



National Transit Database 2023 Policy Manual

Reduced Reporting

The contents of this document do not have the force and effect of law and are not meant to bind the public in any way. This document is intended only to provide clarity to the public regarding existing requirements under the law or agency policies. Grantees and subgrantees should refer to FTA's statutes and regulations for applicable requirements.

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Cover photo: Wikimedia Commons. 2008. [“New Flyer Industries DE40i bus in service for the RFTA.”](#) Last modified February 9, 2008.

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ACRONYMS AND ABBREVIATIONS

ADA	Americans with Disabilities Act
APC	Automatic Passenger Counter
ARP	American Rescue Plan Act
CARES	The Coronavirus Aid, Relief, and Economic Security Act
CB	Commuter Bus
CC	Cable Car
CCTV	Closed-Circuit Television
CEO	Chief Executive Officer
CFR	Code of Federal Regulations
CMAQ	Congestion Mitigation and Air Quality Improvement Program
COVID-19	Coronavirus Disease 2019
CR	Commuter Rail
CRRSAA	Coronavirus Response and Relief Supplemental Appropriations Act
DO	Directly Operated
DOT	Department of Transportation
DR	Demand Response
DRM	Directional Route Miles
DUNS	Data Universal Numbering System
FARE	Uniform Financial Accounting and Reporting Elements
FASB	Financial Accounting Standards Board
FB	Ferryboat
FFA	Federal Funding Allocation
FG	Fixed Guideway
FHWA	Federal Highway Administration
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
HR	Heavy Rail
IAS-FD	Independent Auditor Statement for Financial Data
IAS-FFA	Independent Auditor Statement for Federal Funding Allocation Data
IB	Intercity Bus
IP	Inclined Plane
JARC	Job Access/Reverse Commute
JT	Jitney
LOS	Level of Service
LR	Light Rail
MAP-21	Moving Ahead for Progress in the 21st Century Act
MB	Bus
MG	Monorail/Automated Guideway
MPO	Metropolitan Planning Organization
MR	Monthly Ridership
NHS	National Highway System
NTD	National Transit Database
OE	Operating Expense
OMB	Office of Management and Budget
PB	Público
PMT	Passenger Miles Traveled
PT	Purchased Transportation
RB	Bus Rapid Transit
RGPT	Rural General Public Transit
ROW	Right-of-Way
SR	Streetcar Rail

STIC	Small Transit Intensive Cities
STP	Surface Transportation Program
SV	Sports Utility Vehicle
TAM	Transit Asset Management
TB	Trolleybus
TERM	Transit Economic Requirements Model
TN	Purchased Transportation — Transportation Network Company
TNC	Transportation Network Company
TOS	Types of Service
TR	Aerial Tramway
TrAMS	Transit Award Management System
TTP	Tribal Transit Program
UAFP	Urbanized Area Formula Program
UEID	Unique Entity Identifier
ULB	Useful Life Benchmark
UMTA	Urban Mass Transportation Administration
UPT	Unlinked Passenger Trips
URL	Universal Resource Locator
U.S.C.	United States Code
USOA	Uniform System of Accounts
UZA	Urbanized Area
VOMS	Vehicles Operated in Maximum Service
VP	Vanpool
VRH	Vehicle Revenue Hours
VRM	Vehicle Revenue Miles
YR	Hybrid Rail

REPORT YEAR 2023 POLICY CHANGES AND REPORTING CLARIFICATIONS

Description of Update	Type of Update	Form(s) Affected	Found in Manual
Emergency Contact	New Policy	P-10	p. 28
Primary Urbanized Area (UZA)	Clarification	B-10	p. 1
Geospatial Data for Demand Response Modes	New Policy	B-15	p. 1
General Transit Feed Specification for Fixed Route Modes	New Policy	P-50	p. 1
Weekly Reference – WE-20 Reporting	New Policy	WE-20	p. 1
Fuel Type Reporting for Rural and Asset Reporters	New Policy	A-30	p. 130
NTD Serve Rules During Census Updates	Clarification	FFA-10	p. 1

Transit agencies reporting to the National Transit Database (NTD) have been affected by the Coronavirus Disease 2019 (COVID-19) national public health emergency beginning in Fiscal (Report) Year 2020. COVID-19 impacted several aspects of data collection and reporting. In response to COVID-19, FTA issued a reference guide for agencies with temporarily updated guidance for NTD reporting. However, the Department of Health and Human Services declared May 11, 2023, to be the expiration date for the COVID-19 Public Health Emergency.

Beginning in Report Year (RY) 2023, FTA has retired the standalone reporting resource formerly titled “Guide: National Transit Database (NTD) Reporting and COVID-19.” Agencies will refer to the NTD policy manuals for Full Reporters and/or Reduced Reporters for policy and reporting guidance moving forward. FTA has consolidated carryover reporting policies, such as policies regarding sampling, into the annual reporting manuals.

INTRODUCTION

The National Transit Database

An overview of the NTD history, legislative basis, and purpose

Standardized Reporting Requirements

A summary of uniform reporting requirements, rules, and regulations

Reporter Types

An overview of reporting types for FTA 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. 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, geographic service area coverage, 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 — Each recipient of a grant under this chapter shall report to the Secretary, for inclusion in the national transit database, under this section—
- (1) any information relating to a transit asset inventory or condition assessment conducted by the recipient;
 - (2) any data on assaults on transit workers of the recipients; and
 - (3) any data on fatalities that result from an impact with a bus.

Continuing Grant Requirements

If a transit provider, local government, 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 if §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 2: 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 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.

National Transit Database 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 “[Introduction: 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(15) as follows:

Exhibit 3: 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 243¹ (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.

What Does It Mean to Be “Open to the General Public”

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

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 and not the general public;
- A program sponsored by an employer that provides services for only its employees and not for the general public;
- An Automated Guideway system in an airport that only provides service to customers of the airport (e.g., a terminal-to-terminal tram);

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

- A charter service. In accordance with FTA Charter Rule, agencies cannot report any service reported to FTA charter registration website as public transportation;
- 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; or
- 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 or produce comparable evidence 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 or comparable evidence from services with characteristics that suggest the intent is not to serve passengers who make a return trip on the same day.

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:

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 do 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 the NTD.

Employer Shuttles

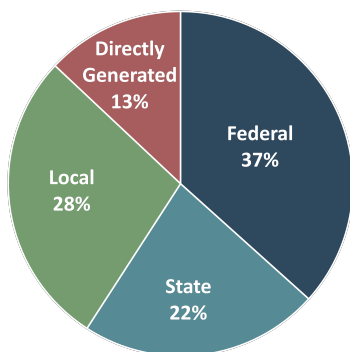
Transit agencies must use the following criteria to establish employer shuttle eligibility:

- The shuttle service must meet the definition of public transportation as defined by Federal transit law.
- 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 indicate 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 can be used by 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 NTD reporting requirements. For example, the buyer must pay the full cost of the service 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) 2023 data are used for the FTA FY 2025 apportionment). FTA has

Exhibit 4: Funding Sources (2021)

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 4 presents the total funds that transit agencies have spent during FY 2020 according to the original source of funds. Most Federal funds, of which agencies expended more than \$22.8 billion during 2020, come from FTA funding programs for urbanized and rural areas.

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), which are areas encompassing a population of not less than 50,000 people as determined by the most recent decennial census. FTA initiated this program under the Surface Transportation Assistance Act of 1982, P.L. 97-424. 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 also 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 3.0 percent 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 (LOS) equivalent to or greater than the average LOS 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 (PMT) per Vehicle Revenue Mile (VRM)
- PMT per Vehicle Revenue Hour (VRH)
- VRM per capita
- VRM per capita

- PMT 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 as areas with populations of less than 50,000 as determined by the most recent decennial U.S. Census. 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. FTA considers Puerto Rico, the U.S. 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

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

Five percent of Rural Formula (§5311) funding is available for the Public Transportation on Indian Reservations program (Tribal Transit Program [TTP]) under the Bipartisan Infrastructure Law. Twenty percent of the TTP funds must be distributed on a competitive basis, while the remainder must be apportioned by formula.

- 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.

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 “[Declarations and Requests: CEO Certifications](#)” and “[Declarations and Requests: Auditor Statements](#)” sections); or
- The agency does not properly respond to validation questions.

When FTA questions 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.

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 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—FTA may publish the data with a “questionable” (Q) notation.

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 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 2023.

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, 2023, to report to the NTD in 2023.

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 5: 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 1	July 15

State Department of Transportation (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 6: Subrecipient with Different Fiscal Year

Example: A State DOT files its NTD Annual Report with a fiscal year end date of December 31, 2023. One of its subrecipients collects and reports data to the State based on its own fiscal year, ending June 30, 2023.

Solution: The State may report subrecipient data according to the subrecipient’s fiscal year ending in 2023 for its 2023 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 (OE).

Exhibit 7: Accrual Accounting

Examples	Solutions
<p>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?</p>	<p>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.</p>
<p>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?</p>	<p>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.</p>

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 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 the 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 8: CEO Certification and Independent Auditor Review Requirements

Reporter Type	CEO or Independent Auditor Approval
Full Reporter	CEO and Independent Auditor

Reporter Type	CEO or Independent Auditor Approval
Reduced Reporter	CEO and Independent Auditor (except Tribes)
Separate Service	CEO and Independent Auditor
Build	N/A
Plan	N/A
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. FTA does not allow agencies to estimate these data.

However, FTA 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 [sampling 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.

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- 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 Code of Federal Regulations (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's [Federal Register Notices, Rules, and Regulations web page](#).

Please consult the NTD Help Desk at ntdhelp@dot.gov 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 (RY) 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.

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 (PT) agreements. For more information on contracts, please see the [“Types of Services”](#) section of this chapter.

Beneficiaries that only receive §5307 or §5311 funds for Job Access/Reverse Commute (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 9: Urban Reporter Types

Reporter Types	Who Qualifies
Full	<ul style="list-style-type: none"> • Receives or benefits from §5307 funding. • 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 (FG) and/or High Intensity Busway (HIB).
Reduced	<ul style="list-style-type: none"> • Receives or benefits from §5307 funding. • Operates 30 vehicles or less across all modes and types of service and does not operate FG and/or HIB.
Separate Service	<ul style="list-style-type: none"> • Receives or benefits from §5307 funding. • Does not directly operate service. • Contracts out modes that are reported by another transit agency.
Build	<ul style="list-style-type: none"> • Receives or benefits from §5307 funding. • Does not directly operate or contract out service. • Building a new mode of service.
Plan	<ul style="list-style-type: none"> • Receives or benefits from §5307 funding. • Does not directly operate or contract out service. • Spends §5307 funding on planning activities.

There are several cases in which an existing Rural Reporter must transition to an Urban Reporter type due to operating within a UZA, but before receiving or benefitting from §5307 funding. During NTD report years in which a new census dataset is released (e.g., 2020 Census Data being released in RY 2022), if an existing Rural Reporter now provides service within a UZA, they must transition to an Urban Reporter type in the following report year to accurately report their services. If a former Rural Reporter implements service changes and begins serving a UZA, the report is no longer a Rural Reporter by definition. If FTA is provided documentation (e.g., as a result of data validation) that an agency is serving an urban area and will continue to do so, FTA may require the agency to complete a Full or Reduced report in a future report year.

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. Similarly, former Rural Reporters who begin operating in an urbanized area are required to report that service effective no later than the fiscal year after which service in the urbanized area begins. Former Rural Reporters exceeding the 30 VOMS threshold may request a waiver to report as a Reduced Reporter in the first year.

Full Reporters must provide the Annual Report and the Monthly Ridership and monthly Safety and Security reports. All other reporter types file their reports on an annual basis. A select group of agencies are required to submit the WE-20 Weekly Reference reports monthly. You can find the WE-20 and MR-20 guidance in the [Monthly Ridership and Weekly Reference Manual](#). The *Safety and Security Policy Manual* is 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. FTA considers Puerto Rico, the U.S. Virgin Islands, American Samoa, Guam, and the Northern Mariana Islands as States for NTD rural data collection and funding.

A subrecipient is a State or local government authority, nonprofit organization, or operator of rural public 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 Departments of Transportation

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 Revenues Expended on Administration

States report the §5311 revenues they expended during the fiscal year 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 within its limits.

State Department of Transportation 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 the NTD.

Exhibit 10: 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 Intercity Bus Urban/Tribal Recipient 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.

Sub-Subrecipients

Section 5311 subrecipients typically receive these funds directly from their State DOT; however, the term “subrecipient” may also refer to an agency that receives §5311 funding from another entity. A subrecipient may receive §5311 funds from the State DOT and

then purchase service from another local transit provider using §5311 funds. The subrecipient may also enter a pass-through agreement with another local transit provider, in which they pass through some or all of their §5311 award.

If the service agreement does meet the requirements for the buyer to report the service as Purchased Transportation, the seller of service (who is the final recipient of the §5311 funds) reports the service as Directly Operated. For pass-through agreements, the agency that ultimately receives the pass-through funds and benefits from the government assistance reports the funding.

