



NORTH COUNTY
TRANSIT DISTRICT

Universal Protection Service (UPS) Compliance Report

February 2013 Training Records Audit

March 21, 2013

WE MOVE PEOPLE

COASTER

BREEZE

SPRINTER

UPS Compliance Report

- **Security services contract**
 - Background
 - Internal review
 - Contractual requirements
- **Audit findings and corrective actions**
- **Contract oversight**
 - Layered approach
 - Continual

Security Services Contract

- **Background**

- UPS acquired Heritage Security Services in May 2012

- **Internal review**

- Assigned to Tom Tulley, Chief of Safety (October 2012)
 - Training deficiencies identified
- Follow-up review conducted by Tom Zoll, Chief of Transit Enforcement
 - Further clarified the deficiencies
 - First aid/CPR
 - POST 832 PC (advanced training)
 - Identified barriers to training (POST 832 PC)
 - Cutbacks at local junior college has limited access to required training for several years

Security Services Contract

- **Contractual requirements – security guard training:**
 - Required documentation:
 - Valid California driver's license
 - Guard card
 - Powers to arrest
 - Firearm qualifications (quarterly and annually)
 - POST 832 PC (advanced training)
 - Use of non-lethal devices (batons, tear gas, and tasers, as authorized)
 - First aid and CPR
 - Rail safety training certificate
 - 160 hours orientation (probationary training)

Training File Audit – Feb. 20, 2013

- **Audit findings:**

- Documentation was either incomplete or the training certification had expired for the following required elements:
 - First aid and CPR certifications
 - Non-lethal equipment (i.e., baton training)
 - Valid California driver's license
 - POST 832 PC training
 - Firearm qualifications
- Observation: Training files lacked uniformity

Corrective Actions

- **NCTD corrective action plan:**
 - Communicated to UPS executive staff via Notification of Intent to Terminate (10-day cure required)
 - Develop spreadsheet identifying training status of guards
 - Training schedule that brings all assigned guards to full compliance
 - Plan to maintain training compliance going forward

Corrective Actions

- **UPS corrective actions taken:**
 - Training Compliance Presentation to NCTD on March 7, 2013
 - All deficiencies addressed
 - Remaining deficiencies scheduled to be cleared no later than March 31, 2013
 - Uniformity to be implemented across all files
 - Monitoring program initiated

Contract Compliance and Oversight

- **UPS compliance strategies-**
 - Duplicate training records maintained at UPS regional office
 - Internal training file audits conducted quarterly
 - Annual training calendar posted and available to all security guards
 - Monthly training status update to NCTD
- **NCTD oversight actions through layered approach**
 - Daily observation reports documented by NCTD fare enforcement staff
 - Annual contract compliance assessment as part of NCTD's comprehensive compliance and oversight program
 - System safety internal audits

Next Steps

- **Contract**
 - NCTD and UPS to fine tune scope of contract
 - NCTD to issue new RFP in fall (UPS contract ends in Nov. 2013)
- **Audit findings and corrective measures**
 - NCTD and UPS to continue with implementation of initiatives
- **Contractual oversight**
 - NCTD: annual contractual assessments (CCOP)
 - NCTD: implementation of recurring field observations
 - UPS: monthly status updates to NCTD

Questions