2011 Annual Reporting Manual

NTD
National Transit Database
Federal Transit Administration

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Introduction

This section provides an overview of the National Transit Database (NTD) reporting requirements, including the following:

What is the National Transit Database?

This section provides the legislative basis for the NTD reporting system.

Reporting Manuals and Modules

This section describes the individual data modules and their specified reporting manual.

FY 2011 Annual Reporting Changes and Clarifications

This section summarizes the changes in reporting requirements implemented in the 2011 NTD.

Who Reports, What to Report, How to Report, When to Report, and Where to Report

This section provides answers to basic reporting questions.

New Reporters

This section discusses the unique requirements for transit agencies completing their first NTD report.

Reference Information

This section presents key definitions as well as reference resources and publications for further detail on issues related to reporting.

What is the National Transit Database?

The NTD was established by Congress to be the Nation's primary source for information and statistics on the transit systems of the United States. Recipients or beneficiaries of grants from the Federal Transit Administration (FTA) under the Urbanized Area Formula Program (§5307) or Other than Urbanized Area (Rural) Formula Program (§5311) are required by statute to submit data to the NTD. Over 750 transit providers in urbanized areas currently report to the NTD through the Internet-based reporting system. Each year, NTD performance data are used to apportion over $5 billion of FTA funds to transit agencies in urbanized areas (UZAs). Annual NTD reports are submitted to Congress summarizing transit service and safety data.

The legislative requirement for the NTD is found in Title 49 U.S.C. 5335(a):

> SECTION 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 of Transportation shall maintain a reporting system, using uniform categories to accumulate public transportation financial and operating 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.

The NTD reporting system evolved from the transit industry-initiated Project FARE (Uniform Financial Accounting and Reporting Elements). Both the private and public sectors have recognized the importance of timely and accurate data in assessing the continued progress of the nation's public transportation systems.

Funding for Transit Agencies Serving Urbanized Areas under 200,000 Population

NTD data are used in the formula allocation of Federal transit funds for the Urbanized Area Formula Program (§5307) and for the Fixed Guideway Modernization Program (§5309, in part). The NTD data are also used in the formula allocations of Federal transit funds. Prior to the Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), only NTD data for urbanized areas with populations of 200,000 or more were used. With the passage of SAFETEA-LU, NTD data for urbanized areas with populations fewer than 200,000 are also used in the allocation of Federal transit funding.

SAFETEA-LU provides for one-percent of the funds in the Section 5307 to be allocated according to the Small Transit Intensive Cities (STIC) formula. Under the formula for STIC, funds are apportioned to UZAs with populations less than 200,000 that meet or exceed the average level of service for all UZAs with populations between 200,000 and 1,000,000. Three of the average level of service measurements in the formula allocation rely on passenger mile data. Because transit agencies in these smaller UZAs also depend on the data reported to the NTD for formula funding, following the 2008 mandatory sampling year for all transit agencies, those transit agencies not required to sample annually will be required to sample every three years. There will no longer be a five-year cycle.

SAFETEA–LU also establishes new Growing States and High Density States formula factors (§5340) to distribute funds to the §5307 and §5311 programs. One-half of the funds are made available under the Growing States factors and are apportioned by a formula based on state population forecasts for 15 years beyond the most recent Census. Amounts apportioned for each state are then distributed between UZAs and nonurbanized (non-UZAs) areas based on the ratio of UZA / non-UZA population within each State. The High Density States factors distribute the other half of the funds to states with population densities in excess of 370 persons per square mile. These funds are apportioned only to UZAs within those states.

For more information on SAFETEA-LU, contact your regional administrator or go to www.fta.dot.gov.

Reporting Manuals and Modules

To facilitate reporting to the NTD, the National Transit Database (NTD) Reporting Manual is divided into four reporting modules, each comprised of a series of data modules, as described below:

1. NTD Annual Reporting Manual
   - Basic Information Module
   - Financial Module
   - Asset Module
   - Service Module
   - Resource Module
   - Federal Funding Allocation Statistics Module
   - Declarations
2. NTD Monthly Reporting Manual
   - Monthly Ridership forms
3. NTD Safety and Security Reporting Manual
   - Safety and Security forms
   - Chief Executive Officer Certification
4. NTD Rural Reporting Manual (exclusively rural reporters)
   - Rural forms.

FY 2011 Annual Reporting Changes and Clarifications

In its ongoing efforts to improve upon the NTD Internet reporting system and to be responsive to the needs of the transit agencies reporting to NTD and the transit community, FTA continues to refine and clarify reporting requirements and Internet reporting.

Reporting changes for the 2011 NTD are highlighted in the following exhibit FY 2011 Annual Reporting Changes and Clarification below. Specific changes are discussed in detail in the applicable sections of this manual.

Exhibit 1 — FY 2011 Annual Reporting Changes and Clarifications

Introduction

Two changes:

1. New Waiver Type- Small Systems Waiver- 30 or Fewer Vehicles.
2. Natural Disaster/Hold Harmless Waiver.

Basic Information Module

Identification Form (B-10) – Four changes:

1. Small Systems Waiver replaces the Nine or Fewer Vehicles Waiver.
2. More and revised modes—monorail/automated guideway, bus rapid transit, commuter bus, hybrid rail and streetcar.
3. Additional modes operating as fixed guideway and non-fixed guideway (bus, bus rapid transit and commuter bus).
4. Revised criteria for vanpool mode eligibility for NTD reporting.

Financial Module

F-10 Sources of Funds- Funds Expended and Funds Earned Form – *One change*:

1. Lines for "bonds and loans" have been removed from the F-10. Financing should now be reported based on the true source of funds, following guidance in the USOA.

Statement of Finances form (F-60) – *One change*:

1. New Statement of Finances form (F-60).

Asset Module

Revenue Vehicle Inventory Form (A-30) – *Two changes*:

1. New Manufacture codes
2. Updated guidance for reporting mileage "at-grade with cross-traffic."

Service Module

Fixed Guideway Segments form (S-20) – *One change*

1. S-20 has new column for "mode claimed."

Resource Module- *No changes*

Federal Funding Allocation Statistics Module –*Three changes:*

1. There are new serve rules for allocation of data among multiple UZA and non-urbanized areas (non-UZA).
2. Allocation methodologies among multiple UZAs and non-UZAs and for allocation between modes that are both FG and NFG now include an “other” category for the reporter to document any reasonable methodology.
3. FFA-10 forms use 2010 Census UZA and Non-UZA information. However, the Census bureau will not release the new UZA definitions until the spring of 2012, followed by release of the detailed UZA boundary maps. Therefore, transit agencies will submit NTD reports according to the regular deadlines, but without FFA-10 forms. Upon release of the Census UZA maps, FTA will notify all urbanized area NTD reporters to logon to the NTD Online Reporting System and resubmit their Basic Information form (B–10) identifying the 2010 UZAs in the service area, and to submit FFA–10 forms reflecting the new UZA definitions.

Declarations Module – *one change:*

Section 5 updated to include an option for the new NTD Sampling Method.

Who Reports

Transit providers, States, or Metropolitan Planning Organizations (MPOs) that receive Urbanized Area Formula Program (§5307) grants, or that directly benefit from these grants, must report to the NTD or coordinate the submittal of data to the NTD on their behalf. The requirement to report begins in the year after you apply for a §5307 Grant, or in the year in which benefits are first received from a §5307 grant, whichever is sooner. The reporting requirement lasts for as long as the §5307 remains open, or through the minimum useful life of any capital assets purchased with §5307 grant funds, whichever is later.

Please note that this means that you may be required to report in year in which no §5307 grant funds were received. An NTD reporter that is no longer required to report to the NTD, should continue to file NTD reports if that reporter intends to apply for a §5307 or a §5311 grant in the future.

Recipients or direct beneficiaries from Other than Urbanized Area Program (§5311) grants are also required to report to the NTD, under the streamlined Rural NTD reporting requirements. Please consult the Rural NTD Reporting Manual for more information on these requirements.

A complete understanding of who must submit an NTD report requires an understanding of the following:

- Purchased transportation services
- Consolidated NTD reporters
- Voluntary reporters
- Extensions, waivers and special requests

Example 1 — Continuing Requirements
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. The transit agency must report under the NTD program throughout the useful life of the vehicle regardless of whether or not the transit agency receives Urbanized Area Formula Program (§5307) grant funds during a particular year.

Purchased Transportation Services

The NTD operates under a "you buy it, you report it" rule. Thus, sellers of purchased transportation (PT) services generally do not report directly to the NTD – data for the service are generally reported by the agency purchasing the service (buyer).

The NTD generally does not recognize agreements or memorandums of understanding between two public agencies as "purchased transportation services." In these cases, the two public agencies should agree which of them will report the service to the NTD, and report the service as directly operated (DO). The new Funds Received from Other Public Entities form (B-60) and Funds Provided to Other Public Entities form (B-70) capture non-contractual relationships.

Please see Basic Information Module for further discussion on reporting transit services through PT or memorandum of understanding agreements.

Consolidated NTD Reporters

Consolidated NTD reporters are a collection of transit agencies filing one report. One reporter may file a consolidated report on behalf of other reporters if it is easier to collect and control the quality of the data. This often occurs when one transit agency coordinates the development and funding of public transportation services in an area. Transit agencies filing a consolidated report must operate within the same UZA.

Transit agencies that wish to file a consolidated report must submit a request to FTA in writing. Such requests for consolidations are subject to FTA approval and must include the following:

- Names of all transit agencies to be included
- Fiscal year end dates for the transit agencies
- Previous/current NTD identification numbers (NTD IDs) of the transit agencies, as appropriate
- Fiscal year to be covered for the first consolidated report.

Consolidation requests are subject to review and approval by FTA and are not granted automatically. FTA will notify you, in writing, via the **e-File** tab, if your request is approved.

Voluntary Reporters

FTA encourages all providers of transit service in urbanized areas to report to the NTD, regardless of whether they are public or private, and regardless of whether or not they receive or benefit from §5307 grants. To be accepted as a voluntary reporter in the NTD, you must be a provider of transit services in at least one urbanized area (UZA), and be able to comply with all of the NTD reporting requirements and the Uniform System of Accounts (USOA.) All urbanized area NTD reporters are required to comply with all NTD requirements for the Annual, Monthly, and Safety & Security Modules. Please refer to the Monthly Reporting Manual and the Safety & Security Reporting Manual for information on the reporting requirements of those modules.

Extensions, Waivers and Special Requests

This section describes the available extensions, waivers, and special requests and discusses eligibility requirements and procedures. Unless otherwise stated below, all requests must be received by the NTD at least **60 days prior to** the **report due date** via the **e-File** tab. You should refer to the NTD Annual Reporting Timelines exhibit in this section under When to Report to determine actual due dates.

Extensions, waivers and special requests are subject to review and approval by FTA and are not granted automatically. FTA will notify you, in writing, via the **e-File** tab, if your request is granted or rejected.

Extension Requests

The NTD allows for a **30-day filing deadline extension** for transit providers that experience unusual or **unforeseen circumstances** (good cause) that prevent them from meeting the regular deadline. Filing deadline extension requests must be requested **in writing prior to the report due date**; and FTA will provide written approval or denial of the request. Please note that **filing deadline extension requests are discretionary;** they are **not automatic**.

To request an extension, you should submit a letter from your chief executive officer (CEO) through the **e-File** that:

- Fully describes the situation that prevents you from submitting by the regular deadline; and
- Requests a filing deadline extension of up to 30 days for the current report year.

You should refer to the NTD Annual Reporting Timelines exhibit in this section under When to Report to determine report due dates.

Waivers

There are seven types of waivers:

1. New Waiver Type- Small Systems Waiver- 30 or Fewer Vehicles
2. Grants Waivers for Planning and Capital
3. Natural Disaster Waiver /Hold Harmless for Apportionment
4. Data
5. Reporting
6. Passenger miles traveled (PMT) sampling
7. Independent Auditor Statement for Financial Data (IAS — FD)

Waivers are normally granted for only one year, except in extraordinary circumstances. Therefore, recipients or beneficiaries of §5307 grants must request waivers each year.

This section also discusses Extension requests and the Special Request – Strikes requirements and procedures.

New Waiver Type - Small Systems Waiver- 30 or Fewer *Vehicles*

A transit provider that operates 30 or fewer vehicles may submit a report with significantly reduced reporting requirements. The reporting requirements for this waiver can be found in the separate Small Systems Waiver Reporting Manual.

- 30 or fewer vehicles operated in annual maximum service (VOMS) across all modes for both directly operated (DO) and PT services
- All service is non-fixed guideway (NFG)**.**

The following example illustrates eligibility criteria for Small Systems Waiver 30 or Fewer Vehicles.

Example 2 — Small Systems Waiver Eligibility

Requirement: 30 or fewer vehicles operated in annual maximum service (VOMS) across all non-fixed guideway (NFG) modes and types of service (TOS).
Eligible non-fixed guideway (NFG) modes: Bus (MB) on mixed traffic right-of-way (ROW), demand response (DR), jitney (JT), publico (PB) and vanpool (VP).

Example 1: Transit agency A directly operates 15 buses (mixed traffic ROW) and contracts for 15 DR vehicles =30 VOMS.
Eligible? Yes. The total across all modes is 30 VOMS; therefore transit agency A is eligible for a 30 or fewer – Small Systems Waiver.
Example 2: Transit agency B directly operates 14 buses (mixed traffic ROW) and contracts for 17DR vehicles = 31 VOMS.
Eligible? No. Though each service is less than 30 VOMS, the total across all modes and types of service is 31 VOMS

Example 3: Transit agency C directly operates 29 automated guideway (AG) vehicles = 29 VOMS.
Eligible? No. Though the service is less than 30 VOMS, AG is fixed guideway (FG); therefore transit agency C is not eligible for a 30 or Fewer Small Systems Waiver.

An approved 30 or fewer Waiver will not affect your funding eligibility for §5307 grants, but may affect the amount of funding your UZA receives as follows:

- If your transit agency serves a UZA with a population of 200,000 or more, the amount of funding may slightly be impacted.
- If your transit agency serves a UZA with a population between 50,000 and 199,999 you will only report service data towards 3 out of the 6 Small Transit Intensive Cities (STIC) factors, however, your passenger mile data will not be available towards the remaining 3 STIC factors that rely upon passenger mile data.

You should refer to the NTD Annual Reporting Timelines exhibit in this section under When to Report to determine actual due dates for submitting the Small Systems Waiver- 30 or fewer request.

Please refer to the Small Systems Waiver Reporting Manual for further instructions on this type of waiver.

Grants Waivers – Planning and Capital

An organization that receives or benefits from §5307 funds, but does not have any transit operations, may request a waiver from certain NTD reporting requirements. Typically, this organization is using the §5307 funds for planning or capital investment. Recipients of the Planning Grants Waiver must still submit an Identification form (B-10), Contacts form (B-20) to the NTD. Recipients of the Capital Grants Waiver must still submit a B-10 form, B-20 form, Sources of Funds - Funds Expended and Funds Earned form (F-10), and Uses of Capital form (F-20) to the NTD.

This waiver is **only granted for one year**, and is **never granted for multiple years**. Recipients or beneficiaries of §5307 grants without transit operations must request this waiver each year. To be considered for this waiver, an organization must meet the following criteria:

To request a Planning or Capital Grants Waiver, you must submit a letter from your CEO that:

- For Planning Grants Waivers - States that your organization receives §5307 funding, but has no transit operations
- For Capital Grants Waivers - Describes how the organization uses the §5307 funding, either for planning or capital investment
- Requests the Grants Waiver for Planning or Capital for the current report year.

If FTA grants your agency a waiver:

- You must continue to follow the USOA accounting requirements for revenues and expenses. The USOA is available on the NTD website at www.ntdprogram.gov, under Publications, Reference Materials.
- You are not required to collect or maintain any other data for NTD reporting purposes.
- You must continue to meet any requirements stipulated in Federal or state grants.

You should refer to the NTD Annual Reporting Timelines exhibit in this section under When to Report to determine actual due dates for submitting the Planning or Capital Grants Waiver.

Disaster Waiver / Disaster Hold Harmless Adjustment

A transit provider that is severely impacted by a natural disaster may request a waiver from reporting to the NTD for the current year. A request for a natural disaster waiver must demonstrate that the natural disaster was so severe as to prevent

the actual collection and reporting of data, or that the actual collection and reporting of data would constitute an unreasonable burden on the transit agency in light of the natural disaster. Disaster waivers are only granted for one year. If a transit provider suffers a marked decrease in transit service due to a natural or man-made disaster, either the transit provider or the designated recipient for an urbanized area may make a request to be ''held harmless'' in the apportionment of formula grants for urbanized areas. The request for a hold-harmless adjustment must demonstrate that the transit agency meets all four of the following criteria:

- A Federal disaster declaration was in place for all or part of your service area for all or part of the report year
- the decrease in transit service is a direct result of the disaster
- the decrease in transit service is temporary, thus the reduce transit service levels are not reflective of the true transit needs of the urbanized area

Disaster Hold Harmless Adjustments are granted at FTA's discretion after reviewing the submitted request, they are not automatic. If granted, you must still provide a full report to the NTD of your actual transit service for the year; FTA will use your reported data from the year prior to the disaster in the apportionment, rather than the actual data you submit for this year. Disaster Hold Harmless Adjustments are only granted for one year at a time, a new application for this adjustment must be submitted each year.

Data, Report or Passenger Miles Traveled Sampling Waivers

You may request a waiver of specific data requirements or for filing a complete NTD report. The following are typical justifications for requesting a Data, Report or Passenger Miles Traveled (PMT) Sampling Waiver:

- It is the transit agency's first report year. The transit agency is a new reporter and has not had sufficient time to collect data and prepare an NTD Annual report.
- There are unforeseen circumstances, either preventing data collection or causing data loss. Typical examples are:
  - Earthquakes
  - Fires
  - Floods
  - Hurricanes
  - Officially declared emergencies.

Data, Report or PMT Sampling Waivers are not granted for reasons such as cost, personnel or data collection issues; loss of records; or simply stating undue reporting burden. These reasons are not considered unforeseen circumstances.

If this waiver is requested in consecutive years, your passenger mile data will generally not be accepted for inclusion in the apportionment.

To request a Data, Report or PMT Sampling Waiver, you must submit a letter from your CEO that:

- Fully describe the situation that prevents the transit agency from fulfilling the reporting requirements.
- Requests the Data, Report or PMT Sampling Waiver for the current report year.

An approved Data, Report or PMT Sampling Waiver will not affect your funding eligibility for §5307 grants, but may affect the amount of funding your UZA receives as follows:

- If your transit agency serves a UZA with a population of 200,000 or more, the amount of funding may be reduced because your data may not be entered into the §5307 allocation formula for selected formula statistics.
- If your transit agency serves a UZA with a population between 50,000 and 199,999, it may change the UZA's performance in the factors used to determine eligibility for Small Transit Intensive Cities (STIC) funding.

You should refer to the NTD Annual Reporting Timelines exhibit in this section under When to Report to actual due dates for submitting the Data, Report or PMT Sampling Waiver request.

Independent Auditor Statement for Financial Data Waiver

A waiver of the Independent Auditor Statement for Financial Data (IAS — FD) is granted only to first time reporters and is **only granted for one year**.

To request a waiver, you must submit a letter from your CEO that:

- Fully describe the situation that prevents the transit agency from fulfilling the reporting requirements.
- Requests the waiver for the current report year.

A waiver of the IAS — FD will not affect your funding eligibility for §5307 grants.

You should refer to the NTD Annual Reporting Timelines exhibit in this section under When to Report to determine actual due dates for submitting the IAS-FD Waiver request.

Special Request – Strikes

FTA will make “hold harmless” adjustments to data used in the apportionment to offset the negative effects of strikes on NTD service data. This adjustment is not automatic, and must be requested. To request this adjustment, the CEO of a transit provider affected by a strike must submit the request in writing, via the **e-File** tab. The request must identify the mode or modes affected, the exact time and day that the strike began, the exact time and day that the strike ended, and supporting documentation (e.g. published news reports) for the duration of the strike.

Transit providers receiving this adjustment **must report actual data** to the NTD. The “hold harmless” adjustment will be made by FTA, not by the reporting transit provider. The adjusted data will only be used for purposes of the apportionment; the actual data of the transit provider will be used in all publicly-available NTD data sets.

What to Report

The NTD Annual report consists of a series of forms and declarations that provide a summary of transit characteristics for the fiscal year, including financial and non-financial operating statistics. It must contain all the public transportation service, including complementary paratransit services required by the Americans with Disabilities Act of 1990 (ADA), which the transit agency provides or purchases.

It must contain all of the public transportation service provided by your organization, whether directly operated or purchased transportation. All public transportation service must be included, regardless of whether it is urbanized area service or rural service. All revenues and expenditures for public transportation activities must be included, including planning activities and capital expenditures for modes not yet in service.

For purchased transportation service, the report must contain data only for those services under contract.

Reporting Modules and Forms

Not all forms are required from all transit agencies. The size of the UZA, the number of vehicles operated and TOS operated (directly operated or purchased transportation) are factors that determine which forms are required. The following exhibit presents a summary of NTD reporting requirements.

Exhibit 2 — Summary of NTD Reporting Requirements

Report Type	Requirements
Small Systems Waiver Reporters	
Identification form (B-10)	
Contacts form (B-20)	
Stations and Maintenance Facility (A-10)	
Revenue Vehicle Inventory form (A-30)	
Small Systems Waiver form (W-30)	
Federal Funding Allocation form (FFA-10)	
Modified Chief Executive Officer form (D-10)	
Planning Grants Reporters	
Identification form (B-10) – Modified	
Contacts form (B-20)	
Capital Grants Reporters	
Identification form (B-10) – Modified	
Contacts form (B-20)	
Sources of Funds - Funds Expended and Funds Earned form (F-10) – Modified	
Uses of Capital form (F-20) – Modified	
Full Annual Reporters	
Identification form (B-10)	
Contacts form (B-20)	
Contractual Relationship form (B-30)	Reporters who buy or sell purchased transportation services from or to a public transit agency or private operator
Reporter Receiving Public Funds from form (B-60)	Reporters who receive funds from other public entities through a memorandum of understanding or other agreement rather than a contractual relationship on the B-30 form
Reporter Providing Public Funds to form (B-70)	Reporters who provide funds to other public entities through a memorandum of understanding or other agreement rather than a contractual relationship on the B-30 form
Sources of Funds - Funds Expended and Funds Earned form (F-10)	
Uses of Capital form (F-20)	
Operating Expenses form (F-30)	
Operating Expenses Summary form (F-40)	
Statement of Finances form (F-60)	
Stations and Maintenance Facilities form (A-10)	
Transit Way Mileage form (A-20)	Reporters operating on fixed guideway (FG)
Revenue Vehicle Inventory form (A-30)	
Service form (S-10)	
Fixed Guideway Segments form (S-20)	Reporters operating on FG
Employees form (R-10)	Reporters operating DO service
Maintenance Performance form (R-20)	All modes except demand response-taxi
Energy Consumption form (R-30)	All modes except demand response-taxi
Federal Funding Allocation Statistics form (FFA-10)	
Chief Executive Officer form (D-10)	
Independent Auditor Statement for Financial Data (IAS — FD)	First time reporters and reporters with changes in accounting methods or systems
Independent Auditor Statement for Federal Funding Allocation Data (IAS — FFA)	Reporters with 100 or more VOMS across all modes and TOS and serving UZAs of 200,000 or more population

Declarations

There are three types of declarations which certify the data in the NTD Annual Report:

1. Chief Executive Officer form D-10
2. Independent Auditor Statement for Financial Data (IAS — FD)
3. Independent Auditor Statement for Federal Funding Allocation Data (IAS — FFA).

As with the NTD forms, not all declarations are required from all transit agencies (see the exhibit Summary of NTD Reporting Requirements above). The size of the UZA, the number of vehicles operated and the types of service operated (directly operated or purchased transportation) are factors that determine which declarations are to be completed. You should go to the Declarations section of this manual for further details.

Fiscal Year Data

The data in the NTD Annual report covers a 12-month Fiscal Year ending in 2011. If the transit agency's Fiscal Year changes notify FTA in writing via the **e-File** tab. FTA will determine the due date for your NTD report and notify you, in writing, via the **e-File** tab.

How to Report

This section describes the following:

- NTD ID
- Internet reporting
- Accounting requirements
- Purchased transportation.

The NTD Identification Number

Each reporter is assigned a unique four-digit NTD, which is to be used in all NTD reports and correspondence. The first digit of the NTD ID corresponds to the FTA Region where the reporter is located (e.g., 9### indicates Region IX). If you do not have an NTD identification number, please refer to the New Reporters section below.

Internet Reporting

Required forms, waivers, and declarations are completed using Internet Reporting, which is accessible from the NTD website at www.ntdprogram.gov. Completing the Identification form (B-10) using Internet Reporting automatically generates the forms necessary for filing your NTD Annual report.

This manual contains all information necessary to complete the NTD Annual report using Internet Reporting. See the Internet Reporting section of this manual. FTA will provide Internet Reporting user names and passwords to transit agencies.

Reporting Format

Transit agencies must submit their reports via the Internet Reporting system and all correspondence and waiver requests via the **e-File** tab. All transit agencies must file a complete report by the report due date including all required forms and declarations. See the Summary of NTD Reporting Requirements exhibit under Reporting Modules and Forms to identify required reporting forms and declarations for your transit agency and the NTD Annual Reporting Timelines exhibit under When to Report to determine report due dates.

General Formatting Rules

Data reported must adhere to the following rules:

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

Internet Reporting incorporates these rules, formatting data automatically when you complete a cell entry.

Accounting Requirements

This section addresses the following items:

- Accounting principles (GAAP)
- Accrual accounting.

Accounting Principles (GAAP)

For the most part, NTD reporting requirements for financial data follow generally accepted accounting principles (GAAP). The FTA NTD USOA is not a self-contained financial system that addresses every possible NTD transaction and situation. Instead, the NTD program is a system of accounts that complies with GAAP and Standards of Governmental Accounting and Financial Reporting. However, small differences do exist between NTD and GAAP, generally relating to the accounting of costs for capital grant purchases.

If there are conflicts between GAAP and NTD reporting instructions and requirements, NTD rules are to be followed. The following rule is used for NTD accounting:

- Unique NTD requirements supersede GAAP. If a unique requirement exists for NTD purposes, this requirement will be contained in NTD reference documents provided by FTA (e.g., the USOA and the NTD Reporting Manuals).
- In the absence of unique NTD provisions to the contrary, GAAP should be followed.

Two organizations are responsible for promulgating GAAP:

1. The Financial Accounting Standards Board (FASB) is responsible for general GAAP affecting all types of entities.
2. 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 FASB and GASB pronouncements, the GASB prevails for governmental entities.

Both FASB and GASB pronouncements are available through the FASB in Stamford, Connecticut. Most accounting firms will assist their clients in obtaining GAAP documents and applying GAAP requirements.

Accrual Accounting

All financial data in the NTD Annual report must follow accrual accounting principles. Under accrual accounting:

- Revenues are recorded when earned, regardless of whether or not receipt of the revenue takes place in the same reporting period.
- Expenditures are recorded as soon as they result in liabilities for benefits received, regardless of whether or not payment of the expenditure is made in the same reporting period.

If your transit agency uses a cash basis or encumbrance basis accounting system, you must make worksheet adjustments to record the data on an accrual basis.

The example below demonstrates the use of accrual accounting for an operating expense (OE).

Example 3 — Accrual Accounting

Example: A transit agency employee works the last two weeks of the transit agency's fiscal year earning $1,500. However, the employee does not receive his pay until 10 days later in the new fiscal year when payroll issues a check. How is the $1,500 reported?

Solution: Report the $1,500 on the Operating Expenses form (F-30) under labor in object class 501. Even though the employee did not receive a paycheck during the report year, the transit agency incurred the liability to pay the employee.

Reporting Purchased Transportation

Purchased transportation (PT) service is service provided to a public transit agency or governmental unit from a public or private transportation provider based on a written contract. A contractual relationship exists only if all the following criteria are met:

- The seller is obligated in advance of the time the service is furnished to provide the operations for which the operating statistics are being reported for a specific monetary consideration.
- A written agreement exists that specifies the contractual relationship for the time period and the specific service generating the operating statistics included in the NTD Annual report.
- The written agreement is signed by authorized representatives of both the buyer and the seller, and should detail the services to be provided, and the nature and amount of the monetary consideration.
- All NTD Reports must be balanced. The service reported on the S-Forms must have fully-allocated operating costs reflected on the F-Forms, and the assets used to support that service must be reflected on the A-Forms. In a purchased transportation relationship, the buyer pays the seller the fully-allocated costs of operating the service. In these relationships, the seller is usually selected through a competitive RFP, and the seller usually operates the service on behalf of the buyer.

Granting a transportation provider permission to operate certain services through a franchise or license does not, in itself, constitute PT service. Also, management services contracts, in which all or some personnel or services are provided to manage or operate the transit agency, are not PT service. Generally, the service is part of the public transit agency's DO service.

Cooperative agreements between public transit agencies or governmental units should not be reported as PT services. The new B-60 and B-70 forms capture this information.

When to Report

The schedule for submitting the NTD Annual report is based on the fiscal year for the reporting transit agency. The following sections describe:

- Reporting timeline
- Reminder notices
- Failure to report: no report, late report, or incomplete report.

Reporting Timeline

A transit agency must file a complete report by the report due date (to the NTD Annual Reporting Timelines exhibit in this section under When to Report to determine report due dates). A report is complete only when all of the required forms and declarations are submitted. The due date for a transit agency's NTD Annual report to FTA is based on the transit agency's fiscal year end date. All transit agencies have at least 120 days after the end of their fiscal year before the report is due. The submission must be sent on or before the due date.

The NTD reporting system allows for reporting waivers for transit agencies that experience unusual or unforeseen circumstances. See the previous Waivers and Special Requests section. Reporting waivers must be requested in writing via the **e-File** tab.

The following exhibit presents the reporting timeline for the 2011 report year.

Exhibit 3 — NTD Annual Reporting Timelines

Submission			
Fiscal Year End	**January 1 – June 30**	**July 1 – Sept 30**	**Oct 1 – December 31**
Waiver, Special Request, etc., Deadlines:	August 31	November 30	February 28
Report Due Date	**October 31**	**January 31**	**April 30**
Closeout Process			
Last Date to Submit Report Revisions	**March 1**	**May 1**	**July 2**
Report Closeout	March 15	May 15	July 20

Reminder Notices

FTA sends each transit agency a reminder notice 30 days prior to the NTD Annual report due date (e.g., October 1 for October 31 due date). FTA automatically sends a late report letter to the CEO if the report is not submitted within 15 calendar days following the due date (e.g., November 15 for October 31 due date) and no reporting waiver request has been submitted via the **e-File** tab. Refer to the NTD Annual Reporting Timeline exhibit above for due dates.

Failure to Report: No Report, Late Report, or Incomplete Report

A Failure to Report may result from not submitting a report, submitting a late report, submitting an incomplete report, or failing to respond to validation questions. If you receive a Failure to Report, your data will not be included in the apportionment of Urbanized Area Formula Program grants, although any submitted data may be included in the publicly-available NTD datasets at FTA's discretion. More importantly, **if you receive a Failure to Report, FTA is prohibited by law from awarding you any further grants under §5307 or §5311**. A Failure to report for an urbanized area transit provider may result from the Annual, Monthly, or Safety & Security Modules.

