Federal Transit Administration
U.S. Department of Transportation

Office of Budget and Policy


# National Transit Database 2019 Policy Manual

## REDUCED REPORTING

# TABLE OF CONTENTS

# LIST OF EXHIBITS

# ACRONYMS AND ABBREVIATIONS

| | |
|---|---|
| **ADA** | Americans with Disabilities Act |
| **AIM** | Asset Inventory Module |
| **APC** | Automatic Passenger Counter |
| **AVL** | Automatic Vehicle Locator |
| **BTU** | British Thermal Unit |
| **CBIP** | Coordinated Border Infrastructure Program |
| **CEO** | Chief Executive Officer |
| **CFR** | Code of Federal Regulations |
| **CMAQ** | Congestion Mitigation and Air Quality Improvement Program |
| **DO** | Directly Operated |
| **DOT** | Department of Transportation |
| **DRM** | Directional Route Miles |
| **FARE** | Uniform Financial Accounting and Reporting Elements |
| **FASB** | Financial Accounting Standards Board |
| **FAST Act** | Fixing America's Surface Transportation Act |
| **FFA** | Federal Funding Allocation |
| **FFY** | Federal Fiscal Year |
| **FG** | Fixed Guideway |
| **FHWA** | Federal Highway Administration |
| **FLHP** | Federal Lands Highways Program |
| **FTA** | Federal Transit Administration |
| **FY** | Fiscal Year |
| **FYE** | Fiscal Year End |
| **GAAP** | Generally Accepted Accounting Principles |
| **GASB** | Governmental Accounting Standards Board |
| **HIB** | High Intensity Busway |

| | |
|---|---|
| **HO/T** | High Occupancy Toll |
| **HOV** | High Occupancy Vehicle |
| **HVAC** | Heating, Ventilation, and Air Conditioning |
| **IAS-FD** | Independent Auditor Statement for Financial Data |
| **IAS-FFA** | Independent Auditor Statement for Federal Funding Allocation Data |
| **JARC** | Job Access/Reverse Commute |
| **LOS** | Level of Service |
| **MAP-21** | Moving Ahead for Progress in the 21st Century Act |
| **MOU** | Memorandum of Understanding |
| **MPO** | Metropolitan Planning Organization |
| **MR** | Monthly Ridership |
| **NFG** | Non-Fixed Guideway |
| **NHS** | National Highway System |
| **NTD** | National Transit Database |
| **OE** | Operating Expense |
| **OMB** | Office of Management and Budget |
| **PMT** | Passenger Miles Traveled |
| **PT** | Purchased Transportation |
| **RGPT** | Rural General Public Transit |
| **ROW** | Right-of-Way |
| **STIC** | Small Transit Intensive Cities |
| **STP** | Surface Transportation Program |
| **TAM** | Transit Asset Management |
| **TCSP** | Transportation, Community, and System Preservation Program |
| **TERM** | Transit Economic Requirements Model |
| **TOS** | Types of Service |
| **TTP** | Tribal Transit Program |
| **U.S.C.** | United States Code |
| **ULB** | Useful Life Benchmark |

| | |
|---|---|
| **UMTA** | Urban Mass Transportation Administration |
| **UPT** | Unlinked Passenger Trips |
| **USOA** | Uniform System of Accounts |
| **UZA** | Urbanized Area |
| **VAMS** | Vehicles Available in Maximum Service |
| **VIN** | Vehicle Identification Number |
| **VOMS** | Vehicles Operated in Maximum Service |
| **VRH** | Vehicle Revenue Hours |
| **VRM** | Vehicle Revenue Miles |

# Report Year 2019 Policy Changes and Reporting Clarifications

| Update Description | Type | Form(s) Affected | Found in Manual |
|---|---|---|---|
| **Reporting Eligibility for Commuter Service** | Clarification | - | p. 10 |
| **Reporting Eligibility for Evacuation Service** | Clarification | - | p. 10 |
| **Reporting Eligibility for Passenger Stations (Station Criteria)** | Clarification | A-10, A-15 | p. 89 |
| **Reporting Eligibility for Incidentally Used Facilities** | Clarification | A-15 | p. 93 |
| **Reporting Eligibility for Parking Facilities** | Clarification | A-15 | p. 100 |
| **Square Footage Requirement for Platforms** | Clarification | A-15 | p. 94 |
| **Ferryboat Terminal Category (A-15)** | New attribute for existing element | A-15 | p. 103 |
| **Condition Assessments Completed after Fiscal Year End** | Clarification | A-15 | p. 104 |
| **Condition Assessment for Facilities under Construction** | Clarification | A-15 | p. 104 |
| **Autonomous Vehicles Checkbox** | New required data element | A-30 | p. 115 |
| **Types of Revenue Vehicle Renewal** | Clarification | A-30 | p. 115 |
| **Non-Dedicated Service Vehicle Requirement** | Clarification | A-35 | p. 119 |
| **Service Vehicle Description Update** | Clarification | A-35 | p. 119 |
| **Service Vehicle Estimated Cost** | Clarification | A-35 | p. 121 |

| Update Description | Type | Form(s) Affected | Found in Manual |
|---|---|---|---|
| **Reporting APC Data Collection Method on D-10** | New required data element | D-10 | p. 132 |
| **Reporting Eligibility for TNC Service** | Clarification | - | p. E-151 |

## Reporting Eligibility for Commuter Service

FTA considers service to be commuter service if at least 50 percent of passengers make a return trip on the same day across all service runs for one year. FTA has updated the survey criteria for this policy as shown in the "Introduction: NTD Data: Public Transportation: Intercity Service" section of this manual.

## Reporting Eligibility for Evacuation or Disaster Service

Transportation service provided in direct response to a natural disaster or as part of an evacuation effort is not regular and continuing, so is not public transportation. It is not considered atypical service. Financial and service data for this type of service should not be included in NTD reporting.

## A-10 and A-15: Station Criteria

FTA has aligned the criteria that define Passenger Stations with available Passenger Station types on the Transit Asset Management (A-15) form. Specifically, FTA has clarified that to be reported as a passenger facility, a building no longer needs to be enclosed, but a significant structure must be present. NTD reporters should take care to update both A-10 and A-15 forms accordingly.

## A-15: Incidentally Used Administrative and Maintenance Facilities

Administrative and Maintenance facilities must only be inventoried on form A-15 if the agency has capital responsibility for the facility and the transit use is greater than incidental. Use is incidental when 50 percent or less of the facility's physical space is dedicated to the provision of public transportation service. For maintenance facilities, agencies may use the number of transit vehicles serviced in the facility compared to the total number of vehicles serviced to estimate this percentage.

## A-15: Passenger Parking Facilities

Transit agencies are required to inventory all passenger facilities used in revenue service, including passenger stations and passenger parking facilities, regardless of capital responsibility.

## A-15: Square Footage for At-Grade Facilities

FTA has clarified that platform area is included in Square Footage for At-Grade Facilities.

## A-15: Acceptable Range for Date of Condition Assessment

FTA has clarified that agencies may report condition assessments for a facility that occurred after the agency Fiscal Year End but before the annual reporting deadline. Agencies should continue to report condition assessments made before Fiscal Year End for a given report year, as applicable.

## A-15: Condition Assessment for Facilities under Construction

Agencies are not required to report condition assessments for facilities or stations that are under construction. A condition assessment is not required until construction is complete. Agencies must inventory existing facilities that are under construction if they are still using them in revenue service.

## A-15: Ferryboat Terminal Category

The category “Ferryboat Terminal” has been added as a Passenger Facility Type on form A-15. Ferryboat (FB) mode providers should update any previously reported ferryboat terminal facilities as applicable.

## A-30: Types of Last Renewal

FTA has removed Mid-Life Power Train Overhaul as a Type of Last Renewal; agencies are no longer required to report this type of renewal annually. FTA has added descriptions of Mid-Life Vehicle Overhaul and Life-Extending Rebuild for clarity, as follows:

- **Mid-Life Vehicle Overhaul** is the systematic replacement or upgrade of vehicle systems with a useful life less than the useful life of the entire vehicle in a programmed manner. Overhaul is performed as a planned or concentrated preventive maintenance activity and is intended to enable the vehicle to perform to the end of the original useful life.

- **Life-Extending Rebuild** is a capital activity associated with rolling stock that occurs at or near the end of a unit of rolling stock's useful life. This results in an extended useful life for the unit consistent with the extent of the rebuild.

## A-30: Reporting Autonomous Vehicle Fleets

FTA has defined an autonomous vehicle as a "vehicle capable of performing all driving functions without human input under certain conditions." Agencies must identify each revenue vehicle fleet that meets this condition on form A-30.

## A-35: Reporting Service Vehicle Non-Dedicated Fleets

FTA has clarified that if an agency uses service vehicles that are pulled from a non-dedicated pool of agency-owned vehicles that are not specific (or assigned) to transit, the agency should report a representative sample fleet of vehicles they typically use to support service. This requirement is consistent with reporting non-dedicated revenue vehicle fleets.

## A-35: Service Vehicle Fleet Estimated Cost

FTA has clarified that the intent of the Estimated Cost field on the A-35 is to capture the cost of a comparable fleet. A reasonable estimate of Estimated Cost will reflect the current asset type, allowing for moderate increases in cost due to inflation or improvements in technology. The field should not reflect planning but rather actual current estimated cost. If no recent cost estimate has been developed, an agency should report the original cost of the asset.

## A-35: Service Vehicle Description

FTA has updated the language used to describe service vehicles for clarity as follows:

> Service vehicles must be self-propelled and either road-worthy or major pieces of construction equipment to be reportable to the NTD.

## D-10: Identifying Modes Using Automatic Passenger Counters for Data Collection

FTA will now require all agencies to indicate if they used Automatic Passenger Counters (APCs) to collect Unlinked Passenger Trips (UPT) and/or Passenger Miles Traveled (PMT) for NTD reporting on the CEO Certification (D-10) form. Agencies must also report

their method for using APC data to generate NTD figures. Please see the "D-10 section" for more detail.

## Reporting Eligibility for Service Provided by Transportation Network Companies (TNC)

FTA has clarified that agencies reporting to the NTD and contracting with a Transportation Network Company (TNC) for on-demand, shared mobility service must include data for this service in their NTD report provided that it meets the definition of public transportation as codified in 49 U.S.C. §5302(14) and is operated as Purchased Transportation as defined in this manual. Please consult Appendix E, "Shared Mobility Partnerships with TNCs," for more information.

# INTRODUCTION

### The National Transit Database

*An overview of the National Transit Database history, legislative basis, and purpose.*

### Standardized Reporting Requirements

*A summary of uniform reporting requirements for financial and operating data.*

### Reporter Types

*An overview of reporting types for FTA Chapter 53 funding recipients and beneficiaries.*

### Transit Agency Profile Requirements

*An explanation of transit agency identifying information, modes and types of services, and reporter users.*

# The National Transit Database

## History

In 1964, President Lyndon B. Johnson signed the Urban Mass Transit Act into law, creating the Urban Mass Transportation Administration (UMTA). During the next ten years, UMTA provided capital assistance to public agencies to replace overage transit assets and to purchase the assets of failing private transit companies.

In 1974, Congress established the National Transit Database (NTD) program to collect financial, operating, and asset information on transit agencies. Congress based the NTD program on the Uniform Financial Accounting and Reporting Elements (FARE), a project initiated by the transit industry and funded by UMTA. The NTD has become the Nation's primary source of information on transit agencies.

Since the early 1980s, Congress has apportioned billions of dollars in funding annually using data reported to the NTD. In 1991, UMTA was renamed the Federal Transit Administration (FTA).

### Legislative Requirement

Congress requires agencies to report to the NTD if they receive or benefit from Urbanized Area Formula Grants (§5307) or Formula Grants for Rural Areas (§5311). In addition, all recipients and subrecipients of Chapter 53 funds that own, operate, or manage public transportation capital assets are required to develop and implement transit asset management (TAM) plans. Transit providers are required to set performance targets for their capital assets based on the state of good repair measures and report their targets, as well as information related to the condition of their capital assets, to the NTD. The FTA submits annual NTD reports that summarize transit service, asset, and safety data to Congress for review and use. The legislative requirement for the NTD can be found in Title 49 United States Code (U.S.C.) §5335(a):

**Exhibit 1: 49 U.S.C. §5335 National Transit Database**

(a) NATIONAL TRANSIT DATABASE — To help meet the needs of individual public transportation systems, the United States Government, State and local governments, and the public for information on which to base public transportation service planning, the Secretary shall maintain a reporting system, using uniform categories to accumulate public transportation financial, operating, and asset condition information and using a uniform system of accounts. The reporting and uniform systems shall contain appropriate information to help any level of government make a public-sector investment decision. The Secretary may request and receive appropriate information from any source.

(b) REPORTING AND UNIFORM SYSTEMS — The Secretary may award a grant under section 5307 or 5311 only if the applicant, and any person that will receive benefits directly from the grant, are subject to the reporting and uniform systems.

(c) DATA REQUIRED TO BE REPORTED — The recipient of a grant under this chapter shall report to the Secretary, for inclusion in the National Transit Database, any information relating to a transit asset inventory or condition assessment conducted by the recipient.

## NTD Data

Through the NTD, FTA collects annual financial, asset, and operating information from public transportation agencies across the country and requires all transit agencies to report on an annual basis. In the Annual Report, agencies provide a summary of transit characteristics, including financial, operating, and asset statistics. Agencies that file as Full Reporters must also report monthly operating and safety statistics.

For more information on reporting types, please see the "Reporter Types" section of this chapter.

### Public Transportation

Legislation establishes the NTD as a source of information on public transportation. The term "public transportation," (also referred to as "transit" or "mass transportation") is defined by law at 49 U.S.C. §5302(14) as follows:

**Exhibit 2: Public Transportation**

(A) means regular, continuing shared-ride surface transportation services that are open to the general public or open to a segment of the general public defined by age, disability, or low income; and

(B) does not include —

(i) intercity passenger rail transportation provided by the entity described in chapter 243[1] (or a successor to such entity)

(ii) intercity bus service

(iii) charter bus service

(iv) school bus service

(v) sightseeing service

(vi) courtesy shuttle service for patrons of one or more specific establishments, or

(vii) intra-terminal or intra-facility shuttle services

Transit agencies report data for all public transportation services they provide, including complementary Paratransit services required by the Americans with Disabilities Act (ADA) of 1990. ADA services must be shared-ride in order to be considered public transportation.

Transit must be open to the public and comply with the provisions of the ADA. The FTA excludes from the NTD services that are only open to specific groups of people, except for segments of general public defined by age, disability, or low income.

The FTA does not consider the following services public transportation:

- A bus system sponsored by a university that is only open to students, faculty, and staff of the university;
- A program sponsored by an employer that only provides services of the employer;
- An automated guideway system in an airport, which only provides service to customers of the airport (e.g., a terminal to terminal tram);
- A charter service. In accordance with FTA Charter Rule, agencies cannot report any service reported to FTA charter registration website as public transportation;

[1] Chapter 243 describes the National Railroad Passenger Corporation, operating under the business name Amtrak.

- A sightseeing service that an agency provides primarily for the enjoyment of sights and sounds during the ride or for enjoyment of the ride itself and that may include narration and round trips without disembarking the vehicle
- Evacuation of people from a disaster area

### *Intercity Service*

Commuter Rail, Commuter Bus, and ferry services with maximum one-way trip times exceeding 90 minutes may be intercity service. Before beginning to report such a service to the NTD, the operator should conduct a survey to demonstrate that at least 50 percent of passengers make a return trip on the same day across all service runs for one year. FTA may also request this survey from services with characteristics that suggest the intent is not to serve commuters.

The service operator does not have to survey every passenger; it may conduct a sample survey. The survey must meet the following requirements:

1. The agency must conduct the survey over a 12-month period to account for seasonal variations in passenger behavior.
2. The agency must include the entire length of each route in the survey, including all times of day and all days of the year.
3. If sampling by passengers, each passenger for the entire year must be given an equal chance of selection. If sampling by vehicle operations, each vehicle operation for the entire year must be given an equal chance of selection, weighted by the anticipated passenger count on each vehicle. If any other strata are used in the sample design, each stratum must meet FTA's requirements.
4. For the purpose of calculating return trips, a passenger making a single round trip in a given day cannot be surveyed twice for inclusion in the final calculation. The calculation establishing whether 50 percent of riders make a same-day round trip must be calculated, as follows:

   Where

   a = total unique passengers making same-day return trip

   b = total unique passengers making an overnight trip,

   the calculation is: $a \div (a+b)$
5. A person may be counted as making a same-day return trip if the person makes one leg of the trip by another means of transportation.

If the survey determines with at least 95 percent confidence that at least 50 percent of all passengers on a route made a return trip on the same day (or reported their intention to do so), then FTA will permit the agency to report that route to the NTD as a commuter service. A qualified statistician must approve the survey methodology, the sample size, and the sampling methodology and certify that the results give the required level of confidence.

Services with 100 percent one-way trip times of 30 minutes or less will not require a survey to establish the service as commuter.

Agencies intending to report a service that may require a survey should contact their NTD analyst to discuss how they can meet the requirements in advance of reporting to NTD.

### *Employer Shuttles*

Transit agencies must use the following criteria to establish employer shuttle eligibility:

- The shuttle service must meet the definition of public transportation as defined by Fixing America's Surface Transportation (FAST) Act legislation.
- The transit agency must clearly identify that the shuttle service is open to the public (e.g., provide timetables or service summaries on the website or another public location).
- The transit agency must clearly demonstrate on its buses or route that the shuttle service is open to the public.
- At a minimum, the shuttle service must travel from one origin to one destination that are open to the public (e.g., a single destination shuttle that travels to a locked employer campus or military compound is not feasibly open to the public).

Employer shuttles must meet all other aspects of NTD reporting. For example, the buyer must pay the full cost of the service in order to report the service as purchased transportation.

## Data Use and Funding

FTA uses NTD data to apportion funding to transit agencies in the United States. FTA apportions funds using NTD data from two years before the apportionment year (e.g., Fiscal Year (FY) 2019 data are used for the FTA FY 2021 apportionment). FTA has separate funding programs for transit agencies that operate in urbanized and rural areas. Agencies that operate in both urban and rural areas may receive or benefit from both funding programs.

To be eligible to receive funding from FTA, transit agencies must report to the NTD and follow the requirements listed in this manual. Exhibit 3 presents the total funds that transit agencies have spent during the past five years according to the original source of funds.

Most Federal funds, which total more than $55 billion from 2012-2016, come from FTA funding programs for urbanized and rural areas.

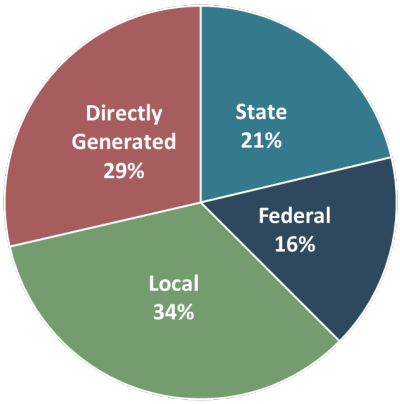



**Exhibit 3: Funding Sources (2017)**

## Urbanized Area Funding

Section 5307, or the Urbanized Area Formula Grants, provides capital, operating, and planning assistance for public transportation operated in urbanized areas (UZAs). The FTA initiated this program under the Surface Transportation Assistance Act of 1982. Since 1984, §5307 has been the primary transit assistance program of FTA.

FTA apportions §5307 funding through a formula based in part on population and population density. For UZAs with a population over 200,000, FTA apportions funding based on other factors associated with transit operations, such as revenue miles, operating costs, and passenger miles.

For UZAs with a population under 200,000, Congress apportions 2.0percent of §5307 funds according to the Small Transit Intensive Cities (STIC) formula. Under the STIC formula, FTA provides funds to the smaller UZAs that have an average level of service equivalent to or greater than the average level of service of larger UZAs with populations between 200,000 and 1,000,000.

FTA allocates STIC funding based on the following measures calculated primarily NTD data:

- Passenger miles traveled per vehicle revenue mile
- Passenger miles traveled per vehicle revenue hour
- Vehicle revenue miles per capita
- Vehicle revenue hours per capita
- Passenger miles traveled per capita
- Passenger Trips per capita

For UZAs with a population over 200,000, FTA also uses NTD data to apportion funds for the State of Good Repair Grants Program (§5337) and Bus and Bus Facilities Formula Program (§5339).

If you have questions about FTA funding, please contact the FTA Regional Administrator assigned to your transit agency. The NTD is the FTA program for transit data; however, it does not handle the apportionment of Federal funds.

## Rural Funding

Section 5311, or the Formula Grants for Rural Areas Program, provides capital, operating, and planning assistance for public transportation operated in rural areas. FTA classifies rural areas using the most recent decennial U.S. Census to determine populations less than 50,000. The §5311 program is much smaller than the UAFP, with grant funds totaling approximately 9 percent of UAFP grant funds. Agencies must report funds expended from all §5311 grant programs, including funds from the 5311(b)(3) Rural Transportation Assistance Program (RTAP).

Section 5311 funding recipients (State Departments of Transportation [DOTs]) report on behalf of their subrecipients. The FTA considers Puerto Rico, the Virgin Islands, American Samoa, Guam, and the Northern Mariana Islands as States for rural data collection and funding. State DOTs also file a Statewide Summary report to the NTD.

### *Funding by State*

The FTA apportions §5311 funds to States by a statutory formula based on the latest available U.S. decennial census data and NTD data. FTA apportions 83.15 percent of funds in the statutory formula based on the non-urbanized population and land area of the States. The remaining 16.85 percent of the formula is based on States' non-urbanized vehicle revenue miles, land area, and low-income population.

### *Tribal Transit Program*

FTA dedicates a portion of the §5311 program funds to the Public Transportation on Indian Reservations Program, also known as the Tribal Transit Program (TTP), based on the following statutory tiers:

- Tier 1 (50 percent of TTP funding) — Vehicle revenue miles (VRM) are used to allocate this funding among all Indian tribes.
- Tier 2 (25 percent of TTP funding) —VRM are used to allocate this funding equally among tribes providing at least 200,000 VRM

- Tier 3 (25 percent of TTP funding) —This funding is allocated to tribes that provide public transportation on reservations where more than 1,000 low-income individuals reside. No tribe can receive more than $300,000 from this tier.

## Failure to Report

The NTD may issue a Failure to Report if an agency:

- Fails to submit a report
- Submits a late report
- Submits an incomplete report
- Fails to respond to validation questions

If a transit agency receives a Failure to Report notice, FTA does not include its data in the apportionment of urbanized area and rural funding. However, FTA, at its discretion, may include any submitted data in publicly available NTD datasets

The FTA may issue a Failure to Report notice for an urbanized area transit provider in connection with the Annual Report, Monthly Ridership, or Safety & Security reporting.

A report is late if the agency has not submitted it by the applicable due date. These due dates ensure there is time to review the submitted data before they are included in NTD publications and in the apportionment.

A report is incomplete if:

- It does not contain all of the required information;
- The agency did not collect and submit the data in conformance with the NTD requirements;
- The report is not accompanied by the applicable Chief Executive Officer (CEO) Certification and Independent Auditor Statements (see the "CEO Certifications" and "Auditor Statements" sections); or
- The agency does not properly respond to validation questions.

When NTD validation analysts have questions about submitted data during the validation process, transit agencies may revise data to reflect accurate information. Revisions to data require the concurrence of the CEO, and, in some cases, the concurrence of the independent auditor. If an agency does not revise questioned data, then the agency must provide sufficient documentation to the NTD to establish accuracy.

The FTA may issue a Failure to Report notice if an agency fails to respond to validation questions in a timely manner. For example, an agency may receive a Failure to Report notice if it does not fully allocate costs among all modes and types of service and does not provide a sufficient explanation.

When the FTA issues a Failure to Report notice, it notifies the CEO of the transit agency and the FTA Regional Administrator.

### Inaccurate Data

Transit agencies are responsible for the data that they report to the NTD. If the data do not follow FTA prescribed procedures or seem unreasonable or inaccurate—or an agency cannot provide a reasonable response to explain data—the FTA may publish the data with a "questionable" (Q) notation.

In accordance with Title 49 U.S.C. 5335(b), FTA may delete a transit agency's data if the agency does not adequately address validation issues within the specified time frame or if the data does not meet the NTD's reporting requirements.

Agencies may find that they reported inaccurate data in previous years; however, agencies cannot adjust data after the FTA closes the report for the year.

## Standardized Reporting Requirements

All agencies must conform to uniform reporting standards. This includes timely reporting, accurate data collection, and uniform accounting systems. The data in the NTD Annual Report must cover the agency's 12-month fiscal year ending in 2019.

### Reporting Due Dates

FTA determines each agency's NTD report due date based on the agency's fiscal year end date. Reporters submit their Annual Report four months after the fiscal year expires.

The NTD reporting system allows for reporting waivers for transit agencies that experience unusual or unforeseen circumstances. See the "Declarations and Requests" chapter for the types of requests available.

Agencies requesting a reporting ID must submit ID requests to NTD by the end of the first fiscal year in which they wish to report. For example, an agency whose fiscal year ends on June 30 must submit an ID request by June 30, 2019, to report to the NTD in 2019.

During the revision period, reporters work with NTD analysts to ensure that the data are accurate per NTD reporting requirements. The end of the revision period is called the report "Closeout."

**Exhibit 4: Annual Reporting Deadlines**

| Fiscal Year End Date | Waiver, Special Request, etc. Deadline | Annual Report Due Date | Last Date to Submit Report Revisions | Report Closeout Date |
|---|---|---|---|---|
| June 30 | August 31 | October 31 | March 1 | March 15 |
| September 30 | November 30 | January 31 | May 1 | May 15 |
| December 31 | February 28 | April 30 | July 2 | July 15 |

State DOTs may report subrecipient data according to a subrecipient's fiscal year if the fiscal year covers a consecutive twelve-month period and ends no later than December 31 of the current NTD report year. In these cases, the subrecipients must be able to meet State and NTD reporting deadlines.

**Exhibit 5: Subrecipient with Different Fiscal Year**

**Example:** A State DOT files its NTD Annual Report with a fiscal year end date of December 31. One of its subrecipients collects and reports data to the State based on its own fiscal year, ending June 30.

**Solution:** The State may report subrecipient data according to the subrecipient's fiscal year ending in 2019 for its 2019 annual report.

## Data Validation

The NTD data validation process ensures that reporting requirements are met and that the reported data are reasonable. FTA assigns an NTD Validation Analyst to each agency to support the validation process and assist transit agency personnel in understanding reporting requirements and terminology.

Validation includes, but is not limited to:

- Time series checks against previous years' data to identify data that have changed significantly.
- Logic checks between data items on different forms; and

- For the first year a data element is available (including for new modes and types of service): range checks for typical values found among transit agencies with similar operating characteristics.

NTD validation is an interactive, iterative process with two alternating phases: pre-submission and post-submission.

- **Pre-submission ("working data" stage) validation** —- while reporting agencies enter data, the online reporting system executes an automated review of data prior to report submission. The report is ready to be submitted when there are no open validation issues without explanations from the agency. Since some issue checks evaluate elements across more than one form, NTD reporters should check for data issues flagged by validation after all forms are complete.
- **Post-submission (the "in review" stage) validation** — once the report is submitted, it undergoes further review by the assigned Validation Analyst.

### Issue Classification

Issues are classified by issue type according to severity and action necessary to submit the NTD Annual Report:

- **Important issues** are raised when data do not fall within expected ranges or do not appear to conform to NTD definitions. Important issues can be addressed by revising the relevant data, or by writing a comment explaining why the data are correct; and
- **Critical issues** are raised when data are logically inconsistent and must be corrected.

FTA does not view the report as complete until all issues – important and critical – are addressed.

## Financial Data Requirements

All transit agencies must use accrual accounting methods to report financial data. Additionally, transit accounting systems must follow or directly translate to the Uniform System of Accounts (USOA).