Subrecipient reports are submitted to the NTD through the State DOT. In the cases described above, unless the service operator reports directly to the NTD's Urban reporting module, the State DOT must report on behalf of the agency (a sub-subrecipient) as a Rural General Public Transit (RGPT) subrecipient, even if they do not directly award §5311 funds to that agency.

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. Please note, RGPT subrecipients must serve only Non-UZAs.

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.

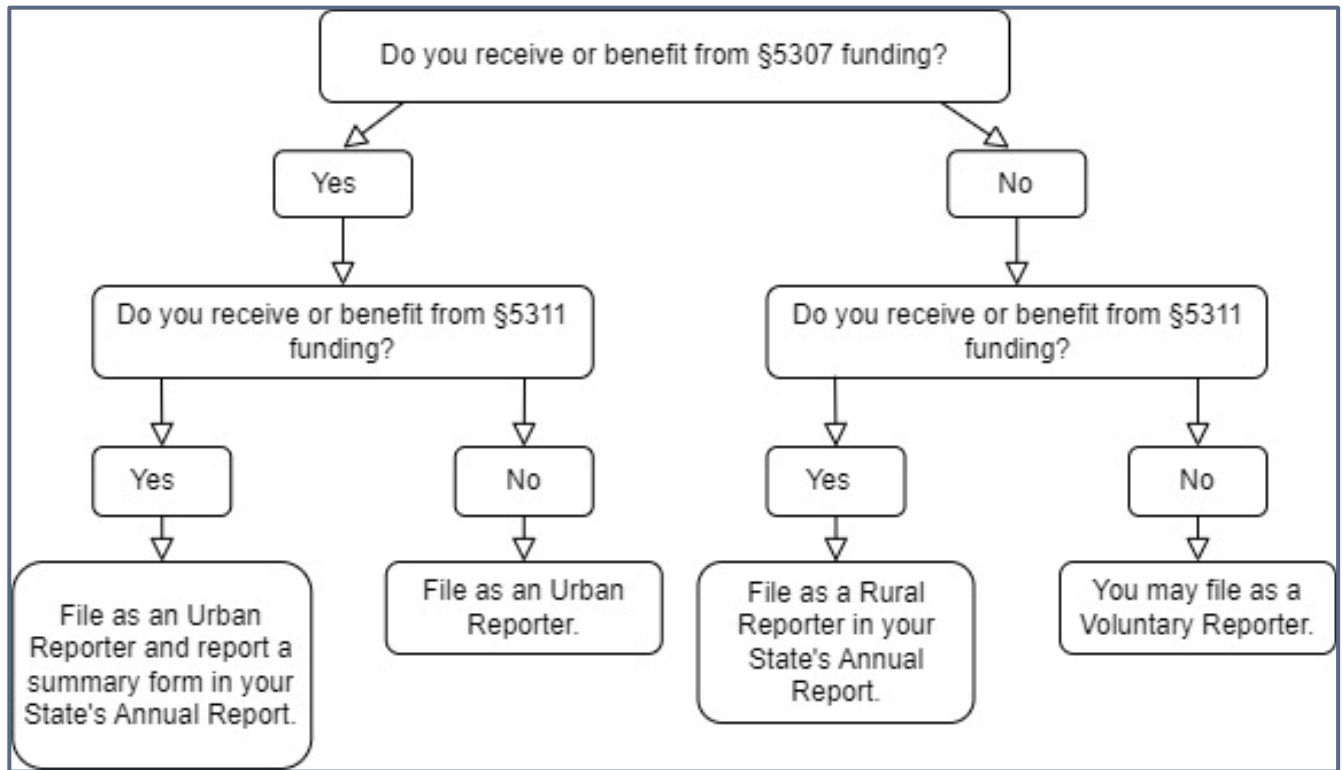
The NTD report must include the operating and capital expenses from §5311(f) funding, as well as VRM and UPT for service funded, in whole or in part, by §5311(f). For example, if a route is partially funded by §5311(f), the State must report the total VRM and UPT for that route. Note that FTA does not 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 11: 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 the 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.

Reduced Asset

Please see Exhibit 12 for more information on reduced asset reporter qualifications.

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 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 the 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 12: TAM-Only Reporter Types

Reporter Types	Who Qualifies
Reduced Asset	<ul style="list-style-type: none"> • Receives or benefits from FTA funding (Chapter 53) other than §5307 or §5311 funding (e.g., §5310), AND • Owns, manages, or operates capital assets used in providing public transportation services.
Group Plan Sponsor	<ul style="list-style-type: none"> • Sponsors a TAM Group Plan. • Receives or benefits from FTA funding (Chapter 53) other than §5311 Formula Grants for Rural Areas.

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 agencies, public or private, that are not obligated by Federal statute to report to the NTD. These reporters voluntarily 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 CFR Part 625).

Please note that FTA may deactivate any Voluntary Reporter that does not file a report by the annual reporting deadline.

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). These data are 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 are modified throughout the report year if updates are required.

Basic Information (Form P-10)

National Transit Database Identification Number (NTD ID)

FTA assigns each reporter a unique five-digit NTD ID number, which is to be used in all NTD reports and correspondence. The first digit of the NTD ID corresponds to the FTA

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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 organization. The terms “Reporter Name” and “Agency Name” are used interchangeably. If reporting is required under an FTA grant program, the reporter name must reflect the legal name of the funding recipient. Do not include any names different than the full legal name of the organization, whether the names of divisions, departments, other organizational units, or any branding names, as discussed below under “Doing Business As.” Do not use abbreviations or postal codes in your agency name.

If your organization does not perform the transit service and activities in this NTD report (e.g., you are filling out this report for a subrecipient), enter the full legal name of the organization that performs the transit service and activities in this report. Do not include your organization’s name in the agency name field.

Division or Department Name

If your organization is engaged in other lines of business that are not reportable as public transportation to the NTD, enter the name of the division(s), department(s), or other organizational units providing the public transportation services included in this NTD report. Otherwise, leave this field blank.

If necessary, enter multiple division names as a list separated by commas. For example, if your organization (as reflected in the agency name above) has separate divisions for bus service, rail service, and airports, then enter the names of the bus division and the rail division here, separated by commas.

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 may be *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. This should be the name by which customers know the service.

FTA may use the DBA name in select FTA publications.

Acronym

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

Exhibit 13: Reporter Name and Profile Fields

Example: City of United reports to the National Transit Database to report their transit service. The City of United's transit program falls under to city's public works division and uses "United Transit System (UTS)" for its general public correspondence. How should this agency report its Reporter Name, Division or Department Name, Doing Business As, and Acronym?

Solution: The agency would report the following fields:

Reporter Name: City of United

Division or Department Name: Public Works Division

Doing Business As: United Transit System

Acronym: UTS

Address

Address means the agency's physical address. This should generally represent the CEO's primary office location. Agencies must either indicate an address on line 1, or a P.O. Box address in the P.O. Box field. Agencies may import data from SAM.gov if FTA recognizes the organization in that system using the Unique Entity Identifier (UEID). Consistent with the guidance above, review all such data before submitting to the NTD.

Unique Entity Identifier

The UEID is a number or other identifier used to identify a specific commercial, nonprofit, or Government entity. This is now reported in place of a DUNS number for each unique transit agency reporting to the NTD. See the [U.S. General Services Administration UEID web page](#) for more information.

Federal Transit Administration Recipient Identification Number

The FTA Recipient ID number is the is the four-digit number assigned to your agency for the FTA's Transit Award Management System (TrAMS). If you have a question regarding this number, please contact your agency's grant manager or CEO. Not all NTD reporting agencies will have a Recipient ID 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.

Emergency Contact

Starting in RY 2023, agencies must identify an emergency contact in the NTD online reporting system. Identifying an emergency contact allows agencies to establish a point of contact to facilitate communications with FTA before, during, and after emergency situations. An agency's emergency contact does not have to currently hold an existing NTD system role.

FTA encourages agencies to assign this role to a contact with emergency preparedness or response functions, such as an emergency liaison officer, a facility or building emergency response team member, or a person with similar job functions.

Agencies who contract out their transit services should provide emergency contact information for an employee of the reporting agency. Agencies do not provide emergency contact information for an employee of the contract service provider.

Agencies will certify the accuracy of their emergency contact information each report year during their annual Report Year Kickoff.

Modes and Types of Service (Form P-20)

FTA requires agencies to report most data by Mode and Type of Service (TOS). 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 14: 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)	Ferryboat (FB)
Light Rail (LR)	Jitney (JT)
Monorail/Automated Guideway (MG)	Público (PB)
Streetcar Rail (SR)	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 table provides details on all NTD modes of transit operated by reduced reporters.

NTD Modes of Service for Reduced Reporters

Mode	Explanation
<p>Aerial Tramway (TR)</p> 	<p>Rail: No Fixed Guideway: Yes</p> <p>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 on board the vehicle.</p>
<p>Bus (MB)</p> 	<p>Rail: No Fixed Guideway: Possible</p> <p>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.</p>




Mode	Explanation
<p data-bbox="199 541 548 577">Bus Rapid Transit (RB)</p> 	<p data-bbox="613 338 935 407">Rail: No Fixed Guideway: Yes</p> <p data-bbox="613 436 1321 472">Bus Rapid Transit is a fixed-route bus system that</p> <ul data-bbox="634 510 1424 1056" style="list-style-type: none"> • Operates over 50 percent of its route in a separated right-of-way (ROW) dedicated for transit use during peak periods; • Has defined stations that are accessible for persons with disabilities, offer shelter from the weather, and provide information on schedules and routes; • Uses active signal priority in separated guideway and either queue-jump lanes or active signal priority in non-separated guideway; • Offers short headway,² bidirectional service for at least a 14-hour span on weekdays and a 10-hour span on weekends; and • Applies a separate and consistent brand identity to stations and vehicles.
<p data-bbox="199 1108 505 1144">Commuter Bus (CB)</p> 	<p data-bbox="613 1098 1000 1167">Rail: No Fixed Guideway: Possible</p> <p data-bbox="613 1197 1424 1440">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.</p>



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.

Mode	Explanation
<p>Demand Response (DR)</p> 	<p>Rail: No Fixed Guideway: No</p> <p>Demand response is 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.</p>
<p>Ferryboat (FB)</p> 	<p>Rail: No Fixed Guideway: Yes</p> <p>This mode carries passengers over a body of water.</p>
<p>Jitney (JT)</p> 	<p>Rail: No Fixed Guideway: No</p> <p>Jitney is a unique form of bus service on fixed routes where multiple companies share the operation of the service.</p>
<p>Público (PB)</p> 	<p>Rail: No Fixed Guideway: No</p> <p>Públicos are comprised of passenger vans or small buses operating with fixed routes but no fixed schedules in Puerto Rico. PBs are a privately owned and operated public transit service.</p>

Mode	Explanation
<p>Trolleybus (TB)</p> 	<p>Rail: No Fixed Guideway: Yes</p> <p>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.</p>
<p>Vanpool (VP)</p> 	<p>Rail: No Fixed Guideway: No</p> <p>Vanpool operates as a ride sharing arrangement, providing transportation to a pre-arranged group of individuals. To be considered public transportation, Vanpool programs must</p> <ul style="list-style-type: none"> • Use vehicles with a minimum seating capacity of seven people, including the driver; • Use vehicles for which 80 percent of the yearly mileage 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 <p>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.</p>

⁴ Publicly sponsored service is

- Directly operated by a public entity;

Footnote continued on next page.

Bus and Commuter Bus Services

Some transit agencies operate both MB and 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 an MB service part of a work day and a CB service during the remaining part of the day.

Types of Service

Agencies report four types of service to the NTD:

- Directly Operated (DO)
- Purchased Transportation – General (PT)
- Purchased Transportation – Taxi (TX)
- Purchased Transportation – Transportation Network Company (TN)

Directly Operated Services

Transit agencies report service as DO 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 Types of Service

FTA defines purchased transportation types of 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 purchased transportation when they do not directly operate the service. In these cases, the contractor operates the transit vehicles and provides the transit service.

-
- 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.

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

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 purchased transportation 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 provides 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.

There are three types of purchased transportation services:

- Purchased Transportation – TX
- Purchased Transportation –TN
- Purchased Transportation – PT

Purchased Transportation – Taxi

Purchased Transportation – TX is a special TOS operated through taxicab providers with a system in place to facilitate ride sharing. TX services do not use dedicated vehicles. Voucher Programs are not considered public transportation.

In most cases, when transit agencies contract with taxi companies, the vehicles provide transit trips interspersed with private taxi trips. This is the service model that agencies report as TX TOS. However, occasionally transit agencies contract with taxi companies to provide DR services using a service model in which the taxi vehicles only provide transit trips during the time they are contracted to the transit agency. In this case, the transit agency reports the service as Purchased Transportation – PT TOS.

Purchased Transportation – Transportation Network Company

Purchased Transportation – TN is a TOS provided by a transportation network company on behalf of a public transportation agency using nondedicated vehicles. The service is dispatched by the transportation network company using a mobile application. See [Appendix E](#) for more details on reporting eligibility for this type of partnership.

