilst working on the network.

1.4 The scheme promotes continuous improvement and encourages a culture of re-education and coaching to improve the engineer standards and knowledge base.

1.5 This document applies to all organisations signed up to the endorsement and revocation rules on the Network Operative Passport Scheme.

2. SCHEME RULES

2.1 Operatives are accountable for providing accurate personal information to the scheme and keeping up to date records held on the NOPS database.

2.2 All Tier One organisations (Sponsor organisations) are accountable for applying the NOPS Endorsement and Revocation process, in line with their own internal Endorsement and Revocation policy. Sponsor organisations shall be responsible for assisting and ensuring their sub-contractor (Employer) organisations will support in collating information to support investigations where applicable. Alleged breaches of the NOPS rules shall be investigated by the employer who will assist in collating information to support investigations where applicable.

2.3 The Sponsor Organisations shall freely share information about operatives relating to safety or quality issues resulting in an Endorsement and/or Revocation.

2.4 Those Sponsor organisations that have agreed to implement the scheme shall apply the following rules.

3. ENDORSEMENT

3.1 An Endorsement will be identified by the Tier 1 organisation (sponsor) where they have followed their internal company endorsement policy and have identified there has been a safety or quality failure in the operatives' performance. Corrective action such as training, discipline or briefing needs to take place to ensure the operative understands the safety or quality defect and can ensure that these failures can be addressed in future.

3.2 The safety or quality defects are categorised, defined and agreed by industry and all operatives MUST be made aware what a safety or quality defect is. The Network Operative Passport Scheme provides a facility to register safety or quality defects.

4. SAFETY AND QUALITY DEFECT

4.1 A safety or quality defect is defined and agreed by industry through their network provider safety and quality systems, compliance and operational standard. Where the Tier 1 organisation concludes, after their investigation, the non-compliance is deemed as an Endorsement, this is logged on the NOPS system against the operative. All Endorsements must be investigated prior to being logged on the NOPS card.

4.2 The Tier 1 organisation must have an internal appeal process for the operative to appeal the Endorsement and should only be logged once the operative has been given the opportunity to discuss or appeal the Endorsement in line with the Tier 1 organisations processes.

4.3 Serious failures resulting in Endorsements shall be recorded in the following categories.

Safety checks:

- Licencing/accreditation
- Site safety
- Safe systems of works
- Equipment
- PPE
- Risk Assessment
- Behaviour
- Major breach of laws and regulations

Quality checks:

- Licencing/accreditation
- Not adhering to network provider(s) specifications
- Leaving defects causing failure on the network
- Not following agreed processes and procedures
- Not recording or complying with documentation requirements

The following fields define the information to be recorded on the NOPS database.

- Field <<drop down Internal disciplinary process completed Yes/No
- Field <<drop down Internal appeal process completed or not exercised Yes/No
- Field <<drop down selection safety/quality
- Field <<drop down categories of safety or quality defects
- Field <<drop down Sanction Endorsement/Revocation
- Field <<Duration of endorsement>>
- Field << Date effective>>
- Field <<Expiry date>>
- Field << Job No. / Location.>> (Text Field) 200 Characters
- Field << Reason >>Text Field. 500 Characters

- Field<<Corrective action completed>> Text Field 500 Characters
- Field <<Date corrective action Complete>>

The above information shall be held on the NOPS card for a period selected by the Tier 1 organisation of either 12 or 24 months from the effective date. All data management and input onto the NOPS system must be approved by the sponsors superuser to ensure employers comply to the Tier 1 organisations Endorsement process and policy. The Sponsor Superuser shall ensure that this is administered consistently, and data is accurate.

5. REVOCATION OF THE NOPS CARD

5.1 A Revocation against Smart Awards qualifications or other Awarding Organisation qualifications should be considered as a requirement to retrain. The employer can revoke certain accreditation modules relating to the work activity. Where operatives have their licenses or accreditation modules revoked, they must be reaccredited in the modules applicable to the revocation. Any revocation can only apply to accreditation modules and not qualifications.