### Accrual Accounting

The Generally Accepted Accounting Principles (GAAP) requires that all financial data in the NTD Annual Report follow accrual accounting principles:

- Agencies record revenues when they earn them, regardless of whether they actually receive the revenue in the same fiscal year; and
- Agencies record expenditures as soon as they owe an entity, regardless of if they actually pay the funds for the expenditure in the same fiscal year.

If a transit agency uses a cash-based accounting system, it must adjust its data to report on an accrual basis.

The following exhibit demonstrates the use of accrual accounting for an operating expense.

**Exhibit 6: Accrual Accounting**

| Examples | Solutions |
|---|---|
| **Example 1:** A transit agency employee works the last two weeks of the transit agency's Year 1 and earns $1,500. However, the employee does not receive his pay until 10 days later in Year 2 when payroll issues a check. How does the agency report the $1,500? | The agency reports the $1,500 in the Year 1 Annual Report. Though the agency did not issue the paycheck during the Year 1 report year, the transit agency incurred the liability to pay the employee in the Year 1 report year. |
| **Example 2:** An agency purchases fixed route service from another agency. The contract states that the buyer (the agency) will reimburse the seller for the cost of operations. The seller operates service in Year 1 and sends an invoice to the buyer in Year 2. For which year should the agency report this expense? | The agency reports the expense in Year 1. It incurred the expense as soon as the seller operated service, regardless of when the financial transaction occurred. |

## Generally Accepted Accounting Principles

NTD reporting requirements for financial data largely follow GAAP. FTA USOA is not a self-contained financial system that addresses every possible NTD transaction and situation. The NTD program is a system of accounts that complies with GAAP and Standards of Governmental Accounting and Financial Reporting. However, small differences do exist between the NTD and GAAP, specifically the accounting of costs for capital grant purchases.

If conflicts arise between GAAP and NTD reporting instructions and requirements, transit agencies must follow NTD rules. The rules for NTD accounting are as follows:

- Unique NTD requirements supersede GAAP. If a unique requirement exists for NTD purposes, follow the NTD.
- In the absence of unique NTD provisions to the contrary, follow GAAP.

Two organizations are responsible for determining GAAP:

- The Financial Accounting Standards Board (FASB) is responsible for general GAAP affecting all types of entities.
- The Governmental Accounting Standards Board (GASB) is affiliated with the FASB and specializes in government agencies in the United States. In the event of a conflict between the FASB and GASB pronouncements, the GASB rule prevails for governmental entities.

Both FASB and GASB pronouncements are available online on the FASB and GASB websites. Most accounting firms assist their clients in obtaining GAAP documents and applying GAAP requirements.

## CEO Certifications

The CEO and an independent auditor—depending on the reporter type—must review and confirm that an accounting system complies with NTD requirements. The reporter types are defined in the "Reporter Types" section below.

**Exhibit 7: CEO Certification and Independent Auditor Review Requirements**

| Reporter Type | CEO or Independent Auditor Approval |
|---|---|
| Full Reporter | CEO and Independent Auditor |
| Reduced Reporter | CEO and Independent Auditor (except Tribes) |
| Separate Service | CEO and Independent Auditor |
| Build | N/A |
| Plan | N/A |

| Reporter Type | CEO or Independent Auditor Approval |
|---|---|
| State Department of Transportation | N/A |
| Rural (subrecipient) | N/A |
| Reduced Asset Reporter | N/A |
| Group Plan Sponsor Only | N/A |

## Service Data Requirements

Service data are an integral part of the NTD. Service data are operating statistics that provide insight into the effectiveness and productivity of a transit agency. All agencies must report accurate and truthful service data in a uniform manner.

The NTD mandates that almost all service data be collected and recorded daily so that the data are 100 percent accurate. For example, agencies must collect and record 100 percent of all miles and hours vehicles travel in revenue service. The FTA does not allow agencies to estimate these data.

However, the NTD recognizes that certain statistics are challenging to collect and can drastically increase the reporting burden for transit agencies. To assist reporters who would find conducting 100 percent count burdensome, transit agencies who report to the urban module may estimate Unlinked Passenger Trips (UPT) through sampling. The NTD program provides a sampling method and guidance on the NTD website. Agencies also may use a custom sampling plan to collect these data. However, a qualified statistician must certify that the sampling procedure meets FTA requirements for statistical precision and accuracy.

## General Data Formatting Rules

Data reported must adhere to the following rules:

- Round all financial data to the nearest dollar.
- Follow other rounding directions for each form.
- Unless otherwise indicated, report data as whole numbers.
- Use four digits for year entries

The NTD incorporates these rules, formatting data automatically when you complete a cell entry.

### Reporting Rules and Regulations

The FTA Uniform System of Accounts (USOA), 49 CFR Part 630 (National Transit Database), and 49 CFR Part 625 (Transit Asset Management) are essential to understanding the forms and instructions presented in this manual.

You can obtain these documents, as well as the other reference documents listed in the NTD Reference Documents exhibit below, by visiting the NTD Program website.

You may also call the NTD Help Desk at 1-888-252-0936 for assistance.

## Reporter Types

Beneficiaries and recipients of §5307 and §5311 funds must file an Annual Report. The database separates these recipients and beneficiaries into respective reporting groups: urban reporters and rural reporters. Beginning in Report Year 2018, agencies that receive Chapter 53 funds and own, operate, or manage capital assets in public transportation are also required to file an annual report, even if they do not receive §5307 or §5311 funds. Agencies that do not receive or benefit from FTA funding may elect to submit their data to the NTD as Voluntary Reporters.

The FTA defines a Federal grant beneficiary as a transit agency that directly or indirectly benefits from Chapter 53 funds. This includes grant money and grant-funded assets that agencies receive and use from pass-through funding, contracts, or purchased transportation agreements. For more information on contracts, please see the "Purchased Transportation (PT) Services" section of this chapter.

Beneficiaries that only receive §5307 or §5311 funds for JARC projects, and do not provide any public transportation service, are exempt from NTD reporting.

### Urban Reporters

Urban recipients and beneficiaries report data using urban reporter types. The nature of the transit agency determines how it reports to the NTD.

**Exhibit 8: Urban Reporter Types**

| Reporter Types | Who Qualifies |
|---|---|
| Full | • Receives or benefits from §5307 funding.<br>• Operates either: (1) more than 30 vehicles across all modes and types of service or (2) operates 30 vehicles or less across all modes and types of service and operates fixed guideway and/or high intensity busway. |
| Reduced | • Receives or benefits from §5307 funding.<br>• Operates 30 vehicles or less across all modes and types of service and does not operate fixed guideway and/or high intensity busway. |
| Separate Service | • Receives or benefits from §5307 funding.<br>• Does not directly operate service.<br>• Contracts out modes that are reported by another transit agency. |
| Build | • Receives or benefits from §5307 funding.<br>• Does not directly operate or contract out service.<br>• Building a new mode of service. |
| Plan | • Receives or benefits from §5307 funding.<br>• Does not directly operate or contract out service.<br>• Spends §5307 funding on planning activities. |

Full Reporter requirements do not apply until the following fiscal year if a Reduced Reporter exceeds the 30 Vehicles Operated in Maximum Service (VOMS) threshold within a fiscal year.

Full Reporters must provide the Annual Report and the Monthly Ridership and monthly Safety and Security reports. All other reporter types file on an annual basis only. You can find Monthly Ridership guidance in the "Service Data Requirements: Monthly Ridership Reporting (MR-20)" section of the *2019 Full Reporting Policy Manual* and Safety and Security reporting requirements in the *Safety and Security Policy Manual*, both published annually on FTA's web page for NTD Manuals.

## Rural Reporters

Section 5311 Formula Grants for Rural Areas recipients (State DOTs) report on behalf of their subrecipients. In addition to providing individual reports for each subrecipient, State DOTs file a Statewide Summary Report to the NTD.

A subrecipient is a State or local government authority, nonprofit organization, or operator of transportation or intercity bus service that receives §5311 funding or are public providers of Chapter 53 funding received from a State DOT. Subrecipients send NTD data to State DOTs on a quarterly, monthly, or annual basis, depending on the State's policy.

Tribes that receive or benefit from FTA Tribal Transit Program grants, a subsection of §5311 funding, report directly to the NTD. Tribes that receive §5311 funding from the State DOT also file a subrecipient summary form through the State DOT report.

### Statewide Reporting Requirements for DOTs

State DOTs receiving §5311 funds may set aside up to 10 percent of their annual allocation for the purposes of administering the program. FTA collects basic statewide information on the Statewide Characteristics (RU-30) form.

#### *§5311 Expended on Administration*

States report the §5311 revenues they expended on state admin cost as a result of administering the program. Since the §5311 program operates on a reimbursement basis, revenues expended during the report year will be expended during the same year. Report the operating revenue expended during the report year from FTA §5311 Formula Grants for Rural Areas funds.

#### *Number of Counties with §5311 Service*

States report the total number of counties in the state that are currently served, in whole or in part, by Formula Grants for Rural Areas (§5311)-funded operators. States are to include counties that are served by directly-reporting Indian tribes in this total. A county is served if the subrecipient picks up or drops off passengers.

## State DOT Reporting Structure

State DOTs submit data on the public transit operations of subrecipients to whom they award Federal program funds. There are four distinct subrecipient (see below). State DOTs provide only a summary form for each urban transit provider or tribe receiving §5311 funds from the State, given that these agencies already report directly to NTD.

**Exhibit 9: State DOT and Subrecipient Reporter Types**

| Reporter Types | Subrecipient | Who Qualifies |
|---|---|---|
| State Department of Transportation | N/A | A State DOT that directly receives and distributes rural funding to rural subrecipients. It is responsible for all subrecipient data. State DOTs may elect to file subrecipient reports on behalf of the subrecipient or assign the task to individual rural transit providers. |
| State Subrecipient | Rural General Public Transit<br>Intercity Bus<br>Urban/Tribal Recipient<br>Reduced Asset | Operators of transportation that either receive or benefit from §5311 funding or are public operators of Chapter 53 funding received from the State DOT. Each subrecipient files an Annual Report under its applicable DOT. |

## Rural General Public Transit

Most §5311 subrecipients are rural general public transit (RGPT) providers. They provide rural service and either receive or benefit from §5311 funding or report voluntarily.

## Intercity Bus

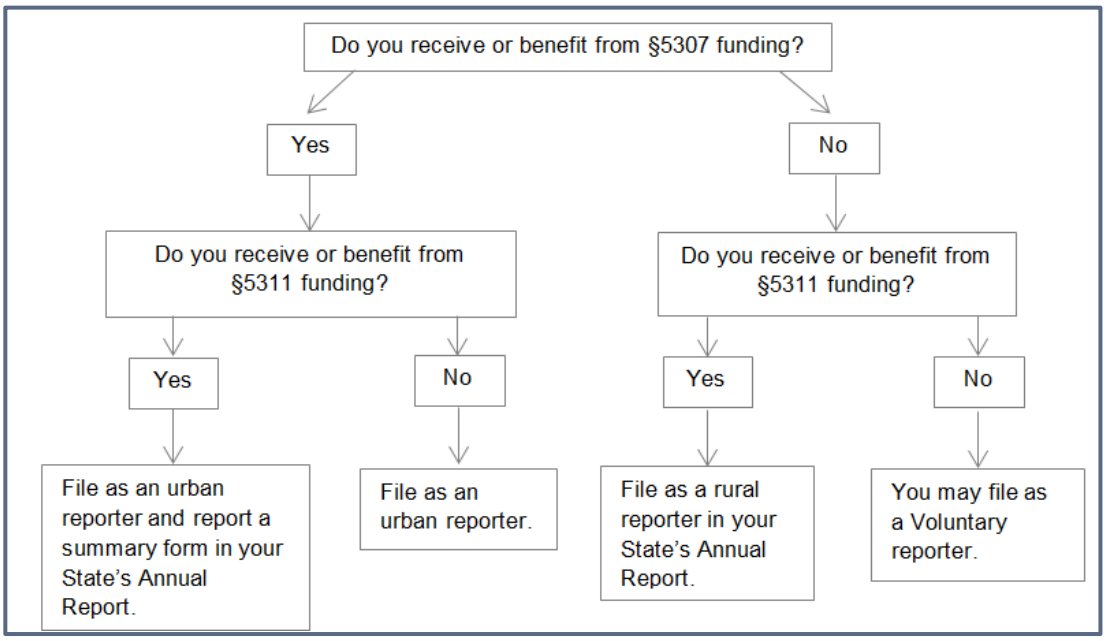
Under §5311(f), States must set aside 15 percent of §5311 apportionment for intercity bus providers, unless the State's governor certifies that intercity bus needs are already being met. States must provide an NTD report for each intercity bus provider that benefits from this funding set-aside, also referred to as §5311(f) funding.

The NTD report must include the operating and capital expenses from §5311(f) funding, as well as vehicle revenue miles (VRM) and unlinked passenger trips (UPT) for service funded, in whole or in part, by §5311(f). For example, if a route is partially funded by §5311(f), the State must report the total VRM and UPT for that route. Note that FTA does not include the VRM for the Intercity Bus subrecipient type in its §5311 apportionment formula.

## Urban/Tribal Subrecipients

Transit agencies commonly provide service in a rural area as well as an UZA or Tribal Area as defined by the Census Bureau. In these situations, a transit provider may receive or benefit from multiple FTA formula programs. The exhibit below shows how a transit agency reports to the NTD when it uses both §5307 Urbanized Area Formula Grants and §5311 Formula Grants for Rural Areas:

**Exhibit 10: Urban and Rural Recipients**




Similarly, if an Indian tribe is both a direct recipient of §5311 TTP funds as well as §5311 funds through the State, the tribe must complete both the direct report to NTD as well as an abbreviated summary to the State.

In both cases, the State submits the Urban/Tribal Subrecipient report to document all expenditures from §5311 for independently reporting subrecipients.

## Indian Tribes and Alaska Native Villages

Federally recognized Indians tribes may receive TTP grants from FTA as a set-aside of the §5311 program. Tribes that receive TTP funding must report directly to the NTD as Reduced Reporters.

FTA also encourages federally-recognized tribes that operate public transportation but do not participate in the TTP to file a report to the NTD on a voluntary basis. By reporting voluntarily, Indian tribes qualify for inclusion in future TTP apportionments.

Note that transit agencies may report Indian Health Services (IHS) transportation programs only if the service provided meets the definition of public transportation.

### Self-Reporting Subrecipients

A State DOT may authorize an individual subrecipient to enter its data into the NTD online reporting system as a "self-reporting subrecipient"; however, State DOTs are ultimately responsible for submitting and ensuring the accuracy of the completed State report. Self-reporting subrecipients do not report as independent agencies—a State DOT must include all subrecipients in its report.

## Transit Asset Management (TAM) Reporters

The TAM rule (49 CFR part 625) is a set of Federal regulations that outline minimum asset management practices for transit providers. Transit agencies that receive Chapter 53 funds and own capital assets that are used for public transportation services are required to report asset information to the NTD, *even if the agency does not manage or operate those assets*.

Some agencies affected by the rule are only required to report TAM-related data to NTD. Because the rule does not mandate reporting information about service area, FTA has established two unique reporter types for agencies outside of the Urban and Rural reporter types.

Agencies that only receive 5310(b)(1)(D) funding for alternatives to public transportation that assist seniors and persons with disabilities with transportation are exempt from the requirements of the TAM rule because assets funded under the program are not used to provide public transportation. These services are typically client-based or location-specific and do not meet the definition of public transportation.

The following reporter types must provide identification information and applicable asset condition assessment and performance data to the NTD.

**Exhibit 11: TAM-Only Reporter Types**

| Reporter Types | Who Qualifies |
|---|---|
| Reduced Asset | • Receives or benefits from FTA funding (Chapter 53) other than §5307 or §5311 funding (e.g., §5310), and<br>• Owns, manages, or operates capital assets used in providing public transportation services. |

| Reporter Types | Who Qualifies |
|---|---|
| Group Plan Sponsor | • Sponsors a TAM Group Plan.<br>• Receives or benefits from FTA funding (Chapter 53) other than §5311 Formula Grants for Rural Areas funds.<br>• Does not directly operate or contract out public transit service.<br>• Does not spend §5307 funding on building a mode or transit planning activities. |

## Voluntary Reporters

FTA encourages all providers of public transit service to report to the NTD, as this allows for service data inclusion in future funding apportionments. Voluntary Reporters are transit providers that do not benefit FTA grant funding from a program which requires NTD reporting as a grant requirement or continuing grant requirement. These reporters must comply with all NTD reporting requirements under the NTD rule (49 CFR Part 630) and the USOA. Agencies that report voluntarily to the NTD are not subject to reporting requirements related to performance measure targets and condition assessments for facilities (49 CRF Part 625).

## Continuing Grant Requirements

If a transit provider, State, or Metropolitan Planning Organization (MPO) receives or benefits from §5307 or §5311 Federal funding, it must report to the NTD.

Reporting requirements begin the year after a transit agency applies for urban or rural funding or in the year the transit agency benefits from Federal funding, whichever is sooner. Transit agencies must report as long as §5307 or §5311 funding applications remain open.

If a transit agency no longer receives urban or rural funding but previously purchased capital assets with the Federal funds, the agency must report through the useful life of the asset. Agencies also must continue reporting if they intend to apply for §5307 or §5311 in the future.

**Exhibit 12: Continuing Grant Requirements**

**Example:** A transit agency purchases a vehicle with funds from an Urbanized Area Formula Program (§5307) grant. The vehicle, a 40-foot bus, has a useful life of 12 years or 500,000 miles.

**Solution:** The transit agency reports under the NTD program throughout the useful life of the vehicle regardless of whether the transit agency receives Urbanized Area Formula Program (§5307) grant funds during a particular year of that period.

## Transit Agency Profile Requirements

All transit agencies must report basic information through their agency profile. Profile data includes Agency Information, Modes and Types of Service, Agency Users, and Reportable Segments (not applicable for reduced reporters). This data is pre-filled from the prior report year but must be reviewed and updated at the beginning of each report year before the original submission of the annual report. Profile data is modified throughout the report year if updates are required.

### Basic Information (Form P-10)

#### NTD ID

The FTA assigns each reporter a unique five-digit NTD Identification Number, which is to be used in all NTD reports and correspondence. The first digit of the NTD ID corresponds to the FTA Region where the reporter is located (e.g., 9#### indicates Region IX). If you do not have an NTD ID, please refer to the "Reporting Due Dates" section above.

#### Reporter Name

The agency name is the full legal name of the agency. If reporting is required under an FTA grant program, this must reflect the legal name of the funding recipient.

#### Doing Business As

An agency is said to be "doing business as" when the name under which they operate their business differs from its legal, registered name. For example, the legal name for an agency maybe *Anytown Transportation Authority*, but the agency does business and is

known to the public as *The Ride*. The *Doing Business As* name may be used in selected FTA publications.

## Acronym

The agency's acronym may be used for marketing the transit service. This acronym may be used in selected FTA publications.

## Address

The agency's mailing address. Agencies must either indicate a mailing address on line 1, or a P.O. Box address in the P.O. Box field.

## DUNS Number

The Data Universal Numbering System (DUNS) is a system developed and regulated by Dun & Bradstreet (D&B) which assigns a unique nine-digit numeric identifier to a single business entity. All grant applicants for new or renewal awards on or after October 1, 2003 must have a DUNS number. State DOTs reporting on behalf of subrecipients should report the DUNS of the subrecipient, not the State.

## FTA Recipient ID

The FTA recipient identification number (TrAMS ID) is the four-digit number assigned to your agency for the FTA electronic grant making system – TrAMS (Transit Award Management System). If you have a question regarding this number, please contact your agency's grant manager or chief executive officer (CEO). Not all NTD reporting agencies will have a recipient identification number. Agencies that do not directly receive FTA funds themselves, but do receive them from another organization must report that organization's FTA Recipient ID. The FTA Recipient ID is not the same as your NTD ID.

## Website URL

A universal resource locator (URL) is the address of the agency's website. Please include http:// or https://. Agencies without a website should leave this field blank. If it exists, agencies must enter the URL for the transit website, not the city or county government home page or the agency's social media page.

## Modes and Types of Service (Form P-20)

The FTA requires agencies to report most data by mode and type of service. Transit agencies must begin reporting modal information as soon as they have a commitment to build the mode (e.g., commitment date).

A variety of transit modes are operated in the United States. The NTD reporting system groups transit modes into two broad categories: rail and non-rail:

**Exhibit 13: Rail and Non-Rail Modes**

| Rail | Non-Rail |
|---|---|
| Alaska Railroad (AR) | Aerial Tramway (TR) |
| Cable Car (CC) | Commuter Bus (CB) |
| Commuter Rail (CR) | Bus (MB) |
| Heavy Rail (HR) | Bus Rapid Transit (RB) |
| Hybrid Rail (YR) | Demand Response (DR) |
| Inclined Plane (IP) | Demand Response – Taxi (DT) |
| Light Rail (LR) | Ferryboat (FB) |
| Monorail/Automated Guideway (MG) | Jitney (JT) |
| Streetcar Rail (SR) | Público (PB) |
| | Trolleybus (TB) |
| | Vanpool (VP) |

Please note that if an agency operates over fixed guideway, which includes all rail modes, it must report to NTD as a Full Reporter.

The following exhibit provides details on all NTD modes of transit operated by reduced reporters.

# NTD Modes of Service

## Aerial Tramway (TR)

**Rail:** No
**Fixed Guideway:** Yes

Aerial Tramway is a system of aerial cables with suspended vehicles. The vehicles are propelled by separate cables attached to the vehicle suspension system and powered by engines or motors at a central location not onboard the vehicle.

## Bus (MB)


**Rail:** No
**Fixed Guideway:** Possible
**High Intensity Bus:** Possible

A transit mode using rubber-tired passenger vehicles operating on fixed routes and schedules over roadways. Vehicles are powered by a motor and fuel or electricity stored on board the vehicle. Transit agencies must report any route-deviated or point-deviated service as MB.

## Bus Rapid Transit (RB)


**Rail:** No
**Fixed Guideway:** Yes

Bus Rapid Transit is a fixed-route bus system that

1. Operates over 50 percent of its route in a separated right-of-way (ROW) dedicated for transit use during peak periods;
2. Has defined stations that are accessible for persons with disabilities, offer shelter from the weather, and provide information on schedules and routes;
3. Uses active signal priority in separated guideway and either queue-jump lanes or active signal priority in non-separated guideway;

4. Offers short headway,[2] bidirectional service for at least a 14-hour span on weekdays and a 10-hour span on weekends; and
5. Applies a separate and consistent brand identity to stations and vehicles.

### Commuter Bus (CB)

**Rail:** No
**Fixed Guideway:** Possible
**High Intensity Bus:** Possible

Commuter Bus is local,[3] fixed-route bus transportation that primarily connects outlying areas with a central city and operates predominantly in one direction during peak periods. It has limited stops in outlying areas, limited stops in the central city, and at least five miles of closed-door service.

### Demand Response (DR)

**Rail:** No
**Fixed Guideway:** No


A transit mode operating on roadways in response to requests from passengers or their agents to the transit operator, who groups rides together when possible and dispatches a vehicle to provide the rides. Vehicles do not operate over a fixed route or on a fixed schedule unless temporarily satisfying a special transit need. Many transit systems operate DR service to meet the requirements of the ADA.

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[2] Short-headway service on weekdays consists of maximum headways that are either
1. 15 minutes or less throughout the day, or
2. 10 minutes or less during peak periods and 20 minutes or less at all other times.

Short-headway service on weekends consists of maximum headways that are 30 minutes or less for at least 10 hours a day.

[3] Local transportation means that 50 percent or more of the passengers boarding at each key bus stop or rail station over the full route must make a same-day return trip; otherwise, the service is intercity service. A key stop/station is at the end of a line or a major transfer point or otherwise accounts for a substantial portion of the boardings.

### Demand Response–Taxi (DT)

**Rail:** No
**Fixed Guideway:** No

Demand Response–Taxi is a special form of DR mode operated through taxicab providers with a system in place to facilitate ride sharing. The mode is always a purchased transportation type of service. DT services do not use dedicated vehicles. Voucher Programs are not considered public transportation.

Occasionally, transit agencies solely contract with taxi providers to perform ADA service using dedicated vehicles (the same fleet every day). In these cases, the portion of service using dedicated vehicles should be reported as Demand Response and the portion of the service using non-dedicated taxi vehicles should be reported as Demand Response–Taxi.

### Ferryboat (FB)

**Rail:** No
**Fixed Guideway:** Yes

This mode carries passengers over a body of water.

### Jitney (JT)

**Rail:** No
**Fixed Guideway:** No

Jitney is a unique form of bus service on fixed routes where multiple companies share the operation of the service.


### Público (PB)

**Rail:** No
**Fixed Guideway:** No

Públicos are comprised of passenger vans or small buses operating with fixed routes but no fixed schedules in Puerto Rico. Publicos (PB) are a privately owned and operated public transit service.

## Trolleybus (TB)


**Rail:** No
**Fixed Guideway:** Yes
**High Intensity Bus:** No

Trolleybus is a fixed-route service that uses manually steered, rubber-tired passenger vehicles powered by electric current from overhead wires using trolley poles. Rubber-tired replica trolleys or historic trolleys powered by an onboard motor are not included in this mode.

## Vanpool (VP)

**Rail:** No
**Fixed Guideway:** No

Vanpool operates as a ride sharing arrangement, providing transportation to a pre-arranged group of individuals. To be considered public transportation, Vanpool programs must

- Use vehicles with a minimum seating capacity of seven people, including the driver;
- Use vehicles for which 80 percent of the yearly mileage will come from commuting;
- Be open to the public (any vans that are restricted by rule to particular employers are not public transportation);
- Be actively engaged in advertising the Vanpool service to the public and in matching interested members of the public to vans with available seats; and
- Be publicly sponsored.[4]

Transit agencies adding Vanpool service to their NTD report must complete and submit to FTA a questionnaire. You can find the questionnaire in Appendix D.[5]

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[4] Publicly sponsored service is
- Directly-operated by a public entity;
- Operated by a public entity via a contract for purchased transportation service with a private provider;
- Operated by a private entity as a grant recipient or subrecipient from a public entity; or
- Operated by an independent private entity with approval from a public entity that certifies that the Vanpool program is helping meet the overall transportation needs of the local urbanized area.

[5] Photo credit: Errant Knight [CC BY-SA 4.0 (from Wikimedia Commons)]

## Bus and Commuter Bus Services

Some transit agencies operate both Bus (MB) and Commuter Bus (CB) services. Data for these two modes should be reported separately if the services meet the following two guidelines:

- **There is limited mixing of vehicles.** When vehicles are shared, they are used primarily to respond to vehicle breakdowns.
- **Driver work assignments (runs) are created separately for each bus mode.** There is no "mixing" of work assignments: a driver will not operate a MB service part of a work day and a CB service during the remaining part of the day.

## Type of Service (TOS)

Agencies report two types of service to NTD: Directly Operated (DO) and Purchased Transportation (PT).

### *Directly Operated Services*

Transit agencies report service as directly operated if they use their own employees to operate the transit vehicles. Agencies that directly operate service typically employ drivers, schedulers, dispatchers, and street supervisors.

### *Purchased Transportation (PT) Services*

The FTA defines PT service as service that is provided to a public transit agency or governmental unit by a public or private transportation provider based on a written contract. Transit agencies report service as PT when they do not directly operate the service. In these cases, the contractor operates the transit vehicles and provides the transit service.

The buyer is a transit agency that pays another entity to perform transit service. The seller (provider) provides transit service on behalf of the agency and may be a public or private entity. Either the buyer or seller of service may provide vehicles and/or maintenance facilities. Sellers of PT service typically do not report to the NTD. The buyer only reports the data for the services under its contract it does not report data for services the seller providers outside the contract.