Purchased Transportation– General

Purchased Transportation – PT is a purchased transportation service that is provided to a public transit agency or governmental unit by a public or private transportation provider and does not meet the definitions of either Purchased Transportation – TX or Purchased Transportation – TN. PT services include all purchased transportation services using dedicated vehicles including those operated by taxi providers. PT services also include purchased transportation services operated by providers who are not taxi providers or transportation network companies and use non-dedicated vehicles.

Full Cost of Service

To report purchased transportation types 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. 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.

Memorandums of Agreement and Memorandums of Understanding

Transit agencies may only 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.

Committing, Starting, and Ending a Mode

Agencies must report the Commitment Date on which the transit agency began applying funds. This indicates when the agency committed 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.

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

General Transit Feed Specification Data (GTFS) for Fixed Route Modes (P-50)

Starting in RY 2023, FTA will require NTD reporters with fixed route modes to create and maintain a General Transit Feed Specification (GTFS) feed. In accordance with the Bipartisan Infrastructure Law, FTA will begin collecting GTFS data for fixed routes as part of a broader effort to collect NTD reporters' geographic service area coverage data.

GTFS is a common format that allows public transit agencies to publish their transit data in a way that most software applications can read.

The GTFS specification enables current and accurate snapshots of transit services that support mobile applications such as mapping and routing services. The requirement applies to the following NTD reporter types:

- Full Reporters
- Urban Reduced Reporters
- Rural Reporters (subrecipients)
- Tribal Reporters

The requirement does not apply to Reduced Asset Reporters nor Group Plan Sponsor Reporters.

Agencies must maintain a public domain GTFS dataset that reflects their fixed route service, as well as a publicly accessible link from which the GTFS dataset can be collected. Specifically, agencies should create and host one or more links containing their GTFS data. Each link must provide a compressed (.zip or “zip”) archive containing at least one copy of each of the required text files listed below under GTFS Data Requirements, covering all fixed route modes.

All links must be persistent (i.e., static), machine readable, and not password protected. The dataset may have multiple links, such as one per mode.

Beginning in RY 2024, applicable NTD reporters will certify via the D-10 Certification Form that their previously submitted web links are up to date. If your fixed route mode experienced service changes during a given fiscal year period, you must reflect those changes in the previous link with the GTFS dataset. Agencies will certify this information on an annual basis in RY 2024 and moving forward.

If an agency demonstrates that hosting a web link is not possible, FTA will accept GTFS zip archive file submissions via the P-50 Form.

Requirements

The GTFS requires that an overarching compressed file contain, at a minimum, six underlying text files. A seventh file is optional but recommended:

- Agency
- Stops
- Routes
- Trips
- Stop Times

Calendar or Calendar Dates

Shapes and Feed Info files (these are optional, but FTA does recommend them as they are useful for geospatial mapping purposes).

Additionally, within each file, some fields are noted as “optional.” Optional fields are recommended in the file(s) mentioned above since they improve the usefulness of the datasets for data users.

Agencies may find more information about the required fields at the [GTFS website](#).

FTA will provide technical assistance via the National Rural Transit Assistance Program (NRTAP) for agencies that lack existing web-hosted GTFS datasets. FTA also recognizes potential barriers that smaller agencies may face in complying with this requirement in RY 2023; thus, agencies may request a one-year waiver for this requirement. If you request a waiver, you must include documentation showing that your agency is pursuing technical assistance for establishing GTFS data. Such documentation may include a written plan with dates and/or milestones that demonstrate how you will comply with the GTFS requirement.

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 as of the end of the fiscal year. The organization type selected must describe the organization listed in the Agency Name field on the P-10 Form. Select the Organization Type that reflects your full organization as listed in the Agency Name field on the P-10 form. The following organization types are 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 are granted the authority 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. This does not include Tribal governments, which have a separate organization type, as described below.

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. This organization includes both State and territorial governments.

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. This organization type is for agencies that are legally incorporated as a nonprofit, separate from the government, as an area agency on aging.

Planning Agency

Planning agencies primarily address short and long-range transportation needs through a cooperative process among local jurisdictions. Examples include Metropolitan Planning Organizations, regional councils, and regional commissions.

Indian Tribe

This organization type is for transit agencies that are federally recognized Indian Tribes or are divisions or departments within a federally recognized Tribal government. 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. With FTA approval, each division or operating district may be granted its own NTD ID. This is generally the case only for very large

transit agencies, when including all operating districts or divisions in one NTD report would be burdensome and would be of limited use to data users. 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.

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. These are typically organizations formed or chartered as separate legally incorporated organizations by one or more State, county, city, or local government. Examples include airports or port authorities.

Private For-Profit Corporation

These reporters operate independently for profit. Select this option if your agency is legally incorporated and operates for profit.

Private Non-Profit Corporation

These reporters do not operate for profit. You would select this option if your agency is a legally-incorporated, not-for-profit corporation that is privately owned. This option does not include organizations legally incorporated under the Older Americans Act of 1973, nor institutes of higher education.

Private Provider Reporting on Behalf of a Public Entity

In rare cases, FTA allows the private seller of service to report to the NTD, rather than the public buyer. Please see the section on Agency Name in the P-10 Form for more information on this option.

Other

If none of the choices fit 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 about 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

Beginning with the 2020 Census, the U.S. Census Bureau no longer distinguishes Urban Areas as either between Urbanized Areas (UZAs) or Urban Clusters. The criteria for Urban Areas for the Census Bureau now include any area that encompasses at least 2,000 housing units or has a population of 5,000 or more. This does not change the Federal statute governing FTA's funding programs, which still defines a UZA as an area encompassing a population of not less than 50,000 people. Federal transit law still makes this distinction to prescribe FTA's distribution of formula grant funding to Urbanized vs. Non-Urbanized Areas. Any area below the 50,000-population threshold is considered a Non-Urbanized Area, or rural area, for FTA's programs. 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 web page](#).

FTA bases UZA designations on the most current census population for each area. The NTD reporting system assigns a unique number to each UZA in the United States. For UZAs in the 50 States and the District of Columbia, FTA uses the Census Bureau's Urban Area Census Code (UACE). FTA also designates the U.S. Virgin Islands and certain areas in Puerto Rico as UZAs. FTA treats the U.S. Virgin Islands as a UZA for purposes of transit grants, pursuant to 49 U.S.C. § 5307(g).

Exhibit 15: Urbanized Areas

Exhibit 22 shows how FTA categorizes all UZAs as large 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. FTA refers to non-urbanized areas as rural areas or non-UZAs.

UZA Designation	Population Size
Non-UZA	< 50,000
Small UZA	50,000 - 200,000
Large UZA	≥ 200,000

All reporters indicate where they provide transit services by UZA and non-UZA. Agencies must designate a Primary UZA when they begin reporting to the NTD. The Primary UZA should represent the UZA in which the agency's transit services are mainly located or the main area that is served by the agency's transit services. Agencies can change this designation by submitting a request through the NTD reporting system.

Agencies must also report any Secondary UZAs. A Secondary UZA is any area outside the Primary UZA where the agency picks up or drops off passengers. Secondary UZAs may include Non-UZAs. Identify the Non-UZA if you provide any service that picks up or drops off passengers outside of the Census-defined Urbanized Areas, even if all of your service data will be allocated to one or more UZAs on your FFA-10 form.

Agencies reporting to the Urban Module should report a UZA as their Primary UZA. Report any non-UZAs served as Secondary UZAs.

Tribal reporters must report the American Indian Areas or Alaska Native Areas recognized by the U.S. Census Bureau where they operate public transit.

Service Area

Service area is a measure of transit service in terms of population served and area coverage (square miles). Any area served by any mode reported by the agency is part of the service area. Note that Rural Reporters do not report these data.

For bus modes subject to the Americans with Disabilities Act (ADA) complementary service 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.

Transit agencies should report service area and population using locally defined criteria regarding ADA complementary service when those criteria exceed the service area definitions just described.

For Demand Response, transit agencies report the entire area that the mode serves.

For modes not covered by ADA complementary service requirements, including Ferryboat and Vanpool (VP), transit agencies determine service area and population using locally defined criteria. Commuter Bus 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 Metropolitan Planning Organization typically estimates population every five to seven

years. Population and area (in square miles) statistics for an urbanized area almost always differ from a transit agency's service area.

Geospatial Data for Demand Response Modes (Form B-15)

Starting in RY 2023, agencies with the following reporter types will report geospatial data for Demand Response (DR) modes:

- Full Reporters
- Urban Reduced Reporters
- Rural Reporter (subrecipient)
- Tribal Reporter

This requirement does not apply to Reduced Asset Reporters nor Group Plan Sponsor Reporters.

FTA will begin collecting geospatial data for non-fixed routes as part of a broader effort to collect NTD reporters' geographic service area coverage data, in accordance with the Bipartisan Infrastructure Law. Agencies submit this data annually on the Geospatial Data for Demand Response Modes (B-15 Form), which contains 10 service-level selections:

1. Do you serve residents in another State besides your State?
2. Select the Counties that you serve, either in whole or in part, where you pick up residents for a new trip origination.
3. Select Census "Places" served in these counties; indicate whether these Places (e.g., Township) are served, and whether these Places are partially or wholly served.
4. Is your demand response service intended to meet the Americans with Disabilities Act (ADA) complementary paratransit requirements for a fixed route system?
5. If yes to #4, is your service area limited to the ADA complementary paratransit distance for:
 - Your own NTD Reporter ID; or
 - Select all those that are not your NTD Reporter ID.
6. Within your service area, do you have different passenger eligibility requirements or different terms and conditions of service?
7. How many days per week do you operate?

8. For each day of the week, what are your hours of operation, and is your service open to:
- Only those persons found eligible for complementary paratransit under the ADA through your local eligibility process?
 - Another specific segment of the population defined by age or disability?
 - The general population?
9. What is the minimum advanced reservation time for your service? Select days or hours.
10. What is the fare charged?

Urban Reduced, Rural, and Tribal reporters can engage reporting assistance through the resources available from the Rural Transit Assistance Program (NRTAP). These agencies may consult with NRTAP and use their tools to assist with training staff and complying with the new reporting requirements.

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. This form is not required for Rural General Public Transit subrecipient types.

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
 - Vehicles Operated in Maximum Service (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 [OE] 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 OE 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 VP, 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 VP provider. This also includes any fees collected from the passengers' employers to provide the VP 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 expenses 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 VP programs, the VP fare includes the capital leasing costs.

For more information on VP 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 “[Financial Data Requirements: Funding Sources \(Form RR-20\)](#)” 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 the Uniform System of Accounts (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 the 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, the 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 16: Relationship of B-30 Data to Other Forms

Data	B-30	RR-20
When there is one B-30 form for a mode/type of service, these data must be equal:	Vehicles Operated in Annual Maximum Service Under Contract for one mode	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 (USOA)

Funding Sources (Form RR-20)

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

What to Report

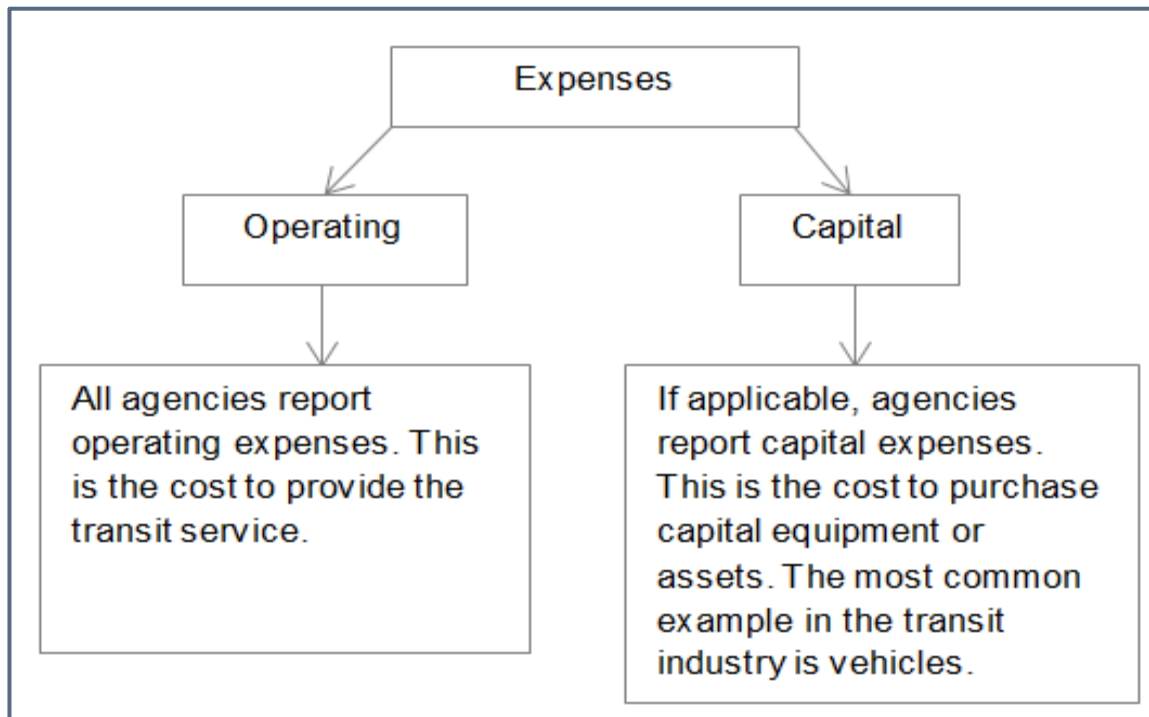


Exhibit 17: Expense Types

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

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). 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 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 cover operating and capital expenses during the year 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 18: 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 reported to the 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 USOA.