5.2 Once the revocation of the card or modules is confirmed, the NOPS card shall show the revocation.

5.3 If the employer and sponsor feel they have taken sufficient corrective action/s to ensure future performance, then the Revocation can be closed. As a minimum, the operative must be reaccredited in the work activities associated with the Revocation. The operative accreditation period shall be reset to the new reaccreditation date/s.

6. SMART AWARDS APPEAL FUNCTION

6.1 An operative holding a NOPS card who has been issued an Endorsement or Revocation has the right for an external independent review of the Endorsement or Revocation through Smart Awards appeals process as outlined below:

6.2 SMART AWARDS APPEALS PROCESS

Appeals must be made in writing within 30 calendar days of the date of the Endorsement or Revocation that the appeal refers to. As much detail as possible should be submitted along with any supporting evidence available.

The outcome is final, and the decision shall be communicated by email to the sponsor/employer and the operative simultaneously with a decision to either:

- Amend the original decision in light of new rationale/evidence being put forward and which has now been reviewed; or
- Confirm the original decision stands and in doing so the rationale for this decision.

7. INFORMATION REQUIRED BY THE EMPLOYER AND OPERATIVE

7.1 The employer shall provide the following information to Smart Awards within 2 working days of the request to enable Smart Awards to carry out a thorough investigation to determine the basis of each Endorsement or Revocation:

- The Endorsement/Revocation that the operative is contesting.
- The safety or quality defect(s)

- The safety or quality defect, associated industry code/classification i.e. Coaching or critical defects.
- Evidence of when the operative was provided with the information on the Endorsement or Revocation process.
- Details of the person and the contact details of who reviewed the defect.
- Details of the person and the contact details of who authorised the Endorsement/Revocation
- Notes of any discussions/meetings with operative regarding the defect/ Endorsement/Revocation
- Copy of company appeal procedure
- Copy of company appeal notes, actions, evidence and outcome
- Details of the person and contact details who carried out the company appeal.
- Any evidence and considerations taken into account during initial appeal.
- Any actions agreed, not met or still outstanding.

7.2 The operative shall provide:

- The basis of the appeal
- Any evidence / information that may support their appeal.
- Payment for the appeal

8. APPEALS INVESTIGATION/S

8.1 Smart Awards shall carry out an investigation looking at the full facts of the evidence provided and the operatives basis for the appeal. Smart Awards may use external an independent expert if the basis of the appeal requires technical validation.

8.2 The appeal process shall be conducted by independent persons with relevant expertise to make a decision, hence providing assurance that the appeal is conducted fairly and independently to be able to review system and management decisions that may be relevant to an appeal.

8.3 No further appeals related to the existing endorsement will be considered. Any other issues related to any other open Endorsement must be highlighted by the operative and any new Endorsements after the date of the appeal decision will be considered in future appeals.

8.4 If the operative wins the appeal, then the Endorsement shall be removed from the NOPS card else the Endorsement or Revocation shall remain on the card for a selected period up to 2 years.

9. COST RELATED TO FINAL STAGE OF APPEAL

9.1 The cost of the appeal will be £210 and is payable by the operative at the point of appeal but will be reimbursed by the employer if the appeal is won by the operative.

10. Indicators of Endorsement/Revocation status

10.1 Once an Endorsement or Revocation has been applied it will be visible on the operatives NOPS card under the heading Endorsements.