The following criteria must be met for a relationship to meet the definition of purchased transportation:

- A written agreement exists that obligates the seller to provide the operations for a specific monetary consideration.
- A written agreement exists that specifies a contractual relationship for a certain time period and service.
- A written agreement exists that obligates the seller to provide to the buyer the operating statistics required by the NTD Annual Report.
- Authorized representatives of both the buyer and seller sign the written agreement;
- The buyer pays the seller the full costs of operating the service. The seller does not receive any public funding for operating the service except from the buyer. The transit agency purchasing the service (the buyer) must report fully allocated costs and service, assets, and resource data the NTD requires.
- The purchased service is branded under the transit agency buying the service. Users of the service must recognize that the buyer of the service is actively managing and funding the service and that the seller (purchased transportation provider) operates the service on behalf of the buyer.

Please see the "Basic Agency Information Requirements: Contractual Relationship Data Requirements (Form B-30)" section of this manual for information regarding contract criteria.

### *Full Cost of Service*

To report PT type of service, the buyer must pay the costs to provide transit service that the fares do not cover. The full cost includes all expenses associated with providing the service, such as operations, maintenance, and administrative expenses. If the buyer of the service pays for all costs required to run the service, the service is reported as purchased transportation.

However, if the buyer only provides a portion of the costs and the seller receives public funding for operating the service from another public transit entity besides the buyer, the seller (operator) must report the service rather than the buyer. The FTA defines this contribution as a "subsidy" for reporting purposes. An example of a subsidy is a fixed annual contribution made by an Indian tribe to a local transit provider in order to extend service into the Tribal Statistical Area. The FTA uses reported costs (e.g., Operating Expenses) in the §5307 funding formula.

*Memorandums of Agreement and Memorandums of Understanding*

Transit agencies may report service established by Memorandums of Agreement or Memorandums of Understanding as purchased transportation, as long as the agreement meets FTA's definition of a contractual relationship.

### Building, Starting, and Ending a Mode

Agencies must report the Commitment Date on which the transit agency began applying funds, committing to the construction of and provision of service. Agencies must report the Start Date for each mode they operate. The mode's start date is the first day the agency operates revenue service for the mode.

Agencies must report the End Date for each mode that has ceased operations during the fiscal year. The End Date is the last day on which the mode operated in revenue service.

## Reporter Users (Form P-30)

FTA requires each agency reporting to the NTD to identify a User Manager. A user manager is a person designated to certify and manage accounts and roles for all users with access to the NTD online reporting system. Agencies must keep User Manager designations current, submitting a request to FTA on agency letterhead whenever there is a change.

The User Manager designation template can be found on the NTD's User Manager Designation web page.

More User Management reporting guidance can be found in the FTA Access Control and Entry System (FACES) User Guide on the FTA website.

# BASIC AGENCY INFORMATION REQUIREMENTS

### Identification (Form B-10)

*An overview of the various organization types that report to the NTD and definitions of urbanized and rural areas, as well as service area.*

### Contractual Relationship Data Requirements (Form B-30)

*Requirements that apply to transit agencies who purchase service or provide service on behalf of another agency.*

# Identification (Form B-10)

## Organization Types

All transit agencies must provide their organization type. The following organization types are the most commonly used in NTD reporting:

- Independent public agency or authority for transit service
- Unit or department of city, county or local government
- Unit or department of State government
- Area agency on aging
- Planning agency
- Indian tribe
- Subsidiary Unit of a Transit Agency, Reporting Separately
- University
- Area Agency on Aging
- Other Publicly-Owned or Publicly-Chartered Corporation
- Private For-Profit Corporation
- Private Non-Profit Corporation
- Private Provider Reporting on Behalf of a Public Entity
- Other

### Independent Public Agency or Authority for Transit Service

Independent public agencies are separate entities established by statute as independent units of government. Generally, the laws creating these entities are passed by State legislatures. These entities are statutorily distinct from local and State governments and typically have the ability to impose taxes or tolls for transit use.

### Unit or Department of City, County, or Local Government

Transit agencies should report as the city, county, or local government if they are legal entities with the authority to operate transit service. These transit agencies should report all public transit data on behalf of the city, county, or local government.

### Unit or Department of State Government

Transit agencies should report as a unit or department of State government if they are a part of the State government and have one or more State employees.

### Area Agency on Aging

Areas Agencies on Aging are organizations established under the Older Americans Act in 1973 to respond to the needs of Americans 60 and over.

### Planning Agency

Planning agencies primarily address short and long-range transportation needs through a cooperative process among local jurisdictions.

### Indian Tribe

The Bureau of Indian Affairs defines an Indian tribe as “an American Indian or Alaska Native tribal entity that has a government-to-government relationship with the U.S. with the responsibilities, powers, limitations, and obligations attached to that designation.” Indian tribes are eligible for funding from the U.S. government, including FTA transit programs.

### Subsidiary Unit of a Transit Agency, Reporting Separately

This is a transit authority that has separate operating districts for different areas. Each operating district has its own NTD ID. If there is only one subsidiary unit for transit, report as an independent public agency or authority for transit service.

### University

These are university and college systems of both private and public institutions providing public transportation.

### Area Agency on Aging

These are organizations established under the Older Americans Act of 1973 to respond to the needs of Americans sixty and over.

### Other Publicly-Owned or Publicly-Chartered Corporation

These are quasi-public agencies that do not fit any of the above categories, such as a business improvement district that also provides transit service.

### Private For-Profit Corporation

These reporters operate independently for profit.

### Private Non-Profit Corporation

These reporters do not operate for profit.

### Private Provider Reporting on Behalf of a Public Entity

In rare cases the FTA allows the private seller of service to report to NTD, rather than the public buyer.

### Other

If none of the choices fits your agency, report Other. The online Reporting System will display a box for you to describe your organization's structure.

## Demographic Data

Transit agencies' demographic information describes the area and population where they operate service. Transit agencies provide varying levels of detail regarding their service area based on their reporting type.

The NTD reporting system uses two definitions of transit area:

- Urbanized and rural areas
- Service area

### Urbanized and Rural Areas

The U.S. Census Bureau defines UZAs based on incorporated places (e.g., cities, towns, villages) and their adjacent areas. The U.S. Census Bureau considers a densely populated area of 50,000 people or more to be an urbanized area. In addition, at least 35,000 people must be permanent residents who do not live on a military installation. UZAs do not conform to congressional districts, city or county lines, or any other political

boundaries. For detailed information on how the Census Bureau defines and identifies UZAs, please consult its Geography Program website.

FTA bases UZA designations on the most current census. The NTD reporting system assigns a unique number to each UZA in the United States. For urbanized areas in the 50 States and the District of Columbia, FTA provides a numerical ranking by population size. FTA also designates the Virgin Islands and certain areas in Puerto Rico as urbanized areas. FTA treats the Virgin Islands as a UZA for purposes of transit grants, pursuant to 49 U.S.C. 5307(l).

Exhibit 14 shows how the FTA categorizes all UZAs as large UZAs or small UZAs. A large UZA has a population of 200,000 or more. A small UZA has a population of fewer than 200,000.

The NTD refers to non-urbanized areas as rural areas or non-UZAs.

All reporters indicate where they provide transit services by UZA and non-UZA. Tribal reporters must report the American Indian Areas or Alaska Native Areas where they operate public transit, as recognized by the U.S. Census Bureau.

| UZA Designation | Population Size |
|---|---|
| Small UZA | < 200,000 |
| Large UZA | ≥ 200,000 |

**Exhibit 14: Urbanized Areas**

## Service Area

Service area is a measure of transit service in terms of population served and area coverage (square miles).

For bus modes subject to ADA requirements, agencies use ADA definitions and requirements to determine service area boundaries and population:

- Bus service area is defined as three-fourths of a mile on each side of a fixed route.

For Demand Response (DR) and Demand Response–Taxi (DT) modes, transit agencies report the entire area that the mode serves.

For modes not covered by ADA, including ferryboat (FB) and vanpool (VP), transit agencies determine service area and population using locally defined criteria. Commuter Bus (CB) should report a service area that reflects the catchment area of the service.

Transit agencies use the most current figures or official estimates of population. An area's MPO typically estimates population every five to seven years. Population and area (in

square miles) statistics for an urbanized area usually differ from a transit agency's service area.

## Contractual Relationship Data Requirements (Form B-30)

Agencies often purchase service from another entity or provide service on behalf of another agency. If a contract exists to provide transit service, transit agencies must report additional data about the contract.

These agencies must report data, including:

- Contractor and relationship type
  - Who is the buyer, who is the seller, and who is reporting the financial and service data, etc.
- Monetary nature of the contract
  - Competitively bid contract (at the time of the original agreement) or fixed-rate cost.
  - Who provides vehicles or facilities.
    - If the buyer performs all vehicle maintenance, the reporter should **not** check that "Buyer Provides Maintenance Facility to Seller."
- Contract service data
  - VOMS per the contract and the number of months the provider operates service during the report year.
- Financial terms of the contract
  - Terms for non-Vanpool modes, typically includes: Purchased Transportation Fare Revenue, Capital Leasing Expenses, Direct Payment, Contract Cost, and Other Costs Incurred by the Buyer (as they relate to Operating Expenses and Reconciling Items).
  - Terms for Vanpool modes, typically includes: Passenger Fees, Passenger Out-of-Pocket Expenses, Agency Subsidy, Capital Leasing Expenses, and Other Costs Incurred by the Buyer (as they relate to Operating Expenses and reconciling items).

The key financial terms of the contract are described in the following paragraphs.

## Competitively Bid vs. Negotiated Agreements

Transit agencies must indicate if a service is either competitively bid or negotiated. Competitive contracts include:

- Sealed bids
- Requests for Proposals
- Two-step procurement

Agencies must report a contract as competitively bid if the contract was competitively procured and later negotiated during subsequent option years.

Negotiated agreements do not meet the FTA definition of full and open competition. Agencies must carefully describe the nature of the contract.

Typically, agencies that contract with other public agencies enter into negotiated agreements, whereas agencies that contract with private companies enter into a competitively bid contracts.

For more information on Federal requirements for procurements, please see FTA Circular 4220.1F, *Third Party Contracting Guidance*, Chapter VI, Part 3, "Methods of Procurement." Purchased Transportation Fare Revenues

For each contractual relationship, report the total fare revenues associated with the contract being reported.

If the service provider retains all fare revenues as part of the contractual payment, report Fares Retained by Seller. If the seller delivers all fare revenues to the buyer, report Fares Retained by Buyer. If the seller retains some fares and the buyer retains the rest, report Fares Retained by Buyer, and report Direct Payment as the sum of:

1. the actual payment to the seller by the buyer, and
2. the fares retrained by the seller.

## Reporting Contract Data for Vanpools

For contracts involving vanpool, the reporter reports Passenger Fees and Passenger Out-of-Pocket Expenses instead of Purchased Transportation Fare Revenues.

### Passenger Fees

Passenger Fees include the payments from all passengers, including the drivers, to the Vanpool provider. This also includes any fees collected from the passengers' employers to provide the Vanpool service.

### Passenger Out-of-Pocket Expenses

These expenses include all costs paid for by the passengers directly, such as fuel, tolls, and maintenance.

### Agency Subsidy

Agency subsidy is the payment by the transit agency to the van leasing agency. This often takes the form of a per-van per-month subsidy.

## Capital Leasing Expenses

Capital leasing costs are the expenses that the seller charges the buyer for the use of its capital assets, whether they are owned or leased by the seller.

For example, if the seller uses its vehicles to provide service, it typically charges the buyer to cover depreciation. The buyer reports this as a capital leasing cost. Agencies that incur capital leasing costs must report this data, even if these costs are not itemized on invoices.

For Vanpool programs, the Vanpool fare includes the capital leasing costs.

For more information on Vanpool requirements, please see the "Reporting Contract Data for Vanpools" section of this chapter.

## Direct Payment

Direct payment is the amount the buyer pays directly to the seller during the reporting period. If the seller retains some or all fare revenues, report as described in "Funding Sources: Directly Generated Funds: Passenger Fares" section of this manual.

## Contract Cost

Contract cost is the sum of the revenues received by the seller. The contract specifies the terms of payment which may include: (1) payments made by the buyer directly to the

seller; and (2) fare revenues retained by seller if the seller retained these revenues. The contract cost is the inflow of revenues received by the seller in exchange for the transit services provided.

## Other Costs Incurred by the Buyer

The buyer also incurs costs that vary depending on the terms of the contract. All contracts require some oversight by the buyer to ensure that the terms of the contract are being met and to support payments to the seller. Examples of these costs incurred by the buyer include labor and office space costs for employees providing contractual oversight. See USOA 6.5, “Other Costs Incurred by the Buyer,” for additional information.

Some of the costs incurred by the agency may be joint costs and not attributable to any mode and type of service, such as planning, scheduling, and marketing. The buyer, therefore, must allocate these costs across relevant modes and type of service. For more guidance on allocating such costs, please see USOA Appendix A, “Cost Allocation Handbook.”

When reporting to the NTD, transit agencies will divide Other Costs Incurred by the Buyer into two categories: Other Operating Expenses Incurred by the Buyer, and Other Reconciling Item Expenses Incurred by the Buyer.

### Other Operating Expenses Incurred by the Buyer

Most of the Other Costs Incurred by the Buyer will fall into this category. This includes expenses such as salaries and utility costs that agencies will report as Operating Expenses.

### Other Reconciling Item Expenses Incurred by the Buyer

Agencies must report costs that are classified as Reconciling Items (e.g., leasing costs or interest costs) in this category. Typically, these costs reflect leasing or depreciation expenses for the buyer’s capital. The costs also may include interest expenses.

## Subsidy Contract Type

Indian tribes reporting to NTD may contribute a fixed annual contribution to a local transit provider in order to extend service into the Tribal Statistical Area. As this type of agreement does not meet the reporting requirements for Purchased Transportation, NTD defines this contribution as a "subsidy" contract type for reporting purposes on the B-30 form. FTA uses these data in the §5311 Tribal Transit Program funding formula.

## Key Relationships Between Forms

The following exhibit summarizes how data on the B-30 form relates to data on the RR-20 form.

**Exhibit 15: Relationship of B-30 Data to Other Forms**

| Data | B-30 | RR-20 |
|---|---|---|
| **When there is one B-30 form for a mode/TOS, these data must be equal:** | Vehicles Operated in Annual Maximum Service Under Contract for one mode | Vehicles Operated in Annual Maximum Service (VOMS) for same mode |
| **These data must be equal:** | Sum of Purchased Transportation Fare Revenue (5111) across all B-30 forms for one mode | Sum of Total Passenger Fares (4110) for same mode |
| **These data must be equal:** | Sum of Contractor Operating Expenses across all B-30 forms for one mode | Purchased Transportation Funds Expended on Operations for Same Mode |

# FINANCIAL DATA REQUIREMENTS

### What to Report

*An overview of revenues, expenses, and the true cost of operations.*

### How to Record and Report Financial Accounts

*A summary of financial requirements including the Uniform Systems of Accounts.*

### Funding Sources (Form RR-20)

*An explanation of different funding sources, including directly generated, local, State, and Federal funds.*

## What to Report

Transit agencies must report financial information on an annual basis using accrual accounting and the NTD Uniform System of Accounts (USOA).

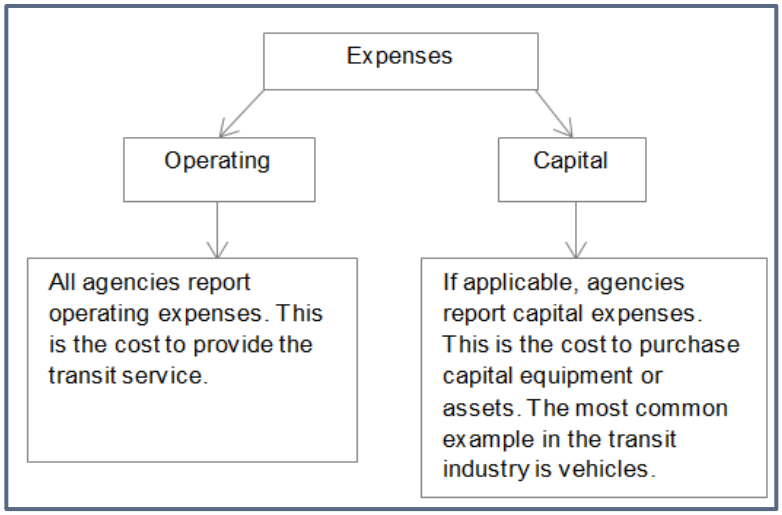



**Exhibit 16: Expense Types**

The FTA defines revenues as the total amount of money earned during a transit agency's fiscal year. Full Reporters must report data for total revenues earned during the fiscal year. Reduced and Rural Reporting transit agencies only report operating and capital expenditures incurred in the fiscal year, by source of revenue.

There are two major expense categories: operating and capital. Operating expenses are expenses that a transit agency incurs during day-to-day operations. Capital expenses are the expenses that are related to purchasing a capital asset or making an improvement to a capital asset that materially increases its value or useful life. Capital expenses include the acquisition cost of a capital asset, including the cost of delivery, installation, and any modifications to the asset(s). The FTA defines capital as an asset having a useful life of more than one year. See USOA 3.0, "Capital Expenses," for additional information on capital expenses.

Federal grant requirements allow a transit agency to determine its capitalization threshold provided the per unit cost is $5,000 or less. For example, if a transit agency sets its capitalization level at $2,000, it must report a computer equipment purchase of $1,500 as an operating expense on the NTD Annual Report. For more information, please see the Office of Management and Budget (OMB) Uniform Grant Guidance web page.

Typically, transit agencies receive Federal, State, and local funding. When agencies apply for these funds, the applicable government entity approves the application and makes a funding commitment for a total amount of funding. There can be a difference between the amount of funds that the Federal, State, or local government commits, and the amount of funding that a transit agency uses to fund operating and capital expenses during the fiscal year. Transit agencies must report the amount of funds used to funding operating and

capital expenses during the year—not the amount of funds that have been committed to them—as revenues earned.

This revenue reporting principle applies to the typical case in which a transit agency "earns" its funding from another government entity based on costs incurred. If the transit agency receives funding with no requirement to make specific expenditures, then the transit agency must report the total funding provided as revenues earned.

**Exhibit 17: How to Report Grant Funds**

**Example:** A State awards a transit agency a grant of $1,000,000. The transit agency must incur eligible expenses as defined in the grant to receive the funding. The transit agency uses $200,000 of the grant money to fund eligible expenses during the fiscal year. What does the agency report to the NTD?

**Solution:** The transit agency reports the $200,000 it used during the fiscal year.

## Fully Allocated Costs

Transit agencies must report the full costs associated with transit service. In some cases, this is straightforward: an agency that paid for the full cost itself and did not perform any non-transit-related activities simply reports all the costs that it incurred during the fiscal year.

However, many agencies are part of larger entities that perform many non-transit functions. For example, many transit agencies are departments of city or county governments. In such a case, it is important to determine what the reporting entity is. Usually for departments of local government, the reporting entity is the local government itself. For example, if a city government has a transit department and the reporting entity is the city government, all the costs incurred by the city to support transit service must be reported.

This principle means that some costs incurred by the city government-but not specifically by the transit department-will appear in the NTD report. This is because other departments of the city government support the transit department. For example, the city human resources department may spend part of its time handling personnel matters for the transit department. In this case, the department's cost of operation includes the indirect cost of providing this service for the transit department and the city government will have to include it in its NTD report.

Costs incurred by the city government in the normal course of business not specific to the transit department are not included in NTD. For example, the transit department in our previous example may benefit from the presence of the local police force. But unless the

city government specifically assigns members of the police force to specific transit duties, the reporter does not report this cost.

## How to Record and Report Financial Accounts

Transit agencies must report financial data in a uniform manner in conformance with accrual accounting and the Uniform System of Accounts.

Under accrual accounting:

- Agencies record revenues when they earn them regardless of whether they actually receive the revenue in the same fiscal year; and
- Agencies record expenses as soon as they owe an entity regardless of if they actually pay the funds for the expense in the same fiscal year.

### Allocating Costs

The purpose of cost allocation is to determine the total costs incurred to produce a specific product or deliver a specific service. In the NTD, transit agencies report the total cost incurred to operate each mode of transit service. This information helps facilitate comparisons of the operating characteristics of modes at different agencies and of a single mode over time. Sound cost allocation procedures will also improve the accuracy of financial data reported to transit agency governing boards and the public. This is also consistent with GAAP.

To fully report operating expenses, agencies should

- Determine which expenses are direct costs that are attributable to a particular mode and type of service and which expenses are shared costs; and
- Trace or allocate shared costs to each mode, type of service, and function.

### Direct vs. Shared Costs

In order to report the total cost of delivering each mode of transit service, transit agencies must calculate both the direct and shared costs of providing service.

**Direct costs** are costs that are directly identifiable to one or more mode, type of service, and function of transit service.

- Direct costs that are directly identifiable to one mode, type of service, and function include operator salaries and wages (and associated fringe benefits for operators

that directly support one mode), other salaries and wages (for staff that directly support one mode), materials and supplies (that are unique to a specific mode), and propulsion power (that is associated with a specific mode).

- Direct costs that are directly identifiable to one or more modes must be attributed and charged to the specific mode within a transit agency's accounting system at the time work was performed. For instance, a transit agency may employ vehicle maintenance staff to repair demand response (DR) and bus (MB). The agency has an accounting system that allows its employees to assign their hours directly to a specific mode (e.g., DR, MB). The accounting system enables the maintenance staff employees to directly attribute and charge to each mode; therefore, the salary and wages for the maintenance staff are direct costs that are identifiable to the two modes.

**Shared costs** are costs that are commonly or jointly used to provide two or more modes of transit service. Transit agencies perform cost assignment using the following methods, to improve the accuracy of cost allocation.

1. **Tracing shared costs wherever feasible and economically practicable.** Cost tracing relies on the observation, counting, and/or recording of the consumption of resource units, such as staff hours or days that are spent on a project or assignment. Tracing also applies to specific resources that are dedicated to particular outputs. Cost tracing minimizes distortion and helps promote accuracy in cost assignments. However, cost tracing can be a relatively costly process; it should be applied to items that account for a substantial portion of the cost of an output and when it is economically feasible. For example, it is usually unnecessary to trace the cost of office supplies (e.g., pens, papers, computer peripherals) to various activities or outputs.
2. **Allocating shared costs on a reasonable and consistent basis.** Sometimes, it is not economically feasible to trace costs. For example, general management and administration support costs, utilities, and other costs that benefit multiple modes and cannot be traced to specific modes. In these situations, transit agencies allocate shared costs to the functions, modes, and TOS by using allocation variables.

Common allocation variables include, but are not limited to:

- Vehicle hours and miles
- Vehicles operated in annual maximum service
- Number of employees

- Direct expenses
- Ridership (Unlinked Passenger Trips)

Agencies must use knowledge of their own organization structure to select allocation variables that make the most sense for their agency and apply them consistently. Agencies should consider the following factors to determine the appropriate cost assignment strategy:

- Nature of the transit agency's operations
- Precision desired and needed in cost information
- Practicality of data collection and processing
- Availability of computing hardware and software
- Cost of installing, operating, and maintaining the cost accounting processes
- Specific information needs of management

Reporters must take special care to ensure that they allocate shared costs to both purchased transportation and directly operated services. Transit agencies with purchased transportation services incur administrative costs even if the contractor owns the vehicles and the maintenance and storage facilities. Such administrative costs include:

- Salaries and fringe benefits of employees who oversee a purchased transportation contract
- Administrative building expenses, such as:
  - Custodial services
  - Electric bills
  - Phone bills
  - Fire insurance
  - Office supplies

Once agencies determine the shared costs, they must group the shared costs into cost pools based on how costs are consumed. Cost pools are groups of costs that are consumed in a similar manner. After grouping the costs into cost pools, agencies use the allocation variables that best represent the driver of costs in each pool to allocate the costs to the modes.

FTA acknowledges that each transit agency is unique and therefore chooses a cost allocation model that reflects its cost structure, provided the method is reasonable, consistent, and defensible. Once an agency chooses a cost allocation model, the agency

should review it annually to confirm that the model is still valid. It should check for reasons to change the model, such as the following:

- Addition/reduction of modes of service
- Merger with another agency
- Adoption of a new chart of accounts
- Restructure of the agency's organization
- Change in the nature of the transit agency's operations
- Major initiatives that would affect mode or function's usage of costs
- Transition from directly operated to purchased transportation or vice versa

Unless an agency experiences one of the major changes listed above, it should apply its cost allocation model consistently each year. FTA recommends that each reporting agency document its cost allocation model to facilitate consistent application. See USOA Appendix A, "Cost Allocation Handbook," for additional guidance and examples of cost allocation.

## Funding Sources (Form RR-20)

Transit agencies must report operating and capital expenses based on the source of funds. The NTD identifies the following funding source categories:

- Passenger Fares
- Directly Generated Funds
- Non-Federal Funds
- Federal Government Sources of Funds

### Directly Generated Funds

Directly generated funds are funds that a transit agency earns from non-governmental sources. Transit agencies may earn these funds from:

- Passenger Fares
- Funds related to transit
- Funds unrelated to transit
- Dedicated funds (applicable to transit agencies that are independent political entities and have the ability to impose taxes)

## Passenger Fares

Passenger Fares include revenues earned from carrying passengers. This applies equally to DO and PT services. Generally, fares are the amounts paid by the rider to use transit services and include the base fare, zone premiums, express service premiums, extra cost transfers, and quantity purchase discounts applicable to the passenger's ride.

Agencies report the full amount of PT fare revenues regardless of whether the buyer or seller retains the revenue.

Agencies may collect passenger fares in any of the following ways:

- Before service is provided (e.g., through the sale of media such as passes, tickets, and tokens sold to passengers)
- Directly at the point of service (e.g., fare box, turnstile)
- After the service is provided (e.g., through weekly or monthly billing)

In some circumstances, several agencies share a fare card program and will periodically divide funds among themselves so that each agency within the program receives the appropriate amount of fare revenue. In such cases, each agency reports its share of the revenues.

Passenger fares include Passenger-Paid Fares (4111) and Organization-Paid Fares (4112).

### *Passenger-Paid Fares*

Passenger-paid fares reflect the amount of the fare that the passengers pay on their own behalf. Passenger-paid fares may include:

- Full adult fares
- Senior citizen fares
- Student fares
- Child fares
- Fares for individuals with disabilities
- Ferryboat services
- Vanpool services
- Special ride fares

- Handling fees
- No-show fines

### *Organization-Paid Fares*

Organization-paid fares are paid for by an organization rather than by the passenger. Organization-paid fares also include funds for rides given along special routes for which a beneficiary of the service may guarantee funds. Organization-paid fares may result from agreements between the reporter and an agency or organization that pays a set amount in return for unlimited and/or reduced fare transit service for the persons covered by the agreement. Examples of organization-paid fares are discussed in the USOA.

Transit agencies must report fares paid in part or in whole by an organization for an affiliated, specific group of individuals as passenger fares. For example, a university may pay a transit agency so that students can ride fare-free. The transit agency must report such a payment from a university as organization-paid passenger fares.

### *Fare Reporting Rules*

Donations that are made on a revenue vehicle or at a farebox should be reported as passenger fares.

Passenger fares do not include subsidies (e.g., subsidies from private organizations or other sectors of operations), which are provided to support the general provision of transit service. Passenger fares also do not include fare assistance from other entities, such as governments, to provide a reduced fare or free fare for a general class of users (e.g., senior citizens, students). The agency reports subsidies and fare assistance in the appropriate private, State, local, or Federal government sources of funds.

In all cases, transit agencies must ensure that they report contributions by the original source of funds.

Certain rules discussed below apply only to specific modes of transportation.

#### Ferryboat

Ferryboat fares include revenues earned from walk-on pedestrians, bicyclists, and public transportation vehicles passenger fares. For vehicles, report passenger fares for each occupant of the vehicle, including the driver. Note, however, that vehicle and bicycle ferriage fees are not included in Passenger-Paid Fares but are reported in Other Directly Generated Funds.