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 Generally Accepted Accounting Principles.

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 (preferred method).** 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 Type of Service 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 Directly Operated service, Purchased Transportation – General (PT), Purchased Transportation – Taxi (TX), and Purchased Transportation – Transportation Network Company (TN) 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, TX, and TN 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. However, when a university operates its own transit service, they report funds from student fees as Other Agency Revenues for Full Reporters or Other Directly Generated Funds for Reduced Reporters.

Agencies report Medicaid funding of Non-Emergency Medical Transportation as an Organization-Paid Fare.

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 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 Data Requirements \(Form B-30\)”](#) 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.

When a university operates its own transit service, they report funds from student fees as Other Agency Revenues. In other cases, refer to Organization-Paid Fares.

Revenues Accrued through a Purchased Transportation Agreement

Sellers of PT, TX, and TN service must report the funds they spend from revenues accrued through purchased transportation. It will not include passenger fares for purchased transportation 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 USDOT Grants* or *Other Federal Funds*, as appropriate in the Annual Report. 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 Americans with Disabilities Act (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.

Reporting Costs with Interim Financing Mechanism

Sometimes transit agencies incur costs with the intention to use a Federal grant to pay for the cost. However, if the grant funds have not yet been committed at the time the cost is incurred, the agency finances the cost using other sources of funds and expects to be reimbursed with Federal funds. The NTD requires agencies to report the final source used to pay for the cost, not the interim financing mechanism.

For example, an agency may record expenses against an FTA grant, even though it has not been reimbursed, when the agency has pre-award authority. An agency may also employ this practice if it incurs costs that are covered by a full funding grant agreement with FTA. In both cases, the agency records the final source of funding on the NTD report, as it has high expectations of reimbursement from the program.

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 and Individuals with Disabilities (§5310)

New Programs – Report as Other FTA Funds

- FTA Rail Vehicle Replacement Program
- FTA All Stations Accessibility Program
- FTA Ferry Service for Rural Communities Program

Coronavirus Response and Relief Funds – Report According to Current Program (e.g., CARES Act Urbanized Area Program Funds)

- Coronavirus Aid, Relief, and Economic Security (CARES) Act, (P.L. 116-136)
- Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA) (P.L. 116-260)
- American Rescue Plan (ARP) Act of 2021 (P.L. 117-2)

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 Urbanized Areas (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
- Congestion Mitigation and Air Quality Improvement Program (CMAQ)

- National Highway System
- Construction of Ferry Boats and Ferry Terminal Facilities
- Federal Lands Highways Program
- Transportation, Community, and System Preservation Program
- Coordinated Border Infrastructure Program
- 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 Tribal Transit Program (§5311(j))

FTA dedicates a portion of the §5311 program funds to the Tribal Transit Program (TTP). Federally recognized Tribes may use TTP funds to assist with operating, planning, and capital needs. FTA apportions these funds based on three tiers.

FTA Intercity Bus Program (§5311(f))

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)

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 and 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.

The Moving Ahead for Progress in the 21st Century Act (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 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

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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.

Coronavirus Aid, Relief, and Economic Security Act

The CARES Act provides emergency assistance and health care response for individuals, families and businesses affected by the COVID-19 public health emergency. Some CARES Act funding should be reported as Extraordinary and Special Items instead of CARES Act funds, as described separately in FTA's COVID-19 Reporting Guide. Funds that are provided by the CARES Act but are not Extraordinary and Special Items should be reported as CARES Act funds.

Coronavirus Response and Relief Supplemental Appropriations Act

On December 27, 2020, the CRRSAA, which includes \$900 billion in supplemental appropriations for COVID-19 relief, \$14 billion of which will be allocated to support the transit industry during the COVID-19 public health emergency, was signed into law. Some CRRSAA funding should be reported as Extraordinary and Special Items instead of CRRSAA funds, as described separately in FTA's COVID-19 Reporting Guide. Funds that are provided by the CRRSAA but are not Extraordinary and Special Items should be reported as CRRSAA funds.

American Rescue Plan

The ARP Act, which was signed on March 11, 2021, includes \$30.5 billion in federal funding to support the nation's public transportation systems as they continue to respond to the COVID-19 public health emergency. Some ARP Act funding should be reported as Extraordinary and Special Items instead of ARP Act funds, as described separately in FTA's COVID-19 and NTD Reporting Guide. Funds that are provided by the ARP Act but are not Extraordinary and Special Items should be reported as ARP Act funds.

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 or toll credits. Since these credits are not actually used to cover expenses, the 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, the 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 transit agencies schedule and operate

Service Data for Intercity Bus Subrecipients

A summary of data points required by State Departments of Transportation for Intercity Bus Subrecipients

Non-Reportable Service

A description 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)

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

VRM and VRH are 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. Revenue miles include the distances traveled during running time.

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. Layover includes the time to turn a train around at the end of a line, and the delay time needed to depart at a desired departure time.

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 19: Miles and Hours for Bus (MB, CB, RB) Modes

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
Bus arrives at the end of a route, incurs layover. Passengers cannot board during layover.	Yes	N/A	Yes	N/A

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Activity	Actual Vehicle Hours	Actual Vehicle Miles	Vehicle Revenue Hours	Vehicle Revenue Miles
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) service, 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.

For DR modes operating with Taxi (TX) Type of Service (TOS), generally transit service is only provided when a transit passenger is onboard and at other times is private taxi service. Therefore, agencies must report only the miles and hours when a transit

passenger is onboard as revenue service. When a transit passenger is not onboard, the service is not reportable to the NTD.

Exhibit 20: Miles and Hours for Demand Response Modes

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 lunch at a restaurant.	No	N/A	No	N/A
Vehicle waits at the shopping mall until it is time to bring passengers back to the community center.	Yes	N/A	Yes	N/A
Vehicle returns to the dispatching point with no passengers onboard.	Yes	Yes	No	No
Vehicle transports passengers from a community center to a shopping mall.	Yes	Yes	Yes	Yes
Driver fuels the vehicle at a gas station.	No	N/A	No	N/A
Driver travels to pick up a passenger but the passenger is a no-show.	Yes	Yes	Yes	Yes

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 DR 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 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), 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

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 and PMT. Only Full Reporters report PMT data to the NTD. For these two data points, agencies may provide an estimate but only if the actual 100 percent data are not reliably collected and routinely processed. If an agency collects and routinely processes true UPT or data, it must report the actual data on the Annual Report.

Transit agencies may collect data during the year by using drivers' logs, mobile data terminals, automatic passenger counters (APCs), manual passenger counters, and fareboxes. If a transit agency estimates UPT data, it must adhere to FTA requirements of estimation procedures, as described in the following sections.

100 Percent Counts of Unlinked Passenger Trips

Transit agencies must perform and routinely process reliable 100 percent counts of UPT to report these data. Transit agencies are not required to report these data if either the transit agency does not routinely process these data, or it does not believe that the data are reliable.

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 benchmarking plan every three years. **The next benchmarking year is RY 2025.**

Agencies are required to complete APC certifications on the same triennial cycle regardless of when in the cycle the APC was certified. For example, an APC that is first certified in 2023 must be recertified in 2025.

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 Type of Service (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.

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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 Types of Service

A transit agency may apply one sample method to cover all purchased transportation services for a specific mode, or each purchased transportation 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 Urbanized Area (UZA) and the number of Vehicles Operated in Maximum Service (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 21: Sampling Cycle Requirements

Type of Service	Primary UZA Population	Total VOMS for Modes	100% Count of UPT Conducted?	Mandatory Year
DO	≥ 500,000	≥ 100	Yes/No	Annually
DO	≥ 500,000	< 100	Yes	Triennially
DO	≥ 500,000	< 100	No	Annually
DO	50,000 - 499,999	Any number	No	Annually

Type of Service	Primary UZA Population	Total VOMS for Modes	100% Count of UPT Conducted?	Mandatory Year
DO	50,000 - 499,999	Any number	Yes	Triennially
PT, TN, and TX	≥ 50,000	Any number	Yes	Triennially
PT, TN, and TX	≥ 50,000	Any number	No	Annually

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 2023.**

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

VOMS are 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 22: VOMS

Non-Rail Modes	Demand Response 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 Americans with Disabilities (ADA) requirements and provide complementary paratransit service.

Agencies must report all deviated fixed route services as Bus (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:

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- The volunteer driver is a part of the transit agency's regular service (e.g., the agency schedules the service operated by the volunteer);
- 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, revenue vehicles, 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 include any VRM or UPT data in its 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 or from its last stop to the garage or dispatching point.

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

FTA defines the dispatching point as the location where a driver receives the 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.

FTA may review certain services to determine whether they should be reported as revenue or deadhead.

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 and that are open to the general public. 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. Urban Reporters completing a Full Report must submit monthly safety and security data to the NTD through a separate report package. For more information on safety and security reporting, please refer to the *2023 NTD Safety & Security Policy Manual*, which is available from the [NTD manuals web page](#).

S&S-60 Safety Data Form

Prior to Report Year (RY) 2023, Reduced Urban, Rural, and Tribal Reporters submitted a high-level, annual summary of safety incidents in the annual report. These reporter types submitted three safety data points in the Reduced Reporting (RR-20) form: Total Reportable Events, Total Injuries, and Total Fatalities.

Beginning in RY 2023, FTA will retire the Safety Data section in the RR-20 form and will collect expanded annual safety data in a new, dedicated safety form contained in the annual report, the S&S-60. The following reporter types complete the S&S-60 form:

- Urban Reduced Reporter
- Rural Reporter (subrecipient)
- Tribal Reporter
- Reduced Asset (subrecipient)

Full Reporters continue to submit monthly Safety & Security Reports. Reduced Asset reporters complete abbreviated S&S-60 forms.

The S&S-60 contains three reporting sections: Physical Assaults, Non-Physical Assaults, and All Other Reportable Safety & Security Data.

Assaults on a Transit Worker

The Bipartisan Infrastructure Law amended 49 U.S.C. 5335(c) to require that recipients of a grant under Chapter 53 submit to the NTD “any data on assaults on transit workers of the recipients.” The Bipartisan Infrastructure Law defines an “assault on a transit worker” as:

“[A] circumstance in which an individual knowingly, without lawful authority or permission, and with intent to endanger the safety of any individual, or with a reckless disregard for the safety of human life, interferes with, disables, or incapacitates a transit worker while the transit worker is performing the duties of the transit worker.”

FTA defines “Transit worker” as any employee, contractor, or volunteer working on behalf of the transit agency. Transit worker assault data is useful for understanding risk trends. For instance, reporting assaults based on location (e.g., revenue vehicles versus revenue facilities) may inform stakeholders and data users on how to identify potential mitigations.

Full Urban Reporters began reporting transit worker assault data beginning in calendar year 2023. Urban Reduced, Rural, Tribal, and Reduced Asset reporters will begin reporting transit worker assault data beginning in their annual RY 2023 report.

When reporting transit worker assault data, agencies report based on four location options, and three transit worker options.

The location selections are:

Location	Description
In Transit Vehicle	In or on a transit vehicle.
In Revenue Facility	A facility or an area that a passenger uses to board/deboard from a transit vehicle using a platform, which may include stairs, elevators, escalators, passenger controls, canopies, wind shelters, ticket office or machines, restrooms, or concessions. This includes busway passenger facilities; ferryboat terminals; transportation, transit, transfer centers, park-and-ride facilities, and transit malls with the above components, including those only used by buses; or parking facilities and garages (those immediately adjacent to a transit station or center).
In Non-Revenue Facility	A facility or an area that is not used to enable individuals to board or alight from transit vehicles and that is primarily staffed by transit employees.
Other (e.g., city street)	A location that is not in a revenue or non-revenue facility and is not a transit vehicle. This selection is used to capture events that did not occur in listed locations. For example, a person is pushed into a stationary transit vehicle on the roadway.

The Transit Worker Type selections are:

Transit Worker Type	Description
Operator	An individual who is compensated by the transit agency and whose function is to operate the transit vehicle.
Other Transit Worker (e.g., transit police, station agent, etc.)	An individual other than an operator who is compensated by the transit agency or who is otherwise providing specific services on behalf of a transit agency. Includes transit police, station agents, etc.
Other	An individual that is not a transit worker or operator.