A report is considered late if it is not submitted by the due date (refer to the NTD Annual Reporting Timelines exhibit in this section under When to Report to determine report due dates. These due dates are essential to ensure that submitted data can be properly validated before being included in the NTD and in the apportionment.

A report is incomplete if:

- It does not contain all of the required information; **or**
- If the data was not collected and submitted in conformance with the NTD requirements; **or**
- If the report is not accompanied by the applicable CEO Certification and Independent Auditor Statements (IAS-FD or IAS-FFA). The CEO Certification must be submitted via the D-10 Form, the IAS-FD must be submitted via the **e-File** tab, and the IAS-FFA must be kept on file by the transit provider for at least three years after submission of the report.
- Failure to respond to validation questions.

NTD reporters are required to respond to validation questions in a timely manner (refer to the NTD Annual Reporting Timelines exhibit in this section under When to Report to determine by which date you should respond to validation questions).

When submitted data are questioned during the validation process, you may revise the questioned data with more accurate data. Revisions to data, however, require the concurrence of the CEO, and in the case of data included on the FFA-10 Form, the concurrence of the independent auditor as well. If you do not revise the questioned data, then you must provide sufficient documentation to establish the accuracy of the questioned data to a reasonable person. Failure to respond to validation questions in a timely manner with either revisions or satisfactory documentation will result in a Failure to Report.

When a Failure to Report occurs, FTA will notify the CEO of the reporter and the FTA Regional Administrator.

Where to Report

Transit agencies submit NTD reports, IAS — FD, and the CEO Certification via Internet Reporting at the project's website, www.ntdprogram.gov.

FTA assigns an NTD validation analyst to each reporting transit provider to assist with NTD reporting throughout the year. At the beginning of the reporting cycle, your NTD validation analyst will call you to introduce her or himself. Please feel free to contact your NTD analyst if you have questions, or if FTA can assist you with your report in any way.

NTD Help Desk

NTD reporters will have the option of directly contacting the NTD Help Desk at 1-866-349-1427, ntdhelpdesk@savantage.net or their assigned validation analyst.

Exhibit 4 — NTD Contact Information	
Mailing Address You can write to the FTA NTD Project Office at the following address: Federal Transit Administration National Transit Database P.O. Box 10967 Rockville, MD 20849 Please use the U.S. Postal Service for deliveries to this P.O. Box.	**Telephone** You can contact your NTD validation analyst and other NTD staff by telephone on weekdays. For telephone information and project assistance, call the NTD Help Desk at: 1-866-349-1427 The NTD Help Desk is open from 10:00 am to 6:00 pm (Eastern Time). If your NTD validation analyst is unavailable, you may use the voice-mail system and your validation analyst will return your call or you may forward your call to another NTD validation analyst.
Express Delivery Address Express deliveries can be made to the following address: Federal Transit Administration National Transit Database 1355 Piccard Drive, Suite 425 Rockville, MD 20850	**E-mail** You can contact your NTD validation analyst by using the telephone number or e-mail address located on the **Home** tab at: www.ntdprogram.gov > Internet Reporting Login > Announcements You can email the NTD Help Desk at any time at: ntdhelpdesk@savantage.net
Fax All official correspondence should be scanned and submitted to the NTD via the **e-File** tab in Internet reporting. If you must fax, the NTD Project Office also maintains a 24-hour FAX service: 301-258-5630 Upon sending faxes to the NTD, please call your NTD validation analyst to verify that the fax has been received. In addition, keep all fax confirmation slips on file at your agency.	**Internet** The FTA NTD Project Office manages a website at the following address: www.ntdprogram.gov You may e-mail comments, questions or suggestions directly to the NTD by clicking on the NTD Feedback link. NTD publications, data and reference documents are available on the FTA NTD website by using the NTD Reference Materials and Access NTD Data links.

New Reporters

New reporters have slightly different requirements for submitting their first NTD Annual report. These requirements include:

- Submitting a request for an NTD ID
- Determining when to file the first report, and
- Providing additional information in the NTD Annual report.

Written Request

All new reporters, both required and voluntary reporters, must first submit a written request to FTA for a NTD ID. If the request for an NTD ID is approved, the first report year is dependent upon when the request was received (refer to the New Agency Reporting Timelines exhibit below). If the request is received at NTD within the first six months of a fiscal year (e.g., 2011); the agency will submit its first NTD report for the current fiscal year (e.g., 2011). If the request is received during the last six months of a fiscal year (e.g., 2011), the agency will report during the next fiscal year (e.g., 2011).

Exhibit 5 — New Agency Reporting Timeline

The due date of a new agency's first report can vary depending on their fiscal year, and when their New ID Request is received by the NTD. Below are common examples of transit agency fiscal years. If your agency has a different fiscal year than those listed below, contact NTD for your first report due date.

Fiscal Year	New ID Request Received	First Report Due	Data Included	RY
July 1, 2010 - June 30, 2011	Jan. 1, 2010 - Dec. 31, 2010	October 31, 2011	July 1, 2010 - June 30, 2011	2011
Oct. 1, 2010 - Sept. 30, 2011	April 1, 2010 - March 31, 2011	January 30, 2011	Oct. 1, 2010 - Sept. 30, 2011	2011
Jan. 1, 2011 - Dec. 31, 2011	July 1, 2010 - June 30, 2011	April 30, 2011	Jan. 1, 2011 - Dec. 31, 2011	2011

The written request to FTA for a NTD ID should be submitted by the CEO of the transit agency, company, city or other entity that will be filing the report. You should send the letter to the mailing address listed in the Where to Report section above. The CEO's letter must be on letterhead and should state the following:

- Legal name and mailing address of the transit agency
- Name, title, address, telephone number, facsimile number and e-mail addresses of the CEO, NTD contact person and the safety and security contact persons
- Fiscal year end date
- Public transit modes operated by TOS (DO or PT)
- Number of vehicles operated in annual maximum service (VOMS) across all modes and TOS
- Description of service, if service is being operated, including route maps, schedules and fare structure
- Date (month and year) of grant request for §5307 Program funds if a designated recipient
- Date (month and year) of expenses first incurred for reimbursement under the §5307 funds if a designated recipient
- Any related information or relationships with other NTD transit agencies.
- Request to obtain an NTD ID and become an NTD reporter.

Reference Information

This section contains two items necessary to understanding NTD reporting:

1. Transit terminology and parameters
2. Reference documents.

Transit Terminology and Parametersk

Reporting data for the NTD requires an understanding of the following transit concepts and terms:

- Public transportation
- Modes
- Type of service (TOS)
- Transit agency
- Area definitions
- Maximum service vehicles.

Each of these terms is described in further detail in the sections that follow.

Public Transportation

The NTD is established by law as a repository of information on public transportation. The term public transportation is synonymous with the terms transit and mass transportation and is defined by law at 49 U.S.C. 5302(a) (10).

> (10) PUBLIC TRANSPORTATION. – The term "public transportation" means transportation by a conveyance that provides regular and continuing general or special transportation to the public, but does not include schoolbus, charter, or intercity bus transportation or intercity passenger rail transportation provided by the entity described in chapter 243 (or a successor to such entity).

Transit must be **open to the public**. Transit must also comply with the provisions of the Americans with Disabilities Act of 1990 (ADA). Services that are only open to specific groups of people are excluded. Examples of excluded services include:

- A bus system sponsored by a university that is only open to students, faculty, and staff of the university;
- A vanpool sponsored by an employer that only provides service to employees of the employer;
- An automated guideway in an airport, which only provides services to customers of the airport.

Transit includes special transportation, such as complimentary paratransit required by the ADA. Transit also includes other shared-ride demand response services, including both sponsored and unsponsored trips.

Transit excludes charter service. In accordance with FTA's Charter Rule, any service reported to FTA's charter registration website must not be treated as public transportation in NTD reports.

Transit excludes sightseeing service. Sightseeing service is provided primarily for the enjoyment of sights and sounds during the ride, or for enjoyment of the ride itself. Sightseeing service includes services that have narration and services where passengers primarily make round-trips without disembarking the vehicle.

Transit excludes Intercity service. The NTD defines an intercity service as service where a majority of passengers are not making a same-day return trip. Thus, for public transportation, a majority of passengers across the totality of the service (i.e. all runs on all days of the week) must make a same-day return trip. On public transportation, a majority of passengers use the service three or more times a week.

Transit excludes Amtrak (the entity described in chapter 243.) NTD reporters must demonstrate that they are organizationally separate from Amtrak. This exclusion does not apply to cases where Amtrak is the supplier of purchased transportation for commuter rail service.

Modes

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 - as follows:

Rail

Alaska Railroad (AR)
Automated guideway (AG)
Cable car (CC)
Commuter rail (CR)
Heavy rail (HR)

Hybrid Rail (YR)
Inclined plane (IP)
Light rail (LR)
Monorail (MO)

Street Car Rail (SR)

Non-Rail

Aerial tramway (TR)

Commuter Bus (CB)
Bus (MB)

Bus Rapid Transit (RB)
Demand response (DR)
Demand response-taxi (DT)
Ferryboat (FB)
Jitney (JT)
Publico (PB)
Trolleybus (TB)
Vanpool (VP)
Other (OR)

Modal definitions are used in the NTD reporting system in different ways. Transit agencies are required to report data according to the detailed modal definitions on most reporting forms (e.g., MB, DR, VP and LR). On selected forms (e.g., Transit Way Mileage form (A-20), Service form (S-10), Energy Consumption form (R-30), Federal Funding Allocation Statistics form (FFA-10)), different data items are required for rail and non-rail modes.

Type of Service (TOS)

Public transportation can be provided in two ways:

1. Directly operated (DO) service – the NTD reporting agency, usually the public transit agency, uses its own employees to operate the transit vehicles and provide the transit service.
2. Purchased transportation (PT) service – the NTD reporting agency, usually the public transit agency, contracts with a public or private provider to operate the transit vehicles, employ the operators, and provide the transit service.

TOS is an important element of NTD reporting. On most reporting forms, transit agencies are required to report data by TOS.

Transit Agency

A transit agency is responsible for the provision of public transportation service. The transit agency can provide the service using its own employees to operate the vehicles (DO service) or contract with a public or private provider to operate the transit vehicles and employ the vehicle operators (PT service). With some exceptions, transit agencies typically are public bodies and generally are the NTD reporting agencies for their DO and PT services.

Area Definitions

The NTD reporting system uses two definitions of area:

1. UZA, and
2. Service area.

UZA is defined by the US Census Bureau based on incorporated places (e.g., cities, towns, villages) and their adjacent areas that together form a densely populated area of at least 50,000 persons. UZAs do not conform to congressional districts or any other political boundaries.

The most current UZA designations are based on the 2000 census. The NTD reporting system assigns a unique number to each of the UZAs in the country. All transit providers reporting to the NTD must serve at least one UZA; many reporters service multiple UZAs, as well as rural areas (non-UZAs) of less than 50,000 persons.

The Census-defined UZAs are an important part of NTD reporting requirements. Reporters must report selected data by UZA number on two forms - the S-20 and the FFA-10. Transit agencies serving UZAs of 200,000 or more population must report security data on the Reportable Incident Report form (S&S-50). Finally, UZA size determines the sampling requirements for passenger miles traveled (PMT) data reported on the S-10.

Service area is a measure of access to transit service in terms of population served and area coverage (square miles). The reporting transit agency determines the service area boundaries and population for most transit services using the definitions contained in the ADA.

For most transit agencies, the size of the UZA is different from the size of the service area. In many instances, the size of the service area will be smaller than the UZA served. In other cases, where there is broad public support for transit, the size of

the service area is greater than the size of the UZA. These differences can cause confusion, since a transit agency's NTD reporting requirements are based on the size of the UZA served and the data reported are for the transit agency's service area.

Transit agencies are required to submit service area information on the B-10.

Maximum Service Vehicles

The maximum service operated during the year is an important determinant of a transit system's size and resulting performance. Transit agencies are required to report data on two measures of maximum service:

1. Vehicles operated in maximum service (VOMS)
2. Vehicles available for annual maximum service.

VOMS is a count of the revenue vehicles scheduled for the peak day and operating period of the peak service season or schedule of the year. The revenue count is the typical number of vehicles operated and does not consider the number of vehicles operated on atypical days such as holiday celebrations (e.g., Fourth of July), or one-time special events (e.g., World Series celebrations, political conventions).

Vehicles available in annual maximum service is a count of the revenue vehicles available to meet the maximum service requirement (revenue vehicles necessary to meet peak demand) for the fiscal year. This count of revenue vehicles includes:

- VOMS
- Spare vehicles – revenue vehicles used to accommodate routine maintenance and repair operations, and to replace vehicles in scheduled service that breakdown or are involved in accidents.

The count of vehicles does not include:

- Vehicles out for extended major repair or rehabilitation
- Emergency contingency vehicles – inactive revenue vehicles that normally would have been disposed of at the end of their useful life. FTA allows transit agencies to retain these vehicles if they are stored and maintained, and part of an approved FTA Emergency Contingency Plan.

Reference Documents

The FTA Uniform System of Accounts (USOA) and Final Rule (49 CFR Part 630) 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 Project website at www.ntdprogram.gov or calling the NTD Help Desk at 1-866-349-1427.

Exhibit 6 — NTD Reference Documents

The Reference document listed below are available from for downloading or viewing from the NTD website:

- Current Reporting Manuals
  - Annual
  - Safety and Security
  - Monthly
  - Rural
  - Small Systems Waiver Manual
- NTD Final Rule (49 CFR Part 630)
- Uniform System of Accounts (USOA)
- Government Auditing Standards
- Fully Allocated Cost Analysis
- OMB Circular A-87 (Revised 5/10/2004)
- National Incident-Based Reporting System, Vol 1: Data Collection Guidelines, US. Department of Justice, Federal Bureau of Investigation, Criminal Justice Information Services Division, Aug 2000,
- UMTA C 2710.1A - Sampling Procedures for Obtaining Fixed Route Bus Operating Data Required Under the Section 15 Reporting System, July 18, 1988.
- UMTA C 2710.2A - Sampling Procedures for Obtaining Demand Response Bus System Operating Data Required Under the Section 15 Reporting System, July 22, 1988.
- UMTA C 2710.4A - Revenue Bases Sampling Procedures for Obtaining Fixed Route Bus Operating Data Required Under the Section 15 Reporting System, July 22, 1988.
- UMTA C 2710.6 - Section 15 Accounting and Reporting Release Number 1, July 1, 1988.
- UMTA C 2710.7 - Section 15 Accounting and Reporting Release Number 2, July 1, 1988.

Internet Reporting

Overview

Transit agencies must use the National Transit Database (NTD) Internet reporting system to provide their data via reports to the Federal Transit Administration (FTA). NTD Internet reporting is the online means for transit agencies to enter, save, review and revise data, and submit reports. It provides for timely and accurate reporting as all tasks and requirements for the NTD can be fulfilled via this system.

This section provides Internet reporting information for the NTD Annual report.

What Has Changed from Prior Years

NTD application has been updated with a number of Application Security Enhancements. These enhancements are being undertaken in accordance with new Department of Transportation-wide and Federal Government-wide standards to ensure the integrity of all data in government systems, such as the National Transit Database.

Please note the new password requirements for password length and complexity, as well as that the password expiration period has also changed from 90 to 60 days. Moreover, please note that a new 60-day account inactivity feature will lock accounts that have not been used at least once in a 60 day period. Accounts that become “locked” will be able to be unlocked through an automatic web-based process, which will also prompt you to choose a new password.

New Password requirements are as follows

- Password length: Must be at least 12 characters and not more than 20 characters.
- Complexity: 3 out of 4 – Lower case, Upper case, Numbers, Special Characters.
- Password History: Password must be different from 10 previous passwords and must be different from any password used in the last 6 months.

Maximum Password Age

- 60 Day Password Expiration Period.

Account Inactivity

- Your account is locked if you do not login during a 60 day period.

Internet Reporting System Security

Many measures have been taken to ensure that all data entered into the Internet reporting system are safe and available only to those with proper access. The NTD servers and network are secured behind a firewall. The website is password protected. Additionally, multiple server and database protection layers protect the database files.

Detailed Instructions

The preparation and submission of the Annual Report is a simple process that involves interacting with the online Internet reporting system. The detailed instructions describe this process in the order that most reporters will proceed and cover the following topics:

- Accessing Internet reporting
- NTD Reporting Structure
- Home: Annual Report Home Page and Program Structure
- Sys Admin: Changing Your Password
- Monthly Ridership: Reporting Ridership Data
- Safety & Security: Reporting Incident Data
- Help: Obtaining More Information
- Annual: Reporting Annual Data
- Notes: Providing Additional Information
- Issues: Validating Annual Data
- Reports: Accessing Reports to Help Report Annual Data
- e-File: Sending Declarations, Requests, and Other Communication
- Communications: Viewing History of Communications with NTD.

Accessing Internet Reporting

Internet reporting is accessed from the **NTD Homepage**.

To access Internet reporting:

- Connect to the Internet via your Internet service provider (ISP)
- Verify your Internet browser settings
- Access the Internet reporting website at www.ntdprogram.gov
- Access your transit agency's NTD report via the **Internet Reporting Login** link.

Connecting to the Internet

You should use your ISP to connect to the Internet. Internet reporting requires a web browser that is at least a 6.x version (e.g., Internet Explorer 6.0).

If you don't have the latest version of the browser, go to Microsoft.com to download the latest version free of charge.

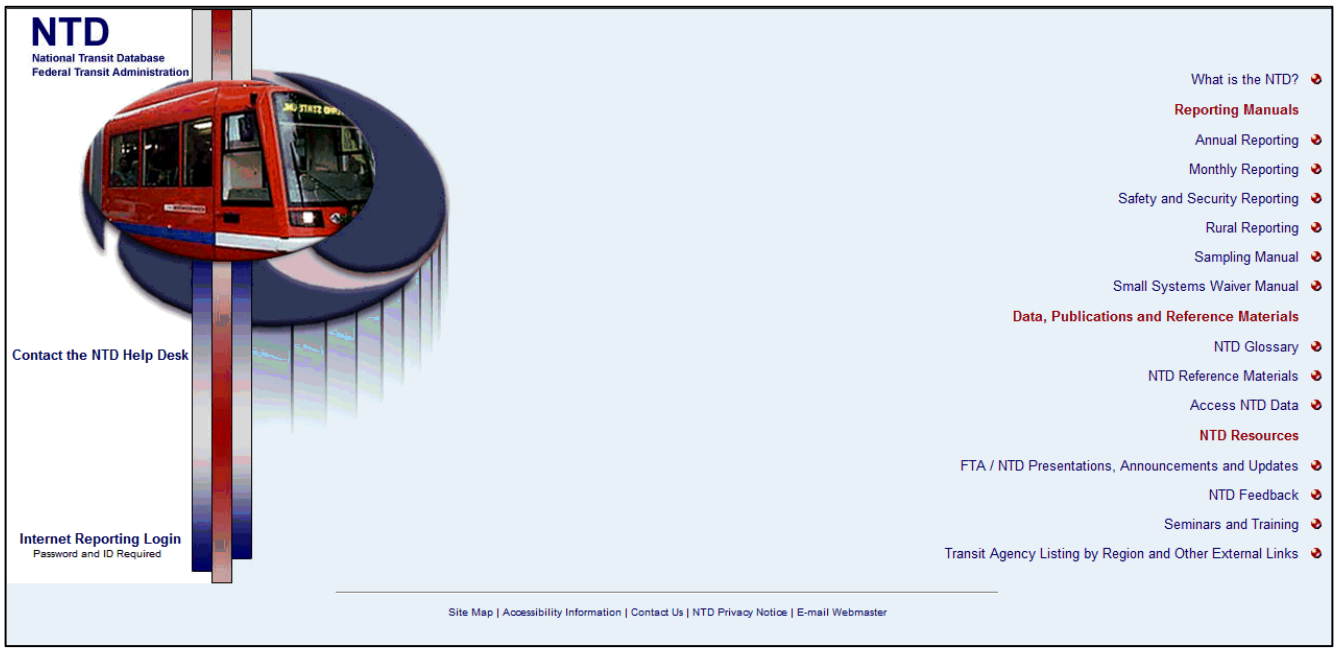
Browsers such as Firefox, Mozilla and Chrome are not fully compatible with the Internet Reporting system. You should use Internet Explorer for reporting.

Verifying Your Internet Browser Settings

You should verify that your browser is set to check for newer versions of stored pages with each visit to the website.

In Internet Explorer, this is done by accessing Tools / Internet Options / General / Temporary Internet Files Settings / Every Visit to Page.

The National Transit Database Website



The **NTD Homepage** offers the following information and data for reporters and others interested in the NTD:

- **Internet Reporting Login** link.
- **What is the NTD?** An overview of the NTD program, milestones in transit history, how to obtain an NTD ID number, and an overview of the NTD reporting forms.

Reporting Manuals

- **Annual Reporting:** Access to HTML and PDF versions of the current Annual Reporting Manual, an overview of reporting changes and highlights, reporting manual archives, etc.
- **Monthly Reporting:** Access to HTML and PDF versions of the current Monthly Reporting Manual, an overview of the reporting changes and highlights, reporting manual archives, etc.
- **Safety and Security Reporting:** Access to HTML and PDF versions of the current Safety and Security Reporting Manual, Newsletters, Safety and Security frequently asked questions (FAQ), an overview of reporting changes and highlights, reporting manual archives, etc.
- **Rural Reporting:** Access to HTML and PDF versions of the current Rural Reporting Manual and Excel spreadsheets, an overview of reporting changes and highlights, reporting manual archives, etc.
- **Sampling:** Access to the PDF File of the Sampling Manual, HTML version of the glossary, Excel spreadsheets of a Sampling Template and a Sampling Template with data.
- **Small Systems Waiver Manual:** Access to HTML and PDF versions of the current Small Systems Waiver Reporting Manual, an overview of reporting changes and highlights, reporting manual archives, etc.

Data, Publications and Reference Materials

- **NTD Glossary:** HTML version of the NTD Glossary of transit terms.
- **NTD Reference Materials:** NTD reference materials such as the Uniform System of Accounts, FTA Circulars and Federal Register Notices.
- **Access NTD Data:** HTML and downloadable PDF publications, including the Data Tables (also available as MS Excel self executable files), Profiles, National Transit Summaries and Trends, as well as Annual, Monthly and Historical databases (MS Excel self executable files) and other data products.

NTD Resources

- **FTA / NTD Presentations, Announcements and Updates:** FTA / NTD presentations, new and useful information, interim updates to reporting requirements, etc.
- **NTD Feedback:** The mailing address, telephone number and fax number for the NTD Project site as well as an opportunity to provide comments or suggestions regarding the NTD Program.

- **Seminars and Training:** NTD Reporting Seminars and In-house Training information and registration.
- **Transit Agency Listing by Region and External Links:** Contact information for transit agencies reporting to the NTD listed by UZA and State. Links to:
  - Federal Transit Administration (FTA)
  - FTA Safety and Security Office
  - U. S. Department of Transportation (USDOT)
  - National Transit Library
  - American Public Transportation Association (APTA)
  - Bureau of Transportation Statistics (BTS)
  - Accessibility.

Accessing the NTD Report

Clicking the **Internet Reporting Login** link will open the Internet Reporting **Login** page. You must enter your user name and password to gain access to **NTD Report Home**.

Levels of Access

Internet reporting provides four levels of access to the Annual Report with the following rights

1. **CEO access:** Edit forms (data entry), approve Chief Executive Officer (CEO) Certification form (D-10) and submit report
2. **Contact Person access:** Edit forms (data entry) and submit report (administrator)
3. **Editor access:** Edit forms (data entry), cannot submit report
4. **Viewer access:** Viewing rights only for forms, issues, notes and correspondence with no rights to edit or submit.

User Names and Password

The system access level is determined by the user name. The first three characters of the user name define the access level and the last four digits represent the transit agency's NTD ID. There are four types of user names corresponding to the four access levels available within the Annual Report:

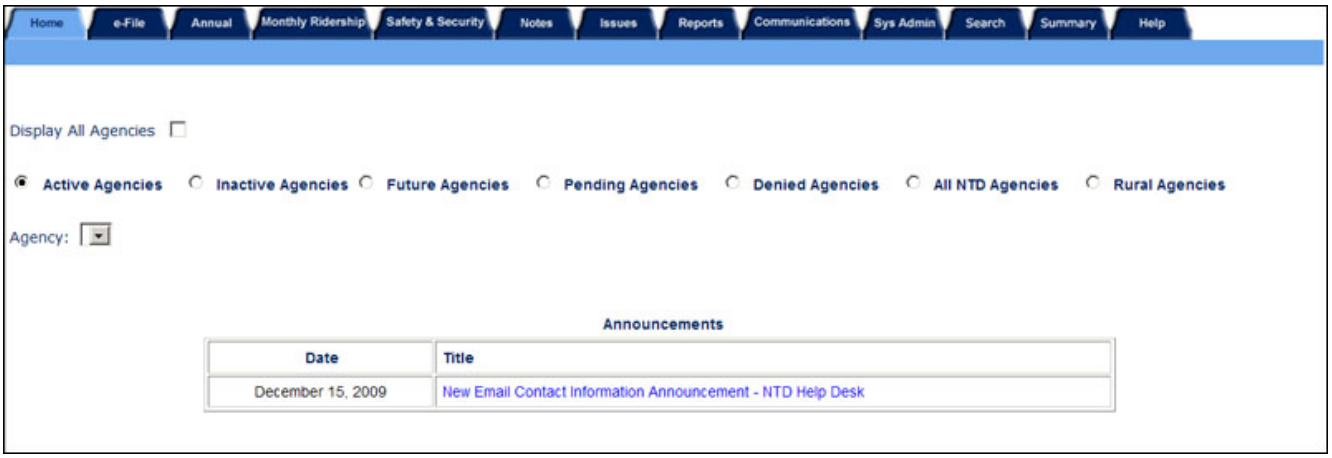
1. CEO — CEO####
2. Contact person — NTD####
3. Editor — EDT####
4. Viewer — VWR####.

Each transit agency is e-mailed this set of user names with a password for each. Transit agencies determine access within their organizations and distribute user names and passwords accordingly.

A user can change his / her password at any time. Refer to Sys Admin: Changing Your Password for additional information on this topic. Users should be aware that passwords must be changed every sixty days.

The CEO and NTD contact person use the same password for all reporting modules. The CEO and NTD contact person may access all reporting modules (Annual, Monthly and Safety and Security) from the **Home** tab.

Home: Annual Report Home Page and Program Structure



After completing the **Login** process you will be taken to the Annual report **Home** page. You must click the **Home** tab near the top of any screen to return to the **Home** tab from another area.

When accessing the **Home** tab, please take note of the **Announcements** section. There you will find a listing of FTA announcements.

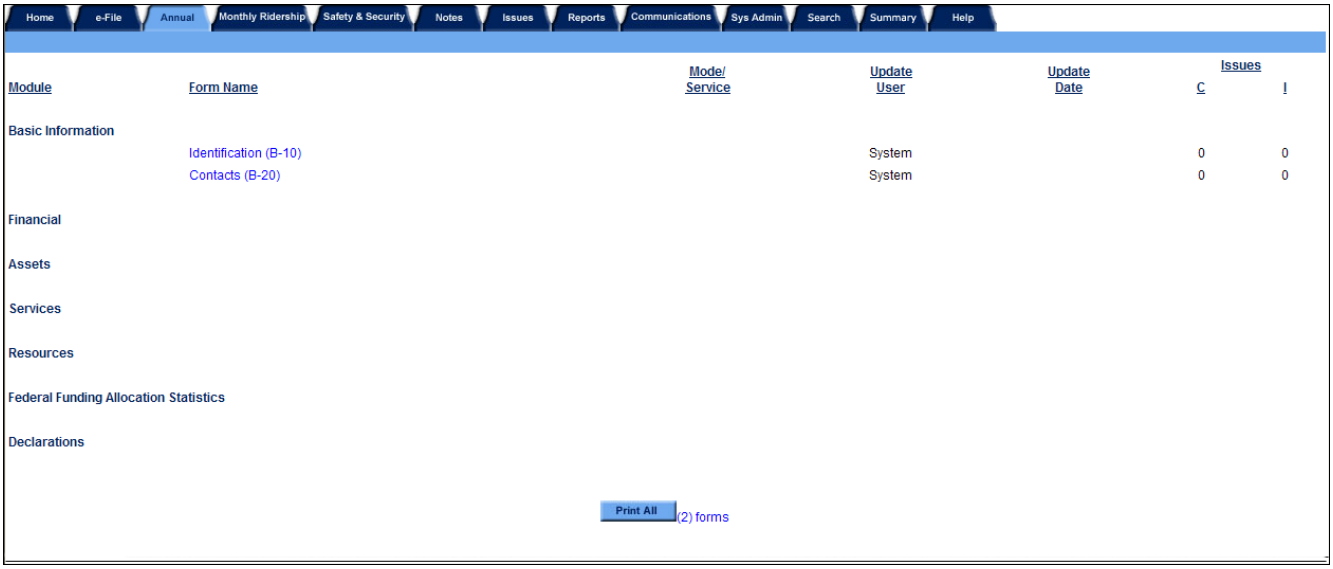
NTD Reporting Structure

The Annual Report module has the following tabs:

- **Home:** The starting point when entering the NTD report. It displays the transit agency's NTD analyst information and any project related announcements.
- **e-File:** A listing of all declarations, waivers, other general correspondence and current year report submission stages. This screen allows a transit agency to view the text of existing declarations, waivers, fixed guideway requests and general correspondence, and to add documents using the file attachment feature.
- **Annual:** A listing of the reporting forms necessary to complete your NTD Annual report. It is from this screen that the transit agency submits the NTD Annual report. The **Submit Report** button appears at the bottom of the **Forms Summary** screen after the CEO approves the CEO Certification form (D-10).
- **Monthly:** This screen provides access to the NTD Monthly reporting forms for editing and submitting your report to FTA. Form-by-form instructions and reporting details for the Monthly Module are included in the NTD Monthly Reporting Manual. The NTD contact person is responsible for submitting Monthly data to NTD.
- **Safety and Security:** This screen provides access to the Safety and Security Module forms for editing and submitting your report to FTA. Form-by-form instructions and reporting details for the Safety and Security Module are included in the Safety and Security Reporting Manual.
- **Notes:** Displays all the Form Notes added to the transit agency's Annual report. Internet reporting allows the transit agency to create Form Notes to provide additional information applicable to the overall form.
- **Issues:** Displays all the Issues generated for the transit agency's Annual report. Issues highlight potential problems with specific data items (specific data which fall out of a typical range of values) and are generated each time the transit agency saves a form or submits the NTD Annual report. To correct an Issue, the transit agency may either change the data item on the appropriate form or attach a Comment to the individual Issue and explain. You should use this screen to review the Issues for entire report (form by form) prior to submitting your NTD Annual report.
- **Reports:** Print and export reports (Notes and Issues, Service Characteristics – Time Series, Key Performance Indicators, and Revenue Vehicle Inventory – Prior Year's History, and Operating Expenses by Function and Hourly Wages – Prior Year's History). All reports have been developed to allow you to print each form or report without altering print settings to fit a form on the page. The reports listed will vary depending on your access level.
- **Communications**: This screen provides a record of the report submissions the agency has made to NTD, including any comments from the agency and the review status of the report.