### Vanpool

For publicly sponsored Vanpool (VP) services, passenger fares have unique provisions. Passenger fares include Passenger Fees and Out-of-Pocket Expenses as described in the "Basic Agency Information Requirements: Contractual Relationship" section of this manual. These costs often include fuel costs, maintenance expenses, lease payments, tolls, and other out-of-pocket costs.

## Allocating Fare Revenues

Typically, fares are directly related to one mode or type of service. However, agencies may need to allocate fares among modes and types of service if

- There is a fixed fare for the initial segment of a multi-mode trip and the transfer charge is not equal to the fare charged for a single-ride trip on the next mode; or
- A large portion of passengers use passes that are accepted on several modes.

In such cases, transit agencies must allocate fare revenues to each mode and type of service based on a reasonable allocation method. For example, a transit agency may allocate by:

- Unlinked passenger trips
- Passenger miles traveled
- Operating expenses

## Other Directly Generated Funds

Agencies may earn funds from other transit-related services. The following describes the common sources of Other Directly Generated Funds:

- Concessions (station concessions and vehicle concessions), advertising revenues, or fare-evasion fines;
- Contract revenues (reimbursement by any organization, government, agency, or company, based on a formal contractual agreement with the transit service operator for trips provided to a specific passenger or group of passengers where the original revenue source is not known);
- Donations (typically awarded in lump sum amounts and may come from local charity foundations, fundraising events, or individual donors; if there is a donation-based passenger fare system, and passengers make these donations on board a

vehicle or at the farebox, the agency reports these funds under passenger fares rather than donations);

- Investment earnings, interest income, rentals of revenue vehicles to other operators, sale of fuel;
- Sale of assets in excess of the asset's book value;
- Sale of carbon credits; and
- Extraordinary and Special Items (events or transactions that are distinguished by their unusual nature and by the infrequency of their occurrence)

Agencies may sell vehicles, buildings and scrap throughout the fiscal year. In these cases, agencies record gains from sales as Other Directly Generated revenue. Transit agencies should not report an accounting loss from a sale because no money was received.

Sales and Disposals of Assets include, but are not limited to: sales of equipment, buildings, real estate and other property. If an asset is sold for an amount higher than its book value (cost less accumulated depreciation), the agency records the difference between the sale price and book value as a gain. See USOA 2.6.3, "Sales and Disposals of Assets," for additional information.

### Revenues Accrued through a Purchased Transportation Agreement

Sellers of PT service must report the funds they spend from revenues accrued through purchased transportation. It will not include passenger fares for purchased transportation (PT) services from service provided under the agreement.

## Non-Federal Funding Sources

Transit agencies must report expenses based on the source of funds. Therefore, agencies must identify what type of local and State funding they receive.

### Local and State Funds

Transit agencies usually receive and spend funds from local and State government.

State government funds and local government funds pay a portion of the costs to provide transit service, including

- Operating assistance, such as:
  - General operating assistance to support service for all classes of passengers

  - Fare assistance to meet the difference between full adult fares and special reduced fares for persons with disabilities, senior citizens, students, and other special reduced fare riders
  - Reimbursements of payments for taxes, interest, snow removal, maintenance, and security costs
  - Special demonstration project assistance
- Capital assistance

Local sources may provide funding from:

- General revenues of the local government
- Local Funds Dedicated to transit at their source
- Other local funds
- Extraordinary and special items

State sources may provide funding from:

- General revenues of the State government
- State transportation fund
- Extraordinary and special items

### *General Revenues of the Local/State Government*

State and local government may provide transit agencies with funds from their annual budgets that are not dedicated to transit. Transit agencies typically have to compete for this funding with other organizations such as police, fire, and educational institutions.

### *Local Funds Dedicated to Transit at Their Source*

These are funds from local taxes, tolls, and fees that the government entity institutes to support transit programs and projects. These funds may also include bridge, tunnel, and highway tolls.

### *Other Local Funds*

Local government entities may provide funds that are not dedicated or from the annual budget. This may include

- Vehicle licensing and registration fees

- Communications access fees, surcharges, and taxes

#### *State Transportation Fund*

Many States set up a State Transportation Fund (4420) that is separate from the General Fund. It usually has several dedicated sources of funding, often including funding sources such as fuel taxes, vehicle registration fees, or bonds backed by such sources. The Transportation Fund typically funds both transit agencies and other transportation needs, such as the highway department. Agencies are not required to report the individual sources of funding that support the State Transportation Fund.

#### *Extraordinary and Special Items*

Please see the definition of Extraordinary and Special Items in the "Funding Sources: Directly Generated Funds" section of this chapter.

## Federal Government Sources

Transit agencies typically receive Federal funds on a cost-reimbursement basis.

Transit agencies must report funds by grant source. The following section explains common grants for transit assistance. Agencies may receive other FTA funds not defined below. Additionally, agencies may receive funding from other Federal sources. Transit agencies must report those funds as "Other Federal Funds" or "Funds Received from Other USDOT Grant Programs", depending on the source. Transit agencies must take special care to report funds by their original source.

In some cases, capital assistance may be spent on activities that are normally considered operating, such as preventive maintenance and ADA service. This typically requires 20 percent local match. Although these funds are capital grants, the agency reports it as capital assistance spent on operations.

### FTA Funds

Agencies receive FTA funds from many grants, including, but not limited to the following:

**Current Programs**

- FTA Urbanized Area Formula Program (§5307)
- FTA Formula Grants for Rural Areas (§5311)
- FTA Capital Program (§5309)

- FTA State of Good Repair (§5337)
- FTA Grants for Bus and Bus Facilities Formula Program (§5339)
- FTA Metropolitan Planning (§5303)
- FTA Enhanced Mobility of Seniors & Individuals with Disabilities (§5310)

**Expired Programs**

- FTA Clean Fuels Program (§5308)
- FTA Job Access and Reverse Commute Formula Program (§5316)
- FTA New Freedom Program (§5317)
- FTA Alternative Transportation in Parks and Public Lands (§5320)

### *FTA Urbanized Area Formula Program (§5307)*

Transit agencies may use §5307 funding for

- Capital projects
- Planning
- Operating assistance in UZAs with populations less than 200,000
- Preventative maintenance (capital funds spent on operations)
- Complementary paratransit services operated to meet ADA requirements.

Section 5307 funds include flexible funding programs. For example, the Federal Highway Administration (FHWA) of the U.S. Department of Transportation transfers funds to §5307 under the flexible funding provision from various programs, including

- Surface Transportation Program (STP)
- Congestion Mitigation and Air Quality Improvement Program (CMAQ)
- National Highway System (NHS)
- Construction of Ferry Boats and Ferry Terminal Facilities
- Federal Lands Highways Program (FLHP)
- Transportation, Community, and System Preservation Program (TCSP)
- Coordinated Border Infrastructure Program (CBIP)
- Non-Motorized Transportation Pilot Program

Transit agencies must report funds from flexible funding programs under the appropriate FTA program. For example, if a transit agency receives FHWA CMAQ funding through the §5307 program, the agency must report this under §5307 funds. For more information, visit the FTA website.

### *FTA Formula Grants for Rural Areas (§5311)*

Section 5311 is a formula program that provides assistance to transit agencies in rural areas for:

- Capital projects
- Planning
- Operating assistance

For questions regarding urbanized and rural areas, please see the "Basic Agency Information Requirements: Identification (Form B-10)" section of this manual.

Federal operating and capital assistance under §5311 includes any §5310, §5307, §5316, or §5317 funds that States transfer to the program. This program also includes any flexible highway funds the State administers through the §5311 program.

Transit agencies that report to the urban module and receive §5311 funds also have responsibilities to provide data to the State for the State DOT NTD Annual Report.

### *FTA §5311(j) Tribal Transit Program (TTP)*

FTA dedicates a portion of the §5311 program funds to the TTP. Federally recognized tribes may use TTP funds to assist with operating, planning, and capital needs. FTA apportions these funds based on three tiers. For more information on TTP statutory tiers, please refer to the "Introduction: Data Use and Funding: Tribal Transit Program" section of this manual.

### *FTA §5311(f) Intercity Bus Program*

FTA requires States to set aside 15 percent of the §5311 program for intercity bus projects, unless a State governor certifies these needs are already met. Private for-profit companies may receive §5311(f) funding from the State. These companies report limited data to the State as a §5311(f) subrecipient.

If a transit agency provides other public transit services and receives this funding, the agency must report the service according to NTD modal definitions and report the funding under the §5311 program.

### *FTA Capital Program (§5309)*

Section 5309 is a discretionary program that provides capital assistance for new fixed guideway or other major investment systems.

### *FTA State of Good Repair Program (§5337)*

Section 5337 is a formula program that replaced the Fixed Guideway Modernization program. This grant provides capital assistance to maintain fixed guideway and high intensity bus systems in a state of good repair.

### *FTA Enhanced Mobility of Seniors & Individuals with Disabilities (§5310)*

Section 5310 is a formula program that provides capital assistance to State and local governments and private nonprofit groups to meet the transportation needs of elderly individuals and individuals with disabilities.

MAP-21 consolidated §5310 funds into the §5311 and §5307.

### *FTA Bus and Bus Facilities Program (§5339)*

Section 5339 is a formula program that finances capital projects to replace, rehabilitate, and purchase buses and related equipment, and to construct bus-related facilities.

### *FTA Metropolitan Planning (§5303)*

Section 5303 supports cooperative, continuous, and comprehensive planning programs for making transportation investment decisions in UZAs. These funds are allocated to MPOs. Local elected officials designate these funds to carry out urban transportation and planning processes.

### *FTA Clean Fuels Program (§5308)*

Congress discontinued this program in the Moving Ahead for Progress in the 21st Century Act (MAP-21) legislation.

Section 5308 was a formula program that supported the use of alternative fuels. Projects were eligible in air quality maintenance or nonattainment areas for ozone or carbon monoxide for both urbanized and rural areas.

The program helped transit agencies purchase low-emission buses and related equipment, build alternative fueling facilities, modify existing garage facilities to accommodate clean fuel vehicles, and assisting in the utilization of biodiesel.

### *FTA Job Access and Reverse Commute Formula Program (§5316)*

Congress discontinued this grant in the MAP-21 legislation.

Section 5316 was a formula program for states and designated recipients. Section 5316 supported the development and maintenance of job access projects that transported welfare and eligible low-income individuals to jobs and activities related to their employment. Additionally, §5316 provided assistance to reverse commute projects that transported residents of urbanized and rural areas to suburban employment opportunities.

Congress discontinued this grant program in the MAP-21 legislation. Under changes made in MAP-21, these activities now are eligible for funding under the §5311 and §5307 programs.

### *FTA New Freedom Program (§5317)*

Section 5317 was a formula program for new public transportation services and public transportation alternatives beyond those required by the ADA. These transportation programs assisted individuals with disabilities and provided transportation to and from jobs and employment support services. These programs had to be part of a locally developed human service transportation coordinated plan.

Transit agencies used §5317 funds for

- Capital projects
- Operating assistance
- Planning

Congress discontinued this grant program in the MAP-21 legislation. Under changes made in MAP-21, these activities now are eligible for funding under the §5311 and §5307 programs.

### *FTA Alternative Transportation in Parks and Public Lands Program (§5320)*

Congress discontinued this grant in the MAP-21 legislation.

Section 5320 was a program for preserving parklands and enhancing visitor enjoyment. FTA, the U.S. Department of Interior, and the U.S. Department of Agriculture Forest Service administered this grant jointly.

## Non-Added Revenues

Non-added revenues are funds received by the transit agency that are not included in the total funds earned during the operating period.

### Pass-through Funds

Pass-through funds are funds that a transit agency (often known as a designated recipient) receives from a government entity (e.g., FTA) and gives to another transit agency. These funds are not used to fund the designated recipient's transit service. These funds are used to fund the services provided by the agency ultimately receiving the funds.

Transit agencies do not report pass-through funds that they provide to other agencies on their Annual Report. The agency that ultimately receives the pass-through funds and benefits from the government assistance reports the funding. Agencies that are designated recipients only report funds that relate to their transit services.

### Transportation Development Credits

In some States, funds spent on transportation at the State level can be used as a non-Federal match for Federal grants to transit agencies. These are known as Transportation Development Credits (TDCs) or toll credits. Since these credits are not actually used to cover expenses, NTD does not include these credits in the total funds earned. See USOA 2.6.4, "Transportation Development Credits," for additional information.

### Contributed Services

Contributed Services are in-kind services received by the reporting agency from another entity or person where there is no payment for the services. In the past, Contributed Services was reported as a directly generated fund. However, since there is no actual cost for the contributed service, change has been made to include the value of the service as non-added revenue instead. An example of a contributed service is when a retired lawyer provides pro-bono legal services to the local transit agency.

When the transit agency is a part of a larger entity (like a department of city government) and the larger entity pays for the service, the larger entity is considered the reported and therefore the costs must be reported outside of Contributed Services. See USOA 2.6.1, "Contributed Services," for additional information..

## Voluntary Non-Exchange Transactions

This object class is for the receiver to record the non-exchange value when all applicable eligibility requirements have been met. In a voluntary non-exchange transaction, an agency gives or receives value (e.g., revenue vehicle) without directly receiving or giving equal value (e.g., cash) in return. This is different from an exchange transaction, in which each party receives and gives up essentially equal values. An example of a voluntary non-exchange transaction is when one government agency builds capital assets and transfers the assets to another transit agency that operates them

The recipient of a non-exchange transaction recognizes non-exchange receivables or funds when all applicable eligibility requirements have been met. Examples of eligibility requirements might include situations where the receiving agency is required to wait for a period of time before it has access to the transferred asset, or where the provider's transfer of asset is contingent upon an agreed upon action taken by the recipient.

Providing agencies can find guidance for reporting the non-exchange transaction under the Reconciling Items: Voluntary Non-Exchange Transaction. See USOA 2.6.2, "Voluntary Non-Exchange Transactions," for additional information.

## Sales and Disposals of Assets

Sales and Disposals of Assets include, but are not limited to, sales of equipment, buildings, real estate, and other property. Funds from sales and disposals of capital assets are not considered revenues earned because these transactions involve the conversion of existing assets into cash and not an increase in asset value. Consequently, NTD does not include this amount in the total funds earned during the reporting period.

If an asset is sold for an amount higher than its book value (cost less accumulated depreciation), the agency records the difference between the sale price and book value as a gain in Other Directly Generated Funds. See USOA 2.6.3, "Sales and Disposals of Assets," for additional information.

# SERVICE DATA REQUIREMENTS (FORM RR-20)

### Revenue Service

*An overview of the data associated with service that is scheduled and operated by transit agencies.*

### Service Data for Intercity Bus Subrecipients

*A summary of data points required by State DOTs for Intercity Bus Subrecipients.*

### Non-Reportable Service

*Delineation of transit activities that are not reportable to NTD by Reduced Reporters.*

# Revenue Service

A transit vehicle is in revenue service when it is providing public transportation and is available to carry passengers. Non-public transportation activities, such as exclusive school bus service and charter service are not considered revenue service. Revenue service includes both fare and fare-free services.

Agencies that provide transit service report revenue service data, including

- Vehicle revenue hours (VRH)
- Vehicle revenue miles (VRM)
- Unlinked passenger trips (UPT)
- Vehicles Operated in Annual Maximum Service (VOMS)
- For agencies that operate Vanpools, there may be times when passengers fail to report data for VRM and VRH for certain trips. In these cases, please contact your NTD analyst.

## Incidental Transit Service

Transit agencies provide incidental transit service, such as taxicabs or other vehicles, during times when existing transit services cannot meet passenger demand. These occurrences are infrequent; thus, the NTD refers to the alternate transit service as “incidental” to the regular mode.

Transit agencies may provide incidental transit service for

- Service interruptions (e.g., vehicle breakdown) when a replacement vehicle is not available. A taxicab or an agency van might be used for this incidental service; or
- Demand Response overflow service using taxis.

Transit agencies must report data associated with incidental transit service on the NTD Annual Report. Agencies must collect this data using the same reporting requirements as regular public transit services.

## Vehicle Revenue Miles and Vehicle Revenue Hours

Vehicle Revenue Miles (VRM) and Vehicle Revenue Hours (VRH) are figures that take into account the miles and hours a vehicle travels while in revenue service. Revenue hours for conventional scheduled services include

- Running time
- Layover/recovery time

Running time is the time it takes a transit vehicle to travel from the beginning to the end of a transit route. A transit agency's passenger timetable typically shows the running times for trips it operates.

Usually, agencies schedule layover/recovery time at the end of each trip. Layover time typically ranges from 10 to 20 percent of the running time. Transit agencies use this time to provide the operator a break or to give the operator an opportunity to get service back on schedule if it was running late.

VRM and VRH exclude the miles and hours related to

- Deadhead time
- Operator training
- Maintenance testing
- Other non-revenue uses of the vehicles

The exhibits below provide common examples to show what activities agencies should include under revenue miles and hours.

**Exhibit 18: Miles and Hours for Bus (MB, CB, RB) Services**

| Activity | Actual Vehicle Hours | Actual Vehicle Miles | Vehicle Revenue Hours | Vehicle Revenue Miles |
|---|---|---|---|---|
| Bus travels (deadheads) from dispatching point to start of a route. | Yes | Yes | No | No |
| Bus travels its route in scheduled revenue operation. Passengers board the vehicle. | Yes | Yes | Yes | Yes |
| Bus travels its route in scheduled revenue operation. No passengers board the vehicle. | Yes | Yes | Yes | Yes |
| Bus arrives at the end of a route, incurs layover. Passengers can board during layover. | Yes | N/A | Yes | N/A |

| Activity | Actual Vehicle Hours | Actual Vehicle Miles | Vehicle Revenue Hours | Vehicle Revenue Miles |
|---|---|---|---|---|
| Bus arrives at the end of a route, incurs layover. Passengers cannot board during layover. | Yes | N/A | Yes | N/A |
| Bus arrives at the end of the route, parks, and goes out of service. Resumes service in PM peak. | No | No | No | No |
| Bus arrives at the end of the route, travels (deadheads) to a storage lot, and parks. | Yes | Yes | No | No |
| Bus arrives at the end of the route, travels (deadheads) to another route to operate a scheduled trip. Passengers cannot board during deadhead. | Yes | Yes | No | No |
| Bus arrives at the end of the route, travels (deadheads) to the dispatching point. | Yes | Yes | No | No |
| Bus travels from the garage to another maintenance facility to perform routine maintenance. | No | No | No | No |
| Trip is terminated due to a collision with another vehicle, and the bus travels to a maintenance facility. | Yes | Yes | No | No |
| Bus travels from start to end of a route for training. Vehicle is not in service and does not board passengers. | No | No | No | No |
| Driver fuels the vehicle at a gas station. | No | N/A | No | N/A |

For Demand Response (DR) and Vanpool (VP) service, the FTA uses a different definition of revenue service. For these modes, revenue time includes all travel time from the point of the first passenger pick-up to the last passenger drop-off, as long as the vehicle does not return to the dispatching point or have interruptions in service such as lunch breaks or vehicle fueling and servicing.

### Exhibit 19: Miles and Hours for Demand Response Services

| Activity | Actual Vehicle Hours | Actual Vehicle Miles | Vehicle Revenue Hours | Vehicle Revenue Miles |
|---|---|---|---|---|
| Vehicle idles at the dispatching point. | No | N/A | No | N/A |
| Vehicle departs dispatching point to pick up a passenger. | Yes | Yes | No | No |
| Vehicle waits for a passenger at the pick-up point. | Yes | N/A | Yes | N/A |
| After a passenger drop-off, the vehicle departs to pick up another passenger with no passengers onboard. | Yes | Yes | Yes | Yes |
| Driver travels to a restaurant for lunch after the last passenger drop-off. | No | No | No | No |
| Driver eats his lunch at a restaurant. | No | N/A | No | N/A |
| Vehicle transports passengers from a community center to a shopping mall. | Yes | Yes | Yes | Yes |
| Vehicle returns to the dispatching point with no passengers onboard. | Yes | Yes | No | No |
| Vehicle waits at the shopping mall until it is time to bring passengers back to the community center. | Yes | N/A | Yes | N/A |
| Driver fuels the vehicle at a gas station. | No | N/A | No | N/A |

## Unlinked Passenger Trips

Unlinked Passenger Trips (UPT) is the number of boardings on public transportation vehicles during the fiscal year. Transit agencies must count passengers each time they board vehicles, no matter how many vehicles they use to travel from their origin to their destination. If a transit vehicle changes routes while passengers are onboard (interlining), transit agencies should not recount the passengers. Employees or contractors on transit agency business are not passengers.

For demand response (DR) and demand response-taxi (DT) modes, transit agencies must include personal care attendants and companions in UPT counts as long as they are not employees of the transit agency. This includes attendants and companions that ride fare free.

For vanpool (VP) service, agencies generally must report the driver as a passenger and include the driver in UPT counts. In almost all cases, the vanpool driver is unpaid and is traveling for personal reasons (e.g., work commuting, shopping). In the rare case when the driver is being employed as a driver and not traveling for personal reasons, then the driver should not be counted as a passenger.

For ferryboat modes (FB), the FTA has specific reporting rules when other transportation modes utilize the FB service. These other transportation modes may be public transit modes such as VP, or they may be private vehicles, such as automobiles. Transit agencies must report UPT for each vehicle occupant of these other transportation modes (including the driver), whether the other transportation mode is public or private.

### Sponsored Service

Sponsored service is paid in whole or in part by a third party who, in many cases, handles trip arrangements. Common sponsored services include

- Medicaid
- Meals-On-Wheels
- Head Start
- The Arc of the United States
- Shelter workshops
- Independent living centers

The FTA considers these services as public transportation if they are part of a coordinated human services transportation plan and there is an attempt to group rides. Local areas

develop coordinated plans to identify transportation needs and assist individuals with disabilities, older adults, and people with low incomes. Transit agencies must include sponsored UPT in their total UPT.

## Collecting Unlinked Passenger Trips

Transit agencies must report actual data on the Annual Report for all service data except UPT. Only Full Reporters report PMT data to the NTD. If an agency has the ability to collect true UPT data, it must report the actual data on the Annual Report. Otherwise, the agency may provide an estimate.If a transit agency estimates UPT or PMT data, it must adhere to FTA requirements of estimation procedures, as described in the following sections.

### *100 Percent Count of Unlinked Passenger Trips*

In this case, passengers are counted each time they board a transit vehicle. Sometimes transit agencies performing 100 percent counts will miss passenger counts on some vehicle trips because of personnel problems or equipment failures. If these vehicle trips are 2 percent or less of the total, transit agencies may factor the data to account for the missing trips. However, if the vehicle trips with missing data exceed 2 percent of total trips, agencies must have a qualified statistician approve the factoring method.

### *Automatic Passenger Counters*

Some transit agencies use APCs for collecting UPT and PMT data through sampling or a 100 percent count. The use of APCs for NTD reporting requires FTA approval. If a transit agency fails to obtain FTA approval, FTA may not accept the reported APC-derived data.

FTA must approve the following for agencies to report APC data:

- APC benchmarking plan for the first year
- APC maintenance plan every three years, beginning in 2019

The APC benchmarking plan and maintenance plans must include:

1. Validation of the APC data for UPT and PMT data against a *manual sample*:
    a. Agencies operating 30 or fewer active vehicles must sample at least 15 trips.
    b. Agencies with greater than 30 active vehicles should sample, at least, the larger of 15 trips or half of the number of APC equipped vehicles, up to 50

trips. These numbers represent the smallest acceptable sample. Agencies may perform larger samples at their discretion.

   c. The trips sampled for the manual sample do not need to be randomly selected and can be spread out over any period of time within the same year. The sample should include heavy ridership trips and at least one trip per vehicle type and APC model. For rail systems, a trip is a one-way train trip. These systems are only required to manually sample one car per train, and should compare the manual and APC counts on that car. Rail systems may station ride checkers on multiple cars per train at their discretion, but the sample will still count as just one train trip.

2. A description of the agency's APC system
3. A description of agency's sampling procedures
4. A list of trips that were flagged and rejected from the sample with explanations for each. The explanation cannot be that the trip was rejected because it was different from the manual data.
5. The percentage of trips that do not have valid APC data over the course of a typical year, either because the APC malfunctioned, the data were corrupted, the data failed a validation check, or for any other reason.
6. Descriptions of the differences (if any) in the set of distances between stops (e.g., interstop distances) the agency used to calculate PMT using manual and APC data. Ideally, the agency will use the same set of distances for both calculations.
7. The following metrics, both of which must be less than 5 percent:
   a. Percent Difference of manual vs. APC UPT
   b. Percent Difference of manual vs. APC PMT

Manual counts can be made using data collection staff or on-board cameras. To ensure accurate counts FTA recommends using a data collector at each door on heavily loaded trips. APC data should be processed to correct for anomalies as it would be in the reporter's normal data collection process. The objective is to compare manually collected data with processed APC data and demonstrate that they are equivalent or that any differences are justifiable.

Transit agencies applying to use APC data must submit the benchmarking plan (and its results after implementation) to FTA for approval. If FTA rejects an agency's APC system, the agency should reexamine its APC data collection procedures, make any needed adjustments, perform any needed maintenance on the system, and retest. FTA expects the sampling process to take less than a month; this should allow agencies to retest

before the end of the year, thus ensuring that an agency that encounters problems in its APC testing can nonetheless provide an uninterrupted set of data to NTD. Agencies must also submit the results of the triennial maintenance plans to FTA for approval.

Each mode and type of service must certify its APCs individually unless they share fleets.

If, at any time, an agency installs new and substantially different APC equipment, the APCs must be recertified.

### *Estimation Methods for Unlinked Passenger Trips*

If 100 percent counts of UPT are not available and reliable, agencies must estimate and report UPT, or PMT based on statistical sampling. FTA requirements for sampling UPT for all modes and types of service are:

- Minimum confidence of 95 percent
- Minimum precision level of ±10 percent

The required precision level (±10 percent) applies to the annual total data that an agency reports. Transit agencies may use any data sampling technique that meets the 95 percent confidence and ±10 percent precision levels. Transit agencies may use different sampling techniques for each mode and TOS. If a transit agency samples, it must follow the sampling technique exactly. Agencies may oversample, as long as the oversampling is selected randomly. However, agencies must not collect a smaller sample than the chosen sampling plan prescribes. Additionally, agencies must not change the number of trips in the sample, except to randomly oversample, or the approaches for selecting trips that comprise the sample.

A transit agency may use one or more of the following sampling plans, each discussed below:

- FTA-approved sampling methods, and/or
- Alternative sampling techniques

Transit agencies must retain sampling documentation in their records for at least three years. In many cases, agencies need this information during their Triennial Review.

#### FTA-Approved Sampling Methods

To assist transit agencies with sampling, FTA has developed acceptable UPT sampling procedures for all modes. The *NTD Sampling Manual* includes definitions, sampling procedures, data recording procedures, annual report compilation, and sample selection information.

FTA issued the *NTD Sampling Manual* in 2009 to help transit agencies prepare sampling plans that are tailored to their operating environment. The manual covers the development of sampling plans for all modes. If data are not available for a particular mode, the manual provides default sampling templates. If data are available, then agencies may use customized sampling plans.

### Alternative Sampling Methods

Transit agencies may use any other procedure to sample UPT or PMT data, as long as the procedure meets FTA confidence intervals and is approved by a qualified statistician. In the NTD, sampling plans created by agencies or statisticians are referred to as *alternative sampling methods*.

A qualified statistician can ensure that a sampling plan meets FTA statistical sampling requirements. FTA does not prescribe specific statistician qualifications. Instead, transit agencies must ensure that statisticians are qualified. The statistician may be an in-house staff person with a working knowledge of, and an education or background in, statistics. The statistician also may be a hired consultant with appropriate qualifications.

FTA does not review or approve alternative sampling techniques. A qualified statistician must design the sampling technique to meet FTA confidence and precision levels.