Agencies may optionally provide additional details regarding any reportable assault on a transit worker. Additional details include, but are not limited to: the times of day assaults took place; whether transit vehicles involved in assaults were equipped with anti-assault infrastructure, such as an operator compartment barrier, silent alarm, audio/video surveillance; whether assaults involved physical attacks, verbal harassment, threats of violence, incidences of spitting; whether assaults involved weapons; whether law enforcement responded to assaults; or any other information you choose to report.

Physical Assaults

FTA defines a Physical Assault on a Transit Worker as:

“An assault in which the attack involves physical contact with the transit worker. This could include any physical contact with the victim from the attacker's body, a weapon, a projectile, or other item.”

Transit agencies must identify the count of physical assaults on transit workers based on four location categories:

- Physical Assaults in Transit Vehicle
- Physical Assaults in Revenue Facility
- Physical Assaults in Non-Revenue Facility
- Physical Assaults in Other Location

If an agency has physical transit worker assault data to report, they should first report the Total Event Counts for the fiscal year period for the applicable assault location(s) and designate them as either Major Safety and Security Events or Non-Major Events (non-injury). Major and Non-Major Events are defined below.

After reporting the count summary, agencies then report the total number of physical transit worker assault injuries and fatalities corresponding to the location and transit worker types listed in the tables above for the entire fiscal year period. The definitions for injuries and fatalities for reduced reporters are consistent with previous definitions from the Reduced Reporting RR-20 form and are defined below.

For example, if a transit operator is physically assaulted on a bus, and had to seek medical attention following the assault, the agency would report 1 Physical Assault in Transit Vehicle as a Major Safety and Security Event. The agency would also report 1 Operator Injury in Transit Vehicle. Please note, the form collects counts for the entire fiscal year period. If there are multiple reportable events, the forms should reflect the appropriate count.

Non-Physical Assaults

FTA defines a Non-Physical Assault on a Transit Worker as:

“An assault in which the attack involves no physical contact with the transit worker. This could include threats or intimidation that did not result in any physical contact with the transit worker.”

Transit agencies must identify physical assaults on transit workers based on four location categories:

- Non-Physical Assaults in Transit Vehicle
- Non-Physical Assaults in Revenue Facility
- Non-Physical Assaults in Non-Revenue Facility
- Non-Physical Assaults in Other Location

If an agency has non-physical transit worker assault data to report, they should first report the Total Event Counts for the fiscal year period for the applicable assault location(s) and designate them as either Major Safety and Security Events or Non-Major Events (non-injury). Major and Non-Major Events are defined below.

After reporting the count summary, agencies then report the total number of non-physical transit worker assault injuries and fatalities corresponding to the location and transit worker types listed in the tables above for the entire fiscal year period.

For example, if a transit mechanic is verbally threatened in a non-revenue facility, but the event did not result in an injury or fatality, the agency would report 1 under Non-Physical Assault in Revenue Facility as a Non-Major Event (non-injury). Please note, the form collects counts for the entire fiscal year period. If there are multiple reportable events, the forms should reflect the appropriate count.

All Other Reportable Safety & Security Data

FTA has moved the former “Safety Data” section from the Reduced Reporting RR-20 form to the “All Other Reportable Safety & Security Data” section on the S&S-60 form. The RR-20 form collected summary fatality data, but required a single annual count of fatalities, making fatalities that result from an impact with a bus indistinguishable from other types of fatalities. The section in the S&S-60 form contains expanded categories for reporting major events, any resulting fatalities or injuries, and injuries related to non-major events. Agencies report a count of the following non-assault safety event types:

- Collisions with Pedestrian(s)
- Collisions with Vehicle(s)
- Collisions with Other (e.g., animal, manhole, shopping cart, etc.)
- Other Major Events

If an agency has data to report for any of the above event types, they must assign the event to one of the following categories:

- Major Events
- Fatalities
- Injuries

Agencies must also report injury counts associated with non-major events under Total Reportable Injuries from Non-Major Events.

Safety and Security Reporting Thresholds

The NTD divides Safety Events into two categories: Major Safety Events, and Non-Major Safety Events. For further details and examples, please refer to the [NTD Safety and Security Manual](#).

Major Events

A major reportable event is one that meets any NTD reporting threshold (detailed below), and:

- Occurs at a transit revenue facility, maintenance facility,;
- Occurs on transit right-of-way or infrastructure (the underlying framework or structures that support a public transportation system);
- Occurs during a transit-related maintenance activity; or
- Involves a transit revenue vehicle.

This event reporting requirement does not include:

- Events that occur off transit property where affected persons, vehicles, or objects come to rest on transit property after the event;
- Occupational safety events occurring in administrative buildings;

- Deaths that are confirmed to be a result of illness, drug overdose or other natural causes, outside of a reportable event;
- Other events (assault, robbery, non-transit vehicle collisions, etc.) occurring at bus stops or shelters that are not on transit-owned property-unless the event involves either a transit vehicle or a person boarding/alighting from a vehicle;
 - Bus stops or shelters owned by municipalities or authorities that also operate transit systems are not considered “transit-owned” property (see the most current annual NTD Reporting Policy Manual for more detail distinguishing bus stops from facilities);
- Collisions that occur while transit personnel are travelling to or from a transit-related maintenance activity; and
- Collisions involving a supervisor car or other non-revenue transit service vehicle operating on public roads.

The reporting thresholds for Major Events are:

- 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;
- Estimated 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; meet an injury, fatality, property damage, or evacuation threshold; include suicides, attempted suicides, assaults, or homicides resulting in an injury or fatality that involve contact with a transit vehicle; or includes collisions that do not involve a transit revenue vehicle but meet a threshold;
- Evacuation of a transit facility or vehicle for life-safety reasons.

Fatality

Agencies must always report events that result in fatalities, except those that occur because of illnesses, drug overdoses, or other natural causes (including individuals who are found deceased). For example, if a passenger suffers a fatal heart attack in a transit facility or vehicle, the event is not reportable to the NTD.

An agency must report a fatality due to a reportable safety event if it is confirmed to have occurred within 30 days of the event.

Injury

For all modes, any damage or harm to persons that requires immediate medical attention away from the scene because of a reportable event must be reported as an injury. You must report each person transported away from the scene for medical attention as an injury, whether or not the person appears to be injured. If an individual seeks medical care several hours after an event or in the days following an event, that does not constitute immediate medical transportation away from the scene.

This criterion requires that the individual receive medical attention at a location other than the location at which the event occurred. This distinction serves to exclude minor first aid or other minor medical assistance received at the scene.

When a person receives immediate medical attention away from the event, that individual may seek medical attention through any means of vehicular transport, including by transit vehicle, an ambulance, another emergency vehicle, private vehicle, or via stretcher to the hospital. However, if the person seeks medical attention after leaving the scene on foot, that does not constitute immediate medical transportation away from the scene.

Non-Major Events

Not all events that result in immediate transport for medical attention are reported on the S&S-60 as major events. One exception is for Other Safety Events Not Otherwise Specified (OSONOCs), which are events that are NOT a result of collisions, fires, security events, hazardous material spills, acts of God, or derailments. These events include slips, trips, falls, smoke events, fumes, and electric shock. Only report these events as major events when they meet either the fatality, evacuation, or property damage threshold or result in two or more injured persons.

Other Safety Events that result in one person immediately transported from the scene for medical attention but do not trigger any other major reporting thresholds are reported under Total Reportable Injuries from Non-Major Events on the S&S-60 form.

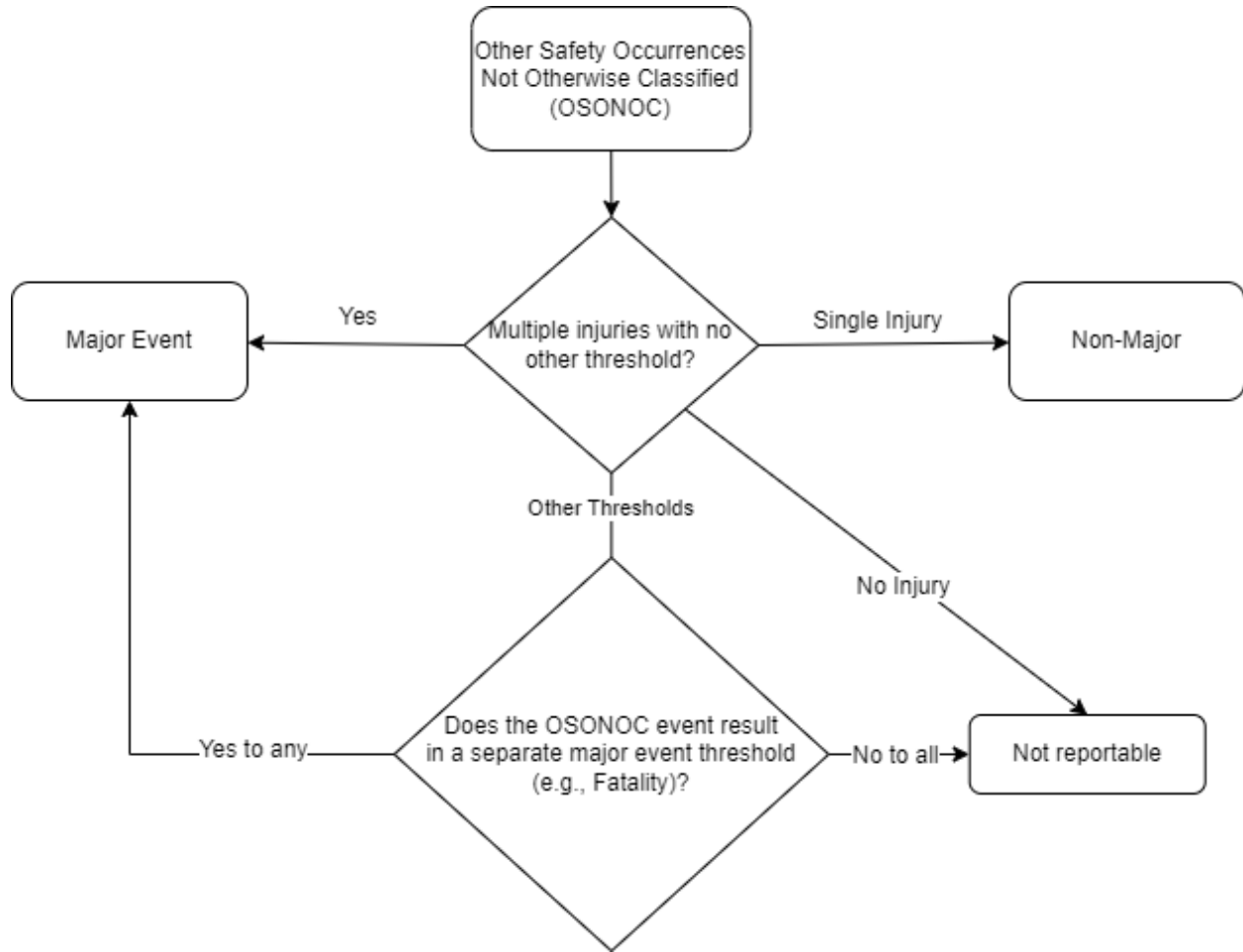


Exhibit 23: Other Safety Event Decision Flowchart

Exclusions

Agencies do not report illnesses that require transport away from the scene for medical attention if the illness is unrelated to an S&S event. For example, a passenger suffering a seizure or a heart attack would not count as an injury. However, a transit operator suffering the same condition is included as an injury if the condition occurred as a result of a collision. For example, if a bus is involved in a collision, and a passenger has a heart attack as a result, then that is a reportable injury.

Individuals who are transported away from the scene for the following reasons are not reportable:

- Solely for mental health evaluation unrelated to a specific reportable event;
- Due to declarations or allegations of self-harm with no evident injury; or
- Solely due to intoxication or drug overdose.

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 achieving a state of good repair for capital assets by submitting condition assessment and performance data. To support TAM planning, the NTD presents this data side-by-side with targets set in the prior year.

The TAM Final Rule defines a performance target as a quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by FTA (in this case, in the next fiscal year). NTD reporters should contact appropriate personnel within their agencies involved in TAM planning to make sure the targets they report are accurate.

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 24: Transit Asset Management Performance Targets: Calculation

Category	What to Report
Rolling Stock	<p>Percentage of revenue vehicles within a particular asset class that are expected⁵ to meet or exceed their Useful Life Benchmark (ULB)</p> <p>Report one target for each vehicle type</p>
Equipment	<p>Percentage of service vehicles that are expected to meet or exceed their ULB</p> <p>Report one target for each vehicle type</p>

⁵ According to 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."

Category	What to Report
Facilities	<p>Percentage of facilities with a condition rating expected to rate below 3.0 on the FTA Transit Economic Requirements Model (TERM) scale (<i>1=Poor to 5=Excellent</i>)</p> <p>Report one target for each facility type (Maintenance/Administration, Passenger/Parking)</p>

Capital Responsibility

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

- The agency owns the asset,
- 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 ULB. 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 ULB. 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.