- None recorded - No open Endorsements or Revocations

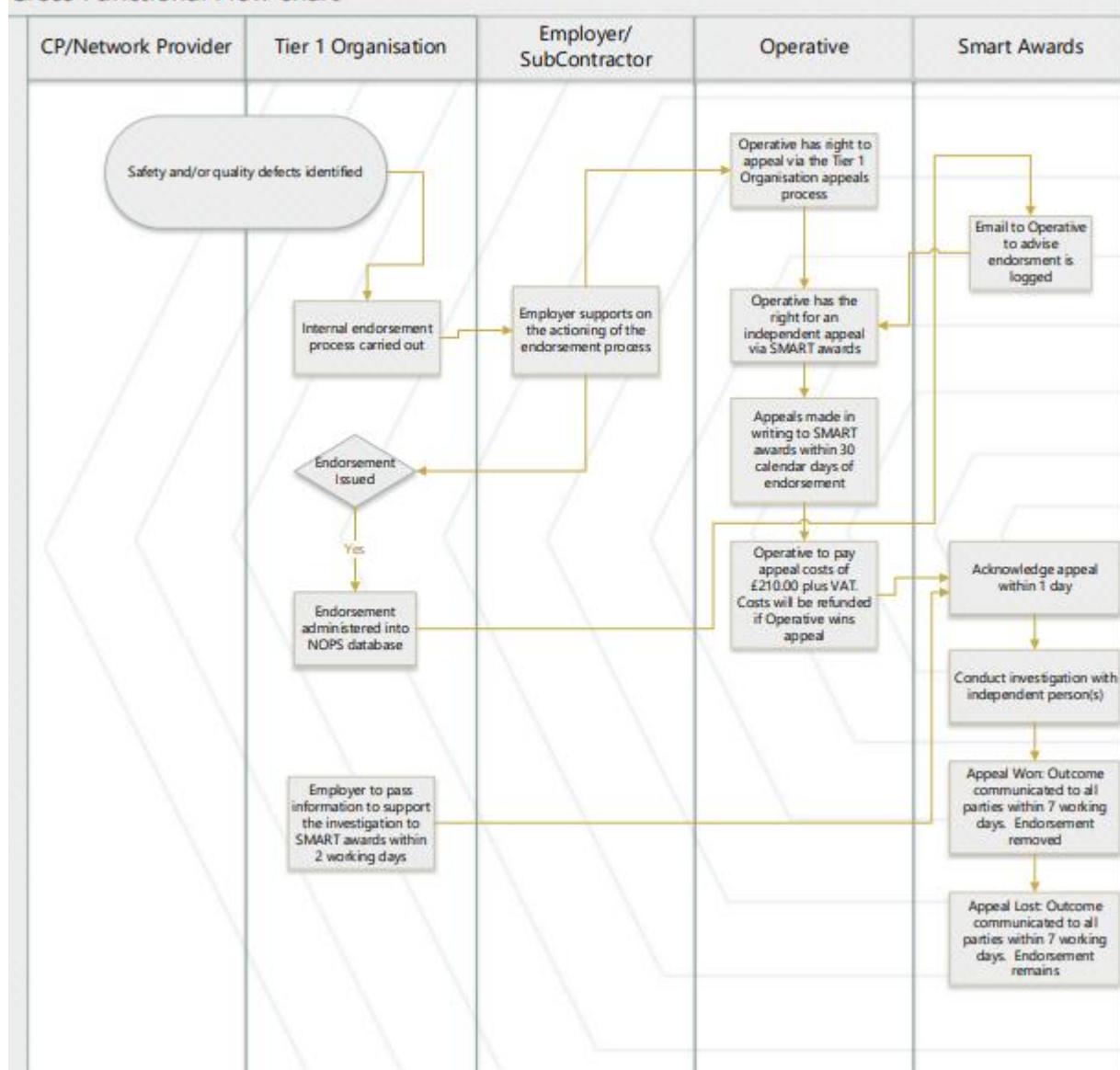
- Info recorded - One or more open Endorsements/Revocations logged

10.2 Who will see the data?

- The operative / individual can see all their own details.
- Sponsors / employers the operative has chosen to give access to their NOPS data.

11. ENDORSEMENT PROCESS

Cross Functional Flow chart



12. REVOCATION PROCESS

Cross Functional Flow chart