Transit agencies must use this method to retain sampling documentation in their files. The documentation should include

- A description of the method that specifies the parameters used to estimate UPT (e.g., UPT per vehicle trip x number of vehicle trips operated) if a 100 percent count of UPT is not available or reliable, and PMT (e.g., PMT per vehicle trip x number of vehicle trips operated), and the rationale used to estimate the coefficient(s) of variation,
- A signed review of the technique by a qualified statistician, including a statement that the technique meets FTA confidence and precision levels, and
- A summary of the statistician's education and experience that indicates that the statistician is qualified

### Sampling for Purchased Transportation Service

The FTA has developed additional reporting requirements for sampling PT services:

- PT sellers may use different sampling techniques than those used by a transit agency for DO service; and
- A transit agency may apply one sample method to cover all PT services for a specific mode, or each PT contractor (seller of service) may use a separate sampling method.

## Sampling Cycles

FTA has set minimum one-year or three-year sampling cycles for transit agencies. The requirements are based on the TOS. For directly operated services, the requirements are further stratified by the size of the primary UZA and the number of VOMS directly operated across all modes.

Transit agencies must sample every year (one-year sampling cycle) if their services meet the following requirements:

- The agency directly operates the service;
- The agency serves a primary UZA with population of 500,000 more; and
- The agency has VOMS of 100 or more across all directly operated modes.

Agencies must sample annually if they do not have a 100 percent count of UPT.

**Exhibit 20: Sampling Cycle Requirements**

| TOS | Primary UZA Population | Total VOMS for Modes | Mandatory Year | 100% Count of UPT Required? |
|---|---|---|---|---|
| **DO** | ≥ 500,000 | ≥ 100 | Annually | No |
| **DO** | ≥ 500,000 | < 100 | Triennially | Yes |
| **DO** | 50,000 - 499,999 | Any number | Triennially | Yes |
| **PT** | ≥ 50,000 | Any number | Triennially | Yes |

Transit agencies are permitted to sample every three years (three-year sampling cycle) for a mode and TOS if

- The agency collects 100 percent counts of UPT every year for the mode and TOS; and
- One of the following conditions is met:
  - The agency directly operates all modes, and the total VOMS is less than 100;
  - The agency serves a primary UZA with population of less than 500,000; or
  - The TOS is purchased transportation.

If a transit agency wishes to sample every three years, it must collect sample data in FTA-defined mandatory years. **The next mandatory sampling year is Fiscal Year 2020.**

If a transit agency is a new Full Reporter, or if a transit agency starts a new mode or TOS, the agency must sample during the first report year, even if it is not a mandatory year.

## Vehicles Operated in Annual Maximum Service

Vehicles Operated in Annual Maximum Service (VOMS) is the number of revenue vehicles an agency operates to meet the annual maximum service requirement. Agencies count their annual VOMS during the peak season of the year on the busiest day that they provide service. In most cases, this is the number of scheduled vehicles because most transit agencies have enough vehicles to operate the scheduled service. VOMS excludes atypical days or one-time special events for non-demand response modes.

Agencies should not report VOMS as the number of vehicles available to provide service or the total number of vehicles in the agency's inventory, unless the agency utilizes all of these vehicles simultaneously and does not retain spares during peak service. Please note that rural subrecipients must include volunteer vehicles in their VOMS count.

**Exhibit 21: VOMS**

| Non-Rail Modes | Demand Response, Demand Response-Taxi, and Vanpool | All other modes |
|---|---|---|
| VOMS | The largest number of vehicles in revenue service at any one time during the reporting year (includes atypical service). | The largest number of operated (usually scheduled) revenue vehicles in service at any one time during the reporting year (excludes atypical service). |

## Deviated Services

Agencies may provide deviated or point deviated fixed route services (see "Deviated Fixed Route Service" and "Point Deviation" below). Typically, agencies use deviated services to comply with the ADA requirements and provide complementary paratransit service.

Agencies must report all deviated fixed route services as MB.

### Deviated Fixed Route

Deviated fixed route services operate buses along a fixed route, but the buses may depart from the route to go to a specific location. This may include traveling to residences, employment locations, schools, and shopping areas. The bus then returns to the route

and continues to provide regular service. Buses usually travel up to three-quarters of a mile away from the route to comply with the ADA requirements.

### Point Deviation

Point deviation services do not follow a specific route. Instead, the drivers stop at bus stops at scheduled times. The buses then travel to the necessary destinations until the next scheduled bus stop. Agencies also use this type of service to meet the ADA requirements.

## Volunteer Resources

***This section applies only to Rural Reporters.***

Transit agencies should provide data for services using volunteer resources if they meet the following criteria:

- The volunteer driver is a part of the transit agency's regular service; e.g., the driver provides advanced notice to the dispatchers;
- There is an attempt to share a ride; and
- The transit agency keeps records for all public transit service and reviews periodically to meet NTD reporting requirements.

NTD analysts may request samples of data logs to determine if the volunteer service is eligible for NTD reporting.

If an agency uses volunteer resources, they will report volunteer drivers and the number of personal vehicles used in service.

- Volunteer drivers—the number of volunteer drivers the agency has available.
- Personal vehicles in service—the number of personal vehicles routinely used by the agency. Personal Vehicles used for service are not included in any asset forms.

# Service Data for Intercity Bus Subrecipients

Subrecipients of §5311(f) funding only report VRM and UPT in their service data counts. These data points should be specific to the State under which they file an NTD report.

If an Intercity Bus subrecipient expends §5311(f) funds for planning activities or capital projects (intercity bus shelters, joint-use stops and depots), and are not expended for

operations (operating grants through purchase-of-service agreements, user-side subsidies, and demonstration projects), the subrecipient would not report any Vehicle Revenue Mile or Unlinked Passenger Trip data in their NTD report.

### §5311 Intercity Bus Vehicle Revenue Miles

Section 5311 VRM for Intercity Bus service includes the total miles for the reporting period that all vehicles travel in §5311 revenue service. If a route is only partially subsidized by the §5311 funds, report all the VRM for that route—it is not necessary to track or allocate service for a partial subsidy of the route.

### §5311 Intercity Bus Unlinked Passenger Trips

Section 5311 annual UPT includes the total ridership for the reporting period that all vehicles travel in §5311 service. If a route is only partially subsidized by the §5311 funds, report all the UPT for that route—it is not necessary to track or allocate service for a partial subsidy of the route.

## Non-Reportable Service

Agencies must exclude service data associated with non-reportable transit activity.

### Deadhead

When transit vehicles are deadheading, they operate closed-door and do not carry passengers. Deadhead includes

- Leaving or returning to the garage or yard facility to or from the starting or ending point of revenue service
- Changing routes
- When the driver does not have the duty to carry passengers

For fixed route services, deadhead includes the miles and hours when a vehicle is not available to the public and is traveling to its first publicly advertised stop.

For non-fixed route services, deadheading can involve travel from:

- The garage to the dispatching point
- The last passenger drop-off to the dispatching point

- The last passenger drop-off to the garage
- The dispatching point to the garage

The FTA defines the dispatching point as the location where a driver receives his or her schedule to provide revenue service.

Deadhead does not include fueling or lunch breaks. Some transit agencies do not have fueling facilities at their maintenance facilities or parking lots. In these cases, drivers may fuel vehicles on the way back to the garage. Some operators travel to lunch between a drop off and the next pick up. Transit agencies should not report the time or miles drivers spend fueling vehicles or traveling to and from lunch.

## Charter Service

Transit agencies may provide charter service to private clients. The client defines this service; the vehicle does not operate over a transit route on a regular schedule and it is not available to the public.

Charter service does not meet the definition of public transportation. Therefore, transit agencies must exclude charter service from their revenue service data.

## School Bus Service

School bus service is not open to the public. Instead, the service serves students exclusively. Transit agencies may not report school bus service data to the NTD.

School bus service does not include additional trips, called school trippers, that a transit agency may operate on an existing route to meet the daily or seasonal demands of traveling students. Agencies should report school trippers as part of revenue service.

# SAFETY DATA REQUIREMENTS

Agencies must report Safety and Security data as part of the NTD report. Full Reporters must submit monthly Safety and Security data to the NTD through a separate report package. For more information on full safety and security reporting, please refer to the 2019 *NTD Safety & Security Policy Manual* available on the NTD manuals web page.

## Reportable Events

Transit agencies reporting as Rural Reporters and Reduced Reporters must report total annual Reportable Events, as well as the total number of Fatalities and Injuries. The FTA defines a reportable event as an event occurring on transit right-of-way, in a transit revenue facility, in a transit maintenance facility, or involving a transit revenue vehicle that meets the following NTD reporting thresholds for non-rail modes:

- A fatality (including suicide) confirmed within 30 days of the event
- An injury requiring immediate medical attention away from the scene for one or more persons
- Property damage equal to or exceeding $25,000
- Collisions involving transit revenue vehicles that require towing away from the scene for a transit roadway vehicle or other non-transit roadway vehicle
- An evacuation of a transit facility or vehicle for life safety reasons.

Reportable Events include either planned or unplanned events. A reportable event does not include occupational safety events occurring in administrative buildings. Agencies may not report illnesses that require transport away from the scene for medical attention if the illness is unrelated to a Safety Event.

**Exhibit 22: Reportable Events**

| Scenario | Solution |
|---|---|
| **Example 1:** A transit vehicle overturns in inclement weather. Two people are transported away from the scene in an ambulance to seek medical attention. | The agency would report 1 Reportable Event with 2 Injuries. |
| **Example 2:** A transit bus strikes a motor vehicle from behind. One passenger visits the doctor the following day and must be treated for injuries sustained during the collision. Total resulting property damage is $18,000 and no vehicles are towed. | The passenger did not have to be transported from the scene of the collision, and the damage threshold did not exceed $25,000. This does not qualify as a Reportable Event to NTD. |
| **Example 3:** A passenger suffers a fatal stroke while riding a transit vehicle. | The fatality did not result from a transit event. This does not qualify as a Reportable Event to NTD. |

# ASSET INVENTORY DATA REQUIREMENTS

### Transit Asset Management Performance Measure Targets (Form A-90)

*Requirements for reporting performance targets and explanation of performance measure calculations for Transit Asset Inventory (TAM) Plans*

### Transit Agency Facilities (Forms A-10 and A-15)

*Requirements for reporting information on buildings and structures including condition assessment*

### Vehicles (Forms A-30 and A-35)

*An overview of the data the NTD collects on revenue and service vehicle inventory including condition assessment*

# Transit Asset Management Performance Measure Targets (Form A-90)

Transit agencies must report the next fiscal year performance targets to the NTD for assets for which they have capital replacement responsibility. Agencies report on their progress towards these goals by submitting condition assessment data.

An agency is required to report an asset to the NTD in the fiscal year that the agency begins using the asset for public transportation service. Agencies should not report assets that are being assembled, assets under construction, or assets that are in testing at the end of the fiscal year.

Transit agencies must report performance targets for the following categories:

**Exhibit 23: Transit Asset Management Performance Targets**

| Category | What to Report |
|---|---|
| **Rolling Stock** | Percentage of revenue vehicles within a particular asset class that are expected[6] to meet or exceed their Useful Life Benchmark (ULB)<br>Report one target for each vehicle type |
| **Equipment** | Percentage of service vehicles that are expected to meet or exceed their ULB<br>Report one target for each vehicle type |
| **Facilities** | Percentage of facilities with a condition rating expected to rate below 3.0 on the FTA Transit Economic Requirements Model (TERM) scale *(1=Poor to 5=Excellent)*<br>Report one target for each facility type (Maintenance/Administration, Passenger/Parking) |

## Capital Responsibility

An agency has direct capital responsibility for an asset if any of the following are true:

- The agency owns the asset,

[6] According FTA's Performance Management web page, targets "connect a provider's strategic goals to the actions that the provider will take to reach those goals."

- The agency jointly owns the asset with another entity, or
- The agency is responsible for replacing, overhauling, refurbishing, or conducting major repairs on an asset, or the cost of those activities is itemized as a capital line item in the agency's budget.

Performing minimal preventive maintenance work on an asset, like cleaning, does not in itself indicate direct capital responsibility for the asset. An agency must have direct capital responsibility or management or oversight responsibilities for the line item project.

## Performance Target Categories

### Rolling Stock

Rolling Stock performance targets should be set based on the percent of revenue vehicles that are expected to have met or exceeded their Useful Life Benchmark. For each vehicle type reported across all modes, transit agencies must set an individual target.

### Equipment

Equipment performance targets should be set based on the percent of service vehicles that are expected to have met or exceeded their Useful Life Benchmark. Transit agencies must set a target for each applicable vehicle type:

- Automobiles,
- Trucks and Other Rubber Tire Vehicles, and
- Steel Wheel Vehicles

Please note, the Equipment category for performance targets does not include equipment that agencies own or use outside of service vehicles.

### Facility

Facility performance targets should be set based on the percent of facilities that are expected to rate below 3 on the condition scale as defined later in this manual.

**Exhibit 24: Transit Asset Management Performance Targets**

| Asset Category | Report Asset Inventory | Report Asset Condition Assessment and Performance Targets |
|---|---|---|
| **Passenger Station Facility** | All passenger stations and facilities including Stations on ROW, bus terminals, and transfer stations<br><br>Bust stops should NOT be inventoried | All passenger stations/facilities for which the agency has capital responsibility (Condition on 1 to 5 scale) |
| **Maintenance or Administrative Facility** | Count of all maintenance facilities used to support revenue service<br><br>Detailed inventory of all facilities for which the agency has capital responsibility | All maintenance facilities for which the agency has capital responsibility (Condition on 1 to 5 scale) |
| **Revenue Vehicles** | All vehicles used in revenue service | All revenue vehicles for which the agency has capital responsibility (Useful Life Benchmark) |
| **Service Vehicles** | All service vehicles for which the agency has capital responsibility | All revenue vehicles for which the agency has capital responsibility (Useful Life Benchmark) |

## Agency Tiers

Transit agencies are broken down into two tiers that determine the reporting of performance targets - Tier I and Tier II.

### Tier I Agencies

Tier I agencies are transit agencies that:

- Own, operate, or manage 101 vehicles or more in maximum service across all non-rail, fixed route modes or in any one non-fixed route mode.
- Own, operate or manage rail modes.

Tier I agencies are required to develop their own TAM Plan and report their own performance targets directly to the NTD.

### Tier II Agencies

Tier II agencies are transit agencies that:

- Own, operate, or manage less than 101 vehicles in maximum service across all non-rail fixed route modes or in any one non-fixed route mode.
- Any subrecipients under the §5311 Formula Grants for Rural Areas, or any American Indian tribe.

Tier II agencies may participate in a group plan sponsor's TAM plan, in which the group plan sponsor will report the performance targets for all participants in the group. Tier II agencies may only participate in one group plan sponsor's TAM Plan. Any Tier II agency that chooses to opt out of a group plan sponsor's plan, must develop their own TAM plan, or participate in another group TAM Plan.

### Narrative Report

Beginning in Report Year 2019, agencies are required to upload a narrative report to the NTD that outlines performance targets and their progress towards their targets. This narrative may include any changes in transit system conditions that may affect progress towards targets.

## Group Plan Sponsors

Tier II agencies may participate in a Group Transit Asset Management (TAM) Plan that is coordinated by a group plan sponsor. In many cases, State DOTs will serve as group plan sponsors for their subrecipients. MPOs may also be considered group plan sponsors.

Tier II agencies must have a direct or indirect funding relationship with their chosen group plan sponsor. American Indian tribes have the option to select a sponsor that they do not receive funds from.

Existing NTD reporters must designate their group plan sponsor, if reporting as a Tier II agency. The agency will be prompted to declare and confirm their group plan sponsor every four years, following the TAM reporting cycle. Any new reporters that are required to report to the NTD per TAM legislation, must be added by their designated group plan sponsor.

# Transit Agency Facilities

## Station Criteria

Passenger stations are defined according to the mode(s) serving the station.

The following are passenger stations:

- All CR, HR, YR, MG, and AR rail passenger facilities
- All LR, CC, and SR passenger facilities that have platforms and/or serve track that is in a separate ROW (not in mixed-street traffic)
- All FB stops
- All transportation, transit or transfer centers, park-and-ride facilities, and transit malls if they have a structure for passengers for ticketing, information, restrooms, concessions, telephones, etc.
- All MB, RB, CB, and TB passenger facilities in a separate ROW that have a platform and/or structure
- All MB, RB, CB, and TB operated in mixed traffic that have a separate structure (simple shelters, lighting, signage, or ramps for accessibility alone are not enough to establish a passenger station)

## Stations and Maintenance Facilities (Form A-10)

Transit agencies report data on

- The number of passenger stations, both accessible and non-accessible, in accordance with the ADA
- The number of elevators and escalators within passenger stations
- The number of maintenance facilities by size and ownership categories

Transit agencies reporting this information must separate data by mode and type of service (DO and PT).

### Passenger Stations – Urban Reporters

*This section does not apply to Rural Reporters.*

Transit agencies report passenger station information for fixed route, fixed schedule services (rail modes, bus modes, Trolleybus, Ferryboat, and Aerial Tramway). Each

agency must report data for all passenger stations that the agency uses, even if the agency does not own the stations.

**Exhibit 25: Reporting Passenger Stations**

**Example:** Coaster Transit Agency provides Bus (MB) service to a Ferryboat (FB) passenger station that Surf Transportation Authority owns. How should Coaster report the passenger station?

**Solution:** Coaster Transit Agency should report 1 passenger station while Surf Transportation Authority also reports 1 passenger station. Stations are reported by use, not ownership.

For rail modes, report the station in each rail mode and TOS that it is used. This may result in the "double counting" of some stations since they might be served by two rail modes (e.g., HR/DO and LR/DO) or two TOS (e.g., CR/DO and CR/PT). However, the "double-counting" rule does not apply when a station is served by rail modes and a non-rail mode, such as MB, CB or RB. In these cases, report the station only under the rail modes.

For example, you should report a station that serves CR, LR, and MB on the A-10 forms for CR and LR, but not the MB A-10 form.

For non-rail modes, report the station in each mode and TOS that it is used. This may result in the "double counting" of some stations, because two types of MB service (e.g., MB/DO and MB/PT) serve them, or because a combination of MB, CB and RB services serve them.

### *Americans with Disabilities Act of 1990 (ADA) Accessible Stations*

Non-accessible stations do not provide easy access (i.e., do not meet accessibility requirements for physical barriers, signage, and other aids) that enables individuals with disabilities, including individuals who use wheelchairs, to use public transit.

### *Americans with Disabilities Act of 1990 (ADA) Non-ADA Accessible Stations*

Non-accessible stations do not provide easy access (i.e., do not meet accessibility requirements for physical barriers, signage, and other aids) that enables individuals with disabilities, including individuals who use wheelchairs, to use public transit.

### *Escalators and Elevators*

Transit agencies must report the number of escalators and elevators within the passenger stations. Passengers use these to transfer between levels in a station. Elevators and escalators exclude moving sidewalks.

Agencies should not report escalators and elevators that are used only for freight, transit staff, or as back-up if passenger escalators and elevators break down.

## Maintenance Facilities

Transit agencies report maintenance facilities by

- Type — general purpose or heavy maintenance
- Ownership — owned or leased
- Size — the number of revenue vehicles that can be serviced

Agencies should not report maintenance facilities where third-party vendors perform services, such as a local gasoline service station or body shop.

### *Type*

A general-purpose maintenance facility is a garage or building where mechanics perform routine maintenance and repairs. General-purpose maintenance facilities typically serve as operating garages where agencies store and dispatch vehicles for revenue service.

Larger transit agencies may perform engine and other major unit rebuilds. The FTA identifies facilities devoted exclusively to major rebuilds as heavy maintenance facilities.

Some transit agencies use the same facility for both general purpose and heavy maintenance. In these cases, agencies should report facilities they use for both purposes as general-purpose maintenance facilities.

Transit agencies must report general-purpose maintenance facilities by

- Ownership — owned or leased
- Size — the number of revenue vehicles that can be serviced

Transit agencies must report heavy maintenance facilities by ownership category. Agencies do not provide data on facility size for heavy maintenance facilities.

### *Ownership*

Transit agencies must identify maintenance facility ownership based on the type of service (directly operated or purchased transportation).

For directly operated service, transit agencies must report if the facility is publicly owned or privately owned. Transit agencies identify if they own the facility, lease it from another public agency (such as a city highway department), or lease it from a private entity.

For purchased transportation service, agencies indicate if there is public or private involvement in the maintenance facility. Agencies must report data if the facility is owned by the service provider (PT contractor), owned by the public agency for the service provider, leased by the public agency for the service provider, or leased by the service provider.

### *Size*

Agencies should report the size of the facility based on the maximum number of revenue vehicles that can be serviced and stored at one time. Size is a measure of the design capacity of the facility, not the number of revenue vehicles currently operated from the facility.

The FTA divides size into three categories based on the number of revenue vehicles that can be serviced:

- Under 200 vehicles
- 200-300 vehicles
- More than 300 vehicles

**Exhibit 26: Facility Size**

**Example:** The Coaster Transit Agency (CTA) operates 175 vehicles and owns a maintenance facility that can store 225 vehicles. What size of general-purpose maintenance facility should it report?

**Solution:** The CTA should report a general-purpose maintenance facility that serves 200–300 vehicles.

### *Shared Facilities*

Some transit agencies share facilities between multiple modes or types of service. The most common arrangement is the operation of Bus and Demand Response vehicles in a

single facility. For reporting purposes, these shared facilities must be allocated among the various modes or types of service using the facility.

**Exhibit 27: Shared General Purpose Maintenance Facilities**

**Example:** The Coaster Transit Agency (CTA) uses one of its general-purpose maintenance facilities for both Bus (MB) and Demand Response (DR) directly operated (DO) services and the DR purchased transportation (PT) service. How should the CTA report maintenance facilities?

***Solution:*** *The CTA allocates the facility based on vehicles assigned.*

| Mode | Vehicles Serviced | Percent of Total | Number of Facilities Reported: |
|---|---|---|---|
| **MB/DO** | 240 | 82.8% | 0.8 |
| **DR/DO** | 30 | 10.3% | 0.1 |
| **DR/PT** | 20 | 6.9% | 0.1 |
| **Total** | 290 | 100% | 1.0 |

## Transit Asset Management Facilities Inventory (Form A-15)

Transit agencies are required to report all passenger facilities used in revenue service, including passenger stations and parking facilities, regardless of capital responsibility. Administrative and maintenance facilities are only reportable if the agency has capital responsibility for the facility and the transit use is greater than incidental. Use is incidental when 50 percent or less of the facility's physical space is dedicated to the provision of public transportation service. For maintenance facilities, agencies may use the number of transit vehicles serviced in the facility compared to all vehicles serviced in the facility to estimate this percentage. Agencies must provide condition assessments for passenger, administrative or maintenance facilities for which they have capital responsibility.

All reportable facilities must provide the following data points:

- Facility Type
- Year Built or Reconstructed as New - If a facility is constructed over the span of multiple years, this should reflect the end date of construction.
- Square Feet or Number of Parking Spaces

  - Agencies should report the best available measurement for the total number of square feet or parking spaces in a passenger or parking facility (or section of a facility).
  - Agencies should use the following criteria to report square footage:
    - Underground Facilities: Report all areas under the roof, including mezzanines, platforms, and track.
    - Multilevel Facilities: Report all platforms and other floor areas under a roof.
    - Elevated Facilities: Report all platform and mezzanine space. Do not include track space.
    - At-Grade Facilities: Report building square footage (if applicable) and all platform area.
- Address
  - Agencies must report either Address OR Latitude and Longitude Coordinates.

## Shared Capital Responsibility

Transit agencies that share capital responsibility with another agency must report the amount of capital responsibility for each facility shared. Both agencies that share the capital responsibility will report the condition assessment for the asset. The agencies must determine their roles in conducting the assessment.

## Primary, Secondary, and Private Mode

Transit agencies must report a primary mode for each facility. If a facility is utilized by more than one mode, agencies should report secondary modes for each mode that the facility is shared with. For example, if a shared facility hosts revenue vehicles for the operation of Bus (MB) and Demand Response (DR) vehicles but predominantly handles buses, then classify the facility as a Bus (MB) maintenance facility. If a facility is shared with a private mode or non-public transportation service, these should also be reported.

### *Private Modes*

Transit agencies that serve multimodal passenger facilities with non-public transportation providers are required to report the non-public transportation modes with their facility asset information. Examples of these private modes include airports, Amtrak, and Intercity Bus.

A station is defined as multimodal if it serves one of the agency's operated transit modes and serves at least one of the following:

- Other transit modes, whether operated by the agency or another transit agency
- Amtrak (non-transit services)
- Airports
- Intercity bus (non-transit services such as Greyhound and Trailways)
- Water transportation (non-transit services)

**Exhibit 28: Private Modes**

| Mode | Example |
|---|---|
| **Private Water Transit** | Passenger facility building is shared between a transit mode and a private ferry service. Shared space may include passenger waiting and ticket vending areas. |
| **Private Rail Transit** | Passenger facility building is shared between a transit mode and Amtrak passenger rail service. Shared space may include platforms, passenger waiting areas and ticket vending locations. |
| **Airport/ Private Bus Transit** | Passenger facility building is shared between a transit mode and an airport, private bus provider, or the passenger facility provides connectivity to an airport. Connectivity may mean station and airport are connected directly via pedestrian overpasses, indirectly via airport shuttle buses, or directly with rail cars entering a station located in an airport building. Shared space for private bus providers may include passenger waiting areas, restrooms and ticket vending locations. |

## Facility Types

Each facility must be defined as a specific type. Facilities are broken down into three categories:

- Administrative

- Maintenance
- Passenger/Parking

### *Subsection of a Larger Facility*

A subsection of a larger facility is a section of a facility that varies in age from the rest of the main facility due to significant rebuilding, addition, or retrofitting. Agencies are encouraged to report sections of the facility in multiple entries to more accurately represent its age and function in the inventory. A facility may be reported as several subsections if the age varies throughout.

Facilities that are adjacent to one another must be reported separately.

### *Administrative and Maintenance Facility Type*

Administrative buildings are the general administrative offices owned by a transit agency. Administrative buildings usually house executive management and support activities for overall transit operations, including accounting, finance, engineering, legal, safety, security, customer services, scheduling, and planning. Administrative buildings also include separate buildings for customer information or ticket sales that a transit agency owns and that are not part of passenger stations.

Maintenance facilities are those where routine maintenance and repairs or heavy maintenance or unit rebuilds are conducted. Agencies must not report maintenance facilities where third-party vendors perform services, such as a local gasoline service or body shop.

Administrative and maintenance facilities are reportable if the agency has capital responsibility and the transit use is greater than incidental. For example, if the administrative office is in a building that has only incidental transit use (e.g. city hall), then it is not reportable.