Performance Measure Calculations

Progress towards these targets will be calculated based on the reporting of the asset categories outlined above. The asset inventory included in each category is further defined later in Exhibit 24. Exhibit 25 outlines the calculation used to generate the actual performance of each asset type.

Exhibit 25: Transit Asset Management Performance Target Inputs

Asset Category	Asset Inventory	Assets for Performance Target (Based on Condition Benchmark)
Passenger Station Facility	All passenger stations and facilities including Stations on right-of-way (ROW), bus terminals, and transfer stations Bus 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 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 (ULB)
Service Vehicles	All service vehicles for which the agency has capital responsibility	All revenue vehicles for which the agency has capital responsibility (ULB)

Exhibit 26: Performance Measure Calculations

Performance Measure	Numerator	Denominator
Rolling Stock	Total dedicated, active vehicles that have met or exceeded the reported ULB with capital responsibility	Total dedicated, active vehicles with capital responsibility and ULB reported
Equipment	Total vehicles that have met or exceeded the reported ULB with capital responsibility	Total vehicles with capital responsibility and ULB reported
Facilities	Total facilities with a rating of a 1 or 2 on the TERM scale, with capital responsibility	Total facilities with a condition assessment reported and with capital responsibility. This does not include facilities with “N/A” reported for their condition assessment

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 meet one of the following requirements:

- 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 and do not own, operate, or manage rail modes.
- 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 TAM plan that is coordinated by a group plan sponsor. In many cases, State Departments of Transportation will serve as group plan sponsors for their subrecipients. Metropolitan Planning Organizations 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 they are 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 (Forms A-10 and A-15)

Transit agencies must report counts of passenger stations on both the A-10 and A-15 form. The station criteria used below applies to reporting facilities on each form. However, counts of Passenger Stations may not agree between these two forms.

Exhibit 26 provides additional guidance for selecting the correct A-10 form (mode) on which to report the station, but as noted, stations may be double counted across A-10 forms. In addition, sections of a larger facility may only be reported once on the A-10 form, while the A-15 allows for multiple subsections of a facility to be reported.

Station Criteria

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

The following are passenger stations:

- All Commuter Rail (CR), Heavy Rail (HR), Hybrid Rail, Monorail/Automated Guideway, and Alaska Railroad rail passenger facilities
- All Light Rail (LR), Cable Car (CC), and Streetcar Rail (SR) passenger facilities that have platforms and/or serve track that is in a separate ROW (not in mixed-street traffic)
- All Ferryboat (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 Bus (MB), Bus Rapid Transit (RB), Commuter Bus (CB), and Trolleybus (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)
- For any station that operates in mixed traffic, a significant structure must be present. This does not include bus shelters. Significant structures are those that are enclosed, or if partially enclosed, should have a minimum roof square footage of 150ft. Examples may include larger canopies or coverings to serve passengers.

Stations and Maintenance Facilities (Form A-10)

Transit agencies report data on

- The number of passenger stations, both accessible and inaccessible, in accordance with the Americans with Disabilities Act (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 (Directly Operated and Purchased Transportation). Transit agencies are not required to report this data for Purchased Transportation – Taxi (TN) and Purchased Transportation – Taxi (TX) types of service.

Passenger Stations – Urban Reporters

This section does not apply to Rural General Public Transit Reporters.

Transit agencies report passenger station information for fixed route, fixed schedule services (rail modes, bus modes, TB, FB, 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 27: Reporting Passenger Stations

Example: Coaster Transit Agency provides MB service to an 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 non-rail modes, report the station in each mode and type of service 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) Inaccessible Stations

Inaccessible 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.

On the A-10 form, a single facility consists of a property on which vehicle maintenance is performed. The facility may contain several structures. This is different from the A-15 form, which has its own rules about how to count facilities.

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. 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 (DO or PT).

For DO 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 PT 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.

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 28: Facility Size

Example: 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: 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 MB and DR 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 29: Shared General-Purpose Maintenance Facilities

Example: CTA uses one of its general-purpose maintenance facilities for both MB and DR/DO services and the DR/PT service. How should the CTA report maintenance facilities?

Solution: 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. Facilities must have a structure; empty lots used for storage are not reportable.

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.
 - Reconstructed as New: occurs when an old facility has been renovated to the degree that its expected useful life is equivalent to the condition and useful life of a new facility. A facility that has just been reconstructed as new should a rating of 5 on FTA's TERM scale, even if no explicit condition assessment has been performed.
- 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).
 - Parking spaces are only reportable for facilities with a Facility Type of Parking Structure or Surface Parking Lot.
 - 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 MB and DR vehicles but predominantly handles buses, then classify the facility as a MB maintenance facility. If a facility is shared with a private mode or non-public transportation service, these should also be reported.

Report a secondary mode for a passenger station when a capital cost was incurred in the construction of the station to accommodate the secondary mode. For example, for a rail station with off-street space for buses to load and unload passengers, report the bus mode as a secondary mode. If there is only a simple bus stop on the street near the station, do not report a secondary mode.

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 more than one public transit mode operated by the reporting agency or another public transit agency, OR if it serves both a public transit and private mode, as defined in the table below.

Exhibit 30: 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 intercity passenger rail service (typically Amtrak). Shared space may include platforms, passenger waiting areas and ticket vending locations.

Mode	Example
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.

Non-Agency Mode

The non-agency mode field is intended for use in cases when an agency has capital responsibility for a facility and continuing reporting requirements but does not operate public transit service using the facility. The agency will select the mode that the facility serves, which is operated by another entity.

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.

Different buildings on a single property should not be reported as subsections of a larger facility. Each building is one facility. 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 31: Administrative and Maintenance Facility Types

Administrative or Maintenance Facility Type	Facility Type Description
<p>Maintenance Facility (Service and Inspection)</p>	<p>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.</p> <p>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.</p> <p>Personnel inspect, repair, or replace some, but not all, vehicle components during the following activities:</p> <ul style="list-style-type: none"> • Clean interiors • Maintain cameras • Fill/replace fluids and lubricants • Replace filters • Replace/repair tires • Inspect suspensions and brakes • Inspect batteries, wheelchair lifts and ramps • Degrease engines • Perform minor body repairs and painting <p>Revenue vehicles may be stored overnight or between being placed into revenue service.</p>

Administrative or Maintenance Facility Type	Facility Type Description
Heavy Maintenance and Overhaul (Backshop)	<p>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:</p> <ul style="list-style-type: none"> • Engines, transmissions, or axles • Fareboxes, radios, and other electronics • Starters, alternators, and brake system components • Chassis parts and seats • Bearings
General Purpose Maintenance Facility/Depot	<p>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.</p>
Vehicle Washing Facility	<p>Stand-alone building or structure containing vehicle washer equipment.</p>
Vehicle Blow-Down Facility	<p>Stand-alone building or structure containing equipment for cleaning under-floor equipment of rail rolling stock.</p>
Vehicle Fueling Facility	<p>Stand-alone building or structure containing vehicle fuel dispensing equipment.</p>
Vehicle Testing Facility	<p>Maintenance facility used for vehicle acceptance testing (after being received from manufacturer or overhauls or other maintenance activity).</p>

Administrative or Maintenance Facility Type	Facility Type Description
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	<p>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:</p> <ul style="list-style-type: none"> •Cameras and Closed-Circuit Television (CCTV) •Cash box repair areas •Alarm systems •Computerized probe for downloading e-transactions on GFI farebox •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.
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-and-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.




Except for Parking Structure or Surface Parking Lot, all other passenger facilities must meet the station criteria outlined in this manual. Please refer to the “[Asset Inventory Data Requirements: Transit Agency Facilities](#)” section for further detail on criteria for specific modes.

Exhibit 32: Passenger and Parking Facility Types

Passenger or Parking Facility Type	Facility Type Description
<p data-bbox="203 653 513 684">Bus Transfer Center</p> 	<p data-bbox="769 653 1419 1125">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 MB, but may be connection hub for bus, CB, 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.</p>

Passenger or Parking Facility Type	Facility Type Description
<p>Elevated Fixed Guideway Station</p> 	<p>Station located above grade built on a viaduct, a steel or concrete structure, or on retained fill.</p> <p>Steel and reinforced concrete components in elevated structure can include:</p> <ul style="list-style-type: none"> • Foundation • Piers • Retaining Walls • Beams • Stringers • Bearing pads • Expansion joints <p>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.</p>
<p>At-Grade Fixed Guideway Station</p> 	<p>Station located at street grade along a transit exclusive ROW. May include pedestrian overpasses to allow passengers to reach station.</p>

Passenger or Parking Facility Type	Facility Type Description
<p>Underground Fixed Guideway Station</p> 	<p>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.</p> <p>Stations typically include sump pumps, ventilation systems, and lighting systems.</p>
<p>Simple At-Grade Platform Station</p> 	<p>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.</p>
<p>Exclusive Platform Station</p> 	<p>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).</p> <p>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.</p>

Passenger or Parking Facility Type	Facility Type Description
<p>Ferryboat Terminal</p> 	<p>Terminal station where passengers may board or alight from the ferryboat. Terminals may include canopies or shelters, lighting, and signage.</p>
<p>Surface Parking Lot</p> 	<p>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.</p>
<p>Parking Structure</p> 	<p>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.</p>
<p>Other</p>	<p>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.</p>

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 Transit Economic Requirements Model (TERM) scale. The scale is based on five values for assets:

Exhibit 33: 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 a state of good repair.

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 only report condition assessments that occurred during the fiscal year being reported on.

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 RY 2023, agencies must update any condition assessments conducted over four years ago. For group TAM plans, this applies to the group as a whole and not to individual participants.

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 are used in 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)

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.

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 Plane 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 (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 SVs 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 SVs have three rows of seats with a cargo area directly behind the last row of seats. Compact SVs and mini SVs may have five or fewer seats.

Trolleybus (TB) is a rubber-tired, electrically powered passenger vehicle 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 or a replica of this type of rail car built more recently. The vehicles are typically operated in mixed traffic ROW but may also operate on exclusive ROWs.

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 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

Transit agencies add vehicles to the inventory of Total Vehicles the first year they are used in transit service. 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. Because the number of active vehicles includes spares, the number of active vehicles is typically greater than the number of Vehicles Operated in Maximum Service.

Exhibit 34: Active and Inactive Vehicles

Vehicle Inventory	Total Vehicles	Active Vehicles	Inactive Vehicles	Contingency
Vehicles in Service	X	X	-	-
Spare Vehicles	X	X	-	-
Vehicles in Routine Maintenance/Minor Repairs	X	X	-	-
Vehicles in Rehabilitation/Major Repairs	X	-	X	-
Vehicles Awaiting Sale	X	-	X	-
Vehicles in Storage	X	-	X	-
FTA-Approved Contingency Vehicles	X	-	-	X
Vehicles Being Cannibalized for Parts	-	-	-	-
Vehicles Sold During Fiscal Year	-	-	-	-

Vehicle Inventory	Total Vehicles	Active Vehicles	Inactive Vehicles	Contingency
Support Vehicles and Supervisor Vehicles	-	-	-	-
New Vehicles not yet in Service	-	-	-	-

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

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 TN and TX types of 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 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 35: Year of Manufacture vs. Model Year

Example: A fleet of 20 buses is manufactured in 2022. The model year of the 20 buses is 2023. What is the year of manufacture for purposes of NTD reporting?

Solution: Report the year of manufacture as 2022 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 and 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 life cycle 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 36: 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
Cutaway Bus (CU)	10
Double Decker Bus (DB)	14
Ferryboat (FB)	42
Heavy Rail Passenger Car (HR)	31
Inclined Plane Vehicle (IP)	56

Vehicle Type	Default ULB (in years)
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
Sports Utility Vehicle (SV)	8
Trolleybus (TB)	13
Aerial Tramway (TR)	12
Van (VN)	8
Vintage Trolley (VT)	58

Fuel Type

Agencies report fuel types for both Dedicated and Non-Dedicated fleets. Common fuel types include traditional fuels, such as:

- Diesel
- Gasoline

Fuel types also include alternative fuels, such as:

- Compressed natural gas,
- Electric battery,
- Ethanol,
- Liquefied petroleum gas (propane),
- Liquefied natural gas,
- Kerosene,
- Biodiesel,
- Bunker fuel,

- Hydrogen cell, and
- Methanol.

If none of the energy choices are appropriate, you must select Other Fuel (OR). If you select OR, use the text box in the form to describe what type of energy the revenue vehicles use.

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 automated or autonomous vehicle is “a vehicle that can itself perform all driving tasks and monitor the driving environment in certain circumstances.”

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 is not the model.

Exhibit 37: 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 year-end. Average lifetime miles always begin with the original date of manufacture, even if an agency has rebuilt a vehicle.