- **Sys Admin:** Change NTD passwords – CEO, NTD Contact Person, Editor and Viewer. You may only change your own password. Should you need assistance, contact your NTD analyst.
- **Help:** Online version of the Reporting Manual.

Annual: Reporting Annual Data



Click on the **Annual** tab to open the **Forms Summary** screen. The **Forms Summary** screen lists the 2011 NTD modules and provides links to the specific forms, within each module, that your transit agency is required to complete.

Initially, the **Forms Summary** screen only provides access to two forms within the Basic Information Module:

1. Identification form (B-10), and
2. Contact form (B-20).

After you review, complete and save the B-10 form, Internet reporting automatically generates the forms necessary to complete the NTD Annual report.

The forms generated are dependent upon: 1) the number of vehicles operated in annual maximum service (VOMS) by mode and TOS, 2) the UZA size, 3) whether a Small Systems Waiver request has been indicated, 4) whether the seller in a purchased transportation agreement is filing a separate NTD Annual report and 5) whether a Grants (Planning or Capital) Waiver request was indicated. All form-by-form instructions and reporting details are provided in the form specific sections of this manual.)

After the B-10 form has been saved the **Forms Summary** screen provides access to forms that your transit agency is required to complete. The mode and TOS, the update user and update date, and the number of issues for each form are also displayed.

The **Forms Summary** screen also provides the means to add a new Contractual Relationship form (B-30). Internet reporting automatically generates a B-30 form for each purchased transportation agreement, (i.e., contracts) that existed in the transit agency's previous year report if at least one mode designated on the prior year's form is also reported on the B-10 for the current reporting year.

If you want to add a new Contractual Relationship form (B-30) for a new contract, you click the **Add Form** button at the bottom of the **Forms Summary** screen and select B-30 from the drop-down menu.

Printing a Form Report from a Form Screen

Click on the **Print** button at the bottom of the **Form** screen to display the report in **Adobe Acrobat Viewer**; then click the **Print** button in the upper left corner of the viewer and click the **Okay** button on the resulting **Print** window.

Submitting Your Report

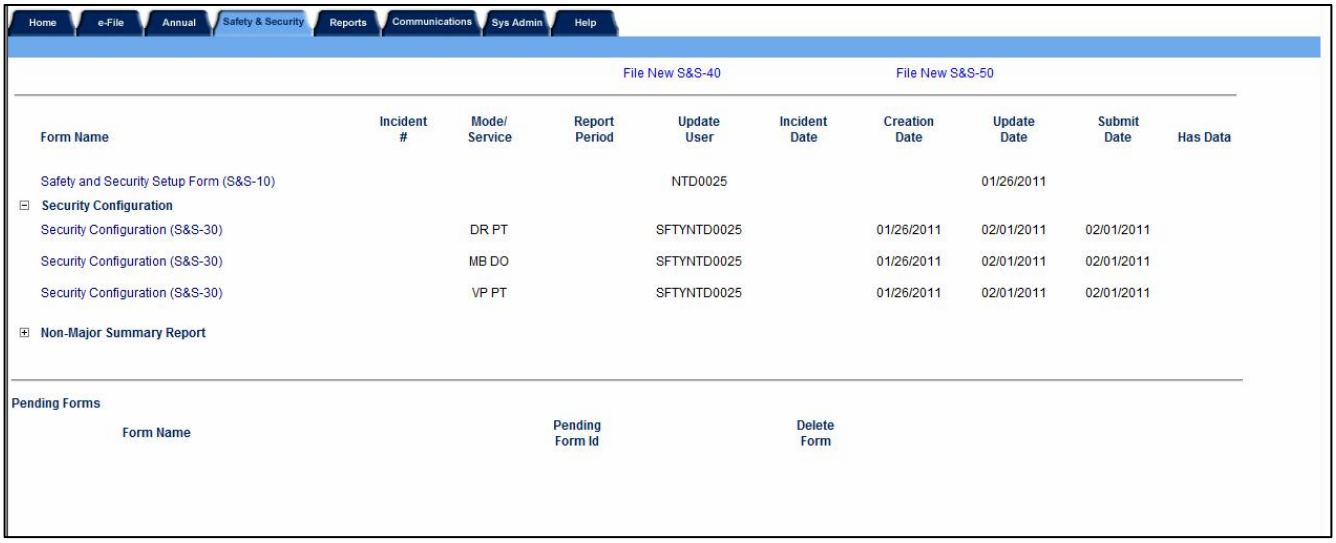
To submit your report to the NTD, upon completing the required NTD forms, you should return to the **Annual** tab, scroll to the bottom of the page, and click the **Submit Report** button.

Monthly: Reporting Ridership Data

Click on the **Monthly** tab to open the **Monthly** screen. This screen provides access to the Monthly Module forms for editing and submitting your report to FTA.

Form-by-form instructions and reporting details for the Monthly Module are included in the Monthly Reporting Manual.

Safety and Security: Providing Incident Data



Click on the **Safety and Security** tab to open the **Safety and Security** screen. This screen provides access to the Safety and Security Module forms for editing and submitting your reports to FTA.

Form-by-form instructions and reporting details for the Safety and Security Module are included in the Safety and Security Reporting Manual.

Notes: Providing Additional Information

Click on the **Notes** tab to open the **Notes Summary** screen. Internet reporting allows the transit agency to create a **Form Note** for information applicable to the overall form.

Creating a Form Note

To create a form note, you should click on the **Add Form Note** link at the top right of the form you are editing or viewing. Internet reporting will take you to the **Form Notes** screen for the specific form. Internet reporting pre-fills the mode and TOS (if applicable) for which the note is created. You must complete the note comment.

To save a form note, click on the **Save** button at the bottom of the screen. To return to the form being edited without saving the note, click on the **Cancel** button.

Reviewing Form Notes

Click on the **Form Notes** tab to view the **Form Notes** screen. You can review the form notes associated with a specific form or all form notes for the report. While working in a form click on the **Form Notes** tab to display the **Form Notes** screen for the form. The form name, mode and TOS will be displayed just beneath the tabs.

You also can review form notes associated with prior submissions for the current Report Year (i.e., 2011) and prior Report Years (i.e., 2010 and earlier). To view current or prior year's form notes, click on the **Report** drop-down menu located above the tab line, and select the year and report stage (original, working data, revision, closeout) that you wish to view.

Editing Notes

While you are in the **Working Data** report stage, you can edit a form note after it has been created by clicking on the **Edit Note** link in the far right column on the **Form Notes** screen. Once the NTD Annual report is submitted the notes are frozen and cannot be edited. Notes can only be edited while in the report status is **Working Data** which is displayed at the top of screen in the **Report** menu.

Notes are frozen with each submission. If the report is sent back to the transit agency and notes are reviewed or added, the previously submitted notes will not be affected.

Printing Form Notes

You can print all form notes from the **Reports** tab by clicking the **Notes and Issues Report** link.

Issues: Validating Data

You access the **Issues** screen by clicking the **Issues** tab. This screen highlights potential problems with specific data items identified through the NTD validation process.

The NTD validation process ensures that NTD reporting requirements are met and that the reported data fall into reasonable ranges and make sense. Validation checks include:

- Range checks for typical values found among transit agencies with similar operating characteristics
- Logic checks between data items on different NTD forms
- Time series checks against previous years' data to identify data that have changed significantly.

NTD validation is an interactive, iterative process with two alternating phases:

1. Pre-submission (working data report stage) validation — automatic review prior to submission of the NTD Annual report
2. Post-submission (the original submission or a revision report stage) validation — review by your assigned NTD validation analyst after submission of the NTD Annual report.

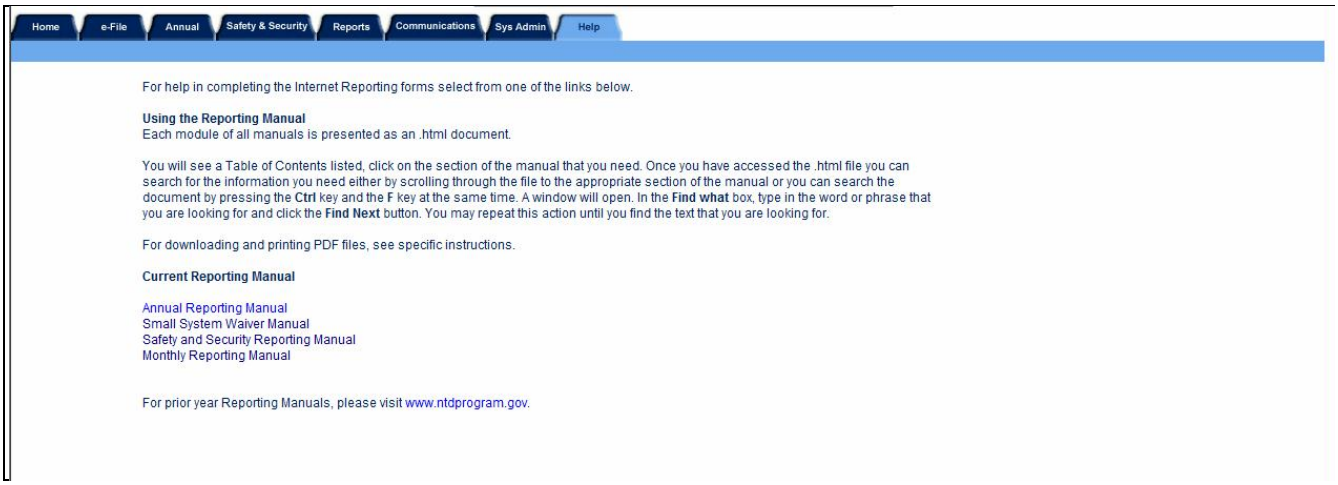
In support of the NTD validation process, an NTD validation analyst is assigned to each transit agency. NTD validation analysts are available to assist transit agency personnel and may be contacted at the NTD Project Office. Direct contact information for each validation analyst is available from the **Home** tab in the **Announcements** section (refer to the NTD Contact Information) Refer exhibit under Where to Report in the Introduction section of this manual for general NTD contact information (mailing addresses, hours of operation, etc.).

Sys Admin: Changing Your Password

The **Sys Admin** screen provides the ability to change your NTD password.

All passwords expire every sixty days. You can change your password at anytime on the **Sys Admin** screen by specifying your current and new password. To be valid, a password must contain at least 3 out of 4 of the following character types: Upper case, Lower Case, Numbers, or Special Characters. Password cannot contain spaces, and must be at least 12 characters and not more than 20 characters.. Passwords are case-sensitive. If you do not change your password within the sixty-day period, you will be forced to change your password when you first access the system once the sixty-day period has expired. It must be different from 10 previous passwords and must be different from any password used in last 6 months. The screen is similar to the one available on the **Sys Admin** screen and the same password rules apply.

Help: Obtaining More Information



Click on the **Help** tab to display the **Help** screen. The **Help** screen provides access to the 2011 Annual Reporting Manual for additional help in completing the NTD Annual report forms. The **Help** screen displays the table of contents for the Reporting Manual with links to each section of the manual.

Pre-Submission Validation

Internet reporting automatically performs issue checks after a form is saved. The issue checks help you assess the completeness and reasonableness of your data prior to submission to FTA.

Since some issues checks are performed using data items from more than one form, it is best to respond to issues after all forms are completed.

Issues are classified by issue type according to severity and action required in order to submit the NTD Annual report:

- **C (Critical):** The transit agency is not able to submit the NTD Annual report until all **Critical** issues are corrected.
- **I (Important):** The transit agency is not able to submit the NTD Annual report until all **Important** issues are corrected or explained through a Comment associated to the issue. Comments are added to a particular issue via the **Add Comments** link located adjacent to each issue on the **Issues Summary** page.

The **Forms Summary** screen identifies the number of issues by each type for each form. You can access the **Forms Summary** screen by clicking on the **Issues** tab from the Annual report **Home** page.

You should also review the issues for a specific form. You can access the complete listing of issues for the specific form by clicking on the **Issues** tab while viewing the form.

You also can review issues associated with prior submissions for the current Report Year (i.e., 2010) and prior Report Years (i.e., 2009 and earlier). To view current or prior year's issues, click on the **Report** drop-down menu located above the tab line, and select the year and report stage (original, working data, revision, closeout) that you wish to view.

Prior to the original submission, issues are deleted as you correct the data and resave the forms. Important issues that remain when the NTD Annual report is submitted will continue to be available for review on the **Issues** tab. Any corrections or explanations subsequent to the original submission will be recorded and are available for review by you and the NTD staff.

As with **Form Notes**, the issues are frozen with each submission, and cannot be altered until the report is returned.

Post-Submission Validation by NTD Analysts

After the transit agency submits the NTD Annual report, the report is frozen as the **Original Submission** report stage. At this point in the process, the data cannot be edited by the transit agency. This is also true of each re-submission (revision).

The issues undergo a series of reviews by NTD staff during which the issue status may be changed. At each stage, you should revise forms as necessary, review issues, respond to the issues, save and re-submit the report. The status of an issue is not considered to be final until the Closeout letter has been approved.

Exhibit 7 — Issue Status	
Active	Issues that require review by the transit agency.
Active with Comments	After a transit agency reviews and adds comments to an **Active** issue, the issue is assigned an **Active with Comments** status.
Questionable	Issues may be included in a Closeout with Issues letter and pertinent data is indicated as **Questionable** in publications.
Under Review	NTD validation analysts recommend that these issues have been sufficiently addressed by the transit agency.
Reviewed	Recommendation to FTA that no further action is necessary by the transit agency.
Fixed	Issues corrected by the transit agency by revising those data item(s) which caused the issue to be generated originally. No further action is required by the transit agency for these issues.

As your report is moved through the validation process, the NTD validation analyst reviews the reported data and recommends that FTA either accept your transit agency's issue comments or designates the issue as **Active** for further review by your agency. Upon completion of this review, the NTD validation analyst makes the report available to your agency as **Working Data**. When this is done, you can edit the report or provide more information. Review by both the transit agency (in working data stage) and the NTD validation analyst (in revision stages) continues until all issues have been designated as **Fixed**, **Questionable** or **Reviewed**. The report will then move to the Closeout report stage.

Closeout: Completion of Issue Validation

The validation process ends with the generation of the Closeout letter for a transit agency:

- A Closeout without Issues letter is generated if all issues have either been **Fixed** or **Reviewed**
- A Closeout with Issues letter is generated if there are **Questionable** or remaining issues at closeout.

You can access the letter from the **e-File** tab.

Reports: Accessing Reports to Help Report Annual Data

Click on the **Reports** tab to display the **Reports** screen. This screen provides access to several reports available to assist you in preparing your NTD Annual report.

Please refer to the section on **Printing** for instructions on viewing, printing and exporting a report.

To open a report, you should click the corresponding link on the **Reports** screen and the report will open **Adobe Acrobat Viewer**. You can print the report by clicking the **Print** button in the upper left corner of the viewer and click the **Okay** button on the resulting **Print** window.

You can also review selected reports associated with prior submissions for the current Report Year (i.e., 2011) and prior Report Years i.e., 2010 and earlier). To view current or prior year's reports, click on the **Report** drop-down menu located above the tab line, and select the year and report stage (original, working data, revision, closeout) that you wish to view.

The following report links are available on the **Reports** screen:

- FFA Data Distribution by UZA Report
- All Form Notes and Issues Report

- Service Characteristics – Five-Year History
- Performance Indicators – Five-Year History
- Revenue Vehicle Inventory – Prior Year's History
- Operating Expenses by Function and Hourly Wages – Prior Year's History
- Key Performance Indicators – Average Trip Length – Prior Year's History.

All Form Notes and Issues Report

Click on the **All Form Notes and Issues Report** link to print all of the form notes and issues associated with the NTD Annual report as viewed on the **Form Notes** screen or **Issues** tab.

Additional Reports Available from the Reports Tab

For all of the following reports, the default will be a five-year history. However, the user can change the report to show additional years' history using the **Report** drop-down located above the tab line.

Service Characteristics

Click on the **Service Characteristics** link to view the report. This report provides the number of VOMS, the vehicle revenue hours (VRH) and miles VRM), the deadhead hours and miles, the total actual hours and miles, the number of unlinked passenger trips (UPT), the number of passenger miles traveled (PMT) and the total operating expense (OE) for each mode and TOS operated for the current reporting year and four years prior with the percentage of variation from year to year.

Key Performance Indicators

Click on the **Performance Characteristics** link to view the report. This report provides the trip length, load factor, revenue speed, deadhead speed, cost per hour, cost per mile and cost per passenger for each mode and TOS operated for the current reporting year and four years prior with the percentage of variation from year to year.

Revenue Vehicle Inventory – Prior Year's History

Click on the **Revenue Vehicle Inventory – Prior Year's History** link to view the report. This report provides the total fleet, active fleet, ADA fleet, and average fleet age for each mode and TOS operated for the current reporting year and four years prior with the percentage of variation from year to year.

Operating Expenses by Function and Hourly Wages – Prior Year's History

Click on the **Operating Expenses by Function and Hourly Wages – Prior Year's History** link to view the report. This report provides the vehicle operations expense, vehicle maintenance expense, non-vehicle maintenance expense, general administration expense, vehicle operations hourly wage rate, vehicle maintenance hourly wage rate, non-vehicle maintenance hourly wage rate and general administration hourly wage rate for each mode and TOS operated for the current reporting year and four years prior with the percentage of variation from year to year.

Key Performance Indicators – Average Trip Length – Prior Year's History

Click on the Key **Performance Indicators – Average Trip Length – Prior Year's History** link to view the report. This report provides the average trip length by average weekday service, average Saturday service, average Sunday service and annual total data for the current report year and prior years with the percentage of variation from year to year.

e-File: Sending Declarations, Requests, and Other Communication

The **e-File** tab is located between the **Home** tab and the **Annual** tab. The **e-File** tab is a centralized area in which to compose, organize and track agency correspondence with the NTD program.

All correspondence, waivers and other requests, as well as the Independent Auditor Statements are attached and submitted using the **e-File** tab and using the CEO level log-in to submit these correspondences. Only the CEO log-in can submit a correspondence. The **e-File** tab provides the following organization and tracking features:

- General correspondence is organized by sender:
  - Reporting agency
  - NTD program staff.
- Once generated, correspondence is stored on the **e-File Summary** screen without the need for external files.
- The status or phase (approved, denied, etc.) of the process for each correspondence item is indicated under the **Status** heading by correspondence type.

E-mail responses are sent to the transit agency following requests through the **e-File** system. Examples of letters sent from FTA to transit agencies are:

- Closeout correspondence
- Late Letter correspondence
- Late Response correspondence.

The following sections describe:

- e-File tracking
- e-File composing: Extensions, Waivers, Other Agency Requests and Declarations
- NTD Process after e-File Submission
- e-File at the End of the Year

e-File Tracking

The **e-File Summary** screen provides a snapshot of the status of the NTD Annual report:

- Report stage
- Waivers
- Declarations
- Other agency requests
- Outgoing NTD Correspondence.

Report Stage

This section lists the dates that the original report submission and each subsequent revision were sent to NTD and returned to the transit agency. Most of the information listed pertains to the current report year. However, some correspondence or

requests may pertain to future years. These items will be displayed indicating the future report year. In most cases, correspondence spans two report years. You may now select up to two report years for the same request.

To view prior years' **e-File** information, you should use the **Report** drop-down menu, located above the tab line, to select the year you wish to view. Note that **e-File** information is not available prior to RY 2002.

To add correspondence for prior years' **e-File** information, you should click the **Add Correspondence** button on the current year's **e-File Summary** screen. You then select the year for which you wish to add correspondence from the **Add Correspondence** screen.

Waivers

This section contains the correspondence for any waiver requests as well as their current status. Waivers include:

- Data
- Financial statement
- Reporting
- Passenger miles traveled sampling
- Planning and Capital Grants

Declarations

This contains the declarations submitted to NTD via the **e-File** and their current status (Not Submitted, Received, Cancelled, Approved, Approved with Issues, and Denied). The declarations are:

- Independent Auditor Statement for Financial Data (IAS-FD)
- Independent Auditor Statement for Federal Funding Allocation (IAS-FFA).
- Safety and Security CEO Certification

Though not required, FTA strongly encourages each transit agency to attach a copy of their IAS–FFA to the e-File.

See both the Introduction and Declarations sections of this manual for guidance and clarification of which Independent Auditor Statements are required and when.

Other Agency Requests

All other correspondence between the transit agency and NTD is contained in **Other Agency Requests**. Examples of this type of correspondence are:

- Request to file a consolidated report
- Extension requests
- Change in transit agency fiscal year
- New fixed guideway (FG) requests
- New ID request
- New ID request response
- Clarification of a reporting requirement (Other).

Outgoing NTD Correspondence

All Closeout letters, Failure to Report Warning (for, Late Report, Incomplete Report and Failure to Respond) letters and any official correspondence for clarification from FTA are sent to transit agencies that do not comply with NTD reporting requirements. Electronic copies of the letters are submitted to transit agencies via the **e-File** tab.

Add Declaration Type menu selection:

Independent Auditor Statement for Financial Data (IAS – FD)

Independent Auditor Statement for Federal Funding Allocation (IAS-FFA)

e-File Composing: Waivers, Other Agency Requests and Declarations

Waivers and Other Agency Requests are all considered correspondence. The following discusses each type of request and describes the steps taken to create, edit and submit them. Some declarations are also submitted in the **e-File**.

Adding a Request or Declaration

On the **e-File Summary** screen buttons are available for each type of correspondence request and declaration (i.e. waivers, declarations and other agency requests). You should click the appropriate button to initiate a specific request and display the **Add Correspondence / File** screen.

Once a request or declaration is initiated, you will be directed to the **Add Correspondence / File** screen. On this screen there are several specific pieces of information that are required, including:

- **Report Year:** This is a required field that identifies the report year for which the correspondence is made. In most cases, you will be adding correspondence that will be applicable to the current report year. However, you may want to create correspondence pertaining to a future report year. Both current and future report year correspondence will appear on the **e-File Summary** screen by report year.
- **Type:** This is a required field. You should use the drop-down menus to identify the type of correspondence to be submitted. For example, if you arrived at this screen by clicking the **Add Waiver** button, the drop-down menu will display the five waiver types. If you clicked the **Add Declaration** button, the three declaration types will be listed.

Writing or Attaching a Document

You have the choice to either insert text or attach a document to send correspondence to the NTD. You should select **Insert Text** to generate a field where you can type your agency's request. There is also the option to attach a more formal request by using the **Letter Attachment** option and submitting the request to NTD following the guidelines below.

Editing a Request

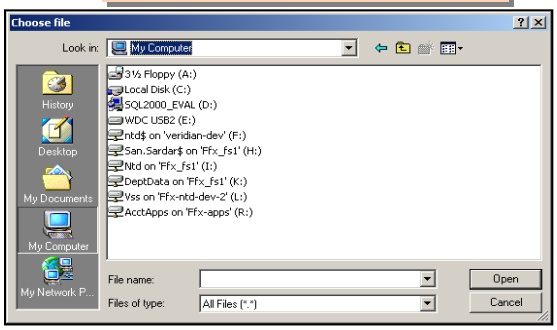
Appropriate transit agency personnel (based on user rights) can edit the request at any time after the request is saved and prior to submission. To edit the request, you should click on the link to the file you wish to edit (**Data Waiver**). The file will open and you can edit the content as necessary. However, Internet reporting will not let you edit several of the fields used to identify the specific request.

Other Agency Request Type menu selection:

Consolidation Request
Extension Request
FY Change Request

Attaching Correspondence

Other types of correspondence may also be attached under the **Other Agency Requests** heading on the **e-File** tab. To attach the written request select the **Letter Attachment** radio button, then select the **Browse** button. A Windows **Dialog** box will appear. The appearance of the window may be different based on the operating system (Windows NT, 2000, 95/98, Apple Mac, etc.) being used. Navigate to the directory in which your file is stored and click **Open**. The file name will appear in the text area to the left of the **Browse** button.



Saving Correspondence

The final step in creating correspondence (waiver, declaration or other agency request) is to **Save** and or **Submit** the request or declaration by using one of the three buttons at the bottom of the screen.

Depending on your assigned level of access, you can perform certain tasks within the system. While certain users can create, save, and submit requests, others may only be able to create and save or simply view the request. This type of role-based security allows Internet reporting to verify that the appropriate people are making the necessary requests. Based on a user's role, they will see a **Cancel**, **Save** and or **Submit** button. For example:

1. The **Cancel** button is available to all users. Cancel simply exits the form and no changes are saved.
2. The **Save** button is available to those users with CEO, NTD and EDT passwords. Once data are entered, the request may be saved. Once saved, the request is stored and can be reviewed and edited as often as necessary prior to submitting the report to NTD.
3. The **Submit** button is limited to the CEO.

Add Waiver Type menu selection:

Data Waiver
Financial Statement Waiver (IAS–FD)
Reporting Waiver
Passenger Mile Sampling Waiver
Planning or Capital Grants Waiver

Once the request is saved or submitted, you are returned to the **e-File Summary** screen. The **e-File Summary** screen will display the request under the appropriate heading, followed by the identifying subject line, the year for which the request is relevant, the date the request was created, and the status of the request.

NTD Process after e-File Submission

Acknowledgment of Submission

For most submissions, no acknowledgement is provided regarding receipt at the NTD project site. If you concerned about a submission, please contact your NTD validation analyst.

However, acknowledgements are provided upon receipt of waiver requests, etc., at the NTD project site. An e-mail is sent back to the CEO and contact person acknowledging receipt of the correspondence. This acknowledgement is also posted on

the **e-File** tab. If there are problems with the original request, you should contact your NTD validation analyst immediately upon receipt of the e-mail.

Request Status

Once a request is submitted, NTD begins processing the request or declaration. When the process is complete, it is given a final status that the transit agency is able to view.

The status column is intended to inform the transit agency about the progress of each request. Distinct statuses apply to the different request types. The following is a list of the potential statuses and their meanings:

- **Not Submitted:** The request is attached but was not submitted to the NTD. The request remains available to the transit agency for editing and saving but is not valid until submitted to NTD.
- **Received:** The request was successfully submitted to NTD. NTD staff will review and take action, if appropriate, on the request.
- **Approved:** The request was reviewed and approved by FTA.
- **Approved with Issues:** Issues were found with the request but were not substantial enough to prevent FTA approval.
- **Denied:** FTA denied the request.

Viewing a Submitted Request

Official notification from NTD is necessary for a request to be considered approved or denied. When such an action is taken by NTD, the status column will no longer appear as Received but will instead reflect the appropriate status. A status other than received indicates that NTD processed the request. Once the status changes, you can review NTD's official response.

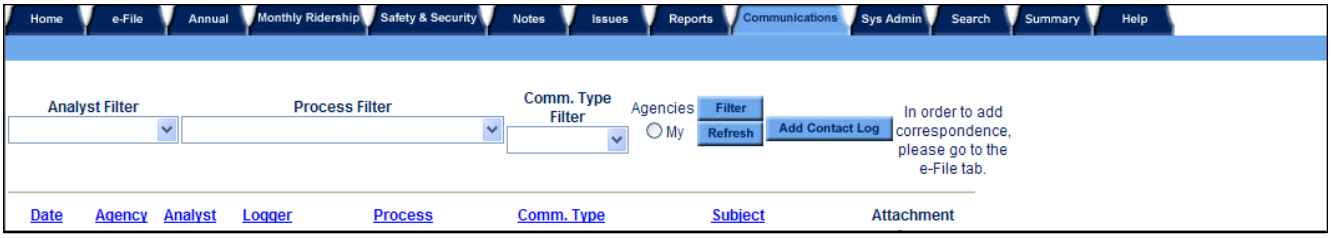
To view, click on the hyperlink for the submitted requests you want to view. There will be a link for the **Letter Attachment** (as there was when editing). However, since it was already submitted, you cannot edit the request and the **Save** and **Submit** buttons are no longer be available.

When you access the **e-File Summary** screen, there may be two links for attached files. This occurs if you submitted an attached document to NTD. The submitted document will be the first link you see. The second link is the official response from NTD. To view the response, you should click on the link and select **Open Document** when prompted by the operating systems dialog box.

e-File at the End of the Year

At the end of the report year, the **e-File Summary** screen provides a picture of an entire report year. The number of requests will vary by transit agency; however, all correspondence between the transit agency and NTD is captured. Most important, when the transit agency is closed out, under **Report Stage** the status **Closeout** appears, and a closeout letter is listed.

Communications Summary: Viewing a History of Correspondence with NTD



The **Communications** tab gives transit agencies a centralized area in which to view their past correspondence with the FTA NTD program. In addition, the correspondence view can be filtered to show only certain processes or communication types.

Navigating Between Screens

You should not use the browser **Back** and **Forward** buttons to navigate between screens. Instead, you should use the Internet reporting system buttons, tabs and links.

Saving a Form

A **Save** button is provided at the bottom of each Internet reporting form. When entering information into a form, it is strongly recommended that you save the form frequently. This will prevent the loss of data if your Internet connection is unexpectedly lost.

Also, Internet reporting has an automatic time-out feature which will log you off of the system after a period of inactivity. It is strongly recommended that you save your work every 15 minutes. Otherwise, there is a risk that the next action you take on the system will result in the closure of the screen displayed in your browser and the loss of any data that you had not saved.

Viewing, Printing and Exporting Reports

Reports can be generated within the Internet reporting system from either the **Reports** tab or from the individual form screens.

Viewing a Report Online

Click on the **Report** link on the **Reports** tab to display the report within the IE window. Use the scroll bar or the following navigation buttons to scroll through the report:

- To go to the next page, use the right arrow
- To go to the previous page use, the left arrow
- To go to the last page, use the right arrow with a line to the right
- To go back to the first page, use the left arrow with a line to the left.

To Print a Report from the Reports Tab

Click on the **Print Report** button (printer icon) in the upper left corner of the viewer. A window will open; the document is converted to a PDF file; you then click the **Print** button on the resulting **Print** screen.

To Print a Form Report from a Form Screen

Click on the **Print** button at the bottom of the **Form** screen to display the report in the window. Click the **Print** button in the upper left corner of the viewer. Then click the **Okay** button on the resulting **Print** window.

Basic Information Module

This module contains five forms:

- Identification Form (B-10)
- Contacts Form (B-20)
- Contractual Relationship Form (B-30)
- Reporter Receiving Public Funds from Form (B-60)
- Reporter Providing Public Funds to Form (B-70)

Identification form (B-10)

The B-10 form collects basic organizational and transit service information about transit agencies, including State recipients, Metropolitan Planning Organizations (MPOs), and regional planning commissions filing National Transit Database (NTD) reports. Internet Reporting uses this information to generate the appropriate forms for the reporter, based on the uses of §5307 Urbanized Area Formula Program (UAF) funds, the number of vehicles operated by mode and type of service (TOS), capital improvements for modes of service not yet in operation, contractual agreements with transit agencies filing their own NTD reports, a Small System Waiver request, and the size of the urbanized area (UZA).

This form is required for all transit agencies, including State recipients, Metropolitan Planning Organizations (MPOs), and regional planning commissions.