**Exhibit 29: Administrative and Maintenance Facility Types**

| Administrative or Maintenance Facility Type | Facility Type Description |
|---|---|
| **Maintenance Facility (Service and Inspection)** | Maintenance facility where mechanics, machinists and other maintenance personnel perform preventive maintenance, daily service and inspection, and/or corrective maintenance activities on revenue vehicles to keep them in-service.<br><br>Facilities generally contain maintenance bays, built- in or portable lifts and/or inspection pits, fuel pump islands, fuel storage tanks, bus wash systems, and brake testing lanes.<br><br>Personnel inspect, repair, or replace some, but not all, vehicle components during the following activities:<br>• Clean interiors<br>• Maintain cameras<br>• Fill/replace fluids and lubricants<br>• Replace filters<br>• Replace/repair tires<br>• Inspect suspensions and brakes<br>• Inspect batteries, wheelchair lifts and ramps<br>• Degrease engines<br>• Perform minor body repairs and painting<br><br>Revenue vehicles may be stored overnight or between being placed into revenue service. |

| Administrative or Maintenance Facility Type | Facility Type Description |
|---|---|
| **Heavy Maintenance and Overhaul (Backshop)** | Maintenance facility where mechanics, machinists and other maintenance personnel perform heavy overhaul and other related rebuilding activities to help revenue vehicles reach their targeted service life. Activities usually occur at mid-life (i.e., mid-point of useful life) to refurbish, overhaul or replace major vehicle components. These components include, but are not limited to, the following:<br>• Engines, transmissions, or axles<br>• Fareboxes, radios, and other electronics<br>• Starters, alternators, and brake system components<br>• Chassis parts and seats<br>• Bearings |
| **General Purpose Maintenance Facility/Depot** | Maintenance facility where mechanics and other maintenance department personnel, provide basic service readiness inspection (e.g. tire pressure, oil/fluid levels etc) and light repair (e.g. mirror replacement) or service (e.g. sweeping) on revenue. Revenue vehicles may be stored here overnight or between being placed into revenue service. |
| **Vehicle Washing Facility** | Stand-alone building or structure containing vehicle washer equipment. |
| **Vehicle Blow-Down Facility** | Stand-alone building or structure containing equipment for cleaning under-floor equipment of rail rolling stock. |
| **Vehicle Fueling Facility** | Stand-alone building or structure containing vehicle fuel dispensing equipment. |

| Administrative or Maintenance Facility Type | Facility Type Description |
|---|---|
| **Vehicle Testing Facility** | Maintenance facility used for vehicle acceptance testing (after being received from manufacturer or overhauls or other maintenance activity). |
| **Administrative Office / Sales Office** | Facilities and offices which house the executive management and supporting activities for transit operations, with the exception of vehicle maintenance, that could include accounting, finance, engineering, legal, safety, security, customer services, scheduling and planning. These buildings may include customer information or ticket sale offices, which are owned by the transit agency but not part of passenger stations. |
| **Revenue Collection Facility** | Facility where revenue collection personnel process electronic and/or cash fare payments. May include revenue counting equipment such as bill counters, coin scanners, and coin sorters. May also include or store the following revenue collection and monitoring equipment:<br>• Cameras and CCTV<br>• Cash box repair areas<br>• Alarm systems<br>• Computerized probe for downloading e-transactions on GFI farebox<br>• Vault compartment |
| **Combined Administrative and Maintenance Facility** | Any facility with combined functions of at least one of the administrative facilities listed above and one of the maintenance facilities listed above. If selected, describe specific facility in “Notes” field. |

| Administrative or Maintenance Facility Type | Facility Type Description |
|---|---|
| **Other** | Any administrative or maintenance facility that does not fit into one of the ten categories described above. If selected, describe specific facility. |

### *Passenger and Parking Facility Types*

Agencies must report all passenger stations and parking facilities that passengers use in revenue service. Parking facilities include park & ride lots as well as parking garages. Note that passenger and parking facilities are often collectively referenced as "passenger facilities." Parking facilities used solely by employees are not reportable.

Parking facilities are those immediately adjacent to passenger facilities. Agencies must inventory parking facilities separately.

With the exception of Parking Structure or Surface Parking Lot, all other passenger facilities must meet the station criteria outlined in this manual. Please refer to the "Station Criteria" section for further detail on criteria for specific modes.

**Exhibit 30: Passenger and Parking Facility Types**

| Passenger or Parking Facility Type | Facility Type Description |
|---|---|
| **Bus Transfer Center**<br>  | Terminal station for several routes or a large mid-route transfer facility where passengers may connect between two or more fixed-route bus services. The station may or may not have off-street area for buses to pull in or turn around. Terminal may have a single rubber-tire mode, usually Motor Bus, but may be connection hub for bus, Commuter Bus, and/or Intercity Bus services. Transfer centers are structures that have a passenger waiting area. Some transfer centers have ticket vending machines or staffed ticketing booths. Does not include simple bus shelters.. |

| Passenger or Parking Facility Type | Facility Type Description |
|---|---|
| **Elevated Fixed Guideway Station**<br>  | Station located above grade built on a viaduct, a steel or concrete structure, or on retained fill.<br>Steel and reinforced concrete components in elevated structure can include:<br>• Foundation<br>• Piers<br>• Retaining Walls<br>• Beams<br>• Stringers<br>• Bearing pads<br>• Expansion joints<br>Passenger stations include stairs, elevators, and escalators to reach ticket mezzanines and/or train platforms. Elevated stations may have pedestrian overpasses to allow passengers to cross over the tracks before or after entering the station. Stations may include canopies or shelters, lighting, and signage. |
| **At-Grade Fixed Guideway Station**<br>  | Station located at street grade along a transit exclusive right-of-way. May include pedestrian overpasses to allow passengers to reach station. |

| Passenger or Parking Facility Type | Facility Type Description |
|---|---|
| **Underground Fixed Guideway Station**<br>  | A passenger station typically consisting of a concrete structure built below grade, constructed by cut and cover, drill-and-blast, excavated, bored tunnel, or sunken underwater tube.<br>Stations typically include sump pumps, ventilation systems, and lighting systems. |
| **Simple At-Grade Platform Station**<br>  | Stops on-street or in street or highway medians. May be low-level platforms (serving low-floor vehicles) or raised platforms (serving high-floor vehicles). Typically includes shelters, canopies, lighting, signage, and/or ticket vending machines. Right-of-way leading up to the platform station is in mixed traffic. This station type is often served by Light Rail and Streetcar transit. For MB, CB, RB, and TB modes, a significant structure must be present. Does not include simple bus shelters. |
| **Exclusive Platform Station**<br>  | Stops along the street or in street or highway medians that are separated from mixed traffic. May be low-level platforms (serving low-floor vehicles) or raised platforms (serving high-floor vehicles).<br>Typically include shelters, canopies, lighting, signage, and/or ticket vending machines. Right-of-way leading up to the platform station is separated from automobile traffic. This station type is often served by LR and SR transit. For MB, CB, RB, and TB modes, a significant structure must be present. Does not include simple bus shelters. |

| Passenger or Parking Facility Type | Facility Type Description |
|---|---|
| **Ferryboat Terminal**  | Terminal station where passengers may board or alight from the ferryboat. Terminals may include canopies or shelters, lighting, and signage. |
| **Surface Parking Lot**   | A lot paved with asphalt, concrete, or permeable materials with parking spaces outlined by paint and other materials for demarcation. Typically includes lanes for vehicle circulation and is usually uncovered. |
| **Parking Structure**   | Single or multi-level parking structure built either underground (typically underneath a building or station), above grade, or both. Characterized by a street-level entrance with ramps to access parking spaces below the surface. |
| **Other** | Any passenger or parking facility that does not fit into one of the nine categories described above. If you select “Other,” describe specific facility and its functions in the “Notes” field. |

## Condition Assessment

Transit agencies are required to report a condition assessment for all facilities for which they have capital replacement responsibility. The condition assessment is based on FTA's TERM scale. The scale is based on five values for assets:

**Exhibit 31: TERM Scale**

| Rating | Condition | Description |
|---|---|---|
| **5** | Excellent | No visible defects, new or new near condition, may still be under warranty if applicable |
| **4** | Good | Good condition, but no longer new, may have some slightly defective or deteriorated component(s), but is overall functional |
| **3** | Adequate | Moderately deteriorated or defective components; but has not exceeded its useful life |
| **2** | Marginal | Defective or deteriorated component(s) in need of replacement, exceeded useful life |
| **1** | Poor | Critically damaged component(s) or in need of immediate repair; well past useful life |

Assets are considered in good repair with a score of 3 or higher. With a score of 2 or lower, assets are not considered to be in the state of good repair backlog.

Agencies are not required to report condition assessments on facilities or stations that are under construction. Agencies must inventory existing facilities that are under construction if they are still using them in revenue service. A condition assessment is not required until construction is complete. Agencies may report condition assessments for a facility that occurred after the agency Fiscal Year End but before the annual reporting deadline.

### *Primary and Secondary Rating Levels*

In the *TAM Facility Performance Measure Reporting Guidebook: Condition Assessment Calculation*, FTA outlines primary and secondary rating levels to assist in assessing facilities conditions. Primary levels describe large components of a facility, while secondary levels will detail the smaller components that make up the larger component. Secondary rating levels may assist in determine overall conditions for facilities that have varied conditions for the outlined features.

Examples of primary level features would include:

- Substructure
- Interiors
- Conveyance
- Plumbing

For the primary level, Substructure, secondary levels included may be elements such as:

- Foundations: walls, columns, pilings, etc.
- Basement: materials, insulations, slab, floor underpinnings

For a complete list of primary and secondary levels, please refer to the FTA guidebook.

### *Equipment in Facilities*

Agencies may choose to include equipment in facility condition assessments. If the equipment is integral to the building and is not typically moved from one facility to another, it should be inventoried and assessed as part of the facility. Equipment that is inventoried separately, should not be assessed as part of an agency's facilities. Please note, the Equipment target set for each agency refers to service vehicles only.

### *TERM Scale Reporting*

The TERM scale condition assessments must be reported as integers. The overall ratings must be rounded to the nearest whole value following standard rounding guidelines – if the value is less than .5, the value would be rounded down, and if the value is .5 or greater, it would be rounded up.

Facilities condition assessments must be updated every four years at minimum. In Report Year 2019, agencies must report at least 50 percent of their facilities condition assessments, continuing to report a minimum of 25 percent annually until all condition assessments have been reported in Report Year 2021. For Group TAM Plans, the 25 percent annual minimum applies to the group as a whole and not to individual participants.

If an agency's requirement for the number of assessed facilities is between two whole numbers, the agency must round up. For example, if an agency has three facilities and must report 50 percent of their condition assessments in Report Year 2019, 50 percent would be 1.5 facilities, so the agency must report condition assessments for two of the three facilities.

Please refer to the FTA guidebook for more information on determining TERM scale ratings for facilities.

# Vehicles

All transit agencies reporting service data must provide information on revenue vehicles by mode and type of service. Rural reporters provide less detailed data.

Transit agencies must inventory all vehicles they use to provide public transportation that have not been sold or disposed of at the end of the fiscal year. Vehicles must be reported on the first fiscal year in which they become available for revenue service. This inventory identifies the vehicles in the total fleet and includes all revenue and service vehicles in the following situations.

- Vehicles in operation (i.e., providing revenue service)
- Vehicles awaiting sale or disposal
- Vehicles out for long-term repair
- Vehicles in storage
- Vehicles retained as part of an FTA-approved emergency contingency plan

Transit agencies report revenue vehicle inventory data by groups or fleets. Agencies should group vehicles into fleets if they are identical in all aspects, including vehicle type, manufacture year, model, and funding source, etc.

## Revenue Vehicle Inventory (Form A-30)

The FTA collects the following data from transit agencies that report revenue vehicle inventory information:

- Agency Fleet Identification
- Vehicle type
- Number of vehicles in total fleet
- Number of active vehicles in fleet
- Dedicated fleet
- Vehicle length
- Seating capacity
- Year of manufacture
- Ownership
- Funding source
- Number of emergency contingency vehicles
- ADA-accessible vehicles
- Useful Life Benchmark

## Agency Fleet Identification

Transit agencies may report unique identifiers for each fleet in their inventory. This may be any characteristic or group identifier the agency uses to distinguish between vehicle fleets.

## Vehicle Type

Transit agencies must report the vehicle type for each fleet of vehicles. Please see the list of vehicle types below:

**Articulated Buses (AB)** are extra-long (54 ft. to 60 ft.) buses with two connected passenger compartments. The rear body section is connected to the main body by a joint mechanism that allows the vehicles to bend when in operation for sharp turns and curves and yet have a continuous interior.

**Automobile (AO)** is a passenger car up to and including station wagons in size. Excludes minivans and anything larger.

**Over-the-road bus (BR**) is a bus characterized by an elevated passenger deck located over a baggage compartment.

**Bus (BU)** is a rubber-tired passenger vehicle powered by diesel, gasoline, battery or alternative fuel engines contained within the vehicle. Vehicles in this category do not include school buses or cutaways. This group does include minibuses such as a Sprinter.

**Cutaway (CU)** is a transit vehicle is built on a van or truck chassis by a second stage manufacturer. The chassis is purchased by the body builder, a framework is built for the body, and then the body is finished for a complete vehicle. For example, a truck chassis may be used as the base for a small transit bus. The demand response picture under the mode section displays a cutaway.

**Double Decker Bus (DB)** is a high capacity bus having two levels of seating, one over the other, connected by one or more stairways. Total bus height is usually 13 to 14.5 feet, and typical passenger seating capacity ranges from 40 to 80 people.

**Ferryboat (FB)** is a vessel for carrying passengers or vehicles over a body of water. The vessels are generally steam or diesel powered conventional ferry vessels. They may also be hovercraft, hydrofoil and other high-speed vessels.

**Inclined Plan Vehicle (IP)** is a special type of passenger vehicle operating up and down slopes on rails via a cable mechanism.

**Minivan (MV)** is a light duty vehicle having a typical seating capacity of up to seven passengers plus a driver. A minivan is smaller, lower and more streamlined than a full-sized van, but it is typically taller and has a higher floor than a passenger car. Minivans normally cannot accommodate standing passengers.

**School Bus (SB)** is a passenger vehicle, which is designed to carry more than ten passengers in addition to the driver. School buses are used primarily for transporting pre-primary, primary or secondary school students either to such schools from home or from such schools to home.

**Sports Utility Vehicle (SUV) (SV)** is a high-performance four-wheel drive car built on a truck chassis. It is a passenger vehicle, which combines the towing capacity of a pickup truck with the passenger-carrying space of a minivan or station wagon. Most SUVs are designed with a roughly square cross-section, an engine compartment, a combined passenger and cargo compartment, and no dedicated trunk. Most mid-size and full-size SUVs have three rows of seats with a cargo area directly behind the last row of seats. Compact SUVs and mini SUVs may have five or fewer seats.

**Trolleybus (TB)** is a rubber-tired, electrically powered passenger vehicles operated on city streets drawing power from overhead lines with trolleys.

**Aerial Tramway Vehicle (TR)** is an unpowered passenger vehicle suspended from a system of aerial cables and propelled by separate cables attached to the vehicle suspension system. Engines or motors at a central location, not onboard the vehicle, power the cable system.

**Van (VN)** is an enclosed vehicle having a typical seating capacity of 8 to 18 passengers and a driver. A van is typically taller and with a higher floor than a passenger car, such as a hatchback or station wagon. Vans normally cannot accommodate standing passengers.

**Vintage Trolley/Streetcar (VT)** is a vintage or antique rail car originally manufactured before 1975. The vehicles are typically operated in mixed traffic right-of-way (ROW), but may also operate on exclusive or controlled access rights-of-way (ROW)

Appendix B: Asset Codes provides a quick reference for abbreviations the NTD uses on the Annual Report for vehicle type.

Some transit agencies operate motor buses that look like trolleybuses. However, these replica trolleys do not share the same characteristics as true trolleybuses, such as drawing electrical power from overhead lines. If an agency operates replica trolleys, it must report the replicas as buses under the Bus (MB) mode.

## Number of Vehicles in Total Fleet

Transit agencies must report the number of revenue vehicles in the total fleet at the end of the fiscal year. This total does not include supervisor or support vehicles. Total vehicles include both active and inactive vehicles held at the end of the fiscal year. Agencies report vehicles they sell or dispose of during their fiscal year and should indicate they have retired these vehicles.

Inactive vehicles are not readily available for revenue service. They include vehicles that are

- In storage
- Retained for emergency contingency purposes
- Out of service for an extended period of time for major repairs
- Awaiting sale or disposal

Active vehicles are the vehicles available to operate in revenue service. Active vehicles include spare vehicles and vehicles temporarily out of service for routine maintenance and minor repairs. Transit agencies add vehicles to the inventory in the first year in which they are used in transit service.

Because the number of active vehicles includes spares, the number of active vehicles is typically greater than the number of VOMS.

**Exhibit 32: Active and Inactive Vehicles**

| | Total Vehicles | Active Vehicles | Inactive Vehicles | Contingency | VAMS |
|---|---|---|---|---|---|
| Vehicles in Service | X | X | - | - | Yes |
| Spare Vehicles | X | X | - | - | Yes |
| Vehicles in Routine Maintenance/Minor Repairs | X | X | - | - | Yes |
| Vehicles in Rehabilitation/Major Repairs | X | - | X | - | No |
| Vehicles Awaiting Sale | X | - | X | - | No |
| Vehicles in Storage | X | - | X | - | No |

| | Total Vehicles | Active Vehicles | Inactive Vehicles | Contingency | VAMS |
|---|---|---|---|---|---|
| FTA-Approved Contingency Vehicles | X | - | - | X | No |
| Vehicles Being Cannibalized for Parts | - | - | - | - | No |
| Vehicles Sold During Fiscal Year | - | - | - | - | No |
| Support Vehicles and Supervisor Vehicles | - | - | - | - | No |
| New Vehicles not yet in Service | - | - | - | - | No |

## Number of Active Vehicles in Fleet

Transit agencies must report the number of active vehicles in the fleet at year end. Active vehicles do not include emergency contingency vehicles.

If an agency were holding an entire fleet of vehicles until disposal, the agency would report the number of active vehicles for that fleet as zero.

## Dedicated Fleet

The FTA defines dedicated vehicles as vehicles used exclusively for public transit service. Transit agencies that report directly operated service must report all vehicles under dedicated fleets.

In some cases, purchased transportation contractors do not use a dedicated fleet for public transit services. Transit agencies reporting this service must report such vehicles as non-dedicated. Transit agencies report limited data for non-dedicated fleets. Non-Dedicated fleets should encompass a representative sample of the vehicles used to provide the service. For DT modes, spares should not be included in this sample.

## Vehicle Length

Transit agencies must report the vehicle length for each fleet of vehicles in feet.

## Seating Capacity

The NTD captures seating capacity for each vehicle fleet. This is the actual number of seats onboard the vehicle, and does not include the driver's seat except for Vanpool (VP) where the driver is typically a passenger. Manufacturers generally cite this information in the specification of the vehicle.

## Year of Manufacture

Transit agencies must report the year of manufacture for the vehicles. The year of manufacturer is the year that the vehicles were built, not the model year.

**Exhibit 33: Year of Manufacture vs. Model Year**

**Example:** A fleet of 20 buses is manufactured in 2015. The model year of the 20 buses is 2016. What is the year of manufacture for purposes of NTD reporting?

**Solution:** Report the year of manufacture as 2015 as this is the year in which the vehicles were built.

## Ownership

Transit agencies must indicate what type of entity owns the revenue vehicles and the ownership type. Ownership types include

- Owned outright by a public agency
- Owned outright by a private entity
- True lease by a public agency
- True lease by a private entity
- Lease under a lease purchase agreement by a public agency
- Lease under a lease purchase agreement by a private entity
- Leased or borrowed from related parties by a public agency
- Leased or borrowed from related parties by a private entity

### *Owned Outright*

**Owned outright** indicates that a public agency or private entity owns the vehicles. Owned outright also includes safe harbor leasing agreements where only the tax title is sold.

### *True Lease*

Under a **true lease** the public agency or private entity does not own the vehicle. Typically, at the end of the lease, the entity leasing the vehicle returns it to the leasing company. When the public agency or private entity returns the leased vehicle, it often enters into a new lease agreement, usually for a new vehicle.

In some cases, true leases include the option to purchase the vehicle at the end of the lease. When the agency buys the vehicle, vehicle ownership becomes **owned outright**.

Public transit agencies generally do not enter into true leases for revenue vehicles. However, should a transit agency enter into a true lease with a private entity for a Vanpool program, it should report the arrangement as a true lease. If the agency does not have a true lease, it should report the vehicles as owned outright by a private entity.

### *Lease Purchase Agreement*

Under a **lease purchase agreement,** the public agency or private entity acquires the vehicle by making all lease payments. The public agency or private entity owns the vehicle when it makes all payments, at which the ownership type changes to **owned outright**.

### *Leased or Borrowed from Related Parties*

**Leased or borrowed from related parties** usually involves two government entities. Sometimes, another public agency (e.g., a State) owns the vehicles and either leases them or provides them at no cost to the transit agency (e.g., local grantee).

Please see Appendix B, "Asset Codes," for the acronyms the NTD uses on the Annual Report for ownership type.

## Funding Source

Agencies must indicate the funding source used to purchase or lease vehicles using the following options:

- Urbanized Area Formula Program (§5307)
- Formula Grants for Rural Areas (§5311)
- Enhanced Mobility of Seniors & Individuals with Disabilities (§5310)
- Other Federal funds
- Non-Federal public funds
- Non-Federal private funds.

Please see Appendix B, "Asset Codes," for the abbreviations the NTD uses on the Annual Report for funding sources.

## Number of Emergency Contingency Vehicles

FTA normally requires that agencies dispose of vehicles when they replace them with FTA-funded vehicles. However, FTA may permit a transit agency to keep the vehicles in an inactive fleet to be used in the event of natural disasters. Agencies must request FTA approval of an Emergency Contingency Plan for keeping replaced vehicles.

Agencies must report the number of vehicles in an approved FTA Emergency Contingency Plan. They must report the emergency contingency vehicles as an inactive fleet.

## ADA-Accessible Vehicles

Agencies must identify active vehicles that meet ADA requirements for accessibility.

## Useful Life Benchmark

ULB is the expected lifecycle of a capital asset for a particular transit agency's operating environment, or the acceptable period of use in that environment. Agencies must report a ULB for all fleets for which they have capital replacement responsibility.

FTA has outlined default ULB for each vehicle type. If a transit agency selects ULBs that differ from FTA's default values, the NTD analyst may request supporting documentation.

Please see the table below for default ULB's for common vehicle types.

**Exhibit 34: Revenue Vehicle Default Useful Life Benchmarks**

| Vehicle Type | Default ULB (in years) |
|---|---|
| Articulated Bus (AB) | 14 |
| Automated Guideway Vehicle (AG) | 31 |
| Automobile (AO) | 8 |
| Over-the-road Bus (BR) | 14 |
| Bus (Bu) | 14 |
| Cable Car (CC) | 112 |

| Vehicle Type | Default ULB (in years) |
|---|---|
| Cutaway Bus (CU) | 10 |
| Double Decked Bus (DB) | 14 |
| Ferryboat (FB) | 42 |
| Heavy Rail Passenger Car (HR) | 31 |
| Inclined Plane Vehicle (IP) | 56 |
| Light Rail Vehicle (LR) | 31 |
| Monorail Vehicle (MO) | 31 |
| Minivan (MV) | 8 |
| Commuter Rail Locomotive (RL) | 39 |
| Commuter Rail Passenger Coach (RP) | 39 |
| Commuter Rail Self-Propelled Passenger Car (RS) | 39 |
| School Bus (SB) | 14 |
| Streetcar (SR) | 31 |
| Sports Utility Vehicle (SV) | 8 |
| Trolleybus (TB) | 13 |
| Aerial Tramway (TR) | 12 |
| Van (VN) | 8 |
| Vintage Trolley (VT) | 58 |

## Capital Responsibility for Revenue Vehicles

Transit agencies indicate whether they have capital responsibility for each revenue vehicle fleet. If the transit agency leases the vehicles but must pay a certain percent annually to eventually own the assets, such as lease-to-own arrangements, the agency should report the status of capital responsibility as of the end of the fiscal year.

In the case of leased or borrowed from related parties agreements, the lessee does not have to report ULB for these assets, as they do not have capital responsibility. It is typically the lessor that would report this condition assessment.

Agencies that have true leases are not required to report ULB for these revenue vehicles since the agency does not have capital responsibility.

## Autonomous Vehicle Fleets

Transit agencies indicate whether fleet vehicles are autonomous. An autonomous vehicle is one "capable of performing all driving functions without human input under certain conditions."

## Revenue Vehicle Inventory – Additional Requirements for Urban Reporters

Urban Reporters that report directly to the NTD must also report:

- Year of rebuild
- Manufacturer
- Model
- Standing capacity
- Total miles on active vehicles
- Average lifetime miles per active vehicle

### *Year and Type of Last Renewal*

Transit agencies must report the year of renewal and type of renewal for the vehicles, if applicable. An agency must report a year of renewal if it performs work on a vehicle to extend its useful life or ensure the useful life is reached. The following renewal types must be reported:

- Mid-Life Vehicle Overhaul
- Life-Extending Rebuild

**Mid-Life Vehicle Overhaul** is the systematic replacement or upgrade of vehicle systems with a useful life less than the useful life of the entire vehicle in a programmed manner. Overhaul is performed as a planned or concentrated preventive maintenance activity and is intended to enable the vehicle to perform to the end of the original useful life.

**Life-Extending Rebuild** is a capital activity associated with rolling stock that occurs at or near the end of a unit of rolling stock's useful life. This results in an extended useful life for the unit consistent with the extent of the rebuild.

For example, an agency may rebuild a bus with a useful life of 12 years to extend its useful life to 17 years.

If an agency rebuilds a portion of a vehicle fleet that it reports to the NTD, it must divide the fleet and report the rebuilt vehicles separately. Agencies can only group vehicles into a fleet on the Annual Report if the vehicles are identical. Agencies should not update the original funding source in the event of a rebuild.

### *Manufacturer*

Agencies should report the company that manufactured the vehicle. Some vehicles may have more than one manufacturer. For example, cutaway vehicles have two manufacturers: the manufacturer of the chassis and the manufacturer of the body. Transit agencies must report the manufacturer of the body.

Please see Appendix B, "Asset Codes," for the acronyms the NTD uses on the Annual Report for manufacturer type.

### *Model*

Transit agencies must report the model name for a vehicle as the model that the vehicle manufacturer provides. The Vehicle Identification Number (VIN) is not the model.

Agencies are not required to report vehicle model for automobiles, vans, minivans, and sport utility vehicles.

**Exhibit 35: Manufacturer vs. Model**

**Example:** Transit Agency A has a fleet of cutaway vehicles built on Ford F-350 chassis. The bodies were manufactured by El Dorado. El Dorado lists the vehicles as being Aerotech models. What does the agency report as the manufacturer and the model?

**Solution:** The agency must report the body manufacturer. Transit Agency A reports El Dorado (EDN) as the manufacturer and Aerotech as the model.

### *Standing Capacity*

Transit agencies must report the standing capacity of the vehicle fleet. This is the maximum number of people that a transit agency allows (by policy) to stand on the vehicle at one time.

If local policy prohibits standing, the agency would report zero for standing capacity. In the unlikely event that there is no local policy on the maximum number of standees, the

agency should report the rated standing capacity as provided by that vehicle's manufacturer.

### *Total Miles on Active Vehicles*

Agencies must report the total miles each vehicle fleet was driven during the fiscal year. The total miles on active vehicles include

- Actual vehicle miles (including deadhead and revenue miles)
- The other miles incurred or driven during the reporting period such as mileage from
  - Operator training
  - Moving vehicles between and within maintenance facilities/garages

### *Average Lifetime Mileage per Active Vehicle*

Transit agencies must report the average lifetime miles on its vehicles at the end of the fiscal year.

Average lifetime miles are the average mileage, since the date of manufacture, on active vehicles at fiscal yearend. Average lifetime miles always begin with the original date of manufacture, even if an agency has rebuilt a vehicle.