Exhibit 38: Total Miles and Average Lifetime Mileage per Active Vehicle

Example: A transit agency operates MB service with a fleet of 8 vehicles. The odometer/hubometer readings for each vehicle and the vehicle status at fiscal year-end (FYE) 2023 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 2022 Fiscal Year-End	Odometer Reading at 2023 Fiscal Year-End	Mileage During 2023 Fiscal Year	Status at 2023 Fiscal Year-End
1	35,005	72,188	37,183	In revenue operation
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 2023 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: $(72,188 + 98,442 + 190,290 + 79,676 + 60,045) / 5 \text{ vehicles} = 100,128 \text{ miles}$

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

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. Agencies must only report service vehicles for which they have capital replacement responsibility. Transit agencies are required to report data on service vehicles, or vehicles which do not carry passengers.

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 forklifts 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, including station wagons. Excludes SUVs (crossovers and traditional SUVs), vans, minivans, and pickup trucks. Trucks and other rubber-tired vehicles — A self-propelled motor vehicle designed for the transportation of property or special purpose equipment or passengers., This vehicle category includes heavy-duty rubber-tired vehicles as well as pickup trucks, vans, SUVs (crossovers and traditional SUVs), and minivans.

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

ULB is the expected life cycle 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 39: 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)

The U.S. Census Bureau released the new Urban Area (UA) definitions and detailed UA boundary maps in December 2022 based on the 2020 Census data. Report Year (RY) 2022 was the first year that agencies have used the 2020 Census data in NTD reporting. All agencies reporting to the NTD must use the most recent Census Area designations; by law, FTA must collect and use the most recent Urbanized Area (UZA) data for each year's formula funding apportionments.

Allocations for RY 2022 and onward should reflect service according to 2020 Census geographies and current NTD Serve Rules.

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:

- Unlinked Passenger Trips (UPT)
- Vehicle Revenue Miles (VRM)
- Vehicle Revenue Hours (VRH)
- Operating Expense (OE)

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 \(Form RR-20\)”](#) 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.

FTA 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.

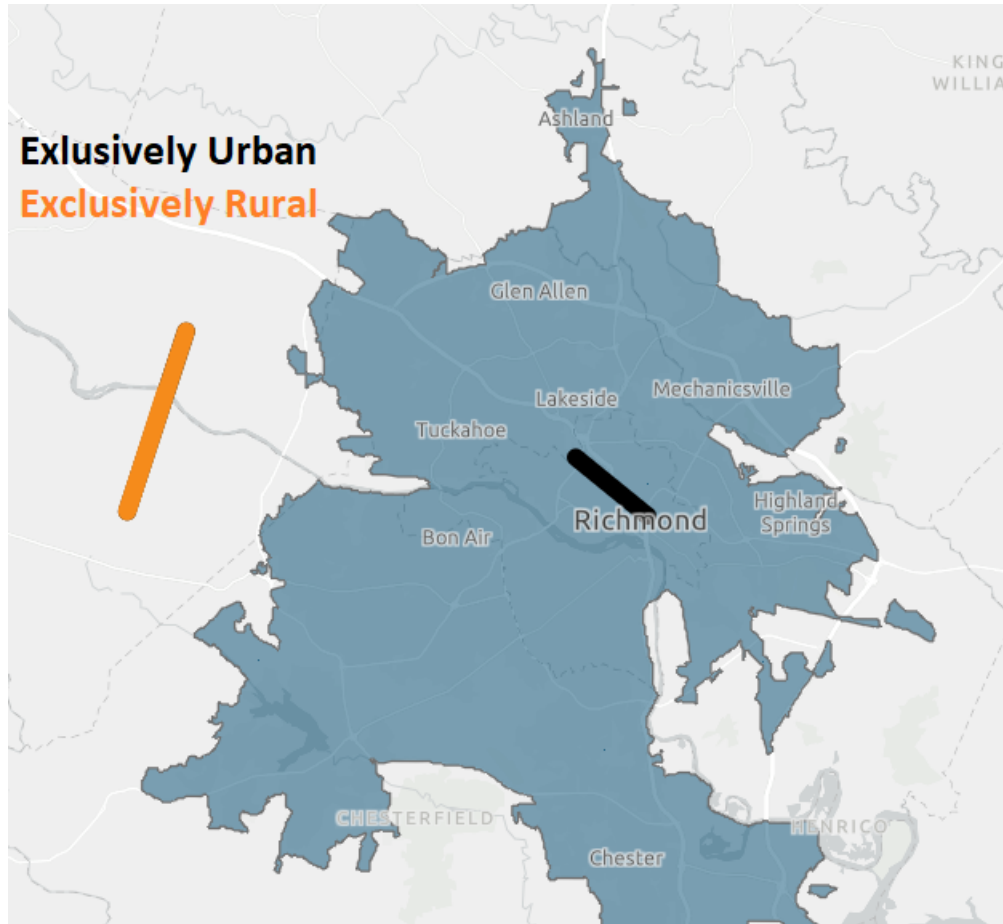
The following exhibits use images from the FTA Census Map. The Census Bureau uses the abbreviation “UA” to signify urbanized areas, while UZAs are those UAs over 50k in population per 49 U.S.C 5302. UZAs are dark and light blue based on UZA size, rural areas are grey, and teal lines designate UZA boundaries.

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 40: Service in One Area

Exclusive Urban or Rural Service: A trip occurs entirely within one urbanized area (exclusively urban) or entirely outside of one urbanized area (exclusively rural).



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

Serving Multiple Areas

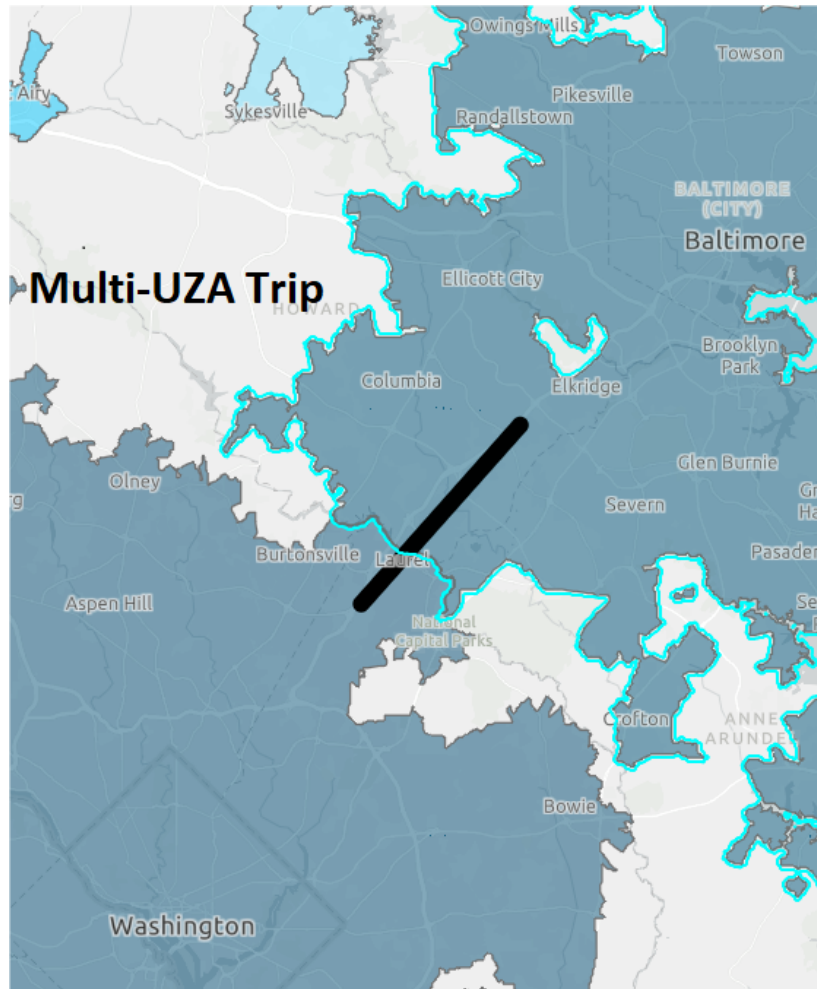
If a transit service serves two or more urbanized or rural areas, then the transit agency has two reporting options:

- 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 allocation method.

**Exhibit 41: Service in Two Areas: Urbanized Area to Urbanized Area
(Multi-UZA Trip)**

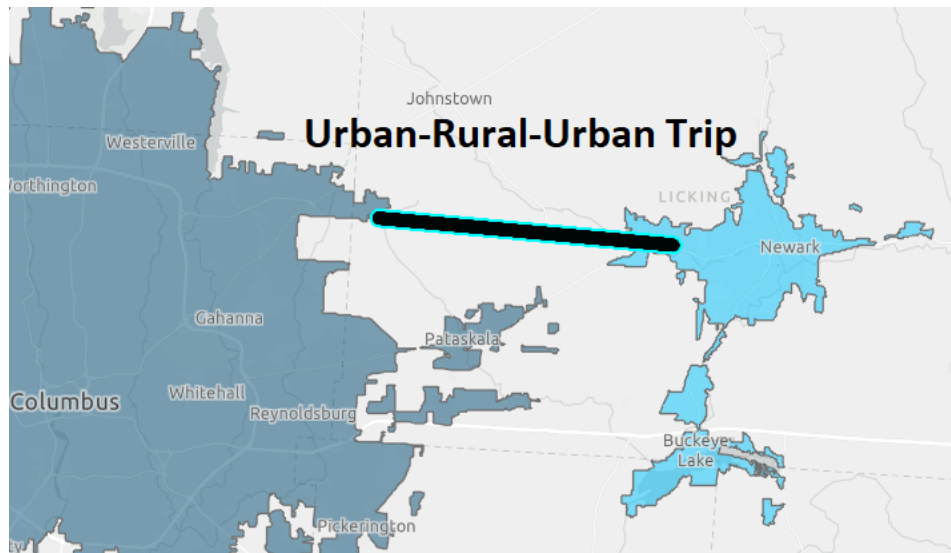
Example: One trip end is in the Washington urbanized area and the other trip end is in the Baltimore urbanized area.



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

Exhibit 42: 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). Allocation of service is based upon two criteria:

1. How the service is used, and
2. How the service is funded.

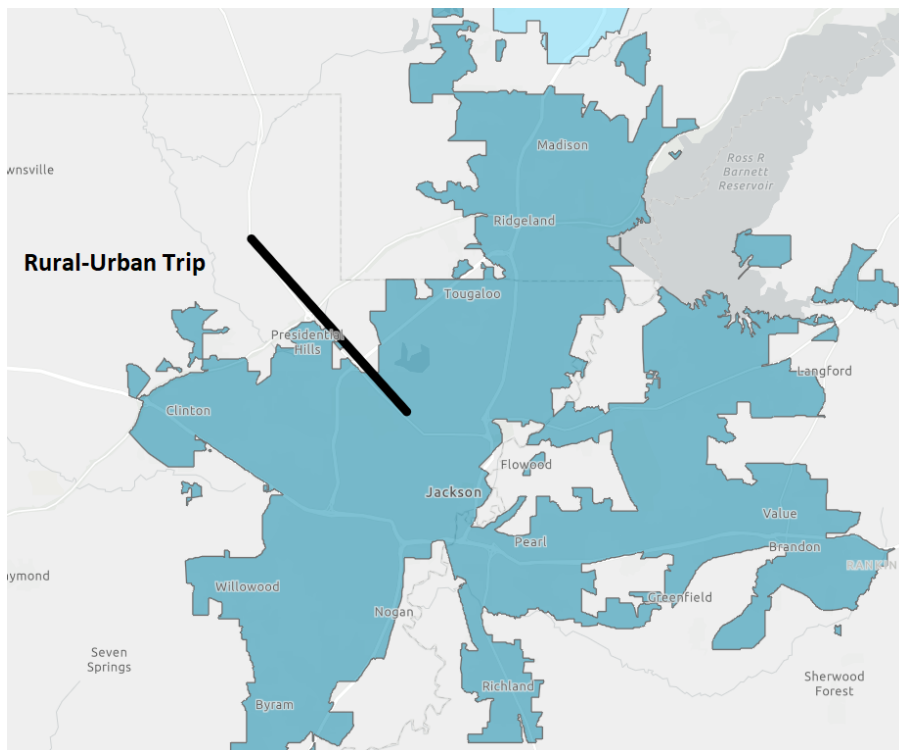
If a portion of the service is used by riders boarding in a rural area and disembarking in a rural area, then you must allocate a portion of the service to that rural area using a reasonable method based on the percentage of the service used to travel within a rural area relative to the total service. Likewise, if a portion of the service is used by riders boarding in an urban area and disembarking in that urban area, then you must allocate a portion of the service to that urban area using a reasonable method based on the percentage of the service used to travel within the urban area relative to the total service.

During NTD report years in which a new census dataset is released (e.g., 2020 Census Data being released in RY 2022), agencies must allocate data according to new UZA/non-UZA areas they serve. This may not align with the funding sources previously awarded,

used for the service. For example, if an agency that primarily uses §5311 is located within an Urbanized Area per the census designation, the agency should allocate data according to which area was served.