Contacts form (B-20)

The B-20 form identifies key personnel at the transit agency responsible for NTD reporting. The form collects information on how to reach the chief executive officer (CEO), and NTD, safety and security contacts. Transit agencies may also identify additional personnel to receive NTD communications, if desired, by contacting their transit analyst.

This form is required for all transit agencies.

Contractual Relationship form (B-30)

The B-30 form identifies the buyers and sellers of purchased transportation (PT) services and provides key financial and operating data for the purchased service.

This form is required for all transit agencies with contractual relationships for PT services.

Reporter Receiving Public Funds from form (B-60)

The B-60 form identifies public funding that you received for transit service that you operated as part of your system. The form summarizes funding by Federal, State, local government and other sources used for operating or capital projects. The form is not used to report on cases where you received funds as a grant recipient from another public entity (these are simply reported on the Sources of Funds – Funds Expended and Funds Earned form (F-10), nor is it used to report cases where you supplied service as a purchased transportation operator (use the Contractual Relationship form (B-30)).

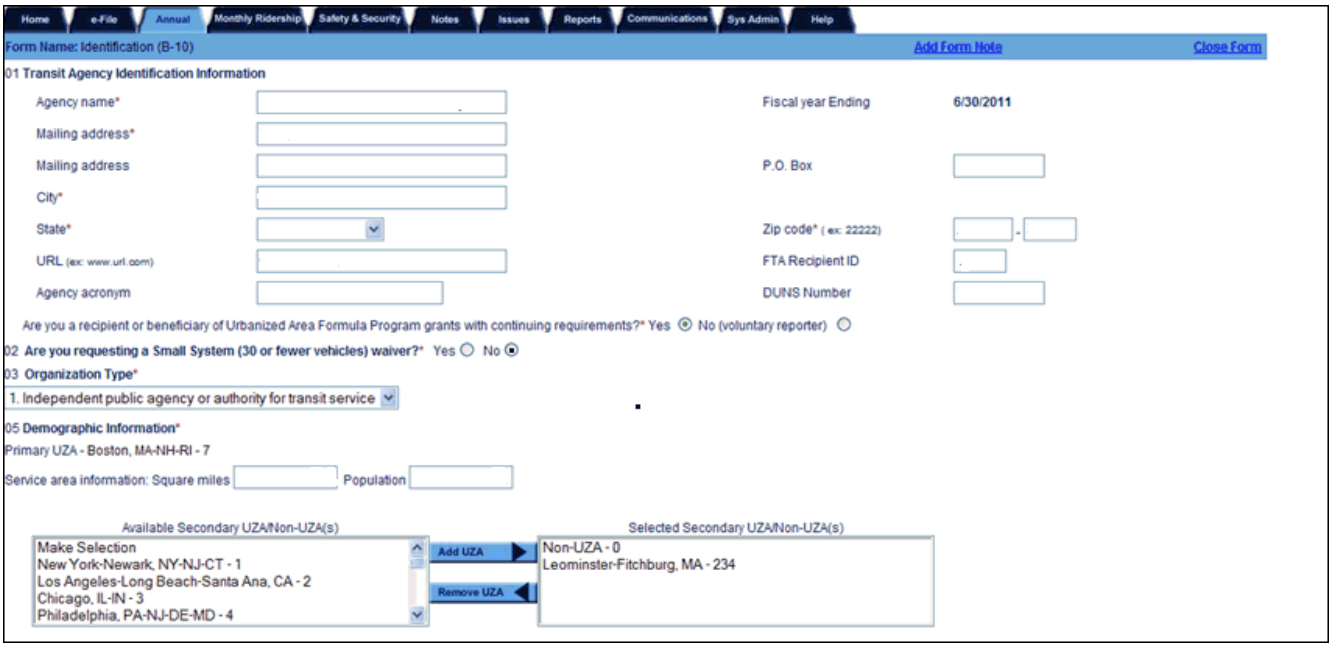
This form is required for all transit agencies who receive funds from other public entities to provide transit services..

Reporter Providing Public Funds to form (B-70)

The B-70 form identifies public funding that you provided to another public transit system for service that the other system operated. The form summarizes funding by Federal, State, local government and other sources used for operating or capital projects.

This form is required for all for transit agencies who provide funds to other public entities to provide transit services.

Identification form (B-10)



06 **Enter Number of Vehicles Operated in Annual Maximum Service by Mode and Types of Service below:**
(Complete all boxes that apply for those services included in your report)

Directly Operated (DO) Modes	Vehicles
Aerial tramway (TR)	
Alaska railroad (AR)	
Bus (MB)	
Bus Rapid Transit (RB)	
Cable car (CC)	
Commuter Bus (CB)	
Commuter rail (CR)	
Demand response (DR)	
Ferryboat (FB)	
Heavy rail (HR)	
Hybrid Rail (YR)	
Inclined plane (IP)	
Jitney (JT)	
Light rail (LR)	
Monorail/Automated guideway (MG)	
Publico (PB)	
Street Car Rail (SR)	
Trolleybus (TB)	
Vanpool (VP)	
Other vehicles operated (OR) (Describe *)	
Total vehicles operated in annual maximum service (DO)	

Purchased Transportation (PT) Modes	Vehicles
Aerial tramway (TR)	
Alaska railroad (AR)	
Bus (MB)	
Bus Rapid Transit (RB)	
Cable car (CC)	
Commuter Bus (CB)	
Commuter rail (CR)	
Demand response (DR)	
Demand response Taxi (DT)	
Ferryboat (FB)	
Heavy rail (HR)	
Hybrid Rail (YR)	
Inclined plane (IP)	
Jitney (JT)	
Light rail (LR)	
Monorail/Automated guideway (MG)	
Publico (PB)	
Street Car Rail (SR)	
Trolleybus (TB)	
Vanpool (VP)	
Other vehicles operated (OR) (Describe *)	
Total vehicles operated in annual maximum service (PT)	

Does your bus (MB) directly operated (DO) service operate over fixed guideway (FG)? * Yes ○ No ◉
Does your bus (MB) purchased transportation (PT) service operate over fixed guideway (FG)? * Yes ○ No ◉
Does your bus (CB) directly operated (DO) service operate over fixed guideway (FG)? * Yes ○ No ◉
Does your bus (CB) purchased transportation (PT) service operate over fixed guideway (FG)? * Yes ○ No ◉

07 **Capital or Non Capital Investment for a Mode Not Currently in Service** (Select all applicable Mode/Service combinations)

Available Modes/Services
Select from the following Modes/Services
Cable Car-DIRECTLY OPERATED
Commuter Rail-DIRECTLY OPERATED
Demand Response-DIRECTLY OPERATED
Ferryboat-DIRECTLY OPERATED

Add ▶
Remove ◀

Selected Modes/Services

08 **Filing a Separate NTD Report** (Select all applicable Modes not in this report)

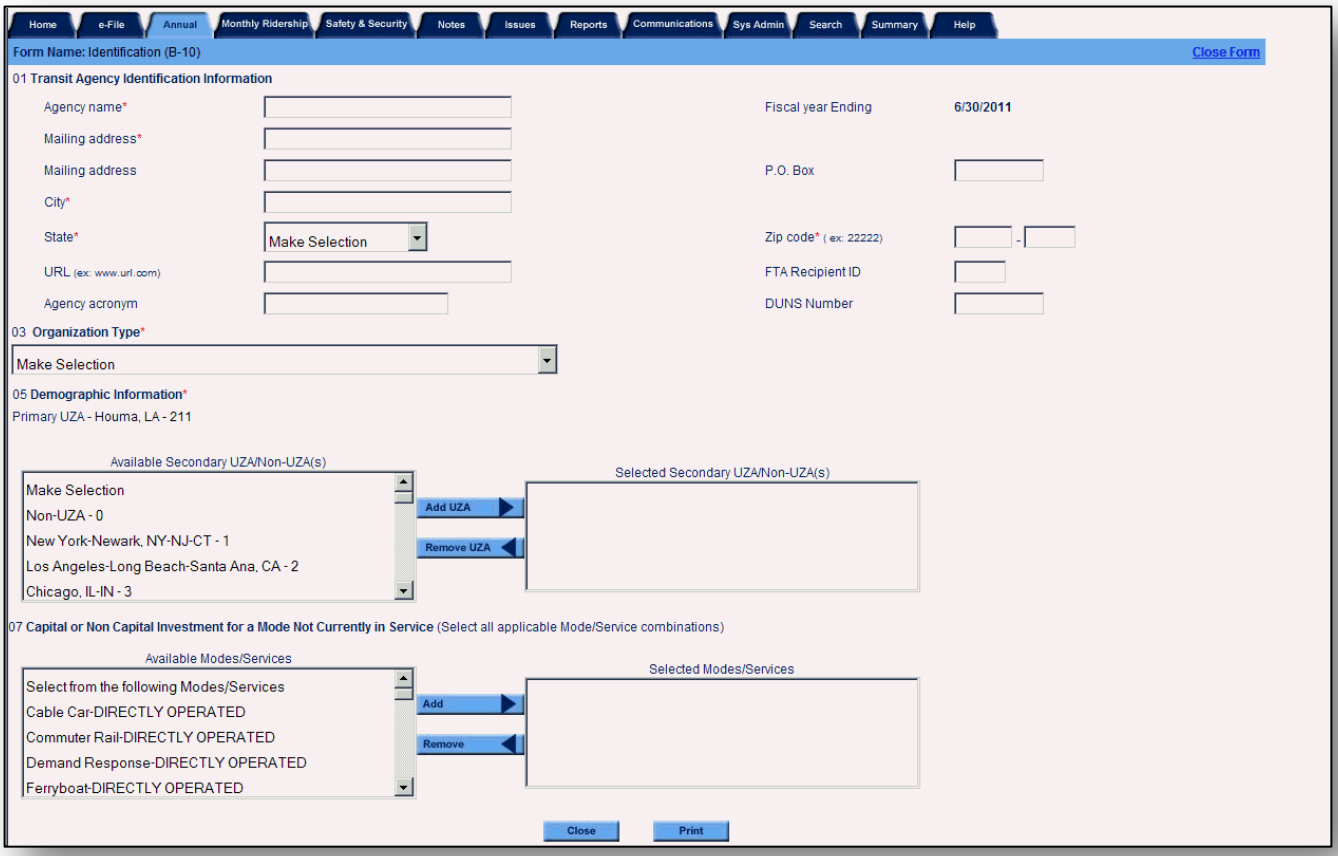
Available Mode(s)
Select from the following Modes of Operation
Cable Car
Commuter Rail
Demand Response
Ferryboat

Add Mode ▶
Remove Mode ◀

Selected Mode(s)

Close Print

Identification form (B-10) for Grants Reporting



Overview

The B-10 form collects basic organizational and transit service information about transit agencies, State recipients, Metropolitan Planning Organizations (MPOs), and regional planning commissions filing National Transit Database (NTD) reports. Internet Reporting uses this information to generate the appropriate forms for the reporter, based on uses of §5307 Urbanized Area Formula Program (UAF) funds, the number of vehicles operated by mode and type of service (TOS), capital improvements for modes of service not yet in operation, contractual agreements with agencies filing their own NTD Annual reports, a Small System Waiver (30 or fewer vehicles) request, a Grants Waiver request and the size of the urbanized area (UZA).

Reporting Requirements and Thresholds

All reporters must complete this form.

Most information is pre-filled from the prior report year. You should review the information and edit as necessary. Changes to the pre-filled data will require contact with your NTD analyst, such as changes to your agency's fiscal year end (FYE) date or changes to your primary UZA.

Small Systems Waiver (30 or fewer vehicles)

Reporters should also use this form to indicate that they are requesting a Small System Waiver. The waiver request should be submitted via the **e-File**. Agencies reporting as "Small System Waiver" will have a reduced set of requirements. See the Introduction section of this manual for additional information on waivers.

Planning and Capital Grants Waiver

Reporters that are not yet operating service, but are expending UAF funds on planning or capital investment will fill out an abbreviated version of this form. The waiver request should be submitted via the **e-File**. See the Introduction section of this manual for additional information on waivers.

What Has Changed from Prior Year

There are four changes for the 2011 report year:

1. Small Systems Waiver replaces the Nine or Fewer Vehicles Waiver
2. More and revised modes—monorail/automated guideway, bus rapid transit, commuter bus, hybrid rail and streetcar
3. Additional modes operating as fixed guideway and non-fixed guideway (bus, bus rapid transit and commuter bus)
4. Revised criteria for vanpool mode eligibility for NTD reporting.

Approach

This form is used to collect the basic data that identifies your transit agency, including your agency's name, address, and organization type. This form also identifies the urbanized areas served by your agency, and whether your agency provides service to any non-urbanized areas.

Detailed Instructions

This section discusses the key issues involved in completing this form.

At the top of the form is the NTD identification number (NTD ID) and agency name. This information is pre-filled and cannot be edited. If the information is incorrect please contact your NTD analyst.

NTD ID

The NTD ID is the four-digit number FTA assigned to your agency. Review to ensure your NTD ID is correct (i.e. the first number in your agency's ID is the region where you operate service). Contact your NTD transit analyst immediately if there is a problem.

Identification Information

The agency identification information is pre-filled based on the prior report year submission. Review and edit any information that is no longer correct.

Fiscal Year

The fiscal year must always cover a 12-month period. The fiscal year end date (FYE) appears as a non-editable field because reporters rarely change their FYE.

If agency's fiscal year has changed, contact your NTD validation analyst and describe the change. Your NTD validation analyst will answer any questions that you have about the reporting implications of changing your fiscal year.

Use the **e-File** tab to inform FTA of the new fiscal year end date. FTA will define a 12-month period for your NTD Annual report that either repeats months from the prior report or skips months from the end date of the prior report. FTA will reply via **e-File** tab summarizing this decision and also change the fiscal year date in item 1 of the form.

You should wait for FTA's decision regarding the 12-month reporting period before you enter data into the NTD forms.

Mailing Address

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

URL

A universal resource locator (URL) is the address of the agency's website; e.g., www.pbtransit.com or www.coaster-transit.org. Do not include http://. Not all NTD reporting agencies have a website address.

Agency Name and Acronym

The agency name is the full **legal** name of the agency. The agency's acronym is the trademark or familiar name used for marketing the transit service. This acronym may be used in selected FTA publications.

FTA Recipient ID

The FTA recipient identification number (TEAM ID) is the four-digit number assigned to your agency for the FTA electronic grant making system – TEAM (Transportation Electronic Award and Management). If you have a question regarding this number, please contact your agency's grant manager or chief executive officer (CEO). Not all NTD reporting agencies will have a recipient identification number.

DUNS Number

The Data Universal Numbering System (DUNS) is a system developed and regulated by Dun & Bradstreet (D&B) which assigns a unique nine-digit numeric identifier to a single business entity. All grant applicants for new or renewal awards on or after October 1, 2003 must have a DUNS number.

Are You a Recipient or Beneficiary of Urbanized Area Formula Program Grants with Continuing Requirements?

This question identifies NTD reporting agencies that are recipients or beneficiaries of UAF Program grants and are required by statute to submit the NTD Annual report. You should answer **Yes** if:

- You received a §5307 Grant during your most recent fiscal year
- You received pass-through benefits of §5307 funds from another grant recipient during your most recent fiscal year

- You used capital equipment originally purchased with §5307 money, and which was not past its minimum useful life at the beginning of your most recent fiscal year; or
- You do not fall into any of the above categories, but you received or benefited from §5307 Grants in the past and intend to apply to receive or benefit from §5307 Grants in the future.

You should answer **No** if you do not fall into any of the above categories, and you are a voluntary reporter to the NTD.

Are You Requesting a Small System Waiver?

This section is for transit agencies requesting a Small System (30 or fewer vehicles) Waiver from reporting. You should answer **Yes** to apply for this waiver. There are reduced reporting requirements. See Small Systems Waiver in the Introduction section of this manual for detailed instructions.

Organization Type

This section describes the most common types of transit agencies: independent public entity or its subsidiary, unit or department of government, university, and planning agency. There are also categories for less common organization types: area on aging agency, private for-profit or non-profit corporation, private provider reporting for the public buyer of service, and consolidated reporter.

Select one of the categories from the Organization Type drop-down menu.

Organization Type menu selections:

1. Independent public agency or authority for transit service
2. Subsidiary unit of a transit agency; reporting separately
3. City, County or Local government; Unit or department of
4. State government, Unit or department of
5. University
6. Area agency on aging
7. MPO, COG or other planning agency*
8. Other publicly-owned or publicly-chartered corporation
9. Private-for-profit corporation
10. Private non-profit corporation
11. Private provider reporting on behalf of a public entity
12. Consolidated reporter
13. Other*

Independent Public Agency or Authority for Transit Service

This typically includes transit districts and benefit areas that are legislated as independent entities with their own powers. Also, public transit may be only one of the independent agency's or authority's responsibilities. They may have responsibility for other transportation modes such as airports or ports.

If you are a joint powers agency, select public agency or authority. Basically, this is a public entity that is a group of two or more public agencies that is set up to exercise powers together that members of the group already have.

Subsidiary Unit of a Transit Agency; Reporting Separately

This is typically part of an authority with multiple responsibilities such as a transportation authority responsible for both transit and airport transportation. Or, it may be a transit authority that has separate operating districts for different urbanized areas. For these subsidiaries, there will be multiple NTD reporters.

If there is only one subsidiary unit for transit or multiple subsidiaries that are all transit modes, make menu selection 1: independent public agency or authority for transit service.

Unit or Department of City, County or Local Government

This is the most common form of public transit organization. For NTD, the unit or department is the transit agency and reports as the city, county or local government since it is the legal entity with authority to operate transit.

Unit or Department of State Government

There are a limited number of State entities reporting to NTD. Independent public-benefit corporations for transit service that were chartered by the State should select independent public agency or authority for transit service. Select unit of or department of State government only if you are actually part of the State Government and use one or more State employees.

University

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

Area Agency on Aging

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

MPO, COG or Other Planning Agency

These entities primarily address short and long-range transportation needs in an area through a cooperative process among local jurisdictions. They are often involved in planning and capital grants for new transit modes prior to start-up of operations. They also often are responsible for regional vanpool programs reporting to the NTD.

Other Publicly-Owned or Publicly-Chartered Corporation

There are only a few of these entities reporting to NTD. They are usually quasi-public agencies that do not fit any of the above categories, such as a business improvement district that also provides transit service.

Internet Reporting will display a box for you to describe your organization type.

Private-For-Profit Corporation

There are only a few of these reporters. They operate independently for profit and are not under contract for transit service.

Private Non-Profit Corporation

There are only a few of these reporters. They do not operate for profit and are not under contract for transit service.

Private Provider Reporting on Behalf of a Public Entity

These are rare exceptions since NTD requires the buyer of service to report.

Consolidated Reporter

There are only a few consolidated reporters for NTD. Consolidated NTD reporters are a collection of transit agencies filing one report. One reporter may file a consolidated report on behalf of other reporters if it is easier to collect and control the quality of the data. This often occurs when one transit agency coordinates the development and funding of public transportation services in an area. Transit agencies filing a consolidated report must operate within the same UZA. Consolidated reporters must be pre-approved by FTA (See Introduction).

Other

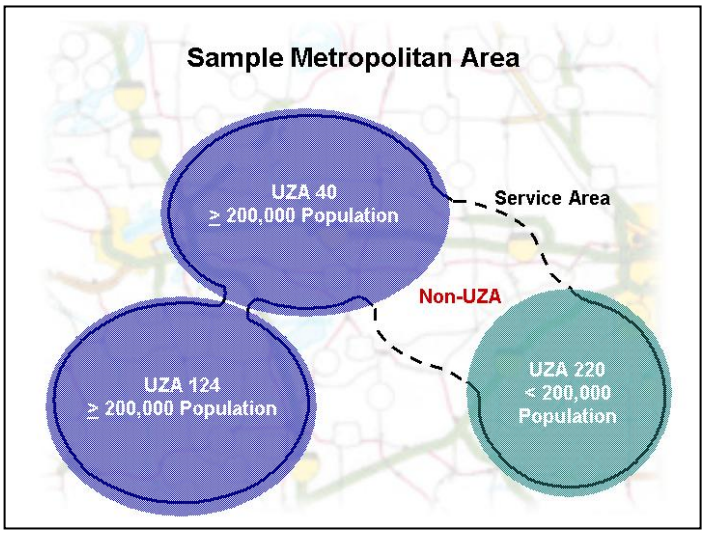
If none of the choices fits your agency, select category 13: Other. Internet Reporting will display a box for you to describe your organization type.

Demographic Information

The demographic information describes the area and population where transit service is operated. Information is provided for urbanized (UZA) and non-urbanized areas and for service area.

Urbanized Area

The U.S. Bureau of the Census defines and identifies Urbanized Areas (UZA). A UZA is defined by the Census as a densely-populated core and nearby densely-settled areas that together contain at least 50,000 in population, at least 35,000 of whom are not living on a military installation. The most-recent UZAs were identified using data from the 2000 Census. For detailed information on how the Census Bureau defines and identifies Urbanized Areas, please consult the Census Bureau website at: www.census.gov/geo/www/ua/ua_2k.html.



The UZA number is a designation assigned by FTA. For urbanized areas in the 50 United States and the District of Columbia, the UZA number is a numerical ranking by population size. Urbanized areas in Puerto Rico, the Virgin Islands, and the Northern Marianas are also assigned a unique UZA number by FTA. The Virgin Islands are not recognized as an urbanized area by the Census Bureau, but pursuant to 49 U.S.C. 5307(l), FTA treats the Virgin Islands as an urbanized area for purposes of transit grant-making.

The NTD treats all UZAs as either Large UZAs, Medium UZAs or Small UZAs. A Large UZA is a UZA with more than 500,000 in population. A Medium UZA is a UZA with between 200,000 and 499,999 in population. A Small UZA is a UZA with fewer than 200,000 in population. The NTD also refers to non-urbanized areas as Rural Areas. Your primary UZA number and name are pre-filled and cannot be edited. If the information is incorrect, please contact your NTD validation analyst.

Identify all UZAs other than your primary UZA that are served by your transit agency as “secondary UZAs.” Additionally, identify if your transit agency serves any areas outside of the Census-defined urbanized areas. Identify the “Non-UZA-0” 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.

Secondary UZA numbers with names are pre-filled based on information provided in last year’s NTD submission. You can edit secondary UZA numbers with names, from the **Available Secondary UZA/Non-UZA(s)** drop-down menu of UZAs using the **Add UZA** or **Remove UZA** buttons.

Service Area

Service area is a measure of access to transit service in terms of population served and area coverage (square miles). For bus (MB), trolleybus (TB), and rail service, use ADA definitions and requirements to determine service area boundaries and population. The bus service area essentially is defined as ¾ mile on each side of a fixed route. The rail service area definition focuses on a ¾ mile radius around each station.

For demand response (DR) and demand response-taxi mode, if your service area extends beyond ADA requirements of ¾ mile around fixed routes, use the actual service area.

For modes not covered by ADA, including ferryboat (FB) and vanpool (VP), determine service area and population using locally defined criteria.

Service area and population are pre-filled based on the information provided in the prior report year submission. Review and update the data as appropriate. Use the most current figures or official estimates of population. These statistics are often available from your area's metropolitan planning organization.

Population and area (in square miles) statistics for the UZA will not equal those for the service area in most cases. This is true because UZA statistics are based on Census definitions, while service area statistics are based on where services are operated. The Sample Metropolitan Area graphic shows an example of these differences for a transit system that serves portions of three urbanized areas UZAs and also serves a rural (other than urbanized area) area.

Number of Vehicles Operated in Annual Maximum Service by Mode and Type of Service

Report the number of VOMS, by mode and TOS, for those services included in your report.

Vehicles Operated in Maximum Service (VOMS)

VOMS is a count of the revenue vehicles scheduled for the peak day and operating period of the peak service season or schedule of the year. The revenue count is the typical number of vehicles operated and does not consider the number of vehicles operated on atypical days such as holiday celebrations (e.g., Fourth of July), or one-time special events (e.g., World Series celebrations, political conventions).

Type of Service (TOS)

TOS is determined by who operates the revenue vehicles that carry passengers. Transit agencies have DO transit service when they employ their own labor for operators. Conversely, transit agencies have PT service when they contract another public or private provider to provide the labor for the operators.

The Contractual Relationship form (B-30) section of this manual provides more detailed information about the criteria for a contractual relationship for PT services, monetary considerations and cooperative agreements.

Note also that if you provide transit services through a brokerage system, either directly or through a purchased transportation agreement, you may report only transit service that is provided by agencies participating in the brokerage under the purchased transportation agreement. Do not report any trips brokered to a transit operator that is not part of the purchased transportation agreement.

Mode

Transit agencies operate one or more modes of transit service. A mode is a system for carrying transit passengers described by specific right-of-way, technology and operational features.

For 2011 there are three revisions for modes:

1. Monorail and automated guideway modes become one mode: Monorail/Automated Guideway (MG)
2. Bus mode now recognizes bus rapid transit (RB) and commuter bus (CB) as separate modes.
3. Streetcar and hybrid rail modes are new modes to better distinguish rail modes, in particular light rail (LR) and commuter rail (CR)
4. Revised vanpool mode eligibility requirements for NTD reporting.

For the 2011 NTD Report Year. NTD reporters needing additional time to implement reporting for these modes may receive upon request waivers for up to two consecutive years for reporting the four new modes (RB, CB, SR and YR).

To determine the appropriate mode, determine if a set of services substantially share vehicles, employees, and operating policies. If so, this would constitute a single mode for NTD reporting purposes, and would be classified to the most-appropriate mode based on the predominant characteristics of the group of services as a whole.

The NTD recognizes the following modes of public transit service:

Aerial Tramway (TR) Non-Rail – Fixed Guideway

A system of aerial cables with suspended vehicles.

Alaska Railroad (AR) Rail – Fixed Guideway

A special railroad that Congress recognized for certain FTA funding that operates in Alaska.

Bus (MB) Non-Rail – Fixed Guideway or Non-Fixed Guideway

Fixed-route bus service is the most-prevalent mode in the country. MB service is powered by a motor and fuel contained within a vehicle. Deviated fixed-route service is also reported as MB.

Bus Rapid Transit (RB) Non-Rail – Fixed Guideway or Non-Fixed Guideway

Fixed-route bus systems that combine passenger stations, traffic signal priority or pre-emption, low-floor vehicles or level-platform boarding, and separate branding of the service. This is often a lower-cost alternative to light rail.

Cable Car (CC) Rail – Fixed Guideway

A railway propelled

by moving cables located beneath the street. While popular at the turn of the last century, the only surviving system is operated in San Francisco.

Commuter Bus (CB) Non-Rail – Fixed Guideway or Non-Fixed Guideway

Fixed-route bus systems that are primarily connecting outlying areas with a central city. Service typically uses over-the-road buses with service predominantly in one direction during peak periods, limited stops, and routes of extended length.

Commuter Rail (CR) Rail – Fixed Guideway

Rail service operating on either old freight railways, or on tracks that are shared with freight railways, Amtrak, or both. The service is characterized by relatively long distances between stops, for service primarily connecting a central city with outlying suburbs and cities. The service may be either diesel or electric-powered and usually has grade-crossings with roadways.

Demand Response – Taxi (DT) Non-Rail – Non-Fixed Guideway

A special form of the demand response mode operated through taxicab providers. The mode is always purchased transportation type of service.

Demand Response (DR) Non-Rail – Non-Fixed Guideway

Shared-ride demand response service is scheduled in response to calls from passengers. Many transit systems operate demand response (DR) service to meet the requirements of ADA.

Ferryboat (FB) Non-Rail – Fixed Guideway

A mode that carries passengers over water.

Heavy Rail (HR) Rail – Fixed Guideway

An electric railway that operates local service in exclusive right-of-way. The service is characterized by long trains of six to eight cars or more and by relatively short distances between stops for local service within a city and the immediate suburbs. The Nation's traditional subway systems are classified as heavy rail.

Hybrid Rail (YR) Rail – Fixed Guideway

Rail systems primarily operating routes on the National system of railroads, but not operating with the characteristics of commuter rail. This service typically operates light rail-type vehicles as diesel multiple-unit trains (DMU's).

Inclined Plane (IP) Rail – Fixed Guideway

A railway operating on steep slopes and grades with vehicles powered by moving cables.

Jitney (JT) Non-Rail – Non-Fixed Guideway

A unique form of bus service using owner-operated vehicles on fixed routes.

Light Rail (LR) Rail – Fixed Guideway

An electric railway that operates local service in mixed traffic with road vehicles, or has grade crossings with roadways. The service is characterized by short trains of one to four cars and by relatively short distances between stops for local service within a city and the immediate suburbs.

Monorail/Automated Guideway (MG) Rail – Fixed Guideway

An electric railway that straddles a single guideway. It may have vehicle operators or may use computers to guide the vehicles.

Publico (PB) Non-Rail – Non-Fixed Guideway

Publicos are jitney services operated in Puerto Rico.

Streetcar Rail (SR) Non-Rail – Fixed Guideway or Non-Fixed Guideway

Rail systems operating routes predominantly on streets in mixed-traffic. This service typically operates with single-car trains powered by overhead catenaries and with frequent stops.

Trolleybus (TB) Non-Rail – Fixed Guideway

Fixed-route service using rubber tire buses powered by electric current from overhead wires using trolley poles. Service using rubber tire replica trolleys or historic trolleys, powered by an on-board motor are **not included** in this mode.

Vanpool (VP) Non-Rail – Non-Fixed Guideway

A commuting service operating under pre-arranged schedules for previously formed groups of riders in vans.

Other – If none of the choices fits your agency, select the category: Other. Internet Reporting will display a box for you to describe the other mode.

Vanpool Reporting Requirements

Beginning in the 2011 Report Year, vanpool programs reporting to the NTD must submit a written self-certification to the NTD for the 2011 Report Year, or else for the first year in which reporting for the vanpool is to begin, that:

1. The vanpool is open to the public and that any vans that are restricted a priori to particular employers and which do not participate in the public ride-matching service of the vanpool are excluded from the NTD report;
2. The vanpool is actively engaged in advertising the vanpool service to the public and in matching interested members of the public to vans with available seats;
3. The vanpool program, whether operated by a public or private entity, is operated in compliance with the Americans with Disabilities Act of 1990 and implementing regulations at 49 CFR 37.31; and
4. The vanpool has a record-keeping system in place to meet all NTD reporting requirements, consistent with other modes, including collecting and reporting fully-allocated operating and capital costs for the service.

At the same time, the vanpool program must certify that it is publicly sponsored, as either:

1. Directly-operated by a public entity;
2. Operated by a public entity via a contract for purchased transportation service with a private provider;
3. Operated by a private entity as a grant recipient or subrecipient from a public entity; or
4. 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.

Reporting of fully-allocated operating costs means that the vanpool must report on the total cost of the service, including any fuel, insurance, and maintenance costs paid by vanpool participants; and including any costs paid by any third-parties to support essential features of the vanpool program. Under this policy NTD IDs for vanpool programs will be assigned according to existing NTD policies on the basis of the entity that is operating the vanpool. A vanpool operator may be a public provider directly-operating the vanpool, a public entity operating the vanpool through a purchased transportation contract with a private provider, or a private provider that is directly operating the vanpool. The operator of the vanpool is the entity sets the service area of the vanpool program, sets the vanpool participant costs and operating regulations, and generally has control of the vanpool service.