**Exhibit 36: Total Miles and Average Lifetime Mileage per Active Vehicle**

**Example**: A transit agency operates Bus (MB) service with a fleet of 8 vehicles. The odometer/hubometer readings for each vehicle and the vehicle status at fiscal year end (FYE) 2016 are below. All buses have the same vehicle type, fuel type, ownership code, funding source, year of manufacture, manufacturer code, model number, and capacity (seating and standing). How does the agency report Total Miles During the Period and Average Lifetime Miles per Active Vehicle?

| Vehicle Number | Odometer Reading at 2015 Fiscal Year End | Odometer Reading at 2016 Fiscal Year End | Mileage During 2016 Fiscal Year | Status at 2016 Fiscal Year End |
|---|---|---|---|---|
| 1 | 35,005 | 72,188 | 37,183 | In revenue operation |

| Vehicle Number | Odometer Reading at 2015 Fiscal Year End | Odometer Reading at 2016 Fiscal Year End | Mileage During 2016 Fiscal Year | Status at 2016 Fiscal Year End |
|---|---|---|---|---|
| 2 | 47,410 | 98,442 | 51,032 | In revenue operation |
| 3 | 20,115 | 25,776 | 5,661 | Out for six weeks for body work |
| 4 | 140,020 | 190,290 | 50,270 | In revenue operation |
| 5 | 38,732 | 68,333 | 29,601 | Out for six weeks for body work |
| 6 | 150,043 | 155,747 | 5,704 | Emergency contingency vehicle |
| 7 | 40,555 | 79,676 | 39,121 | In revenue operation |
| 8 | 30,080 | 60,045 | 29,965 | Spare used in operation |

***Solution**: Determine active vehicles at 2016 FYE:*

*Vehicles 1, 2, 4, 7, and 8 are active vehicles at FYE (includes vehicles currently in revenue operation and temporarily out of service for routine preventive maintenance). Vehicles 3, 5, and 6 are not part of the active fleet. Calculate and report average lifetime mileage per active vehicle and total mileage on active vehicles during the period:*

*Average lifetime mileage per active vehicle:* ***(72,188 + 98,442 + 190,290 + 79,676 + 60,045) / 5 vehicles = 100,128 miles***

*Total mileage on active vehicles during period:* ***(37,183 + 51,032 + 50,270 + 39,121 + 29,965) = 207,571 miles***

## Service Vehicle Inventory (Form A-35)

Transit agencies must report the number of service vehicles in the total fleet at the end of the fiscal year. Transit agencies are required to report data on service vehicles, or vehicles which indirectly deliver transit service, maintain revenue vehicles, and perform transit-oriented administrative activities. Agencies must report service vehicles for which

they have capital replacement responsibility. Agencies report service vehicle inventory data by groups or fleets. Agencies should group vehicles into fleets if they are identical in all aspects, including vehicle type, manufacture year, primary mode, etc. Service vehicles must not be used in revenue service to be reported on the A-35.

Service vehicles must be self-propelled and either road worthy or major pieces of construction equipment to be reportable to the NTD. Examples of reportable service vehicles include: automobiles used by supervisors or maintenance staff, wreckers, tow trucks, work trains, tampers, diggers, etc. Flatbed train cars, golf carts, and fork lifts are not considered reportable service vehicles.

If an agency uses service vehicles that are pulled from a non-dedicated pool of agency owned vehicles that are not specific (or assigned) to transit, the agency should report a representative sample fleet of vehicles they typically use to support service.

## Service Vehicle Inventory Data

The NTD collects the following data on service vehicles:

- Vehicle Type
- Primary Mode
- Secondary Mode(s)
- Total Vehicles
- Useful Life Benchmark
- Year of Manufacture
- Transit Agency Capital Responsibility
- Estimated Cost
- Year Dollars of Estimated Cost

## Vehicle Type

Service Vehicles can be categorized into three vehicle types:

- Automobiles - Passenger cars, up to and including station wagons in size. Excludes minivans and anything larger.
- Trucks and other rubber-tired vehicles - A self-propelled, motor vehicle designed primarily for the transportation of property or special purpose equipment, typically a service vehicle. It may consist of a chassis and body; a chassis, cab and body; or it may be of integral construction so that the body and chassis form a single unit. This vehicle category also includes pickup trucks, vans, SUVs, and minivans.

- Steel wheel vehicles - In rail systems, vehicles with the specially designed cast or forged steel, essentially cylindrical element that rolls on the rail, carries the weight, and provides guidance for rail vehicles. Steel wheel vehicles exclude vehicles that are equipped for both road (rubber tires) and rail.

## Modes

Agencies must report a primary mode for each fleet. If service vehicles are used across multiple modes, the agency must report one mode as the primary and then indicate the secondary modes for each fleet.

## Total Vehicles

Transit agencies must report the number of service vehicles in the total fleet at the end of the fiscal year. Total vehicles include both active and inactive vehicles held at the end of the fiscal year.

## Useful Life Benchmark

Useful Life Benchmark is the expected lifecycle of a capital asset for a particular transit agency's operating environment, or the acceptable period of use in service that environment. FTA has outlined default ULBs for service vehicle types. If a transit agency selects ULBs that differ from FTA's default values, the agency must submit documentation supporting their agency-specific ULBs for approval. Please see the table below for default ULB's for service vehicle types.

**Exhibit 37: Service Vehicle Default Useful Life Benchmarks**

| Vehicle Type | Default ULB (in years) |
|---|---|
| Automobile (AO) | 8 |
| Trucks and Other Rubber Tire Vehicles | 14 |
| Steel Wheel Vehicles | 25 |

## Year of Manufacture

Transit agencies must report the year of manufacture for the vehicles. The year of manufacturer is the year that the vehicles were built, not the model year.

## Capital Responsibility for Service Vehicles

Transit agencies report service vehicle fleets for which they own or have direct capital responsibility. Agencies report the degree of capital responsibility for each fleet as a percentage. If the transit agency leases the vehicles but must pay a certain percent annually to eventually own the assets, such as lease-to-own arrangements, the agency should report the value for capital responsibility as of the end of the fiscal year.

## Estimated Cost

For each service vehicle fleet, agencies must report the full cost to replace the fleet with a comparable set of vehicles. A reasonable estimate should reflect the current asset type, allowing for moderate increases in cost due to inflation or improvements in technology. The field should not reflect planning, but rather actual current estimated cost. The cost estimate should include “soft costs” such as unallocated contingencies or finance charges. The dollar figure should represent the agency’s most recent estimate of the full cost to replace these assets. If no recent cost estimate has been developed, then the agency may report either the original cost of the asset.

## Year Dollars of Estimated Cost

Agencies are required to report the year corresponding to dollar value reported for estimated cost for each fleet.

# FEDERAL FUNDING DATA REQUIREMENTS

### Reporting Federal Funding Allocation Data (Form FFA-10)

*A summary of the importance of data allocation and its uses.*

### NTD Serve Rules

*An overview of NTD requirements for data allocation.*

### Reporting Allocation Methods

*A summary of the different allocation methods for Federal funding data.*

# Reporting Federal Funding Allocation Data (Form FFA-10)

Transit agencies must report data by mode and service type for the urbanized and rural areas they serve. These data are an important part of NTD reporting because they directly affect the amount of funding FTA apportions to each area. FTA uses this information to support the §5307, §5337, §5339, and §5311 formula funding programs. The reported data are:

- UPT
- VRM
- VRH
- OE
- DRM (Fixed Guideway and High Intensity Bus only)

This form is required for directly reporting Urban and Tribal reporters. These data are defined in the Service and Financial Data sections of this manual. Data reported on the FFA-10 must be consistent with data reported in these modules.

# NTD Serve Rules

Agencies report annual service data for each mode and type of service they operate. The "Service Data Requirements" section of this manual describes policies related to service data in detail.

In addition to agency-wide service totals, FTA requires reporters to report service totals and operating expenses for each of the individual areas the agency serves – urban or rural. Reporters use Federal Funding Allocation (FFA) forms to allocate service and operating expense totals into sub-totals for each served area. Reporting by area is critical because it affects the amount of funding FTA apportions to each area.

## Serving an Area

Transit agencies must follow *serve rules* when reporting data for Federal funding. *Serve rules* determine how an agency may report data among the urbanized and rural areas it serves.

The NTD defines "serving an area" as operating a transit service that has a trip end (origin or destination) in that specific urbanized or rural area. Transit agencies must analyze each service that they operate and determine if it serves one or multiple urbanized or rural areas. Agencies must report data based on the results of these analyses.

The following exhibits use images from the U.S. Census. The census uses the abbreviation “UA” to signify urbanized areas. Urbanized areas are blue; rural areas are white. Gray lines designate county boundaries.

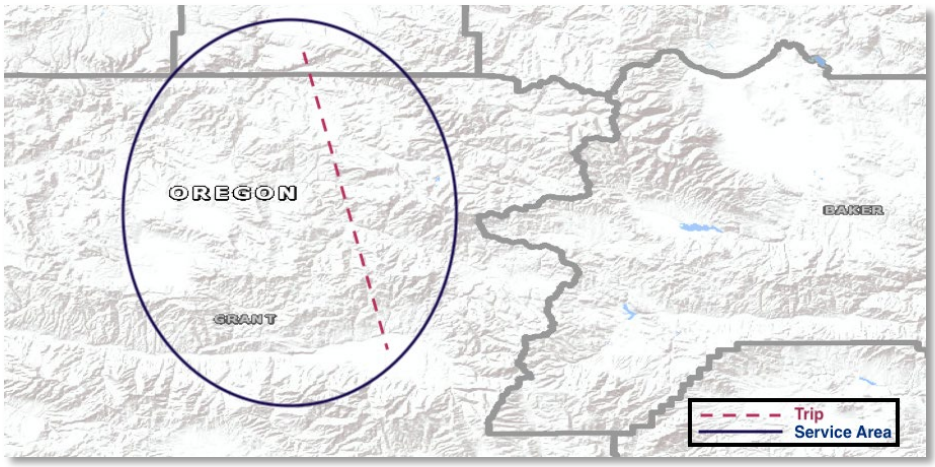
## Serving One Area

If a transit service operates entirely within one urbanized or rural area, then the transit agency must report the data for the service in that specific service area. The transit agency has no reporting discretion and must follow this reporting rule.

**Exhibit 38: Service in One Area**

**Exclusive Urban Service:** A trip occurs entirely within one urbanized area.


**Exclusive Rural Service:** A trip occurs entirely within one rural area.




**Solution:** In both cases, the transit agency reports all data to the area it serves.

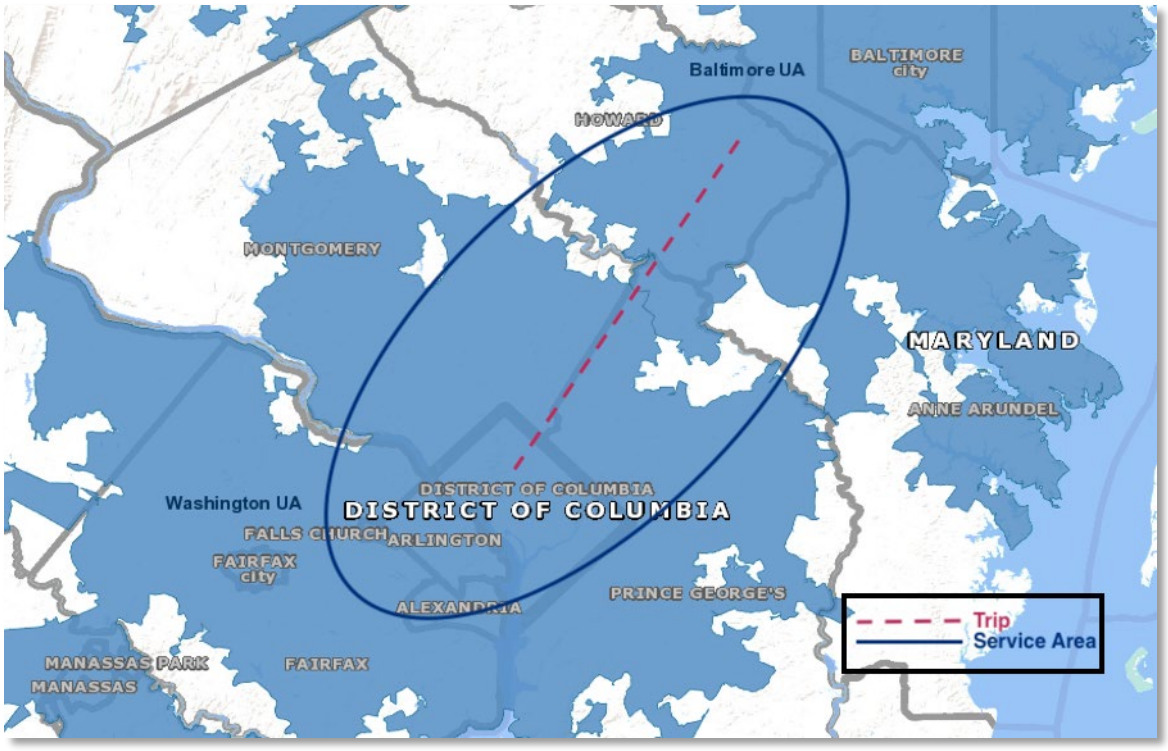
## Serving Multiple Areas

If a transit service operates in two or more urbanized or rural areas, then the transit agency has two reporting options:

- If the transit agency determines that the primary intent of the transit service is to serve the travel needs of one urbanized or rural area, then the transit agency reports all Federal funding data to this one area; or
- If the transit agency determines that the intent of the transit service is to serve the travel needs of all or some of the urbanized and rural areas in which it operates, then the transit agency allocates its Federal funding data to the urbanized and rural areas it serves using a reasonable and consistent method.

### Exhibit 39: Service in Two Areas — Urbanized Area to Urbanized Area

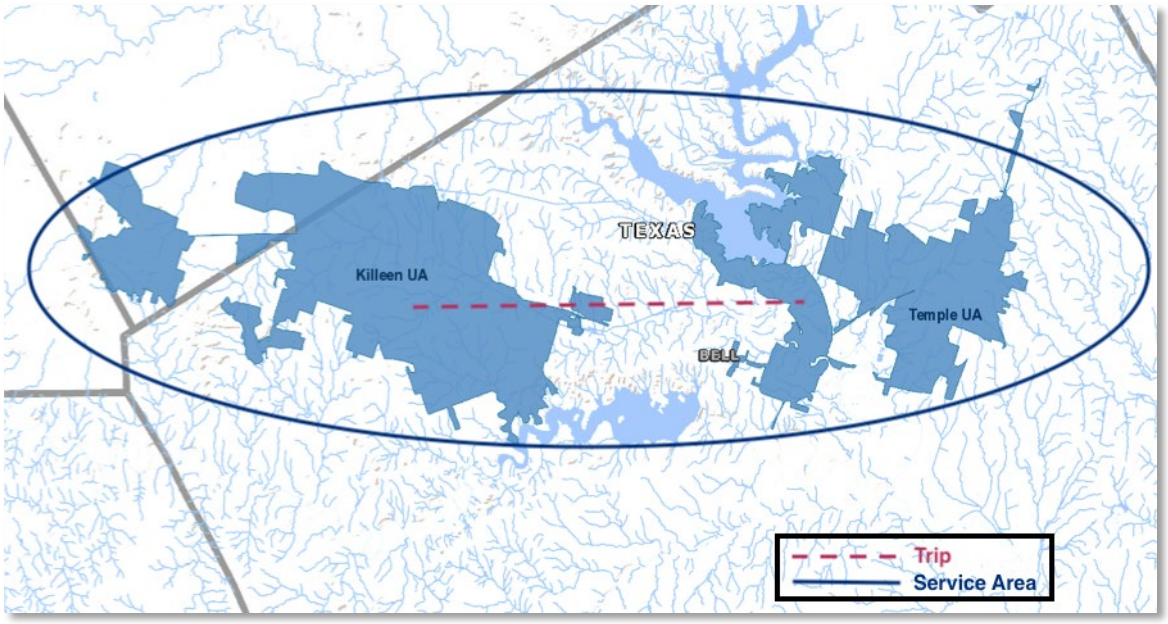
**Example:** One trip end is in the Washington urbanized area and the other trip end is in the Baltimore urbanized area.




**Solution**: The agency may report all data to its primary urbanized area or allocate data between the two urbanized areas.

**Exhibit 40: Service in Three Areas — Two Urbanized Areas and a Rural Area**

**Example**: Both trip ends are in urbanized areas, and the trip enters a rural area.




**Solution**: The agency may report all data to its primary urbanized area, or it may allocate between the urbanized and rural areas.

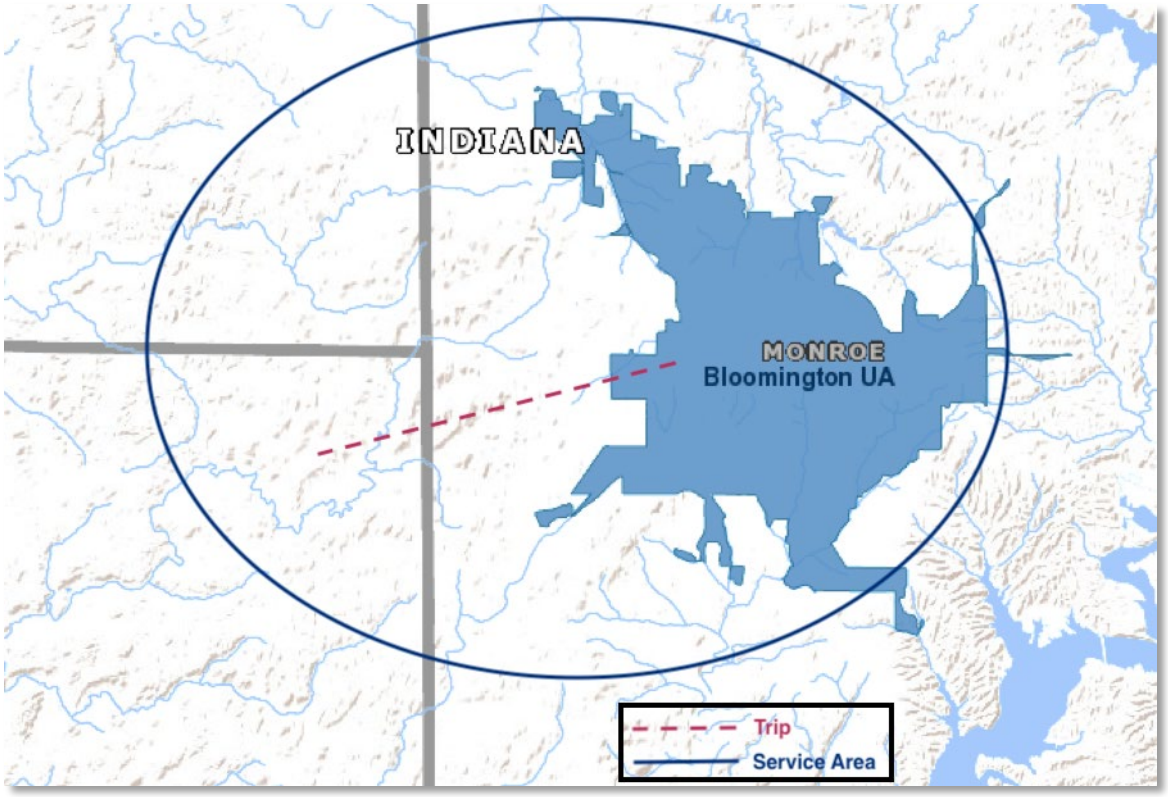
### *§5311 Reporting Rules*

The NTD has specific reporting rules for agencies operating between urbanized and rural areas and using funds from the rural program (§5311):

- **If §5311 funding is the only FTA funding used to support the service**, the transit agency must report all Federal funding data for the service to the rural area;
- **If the service is supported by §5311 operating or capital funding and §5307 capital funding**, the transit agency must report all Federal funding data for the service to the rural area; and
- **If the service is supported by §5311 operating or capital funding and §5307 operating funding**, the transit agency must allocate Federal funding data to the urbanized and rural areas in proportion to the §5307 and §5311 operating funding applied to the service.

**Exhibit 41: Service in Two Areas — Urban and Rural Trips**

**Example:** One trip end is in an urbanized area and the other trip end is in a rural area. The agency receives both §5311 and §5307 funding for operations.




**Solution**: The agency must allocate data to the urbanized and rural areas using the proportion of §5311 and §5307 operating funds that it used to provide the service.

## Commuter Service Federal Funding Allocation

### Intercity Service

Intercity service is not attributable to an urbanized area. Intercity service that meets the statutory definition of public transportation at 49 U.S.C 5302 is reportable to the NTD as public transportation service. However, only the portion that is located within the boundaries of an urbanized area may be attributable to that urbanized area.

## Reporting Allocation Methods

Transit agencies may use the following methods to allocate Federal funding data among multiple urbanized and rural areas:

- Actual Data
- Vehicle Revenue Miles, or
- Other

Transit agencies use the Actual Data method when they directly record the values for each data item by urbanized and rural areas.

Transit agencies choose the Vehicle Revenue Miles method when they record actual vehicle revenue miles and then use that data as a factor to allocate other Federal funding data. This is the most common allocation method used by transit agencies.

Transit agencies may use their own method of data allocation, which is termed “Other.” Transit agencies must provide documentation of their data allocation method for review by the NTD. One such method is using Vehicle Revenue Hours between different urbanized and rural areas.

Transit agencies should use consistent allocation methods and must explain any changes in methodology.

# DECLARATIONS AND REQUESTS

### CEO Certification (Form D-10)

*The NTD requirements for the Annual Report CEO Certification.*

### Waivers

*An overview of waivers that transit agencies may request.*

### Auditor Statements

*A summary of the Independent Auditor Statement for Financial Data, a requirement for all Urban Reporters.*

### Requests

*A summary of special requests that transit agencies may submit to the NTD.*

# CEO Certification

Transit agencies must submit a CEO Certification with the Annual Report. Through this certification, the CEO endorses and attests to the accuracy of the data in the Annual Report.

Transit agencies determine which person acts as the CEO for NTD reporting purposes. Typically, the CEO is the principal executive in charge of and responsible for the transit agency. The reporter types that must submit a CEO Certification are as follows:

- Full Reporter
- Reduced Reporter
- Separate Service

Agencies that are public service providers may designate any of the following personnel as the CEO for NTD reporting purposes:

- Transit authority general manager
- Transit authority administrator
- County or city government department head
- State Department of Transportation division head
- Council of Governments, commission or transit district executive director
- City-sponsored demand response system executive director, or
- Whomever the transit agency board designates to authorize the NTD Annual Report

Private operators may designate any of the following personnel as the CEO for NTD reporting purposes:

- Senior operations manager (site-specific), or
- An officer (e.g., the president or vice president or a corporate-level controller)

## Certification Requirements

Each transit agency CEO must complete a CEO Certification every report year. The following exhibit details exactly what the CEO certifies through this document.

**Exhibit 42: CEO Certification Requirements**

The CEO must

- Certify the accuracy of the data the transit agency submits in the overall report;
- Certify the accuracy of the Federal funding allocation data used in §5307, §5337, §5339, and §5311 formula funding programs;
- Attest to the independent auditor reviews of both financial data and Federal funding data (if applicable); and
- Describe the procedures that the transit agency uses to estimate or collect actual Unlinked Passenger Trip data by mode and type of service.

The CEO must certify that all data in the NTD Annual Report are accurate and that the transit agency collects and reports the data in accordance with NTD definitions.

During the validation process, the CEO documents that he or she concurs with revisions to the transit agency's report and retains a copy of the revisions in the transit agency's files.

## Transit Agencies Serving Large UZAs

If a transit agency serves an urbanized area (UZA) with a population of 200,000 or more, the CEO must also certify that:

- The data FTA uses for the apportionment of Urbanized Area Formula, State of Good Repair, and Bus and Bus Facilities Programs are accurate; and
- There is documentation of procedures and internal controls to ensure data accuracy.

## Independent Auditor Statement for Financial Data (IAS-FD) – Additional Urban Reporter Requirement

An independent auditor must determine if a transit agency's accounting system meets FTA requirements. After this review, the transit agency must submit an IAS-FD completed by the independent auditor.

The IAS-FD must be updated every 10 years. If a transit agency has met this requirement within the last ten fiscal years including the current report year and has not changed its accounting system, it is exempt for the current report year.

The CEO verifies one of the following:

- The transit agency provided an IAS-FD for the current report year;
- FTA approved an IAS-FD within 10 prior fiscal years and the transit agency's accounting system remains unchanged; or
- FTA granted a waiver for the IAS-FD for the current report year.

## Unlinked Passenger Trip Data

The CEO must also describe UPT data collection or estimation procedures for each mode and type of service. Transit agencies may use one of the following methods for determining UPT:

- 100 percent count (actual data)
- Alternative sampling procedure that meets 95 percent confidence and ±10 percent precision levels determined by a qualified statistician (estimated data)
- Another method that is explained by the CEO, or
- NTD Sampling Method

## Additional Certification Requirements for Agencies Using APCs

On the CEO Certification (D-10) form, agencies must indicate whether they used Automatic Passenger Counters (APCs) to collect Unlinked Passenger Trips (UPT) for NTD reporting.

Agencies must also report their method for using APC data to generate NTD figures as follows:

- If the agency randomly selected a predetermined number of vehicle trips and sampled the trips using APCs, the agency reports the sampling method (either NTD Sampling Method or Alternative Sampling Procedure).
- If the APCs collected valid data on more than 98 percent of all annual revenue service trips, the agency reports 100 percent count.
- If the agency used all available, valid APC data, but this was less than 98 percent of trips, the agency must have a statistically valid procedure for scaling up the APC data to an annual total. In this case, the agency reports "Used all available APC data, which was less than 98 percent of trips."

Note that agencies using APCs for NTD reporting must follow the requirements identified in the "Collecting Service Consumed Data: Automatic Passenger Counters" section of this manual.

## Waivers

Transit agencies must report data in conformance with NTD reporting requirements. If an agency does not follow these requirements, FTA can issue a Failure to Report finding. For more information on reporting failures, see the "Introduction: The National Transit Database: Failure to Report" section of this manual.

However, extenuating circumstances occur that prevent transit agencies from meeting all or specific NTD reporting requirements. In these cases, transit agencies may request a one-time waiver from these requirements.

Transit agencies must request waivers 60 days prior to the Annual Report due date. FTA approves waivers on a case-by-case basis and does not automatically approve a request.

In most cases, FTA only approves waivers for the current fiscal year. Transit agencies must file additional requests for future report years.

To request a waiver, a transit agency must submit a letter from the CEO for the current report year that describes the situation that prevents the agency from submitting data in accordance with NTD standards.

The FTA will not approve a waiver request based on cost, personnel, or data collection problems, loss of records, or unexplained undue burden.

An approved waiver does not affect a transit agency's funding eligibility for §5307, §5311, §5337, or §5339 funding, but it may affect the amount of funding the agency's UZA(s) receive. In a large urbanized area or a rural area, the amount of funding may decrease because FTA may not include specific data in formula funding programs. In a small UZA (between 50,000 and 200,000 population), funding may change because FTA may exclude transit agency data from the factors used to determine eligibility for STIC funding.

### Waiver Types

Transit agencies may request the following waivers:

- Data
- Reporting

- Independent Auditor Statement for Financial Data

### Data Waiver

A transit agency may request a data waiver for a specific data point or set of data that it did not collect per NTD reporting requirements. The agency may offer a different method to estimate data, or it may request to zero (not report) the data for the current report year.

### Reporting Waiver

A transit agency may request a reporting waiver if it is unable to complete the Annual Report for the current report year. FTA will not accept a partially completed report. If the FTA approves a reporting waiver, FTA will not apportion any Federal funding based on the transit agency's NTD data for that report year.

### Independent Auditor Statement for Financial Data Waiver

New NTD reporters filling out an Urban report may request an Independent Auditor Statement Financial Data (IAS-FD) waiver in their first year of reporting. If approved by FTA, the waiver is good for one year and the transit agency must submit the IAS-FD in the following report year.

## Auditor Statements

The FTA requires that an independent auditor review certain reporter types and provide an Independent Auditor Statement (IAS). An IAS is a letter that an official representative from an independent public account or other independent entity (such as a State audit agency) signs.

The independent auditor must confirm that the transit agency data conforms to NTD requirements. If an auditor finds an issue, the auditor must explain the discrepancy in the IAS. Auditors must identify the auditing firm name, the location of the office, and to sign and date the IAS.

There are two Independent Auditor Statements:

- Independent Auditor Statement for Financial Data (IAS-FD) **(Rural Reporters are exempt from the IAS-FD)**
- Independent Auditor Statement for Federal Funding Allocation Data (IAS-FFA). **(Reduced Reporters and Rural Reporters are exempt from the IAS-FFA.)**

## Independent Auditor Statement for Financial Data

Full Reporters, Urban Reduced Reporters, and Separate Service transit agencies must file an initial IAS-FD. For this statement, the auditor must determine if the transit agency accounting system meets FTA requirements. The FTA does not allow agencies to use an audit from the OMB Circular A-133 Single Audit Act.