The remainder of the service will be composed of those passengers boarding in a rural area and disembarking in an urban area, or vice versa. For services supported by either rural (e.g., §5311) operating or capital assistance, and no §5307 operating funding, you must report the remainder of the service entirely to the rural area. If §5307 capital assistance is used in combination with §5311 operating or capital assistance, you must report the remainder of the service entirely to the rural area. For services supported by both §5311 rural grants (operating or capital) and §5307 urban operating assistance, you must allocate the remaining service data to the urban and rural areas in proportion to the urban and rural operating funding applied to the service.

Exhibit 43: Service in Two Areas: Urban and Rural Trips



Example 1: One trip end is in a UZA and the other trip end is in a rural area. The agency expends both §5311 and §5307 funding for operations.

Solution 1: The agency must allocate data to the urbanized and rural areas using the proportion of §5311 and §5307 operating funds that the agency used to provide the service.

Example 2: One trip end is in a UZA and the other trip end is in a rural area. The agency expends only §5307 funding for operations.

Solution 2: The agency may either allocate to the area primarily served or allocate between the areas.

Commuter Service Federal Funding Allocation

Intercity Service

Intercity service is not attributable to a UZA. 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 a UZA may be attributable to that UZA.

Reporting Allocation Methods

Transit agencies may use the following methods to allocate Federal funding data among multiple urbanized and rural areas:

- Actual Data
- VRM, 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 VRM 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 an alternative method of data allocation, which is termed “Other.” Transit agencies must provide documentation that demonstrates reasonableness 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 requirements for the Annual Report Chief Executive Officer (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 requests that transit agencies may submit to the NTD

CEO Certification (Form D-10)

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 44: 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 (UPT) 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

Note: This section reviews the transit agency/CEO role in procuring and submitting the Independent Auditor Statement for Financial Data (IAS-FD). For details about the auditor role/procedure, see the section [IAS-FD Independent Auditor Requirements](#).

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 and approved by FTA, 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 UPT for NTD reporting. **Report Year 2025 is the next mandatory recertification year for agencies that are using APCs.**

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.”

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”](#) 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. If possible, the transit agency should propose an alternative method for estimating the affected data.

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 UZA 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 Small Transit Intensive Cities (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 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 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

FTA requires that an independent auditor review certain reporter types and provide an IAS. An IAS is a letter that an official representative from an independent public accountant 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. FTA does not allow agencies to use an audit from the Office of Management and Budget 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. 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.

Auditors must state in the IAS-FD if they find 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 Uniform System of Accounts (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](#). 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 Disaster 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 an extension of the annual report deadline (e.g., extend the annual report deadline of October 31 to November 30). Typically, FTA 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.

Apportionment Data Adjustment Requests

FTA may make adjustments to data in the apportionment to offset negative events (described below) that affected a transit agency's data during the year. These adjustments are not automatic; a transit agency must make a request to receive an adjustment.

If FTA approves an adjustment request, a transit agency must still file the Annual Report and report actual data for the year. FTA would make the 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
- Estimates of the impacts of the lost service on the data items used in the apportionment.

Disaster Adjustment

If a transit agency suffers a significant decrease in transit service due to a natural or person-made disaster, the agency or the designated recipient for the urbanized area may make a disaster adjustment 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.

If FTA grants the request, it will apportion funds based on the agency's prior report year Annual Report. The request should indicate that it is requesting FTA to make this apportionment adjustment.

FTA grants a disaster adjustment request for one year only. If a natural disaster extends across two report years, separate requests for each report year must be submitted for approval.

Appendix A: INDEPENDENT AUDITOR'S STATEMENT FOR FINANCIAL DATA TEMPLATE

Instructions: *The Independent Auditor Statement for Financial Data (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:]

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- 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

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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.	CMC	Champion Motor Coach Inc.
ABI	Advanced Bus Industries	CMD	Chevrolet Motor Division — GMC
ACF	American Car and Foundry Company	CVL	Canadian Vickers Ltd.
ACI	American Coastal Industries	DAK	Dakota Creek Industries, Inc.
AEG	AEG Transportation Systems	DER	Derecktor
AII	American Ikarus Inc.	DIA	Diamond Coach Corporation (formerly Coons Mfg. Inc./CMI)
ALL	Allen Marine, Inc.	DKK	Double K, Inc. (form. Hometown Trolley)
ALX	Alexander Dennis Limited	DMC	Dina/Motor Coach Industries (MCI)
AMD	AMD Marine Consulting Pty Ltd	DTD	Dodge Division — Chrysler Corporation
AMG	AM General Corporation	DUC	Dutcher Corporation
AMT	AmTran Corporation	DUP	Dupont Industries
ARB	Arboc Mobility LLC	EBC	EIDorado Bus (EBC Inc.)
ASK	AAI/Skoda	EBU	Ebus, Inc.
ATC	American Transportation Corporation	EDN	El Dorado National (formerly El Dorado/EBC/Nat. Coach/ NCC)
AZD	Azure Dynamics Corporation	EII	Eagle Bus Manufacturing
BBB	Blue Bird Corporation	ELK	Elkhart Coach (Division of Forest River, Inc.)
BFC	Breda Transportation Inc.	FDC	Federal Coach
BLN	Blount Boats, Inc.	FIL	Flyer Industries Ltd (aka New Flyer Industries)
BOM	Bombardier Corporation	FLT	Fixette Corporation
BOY	Boyertown Auto Body Works	FLX	Flexible Corporation
BRA	Braun	FRC	Freightliner Corporation
BRX	Breaux's Bay Craft, Inc.	FRD	Ford Motor Corporation
BYD	Build Your Dreams, Inc.	FRE	Freeport Shipbuilding, Inc.
CBC	Collins Bus Corporation (form. Collins Industries Inc./COL)	FSC	Ferrostaal Corporation
CBW	Carpenter Industries LLC (form. Carpenter Manufacturing Inc.)	GCC	Goshen Coach
CCC	Cable Car Concepts Inc.	GCA	General Coach America, Inc.
CCI	Chance Bus Inc. (formerly Chance Manufacturing Company/CHI)	GEO	GEO Shipyard, Inc.
CEQ	Coach and Equipment Manufacturing Company	GIL	Gillig Corporation
CHA	Chance Manufacturing Company	GIR	Girardin Corporation
CHR	New Chrysler		

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GLF	Gulf Craft, LLC	OBI	Orion Bus Industries Ltd. (formerly Ontario Bus Industries)
GLH	Gladding Hearn	OCC	Overland Custom Coach Inc.
GLV	Glaval Bus	OTC	Oshkosh Truck Corporation
GMC	General Motors Corporation	PCI	Prevost Car Inc.
GML	General Motors of Canada Ltd.	PLY	Plymouth Division-Chrysler Corp.
GOM	Gomaco	PRO	Proterra, Inc.
HMC	American Honda Motor Company, Inc.	PST	Pullman-Standard
HSC	Hawker Siddeley Canada IKU — Ikarus USA Inc.	PTE	Port Everglades Yacht & Ship
HYU	Hyundai Rotem	RIC	Rico Industries
INT	International	SBI	SuperBus Inc.
IRB	Renault & Iveco	SHI	Shepard Brothers Inc.
KIA	Kia Motors	SCC	Sabre Bus and Coach Corp. (form. Sabre Carriage Comp.)
KKI	Krystal Koach Inc.	SPC	Startrans (Supreme Corporation)
MAN	American MAN Corporation	SPR	Spartan Motors Inc.
MBZ	Mercedes Benz	SSI	Stewart Stevenson Services Inc.
MCI	Motor Coach Industries International (DINA)	STE	Steiner Shipyards, Inc.
MDI	Mid Bus Inc.	STR	Starcraft
MER	Ford or individual makes	SUB	Subaru of America or Fuji Heavy Industries Ltd.
MNA	Mitsubishi Motors; Mitsubishi Motors North America, Inc.	SUL	Sullivan Bus & Coach Limited
MOL	Molly Corporation	SVM	Specialty Vehicle Manufacturing Corporation
MTC	Metrotrans Corporation	TBB	Thomas Built Buses
MVN	Mobility Ventures	TEI	Trolley Enterprises Inc.
NAB	North American Bus Industries Inc. (form. Ikarus USA Inc./IKU)	TMC	Transportation Manufacturing Company
NAT	North American Transit Inc.	TOU	Tourstar
NAV	Navistar International Corporation (also known as International/INT)	TOY	Toyota Motor Corporation
NBB	Nichols Brothers Boat Builders	TRN	Transcoach
NBC	National Mobility Corporation	TRT	Transteq
NCC	National Coach Corporation	TRY	Trolley Enterprises
NEO	Neoplan - USA Corporation	TTR	Terra Transit
NFA	New Flyer of America	TTT	Turtle Top
NIS	Nissan	VAN	Van Hool N.V.
NOV	NOVA Bus Corporation	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: AUTOMATIC PASSENGER COUNTER 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 Automatic Passenger Counter (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 2025

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- 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 Unlinked Passenger Trips (UPT) in the sample
- The total APC-collected UPT in the sample
- The total manually collected Passenger Miles Traveled (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): _____

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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 Department of Transportation), 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 SERVICES & NATIONAL TRANSIT DATABASE REPORTING

If your agency reports to the NTD and contracts with a Transportation Network Company (TNC) for on-demand, [shared mobility service](#), you may be able to include data for this service in your NTD report under the Transportation Network Company (TN) type of service. 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.”⁶

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](#).

⁶ 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. The operator cannot cap the size of a party at less than the capacity of the vehicle. 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?

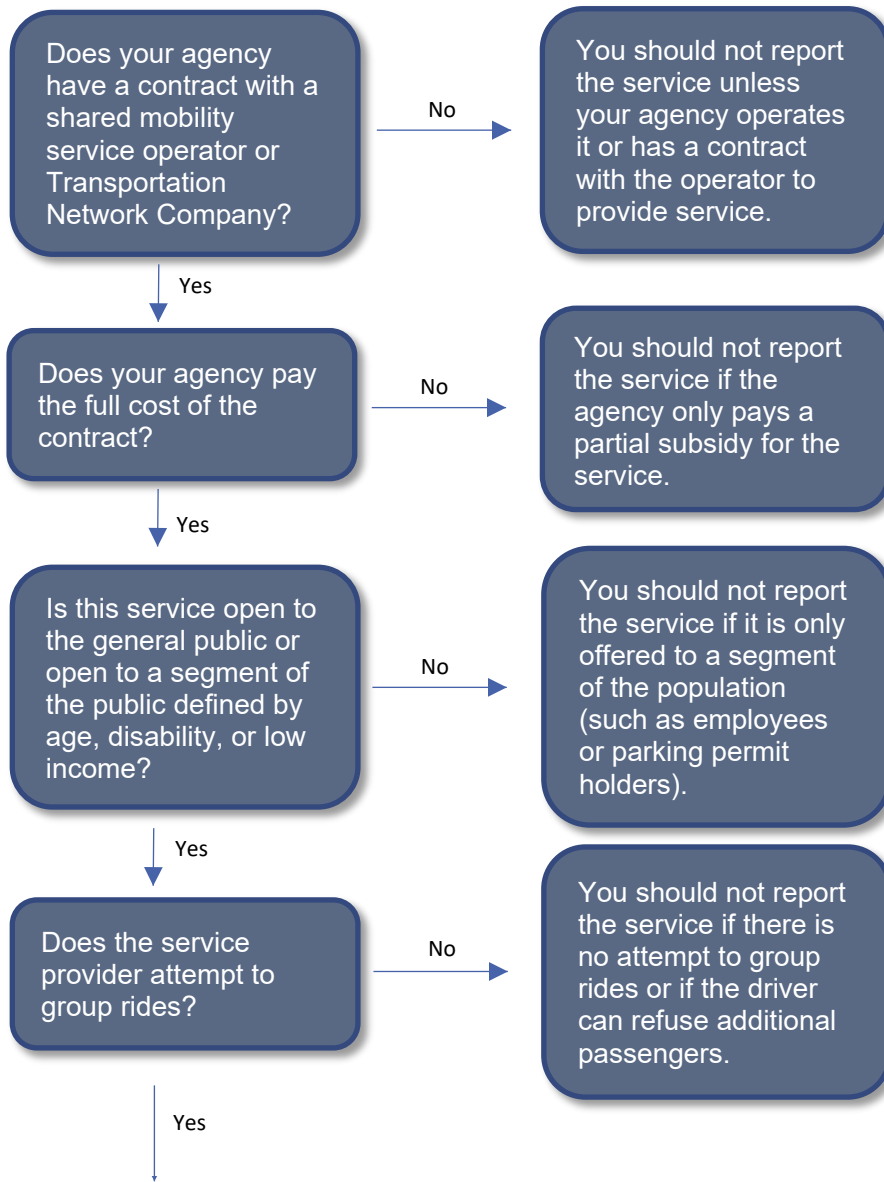
“Regular and continuing” refers to service that operates on a schedule during specified hours during the week and weekend. Services that operate on an ad hoc basis (e.g., only for special events) are not regular and continuing. Time-limited pilot projects are not regular and continuing either.

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, Vehicle Revenue Miles, Vehicle Revenue Hours, 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.



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.
- The operator cannot cap the size of a party at less than the capacity of the vehicle

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.