Vanpool mode requires vehicles have at least 7-seating capacity.

Multi-Modal Vehicles

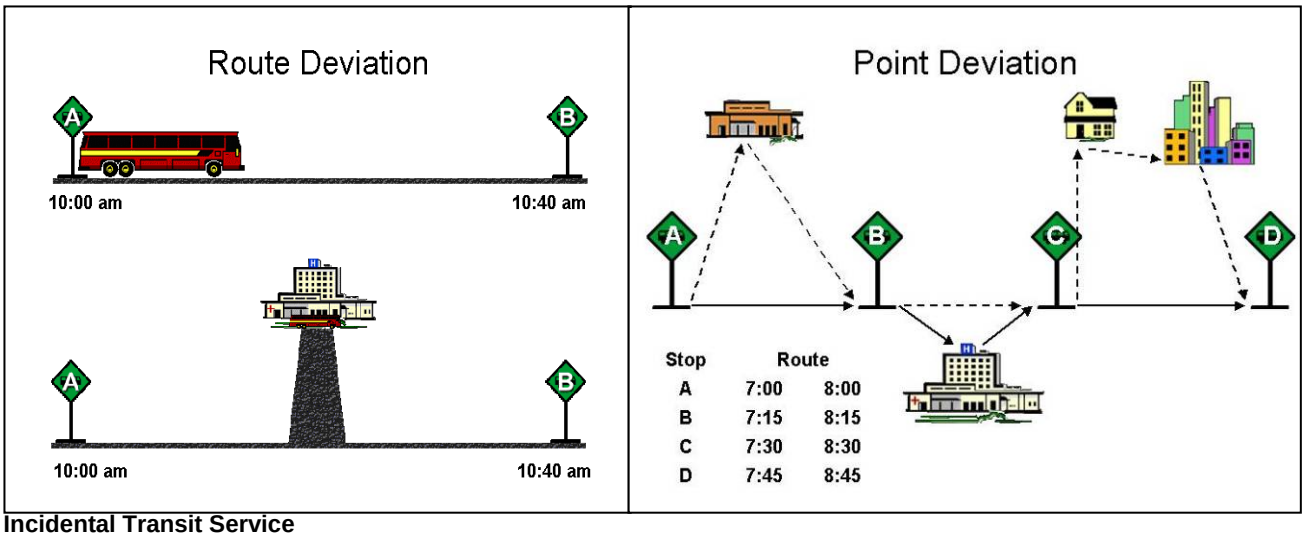
If a vehicle is used for more than one mode, report it under each mode for which it is used and describe the use of the vehicle using the **Add Form Notes** link.

For example, the transit agency may use five of its vehicles in MB mode during peak hours and, during non-peak hours, may use the five vehicles in DR service. The vehicle also would be reported as MB and DR on the Revenue Vehicle Inventory form (A-30) and supports another mode should be indicated.

Route and Point Deviation Services

Route deviation and point deviation services have operating characteristics of both MB and DR modes. Route deviation service operates as a conventional bus route, but permits the bus to deviate from the route and serve destinations within a prescribed distance (e.g., ¾ mile). Point deviation service makes scheduled stops at mandatory times along a corridor, but travels between the time points on a path that serves the origins and destinations of the passengers.

You should report route deviations and point deviations in MB service as MB mode. For MB service, the extent of deviation for whatever purpose, including an ADA eligible trip, is MB mode for all service supplied, service consumed and operating cost data. Trips certified for ADA passengers for route / point deviation services are counted as MB trips. The NTD does not separately collect ADA-related expenses and ADA-related trips for ADA service provided through fixed-route or deviated-fixed-route bus (MB) service. Data for ADA service provided through fixed-route or deviated-fixed-route bus (MB) service are included in the total data for MB service.



Incidental Transit Service

There are times when existing transit services cannot meet demand. Transit agencies provide alternate ways to accommodate transit riders. This often occurs for:

- Employer-based Guaranteed Ride Home (GRH) program where the transit agency works with employers to ensure employees who took transit to work and who must leave work for a personal emergency (illness, family crisis) or have unscheduled overtime, have a ride home. There are often limits on the number of times an employee or company may use the GRH.
- Service interruptions (e.g., vehicle breakdown) and a replacement vehicle is not available; or an accident on light rail tracks so passengers must transfer to a bus line
- Cancellation of a reserved passenger trip in the demand response mode (vehicle or driver unavailable).

As these occurrences are infrequent, the alternate transit services are “incidental” to the regular mode of service.

Transit agencies provide incidental services typically in one of two ways:

1. Taxicabs—reimbursing or providing vouchers to pay for the cost of the ride
2. Transit agency--using vehicles available from another mode or service vehicles (such as a supervisor van and its driver) to provide the ride.

Report operating expenses for incidental transit services in the mode for which they are providing the alternate or back-up transit service. Do not report non-financial data statistics such as vehicle revenue miles and hours, or unlinked passenger trips. Do not report incidental transit services as a separate mode. For the light rail accident described above, the incidental service is part of the light rail mode, not bus mode. Similarly for a GRH program, substituting with taxi service does not require a separate Contractual Relationship from (B-30); report the taxi service under the normal transit mode used.

Fixed Guideway for Bus, Bus Rapid Transit and Commuter Bus

Two questions appear on the form only if your transit agency enters VOMS for bus (MB), bus rapid transit (RB) or commuter bus (CB) mode, to determine if the service operates over FG. Select from the menu of bus services and indicate whether this is DO or PT service:

1. Does your (bus type) directly (DO) service operate over FG? This appears only if there is DO service.
2. Does your (bus type) purchased transportation (PT) service operate over FG? This appears only if there is PT service.

By TOS, indicate Yes if any of the service is operated over FG or No if none of the service is operated over FG. If Yes is selected, after the B-10 form is saved, the Fixed Guideway Segments form (S-20) and the Transit Way Mileage form (A-20) will be generated.

Capital or Non Capital Investment for Mode not Currently in Service

Bus Type Menu selections:

1. Bus
2. Bus rapid transit
3. Commuter bus

This section describes modes by TOS that are not in operation during the reporting period, but for which the agency is incurring planning or capital expenses. These modes of service typically are in the planning, design or construction phases prior to beginning passenger service. However, in rare cases, these modes also could be existing modes for which service has been suspended as part of a renovation program (e.g., cable car service in San Francisco suspended while the cable system is being rebuilt).

Internet Reporting uses the information in this section to generate the data fields for reporting the capital costs for modes not currently in service in the Uses of Capital form (F-20).

This section is required for agencies with a Grants Waiver (Planning or Capital) with reduced reporting requirements.

Select each mode by TOS from the **Available Modes / Services** selection menu by using the **Add** or **Remove Mode / Type of Service** buttons.

Filing a Separate NTD Report

This section is used by transit agencies to report the number of VOMS, by mode, for PT services not included in their report but are included in another NTD reporter's report. Internet reporting uses this information to generate:

- Appropriate Operating Expenses forms (F-30) for indicated modes
- The data fields for reporting the capital costs on the F-20 form for the PT service included in the other NTD reporter's report.

Select each mode from the **Available Mode(s)** selection menu by using the **Add Mode** or **Remove Mode** buttons.

Line by Line Instructions Identification form (B-10)

Starting Your NTD Report

Upon entering your reporting area for the first time, you will be taken to the **Internet Reporting Home Page**.

- Click on the **Annual** tab to open the **Annual** screen.
- Click on the **Identification form (B-10)** link to open the form. Review and complete the form following the instruction in this section.

Form Level Help: Click on the **Help** tab at the top of the screen for form level help.

Form Note: A form note can be attached to any form. Use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. Click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. Do not use the **Form Notes** feature to answer issues generated from this form. From the **Issues** tab use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: Click on the **Save** button at the bottom of the screen to save the form. Click on the **Close** button at the bottom of the screen to close the form without saving. Saving the **Identification** form will automatically generate forms for you.

Additional forms you may need to add: Contractual Relationship forms (B-30) are added by clicking on the **Add Form** button at the bottom of the **Annual** screen.

NTD ID: Review to be sure the NTD identification number (NTD ID) is correct. Contact your NTD analyst immediately if there is a problem.

Line 01: Agency Identification Information. **Pre-filled,** review for accuracy, edit as necessary.

- Agency Name: The agency's full legal name. No abbreviations or acronyms.
- Fiscal Year: Review to be sure the agency's fiscal year end (FYE) date (month, day, year) is correct. If the FYE date has changed, contact your NTD analyst immediately. Prior to filing the report: Transit agencies must notify FTA using the **e-File** tab when a fiscal year is changed so FTA can determine the appropriate reporting period. Reminder: The fiscal year must always cover a 12-month period, and if the fiscal year has changed, months are skipped or repeated, if necessary.
- Mailing Address: The agency's mailing address. Agencies must either indicate a mailing address on line 1, or the number(s) of a P.O. Box in the P.O. Box field.
- URL: The agency's URL (website address) such as www.pbtransit.com or www.coaster-transit.org. Do not include http://.
- Agency Acronym: The agency's acronym that is used for marketing the transit service. This acronym will be used in selected NTD publications.
- FTA Recipient ID: The agency's FTA recipient ID number (TEAM). Not all transit agencies will have a recipient ID. Check with your grants manager or chief executive officer (CEO) if you have any questions.
- DUNS Number: The agency's DUNS number as assigned by Dun & Bradstreet. The DUNS number is required for all grant applicants for new or renewal awards on or after October 1, 2003.
- Are You a Recipient or Beneficiary of Urbanized Area Formula Program Grants with Continuing Requirements**?** Yes / No (voluntary reporter).
  - Identifies NTD reporting agencies that are recipients or beneficiaries of Urbanized Area Formula Program (UAF) grants and are required by statute to submit the NTD Annual report. Voluntary NTD reporters are not required to submit the NTD Report since they are not recipients or beneficiaries of UAF Program grants. Refer to the Introduction section of this manual for more information on required and voluntary reporting.

Line 02: Are you requesting a Small System Waiver? **Pre-filled,** review for accuracy, edit as necessary.

- If Yes, the required forms will be generated.
  - Does not apply to Grants Reporting

Line 03: Organization Type. **Pre-filled,** review for accuracy, edit as necessary. Select only one from the drop-down menu:

1. Independent public agency or authority for transit service. This typically includes transit districts and benefit areas that are legislated as independent entities with their own powers. Also, public transit may be only one of the independent agency's or authority's responsibilities. They may have responsibility for other transportation modes such as airports or ports.

- If you are a joint powers agency, make this selection. Basically, this is a public entity that is a group of two or more public agencies that is set up to exercise powers together that members of the group already have.

2. Subsidiary unit of a transit agency; reporting separately. This is typically part of an authority with multiple responsibilities such as a transportation authority responsible for both transit and airport transportation. Or, it may be a transit authority that has separate operating districts for different urbanized areas. For these subsidiaries, there will be multiple NTD reporters.

- If there is only one subsidiary unit for transit or multiple subsidiaries that are all transit modes, make menu selection 1: independent public agency or authority for transit service.

3. City, County or Local government; Unit or department of. This is the most common form of public transit organization. For NTD, the unit or department is the transit agency and reports as the city, county or local government since it is the legal entity with authority to operate transit.

4. State government, Unit or department of. There are a limited number of State entities reporting to NTD. Independent public-benefit corporations for transit service that were chartered by the State should select independent public agency or authority for transit service. Select unit of or department of State government only if you are actually part of the State Government and use one or more State employees.

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

6. Area agency on aging. These are organizations established under the Older Americans Act in 1973 to respond to the needs of Americans sixty and over.

7. MPO, COG or other planning agency. These entities primarily address short and long-range transportation needs in an area through a cooperative process among local jurisdictions. They are often involved in planning and capital grants for new transit modes prior to start-up of operations. They also often are responsible for regional vanpool programs reporting to the NTD.

8. Other publicly-owned or publicly-chartered corporation. There are only a few of these entities reporting to NTD. They are usually quasi-public agencies that do not fit any of the above categories, such as a business improvement district that also provides transit service. Describe in the **Organization Type – Other Description** field.

9. Private-for-profit corporation. There are only a few of these reporters. They operate independently for profit and are not under contract for transit service.

10. Private non-profit corporation. There are only a few of these reporters. They do not operate for profit and are not under contract for transit service.

11. Private provider reporting on behalf of a public entity. These are rare exceptions since NTD requires the buyer of service to report.

12. Consolidated reporter. There are only a few consolidated reporters for NTD. Consolidated NTD reporters are a collection of transit agencies filing one report. One reporter may file a consolidated report on behalf of other reporters if it is easier to collect and control the quality of the data. This often occurs when one transit agency coordinates the development and funding of public transportation services in an area. Transit agencies filing a consolidated report must operate within the same UZA. Consolidated reporters must be pre-approved by FTA (See Introduction).

13. Other: Select if none of the above apply. Describe in the **Organization Type – Other Description** field.

Line 05: Demographic Information. **Pre-filled,** review for accuracy, edit as necessary.

- Primary UZA: The primary urbanized area (UZA) where transit services provided by the agency, directly or through PT agreements, are physically located. The primary UZA cannot be edited.
- Service Area Information – Square Miles**.** Square miles in the transit agency's service area in accordance with the Americans with Disabilities Act of 1990 (ADA) and local definitions. Statistics (population and area in square miles) for the UZA will not equal those for the service area in most cases.
- Service Area Information – Population. Population of the service area. Statistics (population and area in square miles) for the UZA will not equal those for the service area in most cases.
- Secondary UZA / Non-UZA. Use the **Add UZA** or **Remove UZA** button to edit. The UZAs where transit services provided by the agency, directly or through PT agreements are physically located. Include areas covered by contractors filing their own NTD Annual report. Do not use the funding criteria described in the Federal Funding Allocation Statistics form (FFA-10) to identify UZAs and other than urbanized areas (non-UZAs) served.

Line 06:

- Number of vehicles operated in annual maximum service (VOMS) by Mode and Type of Service.
  - Enter the number of VOMS for each DO mode and each PT mode whose service is included in this report. Report route deviation and point deviation services as bus (MB) mode. Other: Select if none of the above apply. Describe in the Mode – Other Description field.
  - Total Number of VOMS by Type of Service. This is an auto-calculated field and cannot be edited, review for accuracy. The sum of the number of vehicles operated in all modes in annual maximum service by TOS.
  - Bus types of Fixed Guideway (FG). Select the bus type from the drop-down menu: MB, RB or CB. By TOS, indicate Yes if your transit agency operates service over FG; otherwise, indicate No. RB automatically generates with fixed guideway.
  - Does not apply to Grants Reporting

Line 07: Capital Investment for a Mode not Currently in Service

- **Pre-filled,** review for accuracy, edit as necessary. Use the **Add** or **Remove Mode / Type of Service** buttons as necessary.

  Select the mode and TOS combination for any modes not yet in operation for which the agency is incurring capital expenses. This section is required for agencies with a Planning Waiver or a Capital (with or without Planning) Waiver with reduced reporting requirements.

Line 08: Filing a Separate NTD Report (Modes not included in this Report).

- **Pre-filled,** review for accuracy, edit as necessary. Use the **Add** or **Remove Mode / Type of Service** buttons as necessary.
  - Select the modes for PT services that are not included in the transit agency's report.
  - Does not apply to Grants Reporting

Contacts form (B-20)

Home | e-File | Annual | Monthly Ridership | Safety & Security | Notes | Issues | Reports | Communications | Sys Admin | Help

Form Name: Contacts (B-20) Close Form

01 **Contact Type: CEO**

Honorific * (ex: Mrs, Capt, etc.)
First name * Initial Last name *
Professional title *
Mailing address line 1 *
Mailing address line 2 P.O. Box
City * State * Select Zip code * (ex: 22222) -
Phone * (ex: (555) 123-4567) Ext. (ex:1234)
Fax * (ex: (555) 123-4567)
Email * (ex: ntd.user@ntd.com)

02 **Contact Type: NTD Contact**

Honorific * (ex: Mrs, Capt, etc.)
First name * Initial Last name *
Professional title *
Mailing address line 1 *
Mailing address line 2 P.O. Box
City * State * Select Zip code * (ex: 22222) -
Phone * (ex: (555) 123-4567) Ext. (ex:1234)
Fax * (ex: (555) 123-4567)
Email * (ex: ntd.user@ntd.com)

03 **Contact Type: Safety Contact**

Honorific * (ex: Mrs, Capt, etc.)
First name * Initial Last name *
Professional title *
Mailing address line 1 *
Mailing address line 2 P.O. Box
City * State Select Zip code (ex: 22222) -
Phone * (ex: (555) 123-4567) Ext. (ex:1234)
Fax (ex: (555) 123-4567)
Email * (ex: ntd.user@ntd.com)

04 **Contact Type: Security Contact**

Honorific * (ex: Mrs, Capt, etc.)

First name * Initial Last name *

Professional title *

Mailing address line 1 *

Mailing address line 2 P.O. Box

City * State Select Zip code (ex: 22222) -

Phone * (ex: (555) 123-4567) Ext. (ex:1234)

Fax (ex: (555) 123-4567)

Email * (ex: ntd.user@ntd.com)

Save Close Print

Overview

The B-20 form identifies key personnel at the agency responsible for NTD reporting. The form collects information on how to reach the chief executive officer (CEO) and NTD, safety, and security contacts.

Reporting Requirements and Thresholds

All reporters must complete this form.

What Has Changed from Prior Year

There are no changes for the 2011 report year.

Detailed Instructions

Most information is pre-filled on the form. Review and edit the information, as necessary.

The information includes names and titles, business addresses, telephone numbers, facsimile numbers, and e-mail addresses.

Contact Type: CEO

The CEO is the principal executive in charge of and responsible for your agency. Please refer to the Declarations section of the manual to find the responsibilities, as well as examples of a chief executive officer. The person identified as the CEO in section 1 should be the same person indicated in the Chief Executive Officer form (D-10), part A.

Contact Type: NTD Contact

The NTD contact is the individual responsible for coordinating the NTD Annual report. The contact person submits the NTD Annual report and the Monthly report (for further information on the Monthly report, please see the Monthly Reporting Manual) and answers any questions that the Federal Transit Administration (FTA) may have concerning the report, including validation issues and waiver requests.

Contact Type: Safety Contact

The safety contact is the individual with overall responsibility for the day-to-day safety of the transit agency.

Contact Type: Security Contact

The security contact is the individual with overall responsibility for the day-to-day security of the transit agency.

Line by Line Instructions Contacts form (B-20)

Completing the Contacts form (B-20)

Complete the information for the required contacts: CEO, and the NTD, safety and security persons.

Form Level Help: Click on the Help tab at the top of the screen for form level help.

Form Notes: A form note can be attached to any form. Use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. Click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. Do not use the **Form Notes** feature to answer issues generated from this form. From the **Issues** tab use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: Click on the **Save** button at the bottom of the screen to save the form. Click on the **Close** button at the bottom of the screen to close the form without saving.

Line 01: Contact Type: CEO. **Pre-filled** — review for accuracy, edit as necessary.

- Enter the name of the agency's CEO.
- The CEO's title.
- The CEO's business mailing address.
- The CEO's business telephone number.
- The CEO's FAX number.
- The CEO's e-mail address.

Line 02: Contact Type: NTD Contact. **Pre-filled** — review for accuracy, edit as necessary.

- Enter the name of the person responsible for the NTD Annual report.
- Enter the contact person's title.
- Enter the contact person's mailing address, if different than the agency mailing address.
- Enter the contact person's telephone number.
- Enter the contact person's FAX number.
- Enter the contact person's e-mail address.

Line 03: Contact Type: Safety Contact. **Pre-filled** — review for accuracy, edit as necessary.

- Enter the name of the person responsible for the safety forms.
- Enter the safety contact person's title.
- Enter the safety contact person's mailing address, if different than the Transit Agency mailing address.
- Enter the safety contact person's telephone number.
- Enter the safety contact person's FAX number.
- Enter the safety contact person's e-mail address.

Line 04: Contact Type: Security Contact. **Pre-filled** — review for accuracy, edit as necessary.

- Enter the name of the person responsible for security forms.
- Enter the security contact person's title.
- Enter the security contact person's mailing address, if different than the Transit Agency mailing address.
- Enter the security contact person's telephone number.
- Enter the security contact person's FAX number.
- Enter the security contact person's e-mail address.

Contractual Relationship form (B-30)

Home | e-File | Annual | Monthly Ridership | Safety & Security | Notes | Issues | Reports | Communications | Sys Admin | Help

Form Name: Contractual Relationship (B-30) Add Form Note Close Form

Section A . Contract Summary

01 **Contractual Relationship**

Type * 1. You are the public buyer of service from a private company that is not an NTD reporter and the service is being captured in this report as purchased transportation (PT)

NTD reporter Make Selection

or Company 1. East Coast Transportation Services, Inc.

Add Company Edit Company

02 **Monetary Nature of Contractual Relationship** (Check all that apply)

1. ☐ Negotiated rate per unit of service delivered
2. ☐ Cash reimbursement of some of seller's operating deficit
3. ☑ Cash reimbursement of all of seller's operating deficit
4. ☐ Cash reimbursement to seller for reduced fare programs
5. ☑ Buyer provides vehicles to the seller
6. ☐ Maintenance facility leased to seller
7. ☐ Other (Describe)

Section B . Key Financial and Operation Statistics

03 **Contracted Service**

Add Mode

Delete ☐

Mode Make Selection

04 Vehicles/passenger cars operated in annual maximum service under contract

05 Number of months seller operated service during report year

Operating Expenses

06 Purchased transportation fare revenues

07 Net contract expenditures

07a Total contract cost auto calc line 06 plus line 07

08 Other costs incurred by the buyer

09 Total operating expenses

Save Close Delete Print

Overview

The B-30 form collects key information on the parties to the contractual relationship, the nature of the contractual relationship, financial data and key operating statistics for the service covered by the contractual relationship.

Reporting Requirements and Thresholds

Reporters must complete this form if:

1. They purchase transportation service from a public entity or private operator, or
2. They sell transportation services to a public entity.

A separate B-30 form is used to report each contractual relationship (i.e., contract) with each seller (or buyer).

Service provided to a public transit agency or governmental unit by a public or private transportation provider is considered purchased transportation (PT) if it meets two conditions:

1. It uses the provider's employees to operate the revenue vehicles.
2. It is based on a written contract that obligates the provider in advance and for a specific monetary consideration to provide specific public transportation service. PT does not include franchising, licensing operations, management services, cooperative agreements or private conventional bus (MB) service.

Data are reported only for those services that are specified in the PT agreement and for which there is a monetary consideration to the seller. All PT services must be reported, even if they covered only part of your fiscal year.

All NTD reports must be balanced. The service reported on the Service form (S-10) must have fully allocated operating costs reflected on the forms in the Financial Module. Any assets used to support that service must be reflected on the forms in the Asset Module. In a purchased transportation relationship, the buyer pays the seller the fully-allocated costs of operating the service. In these relationships, the seller is usually selected through a competitive RFP, and the seller usually operates the service on behalf of the buyer.

What Has Changed from Prior Year

There are two changes for the 2011 report year:

1. Clarification of reporting fully allocated costs for purchased transportation service
2. Clarification of reporting transportation brokerages.

Approach

The keys to completing this form is to determine if a contractual relationship exists and how a contractual relationship differs from a cooperative agreement, a financing arrangement between public entities.

Contractual Relationship

A contractual relationship exists only if the following criteria are met:

- The seller is obligated in advance of the time the service is furnished to provide the operations for which the operating statistics are being reported, for a specific monetary consideration.
- A written agreement exists that specifies the contractual relationship for the time period and the specific service generating the operating statistics included in the NTD report.
- The written agreement is signed by authorized representatives of both the buyer and the seller and details the services to be provided and the nature and amount of the monetary consideration.

With the B-60 and B-70 forms, almost all contractual relationships on the B-30 form are for public agencies buying service from private providers. Further, the purchased service is in the buyer's NTD report.

Cooperative Agreement

A cooperative agreement is a financing arrangement between public entities. It is an agreement where one or more public transit agencies or governmental units contribute to, or are assessed for, the value of public transit services provided by another public transit agency. This agreement often is formulated through a written Memorandum of Understanding or mutual agreement on the calculation and payment for the services.

For NTD purposes, a cooperative agreement is not considered a contractual relationship in which a specific service is provided, e.g., a set number of trips according to a prescribed schedule. The service funded is not considered PT and, therefore, no B-30 form should be completed for the agreement. Instead, the service is considered and reported as part of the public transit agency's directly operated (DO) service. Complete the B-60 and B-70 forms to indicate the sources and amounts of funding under the cooperative agreement to support transit service.

The following is an example illustrating a cooperative agreement.

Example 4 — Cooperative Agreements

Public Transit Agency A is a §5307 Urbanized Area Formula Program (UAF) recipient and is organized as a regional transit authority (RTA). It directly operates (DO) heavy rail (HR) throughout a three-county area and bus (MB) and demand response (DR) services in one county (X).

The other two counties (Y and Z) also have public transit agencies as part of county government (Public Transit Agency B and Public Transit Agency C) that provides MB/DO and DR/DO services within their respective counties.

At the time the RTA was established, each county agreed that the RTA should be the sole provider of HR service and signed a memorandum of understanding so that each county is assessed annually for a portion of the HR expenses. The assessment is based on service area population, route miles, stations and frequency of service. The RTA and each of the counties directly operate all their transit services.

HR Assessment:	**Operating**	**Capital**	**Total**
County X:	$20,000,000	$30,000,000	$50,000,000
County Y:	12,000,000	4,000,000	16,000,000
County Z:	8,000,000	1,000,000	9,000,000
Total	$40,000,000	$35,000,000	$75,000,000

Each county pays its assessment from general revenue funds of its county government.

What is required under NTD?

Solution:

The funding arrangement for the HR service is considered a cooperative agreement. The MB and DR services are considered directly operated services that should be reported in the respective transit agencies reports.

Public Transit Agency A files a NTD Annual report for all HR service in the three-county area as directly operated, and for MB and DR directly operated services.

B-10 – HR/DO, MB/DO and DR/DO (item 6)

B-30 – Not applicable

B-60 – Three forms

	Operating	**Capital**	**Total**
Line 02	(line 05, col a)	(line 05, col b)	(line 05, col c)
County X	20,000,000	30,000,000	$50,000,000
County Y	12,000,000	4,000,000	16,000,000
County Z:	8,000,000	1,000,000	9,000,000

F-10 – $75,000,000 Funds allocated to transit out of the general revenues of the government entity (local funds, line 32)

Funds earned during period (column c)	$75,000,000
Funds expended on operations (column d)	40,000,000
Funds expended on capital (column e)	35,000,000

Both Public Transit Agency B and Public Transit Agency C file separate NTD Annual reports for MB and DR and also report the funding and the expense for the HR service.

B-10 – MB/DO and DR/DO (item 6)

B-30 – Not applicable

B-70 -One form each for TA's B and C	**Operating**	**Capital**	**Total**
Line 01	(line 05, col a)	(line 05, col b)	(line 05, col c)
Transit Agency A (for TA B)	12,000,000	4,000,000	16,000,000
Transit Agency A (for TA C)	8,000,000	1,000,000	9,000,000

F-10 – Funds allocated to transit out of the general revenues of the government entity (local funds, line 32, column c). Includes the $16,000,000 and $9,000,000 assessments for each.

F-40 – Other reconciling items – funds applied (line 23, column a) includes the $16,000,000 and $9,000,000.

Detailed Instructions

The system should generate Section A – Contract Summary of the B-30 form that were in your prior year's NTD Annual report. Contractor information from the prior year is pre-filled in Section A – Contract Summary on each form. This information can either be edited or the form deleted if necessary. Use the **Add Form** button at the bottom of the **Annual** screen and select B-30 form from the drop-down menu if additional B-30 forms are required.

Complete one form for each buyer and seller of service pair identified in the form's contractual relationship section (top of screen). Use the **Add Form** button at the bottom of the **Annual** screen to create additional forms for each contractual relationship.

Describe the reporting relationship between the buyer and seller. For each contract, provide the monetary considerations of the contract and key operating and financial statistics in Section B – Key Financial and Operating Statistics. One contract may cover more than one mode. To add modes to a contract, use the **Add Mode** button within Section B — Key Financial and Operating Statistics of the B-30 form.

Contractual Relationship

Type

Type identifies the reporting agency as the buyer or seller of the service, the other party to the contractual relationship, and who is reporting the operating data.

For brokerage relationships, you may report only transit service that is provided by agencies participating in the brokerage under the purchased transportation agreement. Do not report any trips brokered to a transit operator that is not part of the purchased transportation agreement.

Select one of the fourteen categories from the **Type** drop-down menu. If you select a category other than type 1, please contact your NTD analyst for assistance in completing your NTD Annual report.

1 You are the public buyer of service from a private company that is not an NTD reporter and the service is being captured in this report as PT.

This is the most common case. The seller is a private company without an NTD ID and service is reported in the public agency's NTD report.

The public buyer is an NTD reporter.

The private seller does not report to NTD.

2 You are the public buyer of service from a public NTD reporter and the service is being captured in this report as DO.

This occurs when two public NTD reporters buy and sell service between them and the buyer reports the service. Contractual agreements between public NTD reporting agencies for transit services can be reported as DO service by either the seller or the buyer of service. In this case, the buyer is reporting the service. When the buyer (who is the reporting agency in this case) makes this menu selection, the seller selects type 7 in the seller's report.

Public buyer and public seller are both NTD reporters.

3 You are the public buyer of service from a private NTD reporter and the service is being captured in this report as PT.

This occurs when two NTD reporters buy and sell service between them and the public buyer reports the service from the private seller as PT. When the buyer (who is the reporting agency in this case) makes this menu selection, the seller selects type 8 in the seller's report.

Public buyer and private seller are both NTD reporters.

4 No longer available

5 You are the public buyer of service and the service is being captured in the public seller's report as DO.

This occurs when two public NTD reporters buy and sell service between them and the seller reports the service as DO. Neither the buyer nor the seller is reporting as a brokerage. When the buyer (who is the reporting agency in this case) makes this menu selection, the seller selects type 6 in the seller's report.

Public buyer and public seller are both NTD reporters.

6 You are the public seller of service with a public buyer that is an NTD reporter and the service is being captured in this report as DO.

This occurs when two public NTD reporters buy and sell service between them and the seller reports the service as DO. Neither the buyer nor the seller is reporting as a brokerage. When the seller (who is the reporting agency in this

case) makes this menu selection, the buyer selects type 5 in the buyer's report.

Public buyer and public seller are both NTD reporters.

7 You are the public seller of service and the service is being captured in the public buyer's report as DO.

This occurs when two public NTD reporters buy and sell service between them and the buyer reports the service as DO. Contractual agreements between public NTD reporting agencies for PT services can either be reported by the seller or the buyer of service as DO service. When the seller (who is the reporting agency in this case) makes this menu selection, the buyer selects type 2 in the buyer's report.

Public buyer and public seller are both NTD reporters.

8 You are the private seller of service and the service is being captured in the public buyer's report as PT.

This occurs when two NTD reporters buy and sell service between them and the public buyer reports the service from the private seller as PT. When the seller (who is the reporting agency) makes this menu selection, the buyer selects type 3 in the buyer's report.