Business papers, records and reports, and the procedures that an agency uses to record transactions and report their effects are the "accounting system." The term "accounting system" does not refer to the hardware or software program transit agencies use. Therefore, the accounting system remains the same, even when hardware or software upgrades or changes.

A transit agency must provide an IAS-FD to the NTD in the first year it reports as an Urban Reporter and every ten reporter years thereafter. In the interim, if a transit agency has met the IAS requirements in the prior year and has not changed its accounting system, FTA waives the annual IAS-FD. Instead, FTA requires the CEO to certify annually that the agency's financial data continue to meet NTD requirements. FTA may require a new review if a transit agency substantially changes its financial data reporting method.

The transit agency must file the Annual Report on time even if the IAS-FD is incomplete. If extenuating circumstances cause a delay of the IAS-FD, the CEO must provide documentation explaining the late auditor review. The transit agency must complete the IAS-FD no later than the date of the last report revision. The FTA may issue a Failure to Report finding if a transit agency does not submit an IAS-FD when required.

### Independent Auditor Requirements

For the IAS-FD, the auditor must review all financial forms to ensure that:

- The transit agency's accounting system follows the Uniform System of Accounts;
- The transit agency's accounting system follows accrual accounting or uses a directly translatable method; and
- All financial data are in accordance with NTD requirements.

The auditor must state in the IAS-FD if he or she finds that any data do not conform to NTD requirements and describe the discrepancies.

#### *FTA Approval*

FTA will approve the IAS-FD if the agency complies with one of the following conditions:

- The transit agency adopts the USOA; or
- The transit agency
  - Uses an internal accounting system other than the accounting system prescribed by the USOA;
  - Uses the accrual method of accounting or a directly translatable method; and
  - Directly translates the system and accounting categories, using a clear audit trail, to the accounting treatment and categories the USOA specifies.

*IAS-FD Template*

FTA provides a template of the IAS-FD in Appendix A. The FTA does not require agencies to use the exact format set forth in Appendix A; however, the independent auditor must address each item in the template. If the auditor follows the provided template closely, the statement will meet FTA requirements.

# Requests

Transit agencies may experience changes and events during a report year that affect the Annual Report. In these cases, agencies may file a request. Requests can include:

- Fiscal Year End Change Requests,
- Extension Requests,
- Special Requests for either Strikes or Natural Disaster Hold Harmless Adjustment

## Fiscal Year End Change Requests

Agencies must notify the NTD of changes to their Fiscal Year. FTA will determine the period to be covered by the report, which will typically be a 12-month period ending on the new Fiscal Year end date.

## Extension Requests

Transit agencies may request a 30-day extension of the annual report deadline (e.g., extend the annual report deadline of October 31 to November 30). Typically, the NTD approves extension requests due to extenuating circumstances, such as

- Natural disasters,

- Audits, and
- Medical leave.

Transit agencies must request an extension through the NTD system prior to the annual report due date. FTA does not automatically grant extension requests.

FTA does not grant extensions due to time constraints or unawareness of reporting requirements.

## Special Requests

FTA may make hold harmless adjustments to data in the apportionment to offset negative events (described below) that affected a transit agency's data during the year. Hold harmless adjustments are not automatic; a transit agency must make a request to receive any assistance through an adjustment.

If FTA approves a hold harmless adjustment request, a transit agency must still file the Annual Report and report actual data for the year. FTA would make the hold harmless adjustment by adjusting the data for apportionment purposes only. All publicly available NTD data would reflect the actual service data, as reported by the transit agency for the year.

### Strikes

During the year, a transit agency may experience a strike that prohibits or negatively affects transit service. In this case, the CEO of the transit agency may make a request to FTA that identifies:

- The mode or modes affected
- The exact time and date that the strike began
- The exact time and date that the strike ended, and
- Supporting documentation (e.g., published news reports) for the duration of the strike

### Natural Disaster Hold Harmless Adjustment

If a transit agency suffers a significant decrease in transit service due to a natural or manufactured disaster, the agency or the designated recipient for the urbanized area may make a hold harmless request.

The request must demonstrate that the transit agency meets all of the following criteria:

- A Federal disaster declaration is in place for at least a portion of the agency's service area for all or part of the report year;
- The decrease in transit service is a direct result of the disaster; and
- The decrease in transit service is temporary; thus, the reduced transit service levels are not reflective of the true transit needs of the area.

Disaster Hold Harmless Adjustments are not automatic. FTA grants these requests at its discretion and for one year only. In certain cases, FTA may apportion funds based on the agency's prior report year Annual Report.

# Appendix A: Independent Auditor's Statement for Financial Data Template

***Instructions:*** *The IAS-FD file copy should be on the independent auditor's letterhead and should be kept on file by the transit agency.*

The Board of Trustees
Transit Agency Name

In connection with our regular examination of the financial statements of **[agency name]**, for the fiscal year ended **[date]**, on which we have reported separately under **[date of auditor's statement]**, we have also reviewed the reporting forms listed below and included in the report for the fiscal year ended **[date]**, required under Title 49 U.S.C. 5335(a), for conformity in all material respects with the requirements of the Federal Transit Administration (FTA) as set forth in its applicable National Transit Database (NTD) Uniform System of Accounts (USOA). Our review for this purpose included such tests of the accounting records and such other auditing procedures as we considered necessary in the circumstances. We did not make a detailed examination such as would be required to determine that each transaction has been recorded in accordance with the USOA.

*[Select one of the following two paragraphs for inclusion in your Statement:]*

The accounting system from which this NTD report is derived follows the accounting system prescribed by the USOA. The same accounting system has been adopted and was used to compile this NTD report.

*or*

The accounting system from which this NTD report is derived is other than the accounting system prescribed by the USOA but uses the accrual basis of accounting and is directly translated, using a clear audit trail, to the accounting treatment and categories specified by the USOA. The same internal accounting system has been adopted and was used to compile this NTD report.

*[Submit a list of the specific financial forms on which audited data are reported:]*

- Sources of Funds — Funds Earned and Funds Expended form
- Uses of Capital form
- Operating Expenses forms
- Reduced Reporting – Small Systems

Based on our review, the accompanying reporting forms identified above conform in all material respects with the accounting requirements of FTA as set forth in its USOA.

Signed:

Title:

City:

Date:

# Appendix B: Asset Codes

## Ownership Codes

| | |
|---|---|
| **LPPA** | Leased under lease purchase agreement by a public agency |
| **LPPE** | Leased under lease purchase agreement by a private entity |
| **LRPA** | Leased or borrowed from related parties by a public agency |
| **LRPE** | Leased or borrowed from related parties by a private entity |
| **OOPA** | Owned outright by public agency (includes safe harbor leasing agreements where only the tax title is sold) |
| **OOPE** | Owned outright by private entity (includes safe harbor leasing agreements where only the tax title is sold) |
| **TLPA** | True lease by a public agency |
| **TLPE** | True lease by a private entity |

## Vehicle Type

| | |
|---|---|
| **AB** | Articulated bus |
| **AG** | Automated guideway vehicle |
| **AO** | Automobile |
| **BR** | Over-the-road bus |
| **BU** | Bus |
| **CC** | Cable car |
| **CU** | Cutaway |
| **DB** | Double decker bus |
| **FB** | Ferryboat |
| **HR** | Heavy Rail passenger car |
| **IP** | Inclined plane vehicle |

| | |
|---|---|
| **LR** | Light Rail vehicle |
| **MV** | Minivan |
| **RL** | Commuter Rail locomotive |
| **RP** | Commuter Rail passenger coach |
| **RS** | Commuter Rail, self-propelled passenger car |
| **SB** | School bus |
| **SV** | Sports utility vehicle (SUV) |
| **TB** | Trolleybus |
| **TR** | Aerial tramway vehicle |
| **VN** | Van |
| **VT** | Vintage trolley/Streetcar |

## Funding Sources

| | |
|---|---|
| **UA** | Urbanized Area Formula Program (§5307) |
| **OF** | Other Federal funds |
| **NFPA** | Non-Federal public funds |
| **NFPE** | Non-Federal private funds |
| **RAFP** | Formula Grants for Rural Areas (§5311) |
| **EMSID** | Enhanced Mobility for Seniors and Individuals with Disabilities (§5310) |

## Non-Rail Manufacturer Codes

| | |
|---|---|
| **AAI** | Allen Ashley Inc. |
| **ABI** | Advanced Bus Industries |
| **ACF** | American Car and Foundry Company |
| **ACI** | American Coastal Industries |
| **AEG** | AEG Transportation Systems |
| **AII** | American Ikarus Inc. |
| **ALL** | Allen Marine, Inc. |
| **ALX** | Alexander Dennis Limited |
| **AMD** | AMD Marine Consulting Pty Ltd |
| **AMG** | AM General Corporation |
| **AMT** | AmTran Corporation |
| **ARB** | Arboc Mobility LLC |
| **ASK** | AAI/Skoda |
| **ATC** | American Transportation Corporation |
| **AZD** | Azure Dynamics Corporation |
| **BBB** | Blue Bird Corporation |
| **BFC** | Breda Transportation Inc. |
| **BIA** | Bus Industries of America |
| **BLN** | Blount Boats, Inc. |
| **BOM** | Bombardier Corporation |
| **BOY** | Boyertown Auto Body Works |
| **BRA** | Braun |
| **BRX** | Breaux's Bay Craft, Inc. |
| **BYD** | Build Your Dreams, Inc. |
| **CBC** | Collins Bus Corporation (form. Collins Industries Inc./COL) |
| **CBW** | Carpenter Industries LLC (form. Carpenter Manufacturing Inc.) |
| **CCC** | Cable Car Concepts Inc. |
| **CCI** | Chance Bus Inc. (formerly Chance Manufacturing Company/CHI) |
| **CEQ** | Coach and Equipment Manufacturing Company |
| **CHA** | Chance Manufacturing Company |
| **CHR** | New Chrysler |
| **CMC** | Champion Motor Coach Inc. |
| **CMD** | Chevrolet Motor Division — GMC |
| **CVL** | Canadian Vickers Ltd. |
| **DAK** | Dakota Creek Industries, Inc. |
| **DER** | Derecktor |
| **DIA** | Diamond Coach Corporation (formerly Coons Mfg. Inc./CMI) |
| **DKK** | Double K, Inc. (form. Hometown Trolley) |
| **DMC** | Dina/Motor Coach Industries (MCI) |
| **DTD** | Dodge Division — Chrysler Corporation |
| **DUC** | Dutcher Corporation |
| **DUP** | Dupont Industries |
| **EBC** | ElDorado Bus (EBC Inc.) |
| **EBU** | Ebus, Inc. |
| **EDN** | El Dorado National (formerly El Dorado/EBC/Nat. Coach/ NCC) |
| **EII** | Eagle Bus Manufacturing |
| **ELK** | Elkhart Coach (Division of Forest River, Inc.) |
| **FDC** | Federal Coach |
| **FIL** | Flyer Industries Ltd (aka New Flyer Industries) |
| **FLT** | Flxette Corporation |
| **FLX** | Flexible Corporation |
| **FRC** | Freightliner Corporation |
| **FRD** | Ford Motor Corporation |

| | |
|---|---|
| **FRE** | Freeport Shipbuilding, Inc. |
| **FSC** | Ferrostaal Corporation |
| **GCC** | Goshen Coach |
| **GCA** | General Coach America, Inc. |
| **GEO** | GEO Shipyard, Inc. |
| **GIL** | Gillig Corporation |
| **GIR** | Girardin Corporation |
| **GLF** | Gulf Craft, LLC |
| **GLH** | Gladding Hearn |
| **GLV** | Glaval Bus |
| **GMC** | General Motors Corporation |
| **GML** | General Motors of Canada Ltd. |
| **GOM** | Gomaco |
| **HMC** | American Honda Motor Company, Inc. |
| **HSC** | Hawker Siddeley Canada IKU — Ikarus USA Inc. |
| **HYU** | Hyundai Rotem |
| **INT** | International |
| **IRB** | Renault & Iveco |
| **KIA** | Kia Motors |
| **KKI** | Krystal Koach Inc. |
| **MAN** | American MAN Corporation |
| **MBZ** | Mercedes Benz |
| **MCI** | Motor Coach Industries International (DINA) |
| **MDI** | Mid Bus Inc. |
| **MER** | Ford or individual makes |
| **MNA** | Mitsubishi Motors; Mitsubishi Motors North America, Inc. |
| **MOL** | Molly Corporation |
| **MTC** | Metrotrans Corporation |
| **MVN** | Mobility Ventures |
| **NAB** | North American Bus Industries Inc. (form. Ikarus USA Inc./IKU) |
| **NAT** | North American Transit Inc. |
| **NAV** | Navistar International Corporation (also known as International/INT) |
| **NBB** | Nichols Brothers Boat Builders |
| **NBC** | National Mobility Corporation |
| **NCC** | National Coach Corporation |
| **NEO** | Neoplan - USA Corporation |
| **NFA** | New Flyer of America |
| **NIS** | Nissan |
| **NOV** | NOVA Bus Corporation |
| **OBI** | Orion Bus Industries Ltd. (formerly Ontario Bus Industries) |
| **OCC** | Overland Custom Coach Inc. |
| **OTC** | Oshkosh Truck Corporation |
| **PCI** | Prevost Car Inc. |
| **PLY** | Plymouth Division-Chrysler Corp. |
| **PRO** | Proterra, Inc. |
| **PST** | Pullman-Standard |
| **PTE** | Port Everglades Yacht & Ship |
| **RIC** | Rico Industries |
| **SBI** | SuperBus Inc. |
| **SHI** | Shepard Brothers Inc. |
| **SCC** | Sabre Bus and Coach Corp. (form. Sabre Carriage Comp.) |
| **SPC** | Startrans (Supreme Corporation) |
| **SPR** | Spartan Motors Inc. |
| **SSI** | Stewart Stevenson Services Inc. |
| **STE** | Steiner Shipyards, Inc. |
| **STR** | Starcraft |
| **SUB** | Subaru of America or Fuji Heavy Industries Ltd. |
| **SUL** | Sullivan Bus & Coach Limited |
| **SVM** | Specialty Vehicle Manufacturing Corporation |
| **TBB** | Thomas Built Buses |
| **TEI** | Trolley Enterprises Inc. |
| **TMC** | Transportation Manufacturing Company |
| **TOU** | Tourstar |
| **TOY** | Toyota Motor Corporation |
| **TRN** | Transcoach |

| | |
|---|---|
| **TRT** | Transteq |
| **TRY** | Trolley Enterprises |
| **TTR** | Terra Transit |
| **TTT** | Turtle Top |
| **VAN** | Van Hool N.V. |
| **VOL** | Volvo |
| **VTH** | VT Halter Marine, Inc. (includes Equitable Shipyards, Inc.) |
| **WCI** | Wheeled Coach Industries Inc. |
| **WDS** | Washburn & Doughty Associates, Inc. |
| **WOC** | Wide One Corporation |
| **WTI** | World Trans Inc. (also Mobile—Tech Corporation) |
| **WYC** | Wayne Corporation (form. Wayne Manufacturing Company/WAY) |
| **ZZZ** | Other (Describe) |

# Appendix C: APC Certification Checklist

## General Guidelines:

- Different modes and types of service should be sampled separately.
- A wide range of trips provides the best sample – passenger load is an important consideration.
- Sample all types of APC model, as the technology may perform differently.
- Make sure to include all vehicle models/configurations in the sample. The error rate of the APCs could be different depending on door geometry.

## APC Checklist:

- Your APC Certification Report should include the following:
  - Your APC vendor
  - The date your APC system was installed (can be approximate)
  - The NTD Report Year in which you plan to begin reporting APC data
  - The mode and type of service that will use APC data
  - The number of vehicles in the fleet
  - The number of these that are APC-equipped
  - The number of trips you sampled for your benchmarking study
  - A description of how you selected the trips to sample
  - A description of your survey procedure, including information such as whether you used video or sent in-person ride checkers, and how many checkers you had on each vehicle
  - Confirmation that you plan to repeat the benchmarking survey in Fiscal Year 2022
  - The percentage of trips during your last fiscal year that did not return valid APC data for any reason (can be a reasonable estimate based on a sample)
  - A list of common reasons why a trip would not return valid APC data

- A description of your method for using APC data to determine annual totals
- The total manually collected UPT in the sample
- The total APC-collected UPT in the sample
- The total manually collected PMT in the sample
- The total APC-collected PMT in the sample

# Appendix D: VANPOOL QUESTIONNAIRE

1. How is your vanpool advertised to the public?

   The program is advertised to the public through (check all that apply):

   - ☐ Agency website URL: _____
   - ☐ Other website URL: _____
   - ☐ Promotional materials (posters, brochures, billboards, signs)
   - ☐ Media Advertising
   - ☐ Employer fairs
   - ☐ Other (describe): _____

2. Are there direct relationships between your agency and specific employers for any vans to be reported to the NTD?

   - ☐ There are no direct relationships with employers for any of the vans in our program, all vans are open to the public and none are restricted to particular employers.
   - ☐ There are direct relationships with employers for any of the vans in our program, as follows: *(describe relationships)*

3. Who is responsible for ride-matching individuals to vans with available seats? How is this ride-matching conducted? (i.e. how are vans with available seats made known to the public, and how are these seats filled?)

   - ☐ Online matching service via agency website
   - ☐ Online matching service at regional ridesharing website
   - ☐ Online matching service at State ridesharing website
   - ☐ Third party lessor/provider is responsible
   - ☐ Lessor/Provider: _____
   - ☐ Other (please describe): _____

4. What branding is used in the advertising of the vanpool program, and who pays these costs?

   The name of the vanpool program is: _____

Name of agency paying the advertising and branding costs: _____

Description of the advertising and branding costs (e.g., developing the brand name, logo, van decals): _____

5. What branding is used on the vanpool vehicles themselves?

   Vanpool Program name: _____

   If there is a third-party vehicle lessor (e.g., vRide, Enterprise, State DOT), is their name also on the vehicle?

   - ☐ Yes
   - ☐ No
   - ☐ N/A

6. Are third parties (i.e. other than your agency and the riders) used in providing the vanpool service? If so, for each third party, please provide the following:

   Name of the third-party: _____

   Length of contract is [number of months]: _____

   Contract start date is [month, day, year]: _____

   Contract is competitively bid.

   - ☐ Yes
   - ☐ No
   - ☐ N/A

   If “No”, describe how you select contractors:

   Terms of arrangement (i.e., what third party services/costs do you pay for?)

   - ☐ Administrative costs
   - ☐ Marketing, promotion, and advertising
   - ☐ Other (please describe): _____

   Who is responsible for the different aspects of the service such as marketing, promotion, and advertising costs for the vanpool program, the ride-matching

services, fuel costs, maintenance costs, insurance costs, capital cost for replacement of vehicles, and capital costs for replacement of facilities?

7. How are the rider costs in the vanpool established, and by who? How are rider costs tracked?

   ☐ Our agency establishes vanpool fares
   ☐ A third-party lessor/provider establishes vanpool fares
   ☐ We use vans provided by our agency and a third party

   Please describe the process for establishing rider costs:

   Third party name(s) (if applicable): _____

   ☐ Our agency requires each vanpool to record rider costs

      If so, describe review procedures:

   ☐ Third party requires each vanpool to record rider costs

      If so, state third party and describe review procedures:

# Appendix E: SHARED MOBILITY PARTNERSHIPS WITH TNCS

If your agency reports to the NTD and contracts with a Transportation Network Company (TNCs) for on-demand, shared mobility service, you may be able to include data for this service in your NTD report. The shared mobility service must meet all criteria for public transportation as codified in 49 U.S.C. §5302(14).

**What is a TNC?**

The General Services Administration's Office of Government-Wide Policy defines a TNC as "a corporation, partnership, sole proprietorship, or other entity, that uses a digital network to connect riders to drivers affiliated with the entity in order for the driver to transport the rider using a vehicle owned, leased, or otherwise authorized for use by the driver to a point chosen by the rider."[7]

**What kind of shared mobility service is reportable to the NTD?**

You may report shared mobility service if it is

- **regular, continuing, shared-ride** surface transportation service that is open to the general public or a segment of the general public defined by age, disability, or low income.

**What kind of shared mobility service is not reportable to the NTD?**

If a ride-hailing service is part of your trip planning platform, but you do not operate it under contract with the provider, you should not report it to the NTD.

You should not report pilot projects, chartered bus service, intercity bus, sightseeing service, school bus service, courtesy shuttles for patrons of one or more specific establishments, and intra-terminal/facility shuttles.

**What do you mean by "operated under contract"?**

If your agency contracts with a TNC for public transit, then the service must meet FTA's definition of Purchased Transportation.

[7] Federal Travel Regulation; Transportation Network Companies (TNC), Innovative Mobility Technology Companies, and Reporting Travel, Transportation, and Relocation Costs, 83 FR 602 §300-3.1 (2018)

**What do you mean by "shared-ride"?**

Shared-ride service exists when the TNC groups passengers together based on passenger origins and destinations. Neither the driver of the revenue vehicle nor the passenger can decline additional passengers when there is room for them. Not every trip needs to be a shared ride for a provider to be considered a shared-ride operator, but all reported rides should involve an active attempt to share rides.

**What do you mean by "regular and continuing" service?**

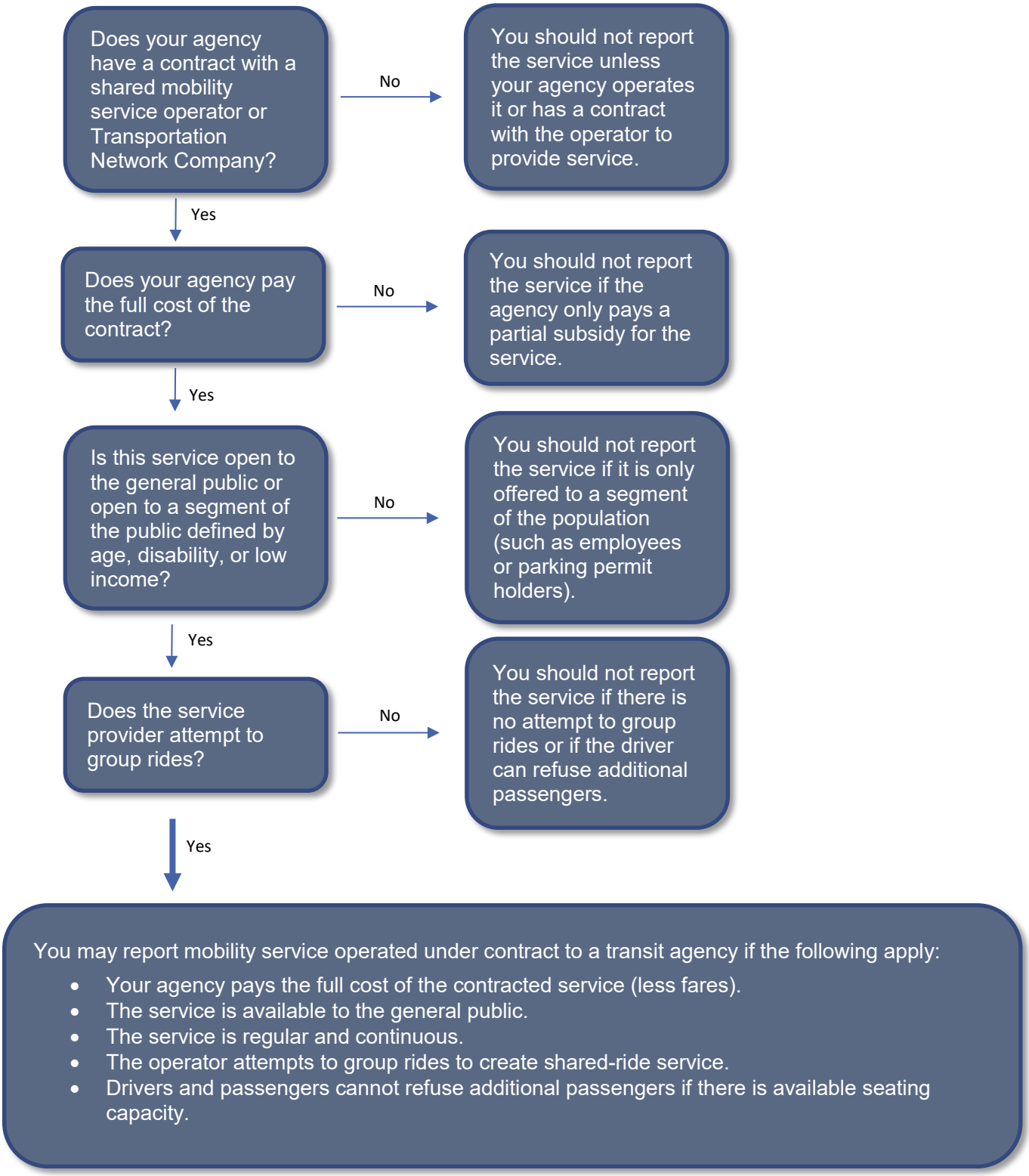
"Regular and continuing" refers to service that operates on a schedule during specified hours during the week and weekend. Services that operate on an ad hoc basis (e.g., only for special events) are not regular and continuing. Time-limited pilot projects are not regular and continuing either.

**What information do I report to the NTD?**

If the shared mobility service meets NTD reporting requirements, you will report financial, service, and asset data. The level of detail of the report will depend on whether your agency is a Full or Reduced Reporter. You will need to work with your contracted TNC to gather data points such as Unlinked Passenger Trips (UPT), Vehicle Revenue Miles (VRM), Vehicle Revenue Hours (VRH), passenger fares, operating expenses, sources of revenue, and information regarding the assets used to provide the service.

## Shared Mobility NTD Reporting Eligibility

Agencies reporting to the NTD that have partnered with on-demand, shared mobility services may refer to the chart and examples below to see if their service is reportable to the NTD.


Does your agency have a contract with a shared mobility service operator or Transportation Network Company?
No
You should not report the service unless your agency operates it or has a contract with the operator to provide service.
Yes
Does your agency pay the full cost of the contract?
No
You should not report the service if the agency only pays a partial subsidy for the service.
Yes
Is this service open to the general public or open to a segment of the public defined by age, disability, or low income?
No
You should not report the service if it is only offered to a segment of the population (such as employees or parking permit holders).
Yes
Does the service provider attempt to group rides?
No
You should not report the service if there is no attempt to group rides or if the driver can refuse additional passengers.
Yes
You may report mobility service operated under contract to a transit agency if the following apply:
Your agency pays the full cost of the contracted service (less fares).
The service is available to the general public.
The service is regular and continuous.
The operator attempts to group rides to create shared-ride service.
Drivers and passengers cannot refuse additional passengers if there is available seating capacity.

**Example 1:** A transit agency contracts a ride-hailing service to provide a first/last mile solution within the community. Passengers can use a mobile app to request a ride to/from any location within the service area.

**Solution:** This service would be eligible for NTD reporting if

- the agency is paying the full cost of service (less fares),
- drivers and passengers cannot refuse additional passengers if there is available seating capacity, and
- the service operator is attempting to group all rides to facilitate shared-ride service.

**Example 2:** A transit agency contracts a ride-hailing service to help offset parking demand at their more heavily used passenger stations. Passengers with parking permits for these stations receive 10 free rides per month via the ride-hailing service to encourage less use of parking inventory.

**Solution:** This service would not be eligible for NTD reporting because it is limited to a segment of the general public (permit holders) not defined by age, disability, or low-income.

**Example 3:** A transit agency contracts a ride-hailing service to provide on-demand service to its paratransit riders. Riders receive a limited number of subsidized, on-demand rides per month. Customers are not guaranteed an exclusive ride.

**Solution:** This service would be eligible for NTD reporting if

- the agency is paying the full cost of service (less fares),
- drivers and passengers cannot refuse additional passengers if there is available seating capacity, and
- the service operator is attempting to group all rides to facilitate shared-ride service.