Public buyer and private seller are both NTD reporters.

9 You are the public buyer of service from a public seller who is a brokerage and the service is being captured in the seller’s report as PT.

This usually occurs with demand response (DR) services. The public buyer purchases service from a public brokerage comprised of private and/or public providers. The broker assigns trips to the providers. In this case, the buyer and seller each file only one B-30 form showing the relationship between them and the service is captured in the broker's report as PT. When the buyer (who is the reporting agency) makes this menu selection, the seller selects type 10 in the seller’s report.

Public buyer and public seller are both NTD reporters.

10 You are the public seller of service (brokerage) and the service is being captured in this report as PT.

This usually occurs with DR services. The public seller (broker) sells service to a public agency (buyer) and the service is captured in the seller’s report as PT. When the seller (who is the reporting agency) makes this menu selection, the buyer selects type 9 in the buyer’s report.

Public buyer and public seller are both NTD reporters.

11 You are the public seller of service with a private buyer that is not an NTD reporter and the service is being captured in this report as DO.

The buyer is a private company without an NTD ID and service is reported in the public agency's NTD report.

Public seller is an NTD reporter.

Private buyer does not report to NTD.

12 You are the public buyer of service with a private seller who is an NTD reporter and service is being captured in the seller's report as DO.

This occurs when two NTD reporters buy and sell service between them. Usually, the service would be reported in the public agency's report as PT. However, in rare cases the private company will report the service. In these cases, permission must be obtained from FTA in advance. When the buyer (who is the reporting agency) makes this menu selection, the seller selects type 13 in the seller’s report.

Public buyer and private seller are both NTD reporters.

13 You are the private seller of service with a public buyer who is an NTD reporter and service is being captured in this report as DO.

This occurs when two NTD reporters buy and sell service between them. Usually, the service would be reported in the public agency's report as PT. However, in rare cases the private company will report the service. In these cases, permission must be obtained from FTA in advance. When the seller (who is the reporting agency) makes this menu selection, the buyer selects type 12 in the buyer's report.

Public buyer and private seller are both NTD reporters.

14 You are the private seller of service with a public buyer who is not an NTD reporter and the service is being captured in this report as DO.

The buyer is a public agency without an NTD ID. Usually, the public agency would submit a request for an NTD ID and the service would be captured in the public agency's NTD report as PT. However, in rare cases the private seller will report the service as directly operated. In these cases, permission must be obtained from FTA in advance.

Private seller is an NTD reporter.

Public buyer does not report to NTD.

Exhibit 8 — Contractual Relationship Reporting (M = Mode, D = Directly Operated, P = Purchased Transportation)													
	1	2	3	5	6	7	8	9	10	11	12	13	14
You are public	X	X	X	X	X	X		X	X	X	X		
You are private							X					X	X
Contract is with a public transit agency		X		X	X	X	X	X	X			X	X
Contract is with a private transit agency	X		X							X	X		
You are the buyer	X	X	X	X				X			X		
You are the seller					X	X	X		X	X		X	X
Buyer and seller are both NTD reporters		X	X	X	X	X	X	X	X		X	X	
Either the buyer or the seller is not an NTD reporter	X									X			X
Service reported in your report as DO		X			X					X		X	X
Service reported in your report as PT	X		X						X				
Service reported in the other agency's report as DO				X		X					X		
Service reported in the other agency's report as PT							X	X					
Type of Service reported on Identification form (B-10), item 6	P	D	P		D				P	D		D	D
Reporter completes B-10 form, item 8				M		M	M	M			M		
Transit Agency is filing a complete report	X	X	X		X				X	X		X	X
Required forms if filing separate report: Basic Information Module forms, Financial Module forms including F-30, line 12				X		X	X	X			X		
Matching menu selections on Contractual Relationship form (B-30), line 2 for contracts with another NTD reporter		7	8	6	5	2	3	10	9		13	12	

NTD Reporter or Company

Identify the other party to the contractual relationship using the **NTD Reporter** or **Company** drop-down menus. The NTD reporter menu lists the name and NTD ID of transit agencies, both private and public, reporting to the NTD in the current repot year. The **NTD Reporter** drop-down menu includes all NTD reporters and their identification numbers (NTD IDs) from the 2007 NTD who are reporting in the current report year, in ascending order by transit agency identification number.

The **Company** drop-down menu includes all private operators identified in your prior years report, displayed in ascending alphabetical order. These private companies are not filing separate reports to the NTD. If you need to add a company that is not included in the **Company** drop-down menu, click on the **Add / Edit Company** button to enter the name of a new private company.

If you are contracting with a private company that filed a separate report last year, but this year is not filing a report, use the **Add / Edit Company** button to enter the name of the private company. Do not use the **NTD Reporter** drop-down menu because the private company will no longer be included in the menu.

The type selected above (1 - 14) determines which menu is required. Types 1, 11 and 14 will require the **Company** menu; types 2, 3, 5 through 10, 12 and 13 will require the **NTD Reporter** menu.

Monetary Nature of Contractual Relationship

Describe the nature of the monetary consideration in the contract. Monetary consideration is the payment or compensation by the public body to the private or public seller of transportation service (private / public carrier). Monetary consideration does not have to be a cash payment to the PT provider. For example, the buyer of service may give the seller buses to operate the service, or the buyer may provide the fuel or perform the maintenance of the buses.

It is common for public transit agencies buying transportation service to provide the seller the vehicles used for the service. This includes vehicles given, sold, loaned or leased (usually for below market value) to seller. Select the box for buyer provides vehicles to the seller for any arrangement where the buyer provides vehicles to the seller for the purchased transportation service under this B-30 form.

Select all of the categories of monetary consideration that apply from the **Monetary Nature of Contractual Relationship** checklist.

If none of the choices fits or there are additional monetary considerations, select category: Other. Internet Reporting will display a box for you to describe the monetary considerations. Typical examples are incentive and penalty clauses in the contract, or the buyer provides fuel for the vehicles, performs the vehicle maintenance, or collects the passenger mile data.

Monetary Nature of Contractual Relationship checklist selections:

a. Negotiated rate per unit of service delivered. Select this box if both the buyer and seller agree to a specific cash amount for the service. The cash amount is a set price typically based on a set rate per hour or mile of service to be provided. It may also be a reimbursement per passenger trip basis.
b. Cash reimbursement of some of seller's operating deficit. Select this box if the buyer reimburses the seller for only a portion of the net service cost (full service cost less passenger revenues earned).
c. Cash reimbursement of all of seller's operating deficit. Select this box if the buyer reimburses the seller for the net service cost (full service cost less passenger revenues earned).
d. Cash reimbursement to seller for reduced fare programs. Select this box if the buyer agrees to reimburse the seller for reduced fare programs. For example, if elderly persons pay 50 percent of the adult fare, the buyer agrees to reimburse the seller for the other 50 percent it would have collected from a full adult fare.
e. Buyer provides vehicles to the seller.
f. Maintenance facility leased to seller. Select this box if the buyer leases the maintenance facility to the seller.
g. Other. Select this box if none of the above describes the monetary nature of the relationship. If you select other, describe in the monetary consideration – Other description field.

Contracted Service

This section describes key financial and operational characteristics of the contracted service.

Mode

Use the **Add Mode** button in this section of the form to generate the necessary fields for a mode. To add additional modes under the same contract, use the **Add Mode** button in this section of the form.

From the menu, select the desired mode.

Use the **Delete Mode** button to remove a mode and the **Delete Form** button to remove the entire form.

Vehicles / Passenger Cars Operated in Annual Maximum Service under Contract

Report, by mode, the number of revenue vehicles operated in annual maximum service (VOMS).

If vehicles are used for more than one mode, report them under each mode for which they are used, and describe the number of vehicles by mode using the **Add Form Notes** link. For example, if the seller operates ten buses and five DR vehicles operated in annual maximum service, report MB 10, DR 5 and state this using the **Add Form Notes** link.

Similarly, if the same vehicle is used for more than one contract, report this vehicle for each contract that the vehicle is used, and describe using the **Add Form Notes** link.

Number of Months Seller Operated Service During Report Year

By mode, report the number of months that the seller operated service during the report year under the contract. If service was operated less than a full report year, describe the term of the contract (beginning date and contract length) using the **Add Form Notes** link. Use the following rounding rule to determine the number of months:

- Days 1-15 are rounded down. Service beginning during these days is counted as having been operated for the entire month. Service ending during these days is counted as not having been operated during the month.
- Days 16-31 are rounded up. Service beginning during these days is counted as not having been operated for the entire month. Service ending during these days is counted as having been operated during the month.

For example, a PT agreement specifies a 24-month term with a one-year option. Service began operating on May 15. The reporter has a calendar fiscal year. Report 8 months as the length of the contract (May through December) and use the **Add Form Notes** link to state that the contract began May 15, and has a term of 24 months.

Operating Expenses

Purchased Transportation Fare Revenues

Report by mode, the purchased transportation (PT) fare revenues.

PT fare revenues are fare revenues derived from the transit services provided under the PT agreement, regardless of whether fares are retained by the seller or returned to the buyer. They also include fares collected or sold by the buyer for users of the purchased service. For example, if the buyer of the PT service sells tickets, tokens or passes for these users, this revenue is reported as part of PT fare revenues.

Net Contract Expenditures

Report, by mode, the net contract expenditures by the buyer after fare revenues have been deducted. These are the payments and accruals due the seller for providing the transit services under the PT agreement after the fare revenues earned have been considered. Net contract expenditures are calculated one of two ways depending on the contracting relationship:

- Seller retains the fare revenues. The total money earned by the seller ($9M) is the sum of the fare revenues collected (e.g., $1M) and the additional payments made by the buyer to the seller (e.g., $8M). The net contract expenditures equal the additional payments by the seller ($8M).
- Seller returns the fare revenues. The seller collects the fare revenues (e.g., $2M) and immediately transfers the receipts to the buyer. The total money earned by the seller equals the payments made by the buyer (e.g., $7M). The net contract expenditures ($5M) equals the payments made by the buyer ($7M) less the fare revenues collected ($2M).

Total Contract Cost

Displays the total contract cost for each contract (non-editable auto-calculated total of line 6 and line 7).

The following example illustrates how to report fare revenues and net contract expenditures and how the total contract costs are calculated.

Example 5 – Reporting Fare Revenues and Net Contract Expenditures by Buyer

Seller Retains Fare Revenues

Example: Regional Transit contracts with ABC Company for MB service.

Under the contract:

- Regional Transit agrees to pay $1,200,000 for operating the service
- ABC Company retains fare revenues.

ABC collects $300,000 in fare revenues. It earns $1,500,000 ($1,200,000 + $300,000) for operating the bus service.

What is reported?

Solution: Regional Transit reports:

• Purchased transportation fare revenues		$300,000
• Net contract expenditures		$1,200,000
• Total contract cost (auto calc)		$1,500,000

For contracts in which the seller retains fare revenues, the net contract expenditures by the buyer equals the actual payments or accruals made by the buyer.

Seller Returns Fare Revenues

Example: Regional Transit contracts with DEF Company for MB service.

Under the contract:

- Regional Transit agrees to pay $2,500,000 for operating the service
- DEF Company returns fare revenues.

DEF collects $600,000 in fare revenues and transfers the receipts to Regional Transit. DEF earns $2,500,000.

What is reported?

Solution: Regional Transit and ABC Company reports:

• PT fare revenues		$600,000
• Net contract expenditures by buyer	($2,500,000 - $600,000)	$1,900,000
• Total contract cost (auto calc)		$2,500,000

For contracts in which the PT fare revenues are returned to the buyer by the seller, the net contract expenditures by the buyer equals the actual payments or accruals made by the buyer net of or less the PT fare revenues.

Other Costs Incurred by the Buyer

Report by mode other costs incurred by the buyer. These are expenses of the buyer (public transit agency or governmental unit) that are directly attributable to the provision of PT services. Examples include:

- Providing maintenance services or fuel for the vehicles used by the seller
- Gathering and compiling NTD data
- Monitoring of the seller's operations and other similar costs where the buyer uses its resources to support the purchased service.

Total Operating Expenses

This field automatically sums the net contract expenditures; other costs incurred by the buyer, and PT fare revenue.

Example 6 — Purchased Transportation Services Reporting — Transit Agency X (User-side Subsidy Program)

Example: Public Transit Agency X (buyer) is a recipient of §5307 UAF Program funds, and operates a user-side subsidy program (seller) for DR service called Community Ride, separate from its ADA DR service. It uses part of a staff position for contract administration and customer information support totaling $55,000 in labor, $15,000 in fringe benefits and $5,000 for telephone costs.

The subsidy program uses several taxicab companies to supply the service. Collectively, the taxicab companies own 200 vehicles; of these:

- 30 are used for annual maximum service
- 10 additional vehicles are available as spares.

Qualified users purchase discounted coupons from Transit Agency X that are valid for taxicab fares. The user pays up to $10 for the coupon that is valid for a cab fare up to the coupon amount. The rider pays any difference in the total cab fare and the coupon amount. The taxicab companies receive a $2 handling fee per fare.

For the current report year, Transit Agency X sold 12,500 coupons at an average coupon cost of $8 ($100,000) and valued at an average cost of $20 ($250,000). The taxicab companies earned $25,000 for the handling fee ($2 * 12,500 coupons).

What is required under NTD?

Solution:

- Written agreement between Transit Agency X and the taxicab companies
- Taxicab companies must maintain records for Transit Agency X to compile non-financial operating statistics for purchased services and to ensure the accuracy of the data
- Transit Agency X files an NTD Annual report indicating purchased transportation services:

B-10 form	**Identification**		
	Organization Type – Public agency or authority that contracts for some or all transit service (not a state DOT)		
	Number of Vehicles Operated in Annual Maximum Service (VOMS)	DT/PT	30
B-30 form	**Contractual Relationship**	One form	
	Contractual Relationship Type – Type 1: The reporting agency is the buyer of service from a company that is not an NTD reporter and the service is being captured in this report as PT		
	Contractual Relationship Company	Community Ride	
	Monetary Nature of Contractual Relationship – Cost Reimbursement to seller for reduced fare programs		
	Contracted Service -	DT	
	VOMS under contract		30
	Months service operated		12
	Purchased transportation fare revenues	$100,000	
	Net contract expenditures	($250,000 - $100,000 + $25,000)	$175,000
	Total contract cost (autocalc)		$275,000
	Other costs incurred by buyer		$75,000
	Total operating expenses		$350,000
	Description of DR Provider	Taxicab operator	
F-10 form	**Sources of Funds – Funds Expended and Funds Earned**		
	PT fare revenues		$100,000
F-30 form	**Operating Expenses**	DT/PT	
	Object class 508.01	(distributed by function)	$275,000
	Object class 501.02	(General Administration – other labor)	$55,000
	Object class 502	(General Administration – fringe benefits)	$15,000
	Object class 505	(General Administration – utilities / phone)	$5,000
	Total modal expenses	(for all functions and object classes)	$35,000
	ADA operating expenses		$0
A-10 form	**Stations and Maintenance Facilities**	DT/PT	
	Facilities		0
A-30 form	**Revenue Vehicle Inventory**	DT/PT	
	Number of vehicles in total fleet		40
	Non-dedicated		
S-10 form	**Service**	DT/PT	
	VOMS		30
Vehicles available in annual maximum service			30

Example 7 — Purchased Transportation Services Reporting — Public Transit Agency Y (Brokerage System)

Example: Public Transit Agency Y (buyer) is a recipient of UAF Program funds, and contracts for DR service with Access (seller), a public brokerage who files an NTD Annual report. All service is for ADA requirements.

Transit Agency Y pays Access $5,000,000 for the service based on each unlinked passenger trip (UPT). Transit Agency Y supports the DR program with one contract administrator with a salary of $50,000 and fringe benefit costs of $15,000.

Access collects $600,000 in fare revenues. Access operates a brokerage involving three non-profit providers who also use the vehicles for other transportation services not under contract to Transit Agency Y with:

- Provider 1 — Vehicles in annual maximum service (VOMS) — 1150 and 20 spares
- Provider 2 — VOMS — 250 and 5 spares
- Provider 3 — VOMS — 375 and 10 spares

What is required under NTD?

Solution:

- Written agreement between Transit Agency Y and Access specifying the services for $5,000,000
- Transit Agency Y files an NTD Annual report with DR/PT as follows:

B-10 form	**Identification**		
	Organization Type – Public agency or authority that contracts for some or all transit service (not a state DOT)		
	Number of VOMS – Not applicable as Access files own report		
	Filing a Separate NTD Report	Add DR	
B-30 form	**Contractual Relationship**	One form	
	Contractual Relationship Type – Type 9: The reporting agency is the buyer of service from a seller who is a brokerage and the service is being captured in the seller's report as PT		
	Contractual Relationship Company	Access	
	Monetary Nature of Contractual Relationship – Buyer provides vehicles to the seller		
	Contracted Service -	DR	
	VOMS under contract	(150 + 50 + 75)	275
	Months service operated		12
	Purchased transportation fare revenues		$600,000
	Net contract expenditures		$4,400,000
	Total contract cost (auto-calc)		$5,000,000
	Other costs incurred by buyer		$65,000
	Total operating expenses		$5,065,000
F-10 form	**Sources of Funds – Funds Expended and Funds Earned**		
	PT fare revenues		$600,000
F-30 form	**Operating Expenses**	DR/PT	
	Object class 508.02	(distributed by function)	$5,000,000
	Object class 501.02	(General Administration – other labor)	$50,000
	Object class 502	(General Administration – fringe benefits)	$15,000
	Total modal expenses	(for all functions and object classes)	$5,065,000

No other forms in Transit Agency Y's report are completed for the service provided by Access.

- Access files a separate, complete NTD Annual report indicating purchased transportation service. As a brokerage, the service is reported as PT in the Access report.
- Providers 1, 2 and 3 must maintain records to compile financial and non-financial operating statistics for purchased services and to ensure the accuracy of the data

B-10 form	**Identification**		
	Organization Type – Public Agency or authority that contracts some or all transit service (not a State DOT)		
	Number of Vehicles Operated in Annual Maximum Service	DR/PT	275 vehicles
B-30 form	**Contractual Relationship**	One form	
	Contractual Relationship Type – Type 10: The reporting agency is the seller of service (brokerage) and the service is being captured in this report as PT		
	Contractual Relationship Company	Transit Agency Y	
	Monetary Nature of Contractual Relationship – Negotiated rate per unit of service delivered		
	Contracted Service -	DR	
	VOMS under contract	(150 + 50 + 75)	275
	Months service operated		12
	Purchased transportation fare revenues		$600,000

Example 6 — Purchased Transportation Services Reporting — Transit Agency X (User-side Subsidy Program)

	Net contract expenditures	($5,000,000 - $600,000)	$4,400,000
	Total contract cost (autocalc)		$5,000,000
	Other costs incurred by buyer	(not applicable for sellers)	
	Total operating expenses		$5,000,000
	Description of DR Provider	Brokerage system	
F-10 form	**Sources of Funds – Funds Expended and Funds Earned**		
	PT fare revenues		$600,000
	Revenue accrued through a PT agreement		$4,400,000
F-30 form	**Operating Expenses** DR/PT		
	Object class 508.01	(distributed by function)	$5,000,000
	Total modal expenses	(for all functions and object classes)	$5,000,000
	ADA operating expenses		$500,000,000
A-10 form	**Stations and Maintenance Facilities**	DR/PT	
	One form totaling the facilities for each of the three providers		
A-30 form	**Revenue Vehicle Inventory**	DR/PT	
	Number of vehicles in total fleet		40
	Non-dedicated		
S-10 form	**Service**	DR/PT	
	VOMS		275
Vehicles available in annual maximum service (VOMS + spares)			310

Line by Line Instructions Contractual Relationship form (B-30)

Completing the Contractual Relationship form (B-30)

Complete one form for each buyer and seller of service contractual relationship. Use the **Add Form** button at the bottom of the **Forms** screen to create additional forms for each contractual relationship.

Form Level Help: Click on the **Help** tab at the top of the screen for form level help.

Form Note: A form note can be attached to any form. Use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. Click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. Do not use the **Form Notes** feature to answer issues generated from this form. From the **Issues** tab use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: Click on the **Save** button at the bottom of the screen to save the form. Click on the **Close** button at the bottom of the screen to close the form without saving.

Deleting the Form: Click on the **Delete** button at the bottom of the form to delete both sections A and B, or click on the **Delete Box** button in line 3 if you want to delete Section B – Key Financial and Operating Statistics only.

Section A – Contract Summary Type

Line 01: Contractual Relationship.

Type: Select the option that identifies your agency as the buyer or seller of the transportation service and indicates whose report includes the operational data for the purchased transportation (PT) service from the drop-down menu:

You are the public buyer of service from a private company that is not an NTD reporter and the service is being captured in this report as PT.

- This is the most common case. The seller is a private company without an NTD ID and service is reported in the public agency's NTD report.
- The public buyer is an NTD reporter.
- The private seller does not report to NTD.

You are the public buyer of service from a public NTD reporter and the service is being captured in this report as directly operated (DO).

- This occurs when two public NTD reporters buy and sell service between them and the buyer reports the service. Contractual agreements between public NTD reporting agencies for transit services can be reported as DO service by either the seller or the buyer of service. In this case, the buyer is reporting the service. When the buyer (who is the reporting agency in this case) makes this menu selection, the seller selects type 7 in the seller's report.
- Public buyer and public seller are both NTD reporters.

You are the public buyer of service from a private NTD reporter and the service is being captured in this report as PT.

- This occurs when two NTD reporters buy and sell service between them and the public buyer would reports the service from the private seller as PT. When the buyer (who is the reporting agency in this case) makes this menu selection, the seller selects type 8 in the seller's report.
- Public buyer and private seller are both NTD reporters.

You are the public buyer of service and the service is being captured in the public seller's report as DO.

- This occurs when two public NTD reporters buy and sell service between them and the seller reports the services as DO. Neither the buyer nor the seller is reporting as a brokerage. When the buyer (who is the reporting agency in this case) makes this menu selection, the seller selects type 6 in the seller's report.
- Public buyer and public seller are both NTD reporters.

You are the public seller of service with a public buyer that is an NTD Reporter and the service is being captured in this report as DO.

- This occurs for sellers who are not public transit agencies and the seller reports the service as DO. When the seller (who is the reporting agency in this case) makes this menu selection, the buyer selects type 5 in the buyer's report.
- Public buyer and public seller are both NTD reporters.

You are the public seller of service and the service is being captured in the public buyer's report as DO.

- This occurs when two public NTD reporters buy and sell service between them and the buyer reports the service as DO. When the seller (who is the reporting agency in this case) makes this menu selection, the buyer selects type 2 in the buyer's report.
- Public buyer and public seller are both NTD reporters.

You are the private seller of service and the service is being captured in the public buyer's report as PT.

- This occurs when two NTD reporters buy and sell service between them and the public buyer reports the service as PT. When the seller (who is the reporting agency) makes this menu selection, the buyer selects type 3 in the buyer's report.
- Public buyer and private seller are both NTD reporter

You are the public buyer of service from a public seller who is a brokerage and the service is being captured in the seller's report as PT.

- This usually occurs with demand response (DR) services. The public buyer purchases service from a public brokerage comprised of private and/or public providers. The broker assigns trips to the providers. In this case, the buyer and seller each file only one B-30 form showing the relationship between them and the service is captured in the broker's report as PT. When the buyer (who is the reporting agency) makes this menu selection, the seller selects type 10 in the seller's report.
- Public buyer and public seller are both NTD reporters.

You are the public seller of service (brokerage) and the service is being captured in this report as PT.

- This usually occurs with DR services. The public seller (broker) sells service to a public agency (buyer) and the service is captured in the seller's report as PT. When the seller (who is the reporting agency) makes this menu selection, the buyer selects type 9 in the buyer's report.
- Public buyer and private seller are both NTD reporters.

You are the public seller of service with a private buyer that is not an NTD reporter and the service is being captured in this report as DO.

- The buyer is a private company without an NTD ID and service is reported in the public agency's NTD report.
- Public seller is an NTD reporter.
- Private buyer does not report to NTD.

You are the public buyer of service with a private seller who is an NTD reporter and service is being captured in the seller's report as DO.

- This occurs when two NTD reporters buy and sell service between them. Usually, the service would be reported in the public agency's report as PT. However, in rare cases the private company will report the service. In these cases, permission must be obtained from FTA in advance. When the buyer (who is the reporting agency) makes this menu selection, the seller selects type 13 in the seller's report.
- Public buyer and private seller are both NTD reporters.

You are the private seller of service with a public buyer who is an NTD reporter and service is being captured in this report as DO.

- This occurs when two NTD reporters buy and sell service between them. Usually, the service would be reported in the public agency's report as PT. However, in rare cases the private company will report the service. In these cases, permission must be obtained from FTA in advance. When the seller (who is the reporting agency) makes this menu selection, the buyer selects type 12 in the buyer's report.

- Public buyer and private seller are both NTD reporters.

You are the private seller of service with a public buyer who is not an NTD reporter and the service is being captured in this report as DO.

- The buyer is a public agency without an NTD ID. Usually, the public agency would submit a request for an NTD identification number (NTD ID) and the service would be captured in the public agency's NTD report as PT. However, in rare cases the private seller will report the service as directly operated. In these cases, permission must be obtained from FTA in advance.
- Private seller is an NTD reporter.
- Public buyer does not report to NTD
- NTD Reporter. This menu is used to select public transit agencies or private operators that file NTD reports and have a NTD ID. If you selected types 2, 3, 5 through 10, 12 and 13 to describe the type of contractual relationship, select the other party to the contractual relationship from the drop-down menu.
- Company. This menu is used to select private operators that do not file NTD reports. If you selected types 1, 11 and 14 to describe the type of contractual relationship, select the other party to the contractual relationship.

  If the operator is not in the menu, click on the Add / Edit Company button to enter the name of a new private company. If you are a private company who had a contract with an NTD reporter, which filed a report last year, but this year is not filing a report, the agency will no longer be listed in the NTD reporter drop-down menu.

Line 02: Monetary Nature of Contractual Relationship. Check all that apply:

- Negotiated rate per unit of service delivered. Select this box if both the buyer and seller agree to a specific cash amount for the service. The cash amount is a set price typically based on a set rate per hour or mile of service to be provided. It may also be a reimbursement per passenger trip basis.
- Cash reimbursement of some of seller's operating deficit. Select this box if the buyer reimburses the seller for only a portion of the net service cost (full service cost less passenger revenues earned).
- Cash reimbursement of all of the seller's operating deficit. Select this box if the buyer reimburses the seller for the net service cost (full service cost less passenger revenues earned).
- Cash reimbursement to seller for reduced fare programs. Select this box if the buyer agrees to reimburse the seller for reduced fare programs. For example, if elderly persons pay 50 percent of the adult fare, the buyer agrees to reimburse the seller for the other 50 percent it would have collected from a full adult fare.
- Buyer provides vehicles to the seller to provide service under this purchase transportation agreement. This includes vehicles given, sold, loaned or leased (usually for below market value) to seller.
- Maintenance facility leased to seller. Select this box if the buyer leases the maintenance facility to the seller.
- Other. Select this box if none of the above describes the monetary nature of the relationship. If you select other, describe in the Monetary Consideration – Other Description field.

Section B – Key Financial and Operating Statistics

Line 03: Contracted Services.

- Click on the **Add Mode** button; Internet Reporting will generate a column of data items to complete. At the top of the column is a drop-down menu that contains all modes identified on the B-10 form. Select the mode for this contractual relationship. If additional modes are operated under this contract, click again on the **Add Mode** button to generate another column, and select the next mode.

Line 04: Vehicles **/** Passenger Cars Operated in Annual Maximum Service – by Mode and Type of Service.

- Enter the number of revenue vehicles operated under the PT agreement to meet annual maximum service requirements.
- If a vehicle is used for more than one mode or contract, report the vehicle for each mode and for each contract and describe. Click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. Indicate the number of vehicles used and for which modes or contracts.

Line 05: Number of Months Seller Operated Service During Report Year – by Mode and Type of Service.

- Enter the number of months that the seller operated service during the report year. If service was operated less than a full report year, describe the term of the contract (beginning date and number of months service was to be provided). Click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen.

Line 06: Purchased Transportation Fare Revenues – by Mode and Type of Service.

- Enter all purchased transportation fare revenues from the service under the PT agreement, regardless of whether the fares are retained by the seller or returned to the buyer.
- Fares are usually collected by the seller, but also include fares collected or sold by the buyer for users of the purchased transportation service. For example, if the buyer sells tickets, tokens or passes for these users, this revenue is part of purchased transportation fare revenues. Describe any unusual circumstances regarding fare revenues or to confirm that no fares are charged. Click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen.

Line 07: Net Contract Expenditures – by Mode and Type of Service.

- Enter payments or accruals, not including purchased transportation fare revenues from the service, under the PT agreement.

Line 07a: Total Contract Cost (sum of line 06 and line 07). This is an **auto-calculated** field and cannot be edited, review for accuracy.

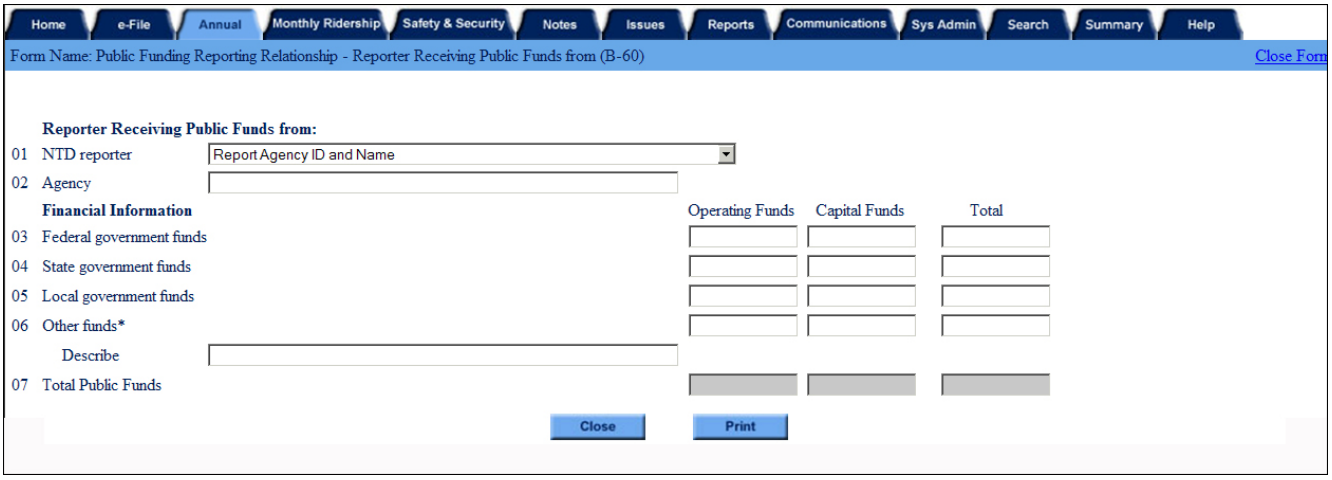
Line 08: Other Costs Incurred by the Buyer – by Mode and Type of Service.

- Enter any other operating expenses (OE) that the transit agency reporter (identified on the B-10) has incurred as buyer (other costs incurred by the buyer) of the PT services. If you are the seller filing this NTD report, report zero.

Line 09: Total Operating Expenses, by Mode – by Mode and Type of Service.

- This is an **auto-calculated** field and cannot be edited, review for accuracy. This is the buyer's total OE for the PT service equal to the sum of net contract expenditures by the buyer (line), purchased transportation fare revenues (line 06), and other costs incurred by the buyer (line 08).

Reporter Receiving Public Funds from form (B-60)



Overview

The B-60 form collects information about funding relationships among public entities. The form is for transit agencies who receive funds from other public entities to provide transit services.

Reporting Requirements and Thresholds

Reporters must complete this form if:

The public transit agency receives funding from another public entity who is not an NTD reporter.

There is a written memorandum of understanding, budgeting process or other form of agreement for transit services specified by the public entity providing the funding, and

They do not receive pass-through Federal funds from another NTD reporter.

A separate B-60 form is used to report the funding relationship for each public entity providing funding.

What Has Changed from Prior Year

There are no changes for the 2011 report year.

Approach

The keys to completing this form are to determine:

- If funds are for the general support of transit service in the area or for specific transit services that would not exist without the funding provided
- If Federal funds are a pass-through from the public agency providing the funding
- If the funding relationship involves two public NTD reporters, whether there is a contractual relationship for specific transit services.

Transit Service

There must be an agreement for specific transit services. The public entity from whom you receive funds specifies the terms of the transit service including route layout, days of operation, frequency of service and fares. For example, a county requests the transit agency to extend an existing transit line to a rapidly developing suburb. The county determines the service will operate only weekday service from 6:00 am to 7:00 pm at 30-minute headways in the peak periods and 60-minute headways in the off-peak periods. Fares follow the rate structure of the transit agency. The transit agency files a B-60 form.

If a public entity, such as a county or city government only supports the local transit system through a monetary contribution, and there is no specific transit service requirement, the transit agency does not complete a B-60 form. The sources of the local support are part of Local Government sources on the Sources of Funds—Funds Expended and Funds Earned form (F-10)

Federal Pass-Through Funds

If you are the designated recipient of Federal funds for transit, do not complete this form.

Two Public NTD Reporters

There may be a relationship between two public NTD reporters for transit service. They will file Contractual Relationship forms (B-30) if a true contractual relationship exists. For NTD, this is rare. It occurs when the NTD reporter providing the service legally operates service under the name of the buyer of service. The buyer's name appears on the transit vehicles, and the seller operates as if he were the buyer, e.g., dba status.

If there is not a contractual relationship between the NTD reporters, complete the B-60 form. There will be a corresponding B-70 form for the other NTD reporter involved in the funding relationship.

Detailed Instructions

The form identifies the public entities from whom the NTD reporter receives funds by source and use, operating or capital. Follow accrual accounting principles. The funds received are the funds earned for liabilities incurred for operating or capital expenditures during the report year.

Reporter Receiving Public Funds from

Report the name of the agency from whom you are receiving funding. For almost all transit agencies, this is a public entity who is not an NTD reporter.

If the public agency has an NTD ID, report the NTD ID and name.

Financial Information

Follow accrual accounting principles. Funds received are for those expenses incurred during the report year by the provider of service.

Report by the source of Federal, State and local government funds, or other funds for operating or capital uses. If you receive other funds, Internet Reporting will display a box for you to describe the sources and amounts.

If the source of funds is from a grant, report any matching funds that you receive as part of the total funds. For example, if funds are from a State grant for capital and they have a 10% local match requirement, then report 90% of the total as State funds and 10% as Local funds.

Completing the Reporter Receiving Public Funds from form (B-60)

Complete one form for each public funding relationship. Use the **Add Form** button at the bottom of the **Forms** screen to create additional forms for each funding relationship.

Form Level Help: Click on the **Help** tab at the top of the screen for form level help.

Form Note: A form note can be attached to any form. Use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. Click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. Do not use the **Form Notes** feature to answer issues generated from this form. From the **Issues** tab use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: Click on the **Save** button at the bottom of the screen to save the form. Click on the **Close** button at the bottom of the screen to close the form without saving.

Deleting the Form: Click on the **Delete** button at the bottom of the form.

Reporter Receiving Public Funds from

Line 01: NTD reporter. Enter the NTD ID and name of the public agency from whom you receive funds for specific transit service.

Line 02: Agency. Enter the name of the public agency from whom you receive funds for specific transit service. The public agency is not an NTD reporter.

Financial Information

Line 03: Federal government funds. These are pass-through funds from the designated recipient.

- Column a: Operating Funds. Enter the operating funds received from all Federal Government sources during the period.
- Column b: Capital Funds. Enter the capital funds received from all Federal Government sources during the period.
- Column c: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total Federal government funds received for operating and capital expenditures equal to the sum of columns a and b.

Line 04: State government funds.

- Column a: Operating Funds. Enter the operating funds received from all State Government sources during the period.
- Column b: Capital Funds. Enter the capital funds received from all State Government sources during the period.
- Column c: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total State government funds received for operating and capital expenditures equal to the sum of columns a and b.

Line 05: Local government funds.

- Column a: Operating Funds. Enter the operating funds received from all Local Government sources during the period.
- Column b: Capital Funds. Enter the capital funds received from all Local Government sources during the period.
- Column c: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total Local government funds received for operating and capital expenditures equal to the sum of columns a and b.

Line 06: Other funds
Describe the sources and amounts in the **Other Funds – Other Description** field.

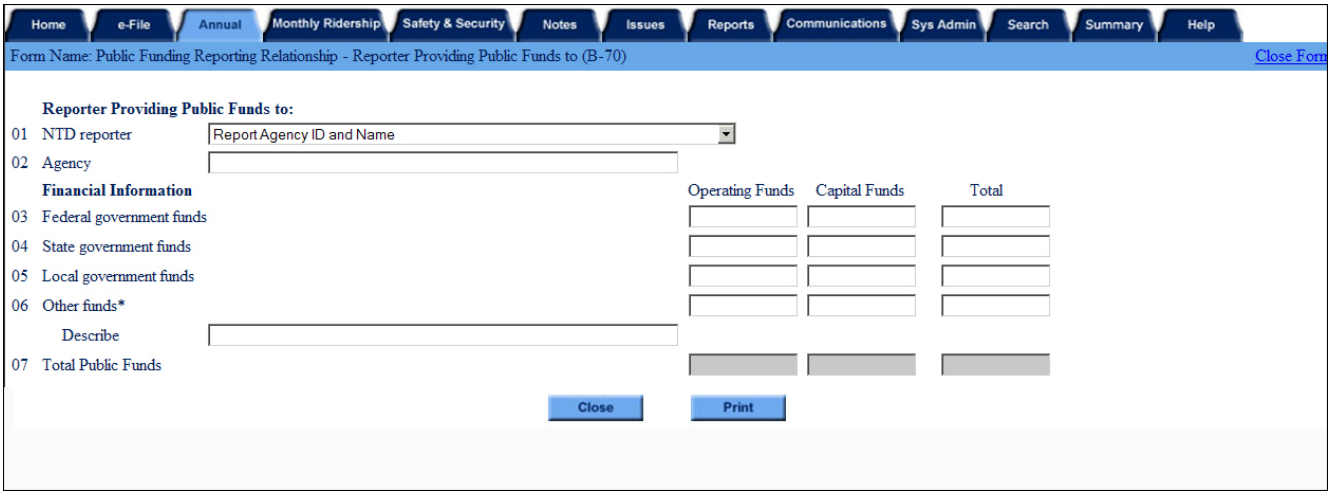
- Column a: Operating Funds. Enter the operating funds received from all Other sources during the period.
- Column b: Capital Funds. Enter the capital funds received from all Other sources during the period.
- Column c: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total Other funds received for operating and capital expenditures equal to the sum of columns a and b.

Line 07: Total Public Funds.

- Column a: Operating Funds. This is an **auto-calculated** field and cannot be edited. This field displays the total public funds received from Federal, State and Local government and Other sources for operating expenditures equal to the sum of lines 03 through 06, column a.

- Column b: Capital Funds. This is an **auto-calculated** field and cannot be edited. This field displays the total public funds received from Federal, State and Local government and Other sources for capital expenditures equal to the sum of lines 03 through 06, column b.
- Column c: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total public funds received from Federal, State and Local government and Other sources for operating and capital expenditures equal to the sum of lines 03 through 06, column c.

Reporter Providing Public Funds to form (B-70)



Overview

The B-70 form collects information about funding relationships among public entities. The form is for transit agencies who provide funds to other public entities to provide transit services.

Reporting Requirements and Thresholds

Reporters must complete this form if:

The public transit agency provides funding to another public entity who is not an NTD reporter.

There is a written memorandum of understanding, budgeting process or other form of agreement for transit services specified by the public entity providing the funding, and

They provide pass-through Federal funds to another NTD reporter.

A separate B-70 form is used to report the funding relationship for each public entity providing funding.

What Has Changed from Prior Year

There are no changes for the 2011 report year.

Approach

The keys to completing this form are to determine:

- If funds are for the general support of transit service in the area or for specific transit services that would not exist without the funding provided
- If Federal funds are a pass-through to the public agency receiving the funding
- If the funding relationship involves two public NTD reporters, whether there is a contractual relationship for specific transit services.

Transit Service

There must be an agreement for specific transit services. The public entity to whom you provide funds operates the transit service. You specify the terms of the transit service including route layout, days of operation, frequency of service and fares. For example, a suburban town operates a feeder route to a transit agency's rail station. A county requests the transit agency to extend an existing transit line to a rapidly developing suburb. The county determines the service will operate only weekday service from 6:00 am to 7:00 pm at 30-minute headways in the peak periods and 60-minute headways in the off-peak periods. Fares follow the rate structure of the transit agency. The transit agency files a B-70 form.

Federal Pass-Through Funds

If you are the designated recipient of Federal funds for transit and pass-through funds to other public entities, complete this form.

Two Public NTD Reporters

There may be a relationship between two public NTD reporters for transit service. They will file Contractual Relationship forms (B-30) if a true contractual relationship exists. For NTD, this is rare. It occurs when the NTD reporter providing the service legally operates service under the name of the buyer of service. The buyer's name appears on the transit vehicles, and the seller operates as if he were the buyer, e.g., dba status.

If there is not a contractual relationship between the NTD reporters, complete the B-70 form. There will be a corresponding B-60 form for the other NTD reporter involved in the funding relationship.

Detailed Instructions

The form identifies the public entities from whom the NTD reporter receives funds by source and use, operating or capital. Follow accrual accounting principles. The funds received are the funds earned for liabilities incurred for operating or capital expenditures during the report year.

Reporter Providing Public Funds to

Report the name of the agency to whom you are providing funding.

If the public agency has an NTD ID, report the NTD ID and name.

Financial Information

Follow accrual accounting principles. Funds provided are for those expenses incurred during the report year by the provider of service.

Report by the source of Federal, State and local government funds, or other funds for operating or capital uses. If you provide funds from other sources, Internet Reporting will display a box for you to describe the sources and amounts.

If the source of funds is from a grant, report any matching funds that you provide as part of the total funds. For example, if funds are from a State grant for capital and they have a 10% local match requirement, then report 90% of the total as State funds and 10% as Local funds.

Completing the Reporter Providing Public Funds to form (B-70)

Complete one form for each public funding relationship. Use the **Add Form** button at the bottom of the **Forms** screen to create additional forms for each funding relationship.

Form Level Help: Click on the **Help** tab at the top of the screen for form level help.

Form Note: A form note can be attached to any form. Use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. Click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. Do not use the **Form Notes** feature to answer issues generated from this form. From the **Issues** tab use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: Click on the **Save** button at the bottom of the screen to save the form. Click on the **Close** button at the bottom of the screen to close the form without saving.

Deleting the Form: Click on the **Delete** button at the bottom of the form.

Reporter Providing Public Funds to

Line 01: NTD reporter. Enter the NTD ID and name of the public agency to whom you provide funds for specific transit service.

Line 02: Agency. Enter the name of the public agency to whom you provide funds for specific transit service. The public agency is not an NTD reporter.

Financial Information

Line 03: Federal government funds. These are pass-through funds from you the designated recipient to the agency.

- Column a: Operating Funds. Enter the operating funds provided from all Federal Government sources during the period.
- Column b: Capital Funds. Enter the capital funds provided from all Federal Government sources during the period.
- Column c: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total Federal government funds provided for operating and capital expenditures equal to the sum of columns a and b.

Line 04: State government funds.

- Column a: Operating Funds. Enter the operating funds provided from all State Government sources during the period.
- Column b: Capital Funds. Enter the capital funds provided from all State Government sources during the period.
- Column c: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total State government funds provided for operating and capital expenditures equal to the sum of columns a and b.

Line 05: Local government funds.

- Column a: Operating Funds. Enter the operating funds provided from all Local Government sources during the period.
- Column b: Capital Funds. Enter the capital funds provided from all Local Government sources during the period.
- Column c: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total Local government funds provided for operating and capital expenditures equal to the sum of columns a and b.

Line 06: Other funds. Describe the sources and amounts in the **Other Funds – Other Description** field.

- Column a: Operating Funds. Enter the operating funds provided from all Other sources during the period.
- Column b: Capital Funds. Enter the capital funds provided from all Other sources during the period.
- Column c: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total Other funds provided for operating and capital expenditures equal to the sum of columns a and b.

Line 07: Total Public Funds.

- Column a: Operating Funds. This is an **auto-calculated** field and cannot be edited. This field displays the total public funds provided from Federal, State and Local government and Other sources for operating expenditures equal to the sum of lines 03 through 06, column a.

- Column b: Capital Funds. This is an **auto-calculated** field and cannot be edited. This field displays the total public funds provided from Federal, State and Local government and Other sources for capital expenditures equal to the sum of lines 03 through 06, column b.
- Column c: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total public funds provided from Federal, State and Local government and Other sources for operating and capital expenditures equal to the sum of lines 03 through 06, column c.

Contacts form (B-20)

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Form Name: Contacts (B-20) Close Form

01 **Contact Type: CEO**

Honorific * (ex: Mrs, Capt, etc.)
First name * Initial Last name *
Professional title *
Mailing address line 1 *
Mailing address line 2 P.O. Box
City * State * Select Zip code * (ex: 22222) -
Phone * (ex: (555) 123-4567) Ext. (ex:1234)
Fax * (ex: (555) 123-4567)
Email * (ex: ntd.user@ntd.com)

02 **Contact Type: NTD Contact**

Honorific * (ex: Mrs, Capt, etc.)
First name * Initial Last name *
Professional title *
Mailing address line 1 *
Mailing address line 2 P.O. Box
City * State * Select Zip code * (ex: 22222) -
Phone * (ex: (555) 123-4567) Ext. (ex:1234)
Fax * (ex: (555) 123-4567)
Email * (ex: ntd.user@ntd.com)

03 **Contact Type: Safety Contact**

Honorific * (ex: Mrs, Capt, etc.)
First name * Initial Last name *
Professional title *
Mailing address line 1 *
Mailing address line 2 P.O. Box
City * State Select Zip code (ex: 22222) -
Phone * (ex: (555) 123-4567) Ext. (ex:1234)
Fax (ex: (555) 123-4567)
Email * (ex: ntd.user@ntd.com)

04 **Contact Type: Security Contact**

Honorific * (ex: Mrs, Capt, etc.)

First name * Initial Last name *

Professional title *

Mailing address line 1 *

Mailing address line 2 P.O. Box

City * State Select Zip code (ex: 22222) -

Phone * (ex: (555) 123-4567) Ext. (ex:1234)

Fax (ex: (555) 123-4567)

Email * (ex: ntd.user@ntd.com)

Save Close Print

Overview

The B-20 form identifies key personnel at the agency responsible for NTD reporting. The form collects information on how to reach the chief executive officer (CEO) and NTD, safety, and security contacts.

Reporting Requirements and Thresholds

All reporters must complete this form.

What Has Changed from Prior Year

There are no changes for the 2011 report year.

Detailed Instructions

Most information is pre-filled on the form. Review and edit the information, as necessary.

The information includes names and titles, business addresses, telephone numbers, facsimile numbers, and e-mail addresses.

Contact Type: CEO

The CEO is the principal executive in charge of and responsible for your agency. Please refer to the Declarations section of the manual to find the responsibilities, as well as examples of a chief executive officer. The person identified as the CEO in section 1 should be the same person indicated in the Chief Executive Officer form (D-10), part A.

Contact Type: NTD Contact

The NTD contact is the individual responsible for coordinating the NTD Annual report. The contact person submits the NTD Annual report and the Monthly report (for further information on the Monthly report, please see the Monthly Reporting Manual) and answers any questions that the Federal Transit Administration (FTA) may have concerning the report, including validation issues and waiver requests.

Contact Type: Safety Contact

The safety contact is the individual with overall responsibility for the day-to-day safety of the transit agency.

Contact Type: Security Contact

The security contact is the individual with overall responsibility for the day-to-day security of the transit agency.

Line by Line Instructions Contacts form (B-20)

Completing the Contacts form (B-20)

Complete the information for the required contacts: CEO, and the NTD, safety and security persons.

Form Level Help: Click on the Help tab at the top of the screen for form level help.

Form Notes: A form note can be attached to any form. Use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. Click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. Do not use the **Form Notes** feature to answer issues generated from this form. From the **Issues** tab use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: Click on the **Save** button at the bottom of the screen to save the form. Click on the **Close** button at the bottom of the screen to close the form without saving.

Line 01: Contact Type: CEO. **Pre-filled** — review for accuracy, edit as necessary.

- Enter the name of the agency's CEO.
- The CEO's title.
- The CEO's business mailing address.
- The CEO's business telephone number.
- The CEO's FAX number.
- The CEO's e-mail address.

Line 02: Contact Type: NTD Contact. **Pre-filled** — review for accuracy, edit as necessary.

- Enter the name of the person responsible for the NTD Annual report.
- Enter the contact person's title.
- Enter the contact person's mailing address, if different than the agency mailing address.
- Enter the contact person's telephone number.
- Enter the contact person's FAX number.
- Enter the contact person's e-mail address.

Line 03: Contact Type: Safety Contact. **Pre-filled** — review for accuracy, edit as necessary.

- Enter the name of the person responsible for the safety forms.
- Enter the safety contact person's title.
- Enter the safety contact person's mailing address, if different than the Transit Agency mailing address.
- Enter the safety contact person's telephone number.
- Enter the safety contact person's FAX number.
- Enter the safety contact person's e-mail address.

Line 04: Contact Type: Security Contact. **Pre-filled** — review for accuracy, edit as necessary.

- Enter the name of the person responsible for security forms.
- Enter the security contact person's title.
- Enter the security contact person's mailing address, if different than the Transit Agency mailing address.
- Enter the security contact person's telephone number.
- Enter the security contact person's FAX number.
- Enter the security contact person's e-mail address.

Contractual Relationship form (B-30)

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Form Name: Contractual Relationship (B-30) Add Form Note Close Form

Section A . Contract Summary

01 **Contractual Relationship**

Type * 1. You are the public buyer of service from a private company that is not an NTD reporter and the service is being captured in this report as purchased transportation (PT)

NTD reporter Make Selection

or Company 1. East Coast Transportation Services, Inc.

Add Company Edit Company

02 **Monetary Nature of Contractual Relationship** (Check all that apply)

1. ☐ Negotiated rate per unit of service delivered
2. ☐ Cash reimbursement of some of seller's operating deficit
3. ☑ Cash reimbursement of all of seller's operating deficit
4. ☐ Cash reimbursement to seller for reduced fare programs
5. ☑ Buyer provides vehicles to the seller
6. ☐ Maintenance facility leased to seller
7. ☐ Other (Describe)

Section B . Key Financial and Operation Statistics

03 **Contracted Service**

Add Mode

Delete ☐

Mode Make Selection

04 Vehicles/passenger cars operated in annual maximum service under contract

05 Number of months seller operated service during report year

Operating Expenses

06 Purchased transportation fare revenues

07 Net contract expenditures

07a Total contract cost auto calc line 06 plus line 07

08 Other costs incurred by the buyer

09 Total operating expenses

Save Close Delete Print

Overview

The B-30 form collects key information on the parties to the contractual relationship, the nature of the contractual relationship, financial data and key operating statistics for the service covered by the contractual relationship.

Reporting Requirements and Thresholds

Reporters must complete this form if:

1. They purchase transportation service from a public entity or private operator, or
2. They sell transportation services to a public entity.

A separate B-30 form is used to report each contractual relationship (i.e., contract) with each seller (or buyer).

Service provided to a public transit agency or governmental unit by a public or private transportation provider is considered purchased transportation (PT) if it meets two conditions:

1. It uses the provider's employees to operate the revenue vehicles.
2. It is based on a written contract that obligates the provider in advance and for a specific monetary consideration to provide specific public transportation service. PT does not include franchising, licensing operations, management services, cooperative agreements or private conventional bus (MB) service.

Data are reported only for those services that are specified in the PT agreement and for which there is a monetary consideration to the seller. All PT services must be reported, even if they covered only part of your fiscal year.

All NTD reports must be balanced. The service reported on the Service form (S-10) must have fully allocated operating costs reflected on the forms in the Financial Module. Any assets used to support that service must be reflected on the forms in the Asset Module. In a purchased transportation relationship, the buyer pays the seller the fully-allocated costs of operating the service. In these relationships, the seller is usually selected through a competitive RFP, and the seller usually operates the service on behalf of the buyer.

What Has Changed from Prior Year

There are two changes for the 2011 report year:

1. Clarification of reporting fully allocated costs for purchased transportation service
2. Clarification of reporting transportation brokerages.

Approach

The keys to completing this form is to determine if a contractual relationship exists and how a contractual relationship differs from a cooperative agreement, a financing arrangement between public entities.

Contractual Relationship

A contractual relationship exists only if the following criteria are met:

- The seller is obligated in advance of the time the service is furnished to provide the operations for which the operating statistics are being reported, for a specific monetary consideration.
- A written agreement exists that specifies the contractual relationship for the time period and the specific service generating the operating statistics included in the NTD report.
- The written agreement is signed by authorized representatives of both the buyer and the seller and details the services to be provided and the nature and amount of the monetary consideration.

With the B-60 and B-70 forms, almost all contractual relationships on the B-30 form are for public agencies buying service from private providers. Further, the purchased service is in the buyer's NTD report.

Cooperative Agreement

A cooperative agreement is a financing arrangement between public entities. It is an agreement where one or more public transit agencies or governmental units contribute to, or are assessed for, the value of public transit services provided by another public transit agency. This agreement often is formulated through a written Memorandum of Understanding or mutual agreement on the calculation and payment for the services.

For NTD purposes, a cooperative agreement is not considered a contractual relationship in which a specific service is provided, e.g., a set number of trips according to a prescribed schedule. The service funded is not considered PT and, therefore, no B-30 form should be completed for the agreement. Instead, the service is considered and reported as part of the public transit agency's directly operated (DO) service. Complete the B-60 and B-70 forms to indicate the sources and amounts of funding under the cooperative agreement to support transit service.

The following is an example illustrating a cooperative agreement.

Example 4 — Cooperative Agreements

Public Transit Agency A is a §5307 Urbanized Area Formula Program (UAF) recipient and is organized as a regional transit authority (RTA). It directly operates (DO) heavy rail (HR) throughout a three-county area and bus (MB) and demand response (DR) services in one county (X).

The other two counties (Y and Z) also have public transit agencies as part of county government (Public Transit Agency B and Public Transit Agency C) that provides MB/DO and DR/DO services within their respective counties.

At the time the RTA was established, each county agreed that the RTA should be the sole provider of HR service and signed a memorandum of understanding so that each county is assessed annually for a portion of the HR expenses. The assessment is based on service area population, route miles, stations and frequency of service. The RTA and each of the counties directly operate all their transit services.

HR Assessment:	**Operating**	**Capital**	**Total**
County X:	$20,000,000	$30,000,000	$50,000,000
County Y:	12,000,000	4,000,000	16,000,000
County Z:	8,000,000	1,000,000	9,000,000
Total	$40,000,000	$35,000,000	$75,000,000

Each county pays its assessment from general revenue funds of its county government.

What is required under NTD?

Solution:

The funding arrangement for the HR service is considered a cooperative agreement. The MB and DR services are considered directly operated services that should be reported in the respective transit agencies reports.

Public Transit Agency A files a NTD Annual report for all HR service in the three-county area as directly operated, and for MB and DR directly operated services.

B-10 – HR/DO, MB/DO and DR/DO (item 6)

B-30 – Not applicable

B-60 – Three forms

	Operating	**Capital**	**Total**
Line 02	(line 05, col a)	(line 05, col b)	(line 05, col c)
County X	20,000,000	30,000,000	$50,000,000
County Y	12,000,000	4,000,000	16,000,000
County Z:	8,000,000	1,000,000	9,000,000

F-10 – $75,000,000 Funds allocated to transit out of the general revenues of the government entity (local funds, line 32)

Funds earned during period (column c)	$75,000,000
Funds expended on operations (column d)	40,000,000
Funds expended on capital (column e)	35,000,000

Both Public Transit Agency B and Public Transit Agency C file separate NTD Annual reports for MB and DR and also report the funding and the expense for the HR service.

B-10 – MB/DO and DR/DO (item 6)

B-30 – Not applicable

B-70 -One form each for TA's B and C	**Operating**	**Capital**	**Total**
Line 01	(line 05, col a)	(line 05, col b)	(line 05, col c)
Transit Agency A (for TA B)	12,000,000	4,000,000	16,000,000
Transit Agency A (for TA C)	8,000,000	1,000,000	9,000,000

F-10 – Funds allocated to transit out of the general revenues of the government entity (local funds, line 32, column c). Includes the $16,000,000 and $9,000,000 assessments for each.

F-40 – Other reconciling items – funds applied (line 23, column a) includes the $16,000,000 and $9,000,000.

Detailed Instructions

The system should generate Section A – Contract Summary of the B-30 form that were in your prior year's NTD Annual report. Contractor information from the prior year is pre-filled in Section A – Contract Summary on each form. This information can either be edited or the form deleted if necessary. Use the **Add Form** button at the bottom of the **Annual** screen and select B-30 form from the drop-down menu if additional B-30 forms are required.

Complete one form for each buyer and seller of service pair identified in the form's contractual relationship section (top of screen). Use the **Add Form** button at the bottom of the **Annual** screen to create additional forms for each contractual relationship.

Describe the reporting relationship between the buyer and seller. For each contract, provide the monetary considerations of the contract and key operating and financial statistics in Section B – Key Financial and Operating Statistics. One contract may cover more than one mode. To add modes to a contract, use the **Add Mode** button within Section B — Key Financial and Operating Statistics of the B-30 form.

Contractual Relationship

Type

Type identifies the reporting agency as the buyer or seller of the service, the other party to the contractual relationship, and who is reporting the operating data.

For brokerage relationships, you may report only transit service that is provided by agencies participating in the brokerage under the purchased transportation agreement. Do not report any trips brokered to a transit operator that is not part of the purchased transportation agreement.

Select one of the fourteen categories from the **Type** drop-down menu. If you select a category other than type 1, please contact your NTD analyst for assistance in completing your NTD Annual report.

1 You are the public buyer of service from a private company that is not an NTD reporter and the service is being captured in this report as PT.

This is the most common case. The seller is a private company without an NTD ID and service is reported in the public agency's NTD report.

The public buyer is an NTD reporter.

The private seller does not report to NTD.

2 You are the public buyer of service from a public NTD reporter and the service is being captured in this report as DO.

This occurs when two public NTD reporters buy and sell service between them and the buyer reports the service. Contractual agreements between public NTD reporting agencies for transit services can be reported as DO service by either the seller or the buyer of service. In this case, the buyer is reporting the service. When the buyer (who is the reporting agency in this case) makes this menu selection, the seller selects type 7 in the seller's report.

Public buyer and public seller are both NTD reporters.

3 You are the public buyer of service from a private NTD reporter and the service is being captured in this report as PT.

This occurs when two NTD reporters buy and sell service between them and the public buyer reports the service from the private seller as PT. When the buyer (who is the reporting agency in this case) makes this menu selection, the seller selects type 8 in the seller's report.

Public buyer and private seller are both NTD reporters.

4 No longer available

5 You are the public buyer of service and the service is being captured in the public seller's report as DO.

This occurs when two public NTD reporters buy and sell service between them and the seller reports the service as DO. Neither the buyer nor the seller is reporting as a brokerage. When the buyer (who is the reporting agency in this case) makes this menu selection, the seller selects type 6 in the seller's report.

Public buyer and public seller are both NTD reporters.

6 You are the public seller of service with a public buyer that is an NTD reporter and the service is being captured in this report as DO.

This occurs when two public NTD reporters buy and sell service between them and the seller reports the service as DO. Neither the buyer nor the seller is reporting as a brokerage. When the seller (who is the reporting agency in this

case) makes this menu selection, the buyer selects type 5 in the buyer's report.

Public buyer and public seller are both NTD reporters.

7 You are the public seller of service and the service is being captured in the public buyer's report as DO.

This occurs when two public NTD reporters buy and sell service between them and the buyer reports the service as DO. Contractual agreements between public NTD reporting agencies for PT services can either be reported by the seller or the buyer of service as DO service. When the seller (who is the reporting agency in this case) makes this menu selection, the buyer selects type 2 in the buyer's report.

Public buyer and public seller are both NTD reporters.

8 You are the private seller of service and the service is being captured in the public buyer's report as PT.

This occurs when two NTD reporters buy and sell service between them and the public buyer reports the service from the private seller as PT. When the seller (who is the reporting agency) makes this menu selection, the buyer selects type 3 in the buyer's report.

Public buyer and private seller are both NTD reporters.

9 You are the public buyer of service from a public seller who is a brokerage and the service is being captured in the seller’s report as PT.

This usually occurs with demand response (DR) services. The public buyer purchases service from a public brokerage comprised of private and/or public providers. The broker assigns trips to the providers. In this case, the buyer and seller each file only one B-30 form showing the relationship between them and the service is captured in the broker's report as PT. When the buyer (who is the reporting agency) makes this menu selection, the seller selects type 10 in the seller’s report.

Public buyer and public seller are both NTD reporters.

10 You are the public seller of service (brokerage) and the service is being captured in this report as PT.

This usually occurs with DR services. The public seller (broker) sells service to a public agency (buyer) and the service is captured in the seller’s report as PT. When the seller (who is the reporting agency) makes this menu selection, the buyer selects type 9 in the buyer’s report.

Public buyer and public seller are both NTD reporters.

11 You are the public seller of service with a private buyer that is not an NTD reporter and the service is being captured in this report as DO.

The buyer is a private company without an NTD ID and service is reported in the public agency's NTD report.

Public seller is an NTD reporter.

Private buyer does not report to NTD.

12 You are the public buyer of service with a private seller who is an NTD reporter and service is being captured in the seller's report as DO.

This occurs when two NTD reporters buy and sell service between them. Usually, the service would be reported in the public agency's report as PT. However, in rare cases the private company will report the service. In these cases, permission must be obtained from FTA in advance. When the buyer (who is the reporting agency) makes this menu selection, the seller selects type 13 in the seller’s report.

Public buyer and private seller are both NTD reporters.

13 You are the private seller of service with a public buyer who is an NTD reporter and service is being captured in this report as DO.

This occurs when two NTD reporters buy and sell service between them. Usually, the service would be reported in the public agency's report as PT. However, in rare cases the private company will report the service. In these cases, permission must be obtained from FTA in advance. When the seller (who is the reporting agency) makes this menu selection, the buyer selects type 12 in the buyer's report.

Public buyer and private seller are both NTD reporters.

14 You are the private seller of service with a public buyer who is not an NTD reporter and the service is being captured in this report as DO.

The buyer is a public agency without an NTD ID. Usually, the public agency would submit a request for an NTD ID and the service would be captured in the public agency's NTD report as PT. However, in rare cases the private seller will report the service as directly operated. In these cases, permission must be obtained from FTA in advance.

Private seller is an NTD reporter.

Public buyer does not report to NTD.

Exhibit 8 — Contractual Relationship Reporting (M = Mode, D = Directly Operated, P = Purchased Transportation)

	1	2	3	5	6	7	8	9	10	11	12	13	14
You are public	X	X	X	X	X	X		X	X	X	X		
You are private							X					X	X
Contract is with a public transit agency		X		X	X	X	X	X	X			X	X
Contract is with a private transit agency	X		X							X	X		
You are the buyer	X	X	X	X				X			X		
You are the seller					X	X	X		X	X		X	X
Buyer and seller are both NTD reporters		X	X	X	X	X	X	X	X		X	X	
Either the buyer or the seller is not an NTD reporter	X									X			X
Service reported in your report as DO		X			X					X		X	X
Service reported in your report as PT	X		X						X				
Service reported in the other agency's report as DO				X		X					X		
Service reported in the other agency's report as PT							X	X					
Type of Service reported on Identification form (B-10), item 6	P	D	P		D				P	D		D	D
Reporter completes B-10 form, item 8				M		M	M	M			M		
Transit Agency is filing a complete report	X	X	X		X				X	X		X	X
Required forms if filing separate report: Basic Information Module forms, Financial Module forms including F-30, line 12				X		X	X	X			X		
Matching menu selections on Contractual Relationship form (B-30), line 2 for contracts with another NTD reporter		7	8	6	5	2	3	10	9		13	12	

NTD Reporter or Company

Identify the other party to the contractual relationship using the **NTD Reporter** or **Company** drop-down menus. The NTD reporter menu lists the name and NTD ID of transit agencies, both private and public, reporting to the NTD in the current repot year. The **NTD Reporter** drop-down menu includes all NTD reporters and their identification numbers (NTD IDs) from the 2007 NTD who are reporting in the current report year, in ascending order by transit agency identification number.

The **Company** drop-down menu includes all private operators identified in your prior years report, displayed in ascending alphabetical order. These private companies are not filing separate reports to the NTD. If you need to add a company that is not included in the **Company** drop-down menu, click on the **Add / Edit Company** button to enter the name of a new private company.

If you are contracting with a private company that filed a separate report last year, but this year is not filing a report, use the **Add / Edit Company** button to enter the name of the private company. Do not use the **NTD Reporter** drop-down menu because the private company will no longer be included in the menu.

The type selected above (1 - 14) determines which menu is required. Types 1, 11 and 14 will require the **Company** menu; types 2, 3, 5 through 10, 12 and 13 will require the **NTD Reporter** menu.

Monetary Nature of Contractual Relationship

Describe the nature of the monetary consideration in the contract. Monetary consideration is the payment or compensation by the public body to the private or public seller of transportation service (private / public carrier). Monetary consideration does not have to be a cash payment to the PT provider. For example, the buyer of service may give the seller buses to operate the service, or the buyer may provide the fuel or perform the maintenance of the buses.

It is common for public transit agencies buying transportation service to provide the seller the vehicles used for the service. This includes vehicles given, sold, loaned or leased (usually for below market value) to seller. Select the box for buyer provides vehicles to the seller for any arrangement where the buyer provides vehicles to the seller for the purchased transportation service under this B-30 form.

Select all of the categories of monetary consideration that apply from the **Monetary Nature of Contractual Relationship** checklist.

If none of the choices fits or there are additional monetary considerations, select category: Other. Internet Reporting will display a box for you to describe the monetary considerations. Typical examples are incentive and penalty clauses in the contract, or the buyer provides fuel for the vehicles, performs the vehicle maintenance, or collects the passenger mile data.

Monetary Nature of Contractual Relationship checklist selections:

a. Negotiated rate per unit of service delivered. Select this box if both the buyer and seller agree to a specific cash amount for the service. The cash amount is a set price typically based on a set rate per hour or mile of service to be provided. It may also be a reimbursement per passenger trip basis.
b. Cash reimbursement of some of seller's operating deficit. Select this box if the buyer reimburses the seller for only a portion of the net service cost (full service cost less passenger revenues earned).
c. Cash reimbursement of all of seller's operating deficit. Select this box if the buyer reimburses the seller for the net service cost (full service cost less passenger revenues earned).
d. Cash reimbursement to seller for reduced fare programs. Select this box if the buyer agrees to reimburse the seller for reduced fare programs. For example, if elderly persons pay 50 percent of the adult fare, the buyer agrees to reimburse the seller for the other 50 percent it would have collected from a full adult fare.
e. Buyer provides vehicles to the seller.
f. Maintenance facility leased to seller. Select this box if the buyer leases the maintenance facility to the seller.
g. Other. Select this box if none of the above describes the monetary nature of the relationship. If you select other, describe in the monetary consideration – Other description field.

Contracted Service

This section describes key financial and operational characteristics of the contracted service.

Mode

Use the **Add Mode** button in this section of the form to generate the necessary fields for a mode. To add additional modes under the same contract, use the **Add Mode** button in this section of the form.

From the menu, select the desired mode.

Use the **Delete Mode** button to remove a mode and the **Delete Form** button to remove the entire form.

Vehicles / Passenger Cars Operated in Annual Maximum Service under Contract

Report, by mode, the number of revenue vehicles operated in annual maximum service (VOMS).

If vehicles are used for more than one mode, report them under each mode for which they are used, and describe the number of vehicles by mode using the **Add Form Notes** link. For example, if the seller operates ten buses and five DR vehicles operated in annual maximum service, report MB 10, DR 5 and state this using the **Add Form Notes** link.

Similarly, if the same vehicle is used for more than one contract, report this vehicle for each contract that the vehicle is used, and describe using the **Add Form Notes** link.

Number of Months Seller Operated Service During Report Year

By mode, report the number of months that the seller operated service during the report year under the contract. If service was operated less than a full report year, describe the term of the contract (beginning date and contract length) using the **Add Form Notes** link. Use the following rounding rule to determine the number of months:

- Days 1-15 are rounded down. Service beginning during these days is counted as having been operated for the entire month. Service ending during these days is counted as not having been operated during the month.
- Days 16-31 are rounded up. Service beginning during these days is counted as not having been operated for the entire month. Service ending during these days is counted as having been operated during the month.

For example, a PT agreement specifies a 24-month term with a one-year option. Service began operating on May 15. The reporter has a calendar fiscal year. Report 8 months as the length of the contract (May through December) and use the **Add Form Notes** link to state that the contract began May 15, and has a term of 24 months.

Operating Expenses

Purchased Transportation Fare Revenues

Report by mode, the purchased transportation (PT) fare revenues.

PT fare revenues are fare revenues derived from the transit services provided under the PT agreement, regardless of whether fares are retained by the seller or returned to the buyer. They also include fares collected or sold by the buyer for users of the purchased service. For example, if the buyer of the PT service sells tickets, tokens or passes for these users, this revenue is reported as part of PT fare revenues.

Net Contract Expenditures

Report, by mode, the net contract expenditures by the buyer after fare revenues have been deducted. These are the payments and accruals due the seller for providing the transit services under the PT agreement after the fare revenues earned have been considered. Net contract expenditures are calculated one of two ways depending on the contracting relationship:

- Seller retains the fare revenues. The total money earned by the seller ($9M) is the sum of the fare revenues collected (e.g., $1M) and the additional payments made by the buyer to the seller (e.g., $8M). The net contract expenditures equal the additional payments by the seller ($8M).
- Seller returns the fare revenues. The seller collects the fare revenues (e.g., $2M) and immediately transfers the receipts to the buyer. The total money earned by the seller equals the payments made by the buyer (e.g., $7M). The net contract expenditures ($5M) equals the payments made by the buyer ($7M) less the fare revenues collected ($2M).

Total Contract Cost

Displays the total contract cost for each contract (non-editable auto-calculated total of line 6 and line 7).

The following example illustrates how to report fare revenues and net contract expenditures and how the total contract costs are calculated.

Example 5 – Reporting Fare Revenues and Net Contract Expenditures by Buyer

Seller Retains Fare Revenues

Example: Regional Transit contracts with ABC Company for MB service.

Under the contract:

- Regional Transit agrees to pay $1,200,000 for operating the service
- ABC Company retains fare revenues.

ABC collects $300,000 in fare revenues. It earns $1,500,000 ($1,200,000 + $300,000) for operating the bus service.

What is reported?

Solution: Regional Transit reports:

• Purchased transportation fare revenues		$300,000
• Net contract expenditures		$1,200,000
• Total contract cost (auto calc)		$1,500,000

For contracts in which the seller retains fare revenues, the net contract expenditures by the buyer equals the actual payments or accruals made by the buyer.

Seller Returns Fare Revenues

Example: Regional Transit contracts with DEF Company for MB service.

Under the contract:

- Regional Transit agrees to pay $2,500,000 for operating the service
- DEF Company returns fare revenues.

DEF collects $600,000 in fare revenues and transfers the receipts to Regional Transit. DEF earns $2,500,000.

What is reported?

Solution: Regional Transit and ABC Company reports:

• PT fare revenues		$600,000
• Net contract expenditures by buyer	($2,500,000 - $600,000)	$1,900,000
• Total contract cost (auto calc)		$2,500,000

For contracts in which the PT fare revenues are returned to the buyer by the seller, the net contract expenditures by the buyer equals the actual payments or accruals made by the buyer net of or less the PT fare revenues.

Other Costs Incurred by the Buyer

Report by mode other costs incurred by the buyer. These are expenses of the buyer (public transit agency or governmental unit) that are directly attributable to the provision of PT services. Examples include:

- Providing maintenance services or fuel for the vehicles used by the seller
- Gathering and compiling NTD data
- Monitoring of the seller's operations and other similar costs where the buyer uses its resources to support the purchased service.

Total Operating Expenses

This field automatically sums the net contract expenditures; other costs incurred by the buyer, and PT fare revenue.

Example 6 — Purchased Transportation Services Reporting — Transit Agency X (User-side Subsidy Program)

Example: Public Transit Agency X (buyer) is a recipient of §5307 UAF Program funds, and operates a user-side subsidy program (seller) for DR service called Community Ride, separate from its ADA DR service. It uses part of a staff position for contract administration and customer information support totaling $55,000 in labor, $15,000 in fringe benefits and $5,000 for telephone costs.

The subsidy program uses several taxicab companies to supply the service. Collectively, the taxicab companies own 200 vehicles; of these:

- 30 are used for annual maximum service
- 10 additional vehicles are available as spares.

Qualified users purchase discounted coupons from Transit Agency X that are valid for taxicab fares. The user pays up to $10 for the coupon that is valid for a cab fare up to the coupon amount. The rider pays any difference in the total cab fare and the coupon amount. The taxicab companies receive a $2 handling fee per fare.

For the current report year, Transit Agency X sold 12,500 coupons at an average coupon cost of $8 ($100,000) and valued at an average cost of $20 ($250,000). The taxicab companies earned $25,000 for the handling fee ($2 * 12,500 coupons).

What is required under NTD?

Solution:

- Written agreement between Transit Agency X and the taxicab companies
- Taxicab companies must maintain records for Transit Agency X to compile non-financial operating statistics for purchased services and to ensure the accuracy of the data
- Transit Agency X files an NTD Annual report indicating purchased transportation services:

B-10 form	**Identification**		
	Organization Type – Public agency or authority that contracts for some or all transit service (not a state DOT)		
	Number of Vehicles Operated in Annual Maximum Service (VOMS)	DT/PT	30
B-30 form	**Contractual Relationship**	One form	
	Contractual Relationship Type – Type 1: The reporting agency is the buyer of service from a company that is not an NTD reporter and the service is being captured in this report as PT		
	Contractual Relationship Company	Community Ride	
	Monetary Nature of Contractual Relationship – Cost Reimbursement to seller for reduced fare programs		
	Contracted Service -	DT	
	VOMS under contract		30
	Months service operated		12
	Purchased transportation fare revenues	$100,000	
	Net contract expenditures	($250,000 - $100,000 + $25,000)	$175,000
	Total contract cost (autocalc)		$275,000
	Other costs incurred by buyer		$75,000
	Total operating expenses		$350,000
	Description of DR Provider	Taxicab operator	
F-10 form	**Sources of Funds – Funds Expended and Funds Earned**		
	PT fare revenues		$100,000
F-30 form	**Operating Expenses**	DT/PT	
	Object class 508.01	(distributed by function)	$275,000
	Object class 501.02	(General Administration – other labor)	$55,000
	Object class 502	(General Administration – fringe benefits)	$15,000
	Object class 505	(General Administration – utilities / phone)	$5,000
	Total modal expenses	(for all functions and object classes)	$35,000
	ADA operating expenses		$0
A-10 form	**Stations and Maintenance Facilities**	DT/PT	
	Facilities		0
A-30 form	**Revenue Vehicle Inventory**	DT/PT	
	Number of vehicles in total fleet		40
	Non-dedicated		
S-10 form	**Service**	DT/PT	
	VOMS		30
Vehicles available in annual maximum service			30

Example 7 — Purchased Transportation Services Reporting — Public Transit Agency Y (Brokerage System)

Example: Public Transit Agency Y (buyer) is a recipient of UAF Program funds, and contracts for DR service with Access (seller), a public brokerage who files an NTD Annual report. All service is for ADA requirements.

Transit Agency Y pays Access $5,000,000 for the service based on each unlinked passenger trip (UPT). Transit Agency Y supports the DR program with one contract administrator with a salary of $50,000 and fringe benefit costs of $15,000.

Access collects $600,000 in fare revenues. Access operates a brokerage involving three non-profit providers who also use the vehicles for other transportation services not under contract to Transit Agency Y with:

- Provider 1 — Vehicles in annual maximum service (VOMS) — 1150 and 20 spares
- Provider 2 — VOMS — 250 and 5 spares
- Provider 3 — VOMS — 375 and 10 spares

What is required under NTD?

Solution:

- Written agreement between Transit Agency Y and Access specifying the services for $5,000,000
- Transit Agency Y files an NTD Annual report with DR/PT as follows:

B-10 form	**Identification**		
	Organization Type – Public agency or authority that contracts for some or all transit service (not a state DOT)		
	Number of VOMS – Not applicable as Access files own report		
	Filing a Separate NTD Report	Add DR	
B-30 form	**Contractual Relationship**	One form	
	Contractual Relationship Type – Type 9: The reporting agency is the buyer of service from a seller who is a brokerage and the service is being captured in the seller's report as PT		
	Contractual Relationship Company	Access	
	Monetary Nature of Contractual Relationship – Buyer provides vehicles to the seller		
	Contracted Service -	DR	
	VOMS under contract	(150 + 50 + 75)	275
	Months service operated		12
	Purchased transportation fare revenues		$600,000
	Net contract expenditures		$4,400,000
	Total contract cost (auto-calc)		$5,000,000
	Other costs incurred by buyer		$65,000
	Total operating expenses		$5,065,000
F-10 form	**Sources of Funds – Funds Expended and Funds Earned**		
	PT fare revenues		$600,000
F-30 form	**Operating Expenses**	DR/PT	
	Object class 508.02	(distributed by function)	$5,000,000
	Object class 501.02	(General Administration – other labor)	$50,000
	Object class 502	(General Administration – fringe benefits)	$15,000
	Total modal expenses	(for all functions and object classes)	$5,065,000

No other forms in Transit Agency Y's report are completed for the service provided by Access.

- Access files a separate, complete NTD Annual report indicating purchased transportation service. As a brokerage, the service is reported as PT in the Access report.
- Providers 1, 2 and 3 must maintain records to compile financial and non-financial operating statistics for purchased services and to ensure the accuracy of the data

B-10 form	**Identification**		
	Organization Type – Public Agency or authority that contracts some or all transit service (not a State DOT)		
	Number of Vehicles Operated in Annual Maximum Service	DR/PT	275 vehicles
B-30 form	**Contractual Relationship**	One form	
	Contractual Relationship Type – Type 10: The reporting agency is the seller of service (brokerage) and the service is being captured in this report as PT		
	Contractual Relationship Company	Transit Agency Y	
	Monetary Nature of Contractual Relationship – Negotiated rate per unit of service delivered		
	Contracted Service -	DR	
	VOMS under contract	(150 + 50 + 75)	275
	Months service operated		12
	Purchased transportation fare revenues		$600,000

Example 7 — Purchased Transportation Services Reporting — Public Transit Agency Y (Brokerage System)			
	Net contract expenditures	($5,000,000 - $600,000)	$4,400,000
	Total contract cost (autocalc)		$5,000,000
	Other costs incurred by buyer	(not applicable for sellers)	
	Total operating expenses		$5,000,000
	Description of DR Provider	Brokerage system	
F-10 form	**Sources of Funds – Funds Expended and Funds Earned**		
	PT fare revenues		$600,000
	Revenue accrued through a PT agreement		$4,400,000
F-30 form	**Operating Expenses** DR/PT		
	Object class 508.01	(distributed by function)	$5,000,000
	Total modal expenses	(for all functions and object classes)	$5,000,000
	ADA operating expenses		$500,000,000
A-10 form	**Stations and Maintenance Facilities**	DR/PT	
	One form totaling the facilities for each of the three providers		
A-30 form	**Revenue Vehicle Inventory**	DR/PT	
	Number of vehicles in total fleet		40
	Non-dedicated		
S-10 form	**Service**	DR/PT	
	VOMS		275
Vehicles available in annual maximum service (VOMS + spares)			310

Line by Line Instructions Contractual Relationship form (B-30)

Completing the Contractual Relationship form (B-30)

Complete one form for each buyer and seller of service contractual relationship. Use the **Add Form** button at the bottom of the **Forms** screen to create additional forms for each contractual relationship.

Form Level Help: Click on the **Help** tab at the top of the screen for form level help.

Form Note: A form note can be attached to any form. Use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. Click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. Do not use the **Form Notes** feature to answer issues generated from this form. From the **Issues** tab use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: Click on the **Save** button at the bottom of the screen to save the form. Click on the **Close** button at the bottom of the screen to close the form without saving.

Deleting the Form: Click on the **Delete** button at the bottom of the form to delete both sections A and B, or click on the **Delete Box** button in line 3 if you want to delete Section B – Key Financial and Operating Statistics only.

Section A – Contract Summary Type

Line 01: Contractual Relationship.

Type: Select the option that identifies your agency as the buyer or seller of the transportation service and indicates whose report includes the operational data for the purchased transportation (PT) service from the drop-down menu:

You are the public buyer of service from a private company that is not an NTD reporter and the service is being captured in this report as PT.

- This is the most common case. The seller is a private company without an NTD ID and service is reported in the public agency's NTD report.
- The public buyer is an NTD reporter.
- The private seller does not report to NTD.

You are the public buyer of service from a public NTD reporter and the service is being captured in this report as directly operated (DO).

- This occurs when two public NTD reporters buy and sell service between them and the buyer reports the service. Contractual agreements between public NTD reporting agencies for transit services can be reported as DO service by either the seller or the buyer of service. In this case, the buyer is reporting the service. When the buyer (who is the reporting agency in this case) makes this menu selection, the seller selects type 7 in the seller's report.
- Public buyer and public seller are both NTD reporters.

You are the public buyer of service from a private NTD reporter and the service is being captured in this report as PT.

- This occurs when two NTD reporters buy and sell service between them and the public buyer would reports the service from the private seller as PT. When the buyer (who is the reporting agency in this case) makes this menu selection, the seller selects type 8 in the seller's report.
- Public buyer and private seller are both NTD reporters.

You are the public buyer of service and the service is being captured in the public seller's report as DO.

- This occurs when two public NTD reporters buy and sell service between them and the seller reports the services as DO. Neither the buyer nor the seller is reporting as a brokerage. When the buyer (who is the reporting agency in this case) makes this menu selection, the seller selects type 6 in the seller's report.
- Public buyer and public seller are both NTD reporters.

You are the public seller of service with a public buyer that is an NTD Reporter and the service is being captured in this report as DO.

- This occurs for sellers who are not public transit agencies and the seller reports the service as DO. When the seller (who is the reporting agency in this case) makes this menu selection, the buyer selects type 5 in the buyer's report.
- Public buyer and public seller are both NTD reporters.

You are the public seller of service and the service is being captured in the public buyer's report as DO.

- This occurs when two public NTD reporters buy and sell service between them and the buyer reports the service as DO. When the seller (who is the reporting agency in this case) makes this menu selection, the buyer selects type 2 in the buyer's report.
- Public buyer and public seller are both NTD reporters.

You are the private seller of service and the service is being captured in the public buyer's report as PT.

- This occurs when two NTD reporters buy and sell service between them and the public buyer reports the service as PT. When the seller (who is the reporting agency) makes this menu selection, the buyer selects type 3 in the buyer's report.
- Public buyer and private seller are both NTD reporter

You are the public buyer of service from a public seller who is a brokerage and the service is being captured in the seller's report as PT.

- This usually occurs with demand response (DR) services. The public buyer purchases service from a public brokerage comprised of private and/or public providers. The broker assigns trips to the providers. In this case, the buyer and seller each file only one B-30 form showing the relationship between them and the service is captured in the broker's report as PT. When the buyer (who is the reporting agency) makes this menu selection, the seller selects type 10 in the seller's report.
- Public buyer and public seller are both NTD reporters.

You are the public seller of service (brokerage) and the service is being captured in this report as PT.

- This usually occurs with DR services. The public seller (broker) sells service to a public agency (buyer) and the service is captured in the seller's report as PT. When the seller (who is the reporting agency) makes this menu selection, the buyer selects type 9 in the buyer's report.
- Public buyer and private seller are both NTD reporters.

You are the public seller of service with a private buyer that is not an NTD reporter and the service is being captured in this report as DO.

- The buyer is a private company without an NTD ID and service is reported in the public agency's NTD report.
- Public seller is an NTD reporter.
- Private buyer does not report to NTD.

You are the public buyer of service with a private seller who is an NTD reporter and service is being captured in the seller's report as DO.

- This occurs when two NTD reporters buy and sell service between them. Usually, the service would be reported in the public agency's report as PT. However, in rare cases the private company will report the service. In these cases, permission must be obtained from FTA in advance. When the buyer (who is the reporting agency) makes this menu selection, the seller selects type 13 in the seller's report.
- Public buyer and private seller are both NTD reporters.

You are the private seller of service with a public buyer who is an NTD reporter and service is being captured in this report as DO.

- This occurs when two NTD reporters buy and sell service between them. Usually, the service would be reported in the public agency's report as PT. However, in rare cases the private company will report the service. In these cases, permission must be obtained from FTA in advance. When the seller (who is the reporting agency) makes this menu selection, the buyer selects type 12 in the buyer's report.

- Public buyer and private seller are both NTD reporters.

You are the private seller of service with a public buyer who is not an NTD reporter and the service is being captured in this report as DO.

- The buyer is a public agency without an NTD ID. Usually, the public agency would submit a request for an NTD identification number (NTD ID) and the service would be captured in the public agency's NTD report as PT. However, in rare cases the private seller will report the service as directly operated. In these cases, permission must be obtained from FTA in advance.
- Private seller is an NTD reporter.
- Public buyer does not report to NTD
- NTD Reporter. This menu is used to select public transit agencies or private operators that file NTD reports and have a NTD ID. If you selected types 2, 3, 5 through 10, 12 and 13 to describe the type of contractual relationship, select the other party to the contractual relationship from the drop-down menu.
- Company. This menu is used to select private operators that do not file NTD reports. If you selected types 1, 11 and 14 to describe the type of contractual relationship, select the other party to the contractual relationship.

  If the operator is not in the menu, click on the Add / Edit Company button to enter the name of a new private company. If you are a private company who had a contract with an NTD reporter, which filed a report last year, but this year is not filing a report, the agency will no longer be listed in the NTD reporter drop-down menu.

Line 02: Monetary Nature of Contractual Relationship. Check all that apply:

- Negotiated rate per unit of service delivered. Select this box if both the buyer and seller agree to a specific cash amount for the service. The cash amount is a set price typically based on a set rate per hour or mile of service to be provided. It may also be a reimbursement per passenger trip basis.
- Cash reimbursement of some of seller's operating deficit. Select this box if the buyer reimburses the seller for only a portion of the net service cost (full service cost less passenger revenues earned).
- Cash reimbursement of all of the seller's operating deficit. Select this box if the buyer reimburses the seller for the net service cost (full service cost less passenger revenues earned).
- Cash reimbursement to seller for reduced fare programs. Select this box if the buyer agrees to reimburse the seller for reduced fare programs. For example, if elderly persons pay 50 percent of the adult fare, the buyer agrees to reimburse the seller for the other 50 percent it would have collected from a full adult fare.
- Buyer provides vehicles to the seller to provide service under this purchase transportation agreement. This includes vehicles given, sold, loaned or leased (usually for below market value) to seller.
- Maintenance facility leased to seller. Select this box if the buyer leases the maintenance facility to the seller.
- Other. Select this box if none of the above describes the monetary nature of the relationship. If you select other, describe in the Monetary Consideration – Other Description field.

Section B – Key Financial and Operating Statistics

Line 03: Contracted Services.

- Click on the **Add Mode** button; Internet Reporting will generate a column of data items to complete. At the top of the column is a drop-down menu that contains all modes identified on the B-10 form. Select the mode for this contractual relationship. If additional modes are operated under this contract, click again on the **Add Mode** button to generate another column, and select the next mode.

Line 04: Vehicles **/** Passenger Cars Operated in Annual Maximum Service – by Mode and Type of Service.

- Enter the number of revenue vehicles operated under the PT agreement to meet annual maximum service requirements.
- If a vehicle is used for more than one mode or contract, report the vehicle for each mode and for each contract and describe. Click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. Indicate the number of vehicles used and for which modes or contracts.

Line 05: Number of Months Seller Operated Service During Report Year – by Mode and Type of Service.

- Enter the number of months that the seller operated service during the report year. If service was operated less than a full report year, describe the term of the contract (beginning date and number of months service was to be provided). Click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen.

Line 06: Purchased Transportation Fare Revenues – by Mode and Type of Service.

- Enter all purchased transportation fare revenues from the service under the PT agreement, regardless of whether the fares are retained by the seller or returned to the buyer.
- Fares are usually collected by the seller, but also include fares collected or sold by the buyer for users of the purchased transportation service. For example, if the buyer sells tickets, tokens or passes for these users, this revenue is part of purchased transportation fare revenues. Describe any unusual circumstances regarding fare revenues or to confirm that no fares are charged. Click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen.

Line 07: Net Contract Expenditures – by Mode and Type of Service.

- Enter payments or accruals, not including purchased transportation fare revenues from the service, under the PT agreement.

Line 07a: Total Contract Cost (sum of line 06 and line 07). This is an **auto-calculated** field and cannot be edited, review for accuracy.

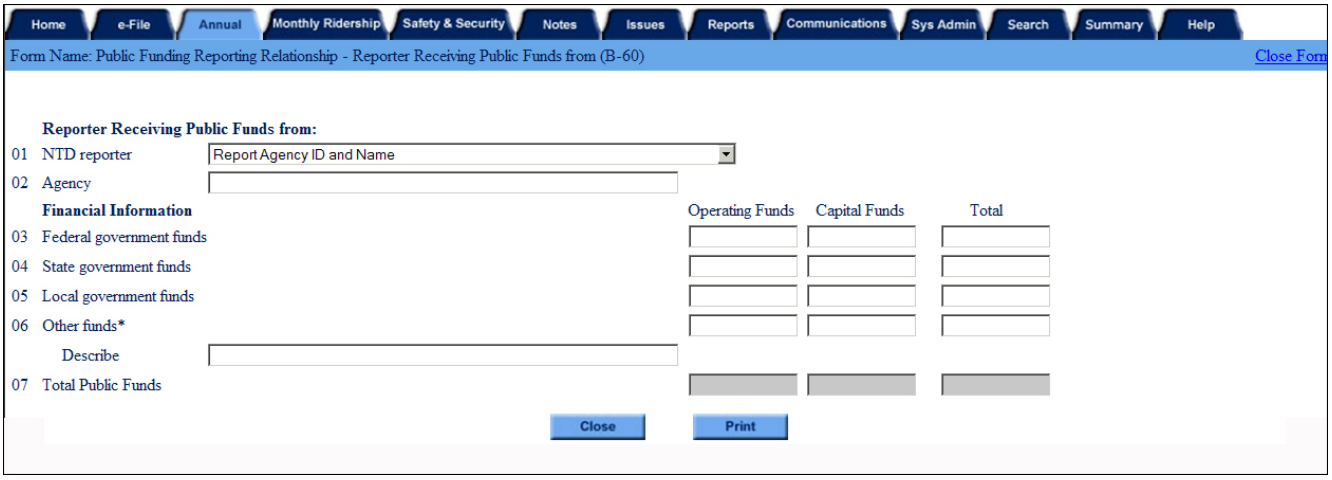
Line 08: Other Costs Incurred by the Buyer – by Mode and Type of Service.

- Enter any other operating expenses (OE) that the transit agency reporter (identified on the B-10) has incurred as buyer (other costs incurred by the buyer) of the PT services. If you are the seller filing this NTD report, report zero.

Line 09: Total Operating Expenses, by Mode – by Mode and Type of Service.

- This is an **auto-calculated** field and cannot be edited, review for accuracy. This is the buyer's total OE for the PT service equal to the sum of net contract expenditures by the buyer (line), purchased transportation fare revenues (line 06), and other costs incurred by the buyer (line 08).

Reporter Receiving Public Funds from form (B-60)



Overview

The B-60 form collects information about funding relationships among public entities. The form is for transit agencies who receive funds from other public entities to provide transit services.

Reporting Requirements and Thresholds

Reporters must complete this form if:

The public transit agency receives funding from another public entity who is not an NTD reporter.

There is a written memorandum of understanding, budgeting process or other form of agreement for transit services specified by the public entity providing the funding, and

They do not receive pass-through Federal funds from another NTD reporter.

A separate B-60 form is used to report the funding relationship for each public entity providing funding.

What Has Changed from Prior Year

There are no changes for the 2011 report year.

Approach

The keys to completing this form are to determine:

- If funds are for the general support of transit service in the area or for specific transit services that would not exist without the funding provided
- If Federal funds are a pass-through from the public agency providing the funding
- If the funding relationship involves two public NTD reporters, whether there is a contractual relationship for specific transit services.

Transit Service

There must be an agreement for specific transit services. The public entity from whom you receive funds specifies the terms of the transit service including route layout, days of operation, frequency of service and fares. For example, a county requests the transit agency to extend an existing transit line to a rapidly developing suburb. The county determines the service will operate only weekday service from 6:00 am to 7:00 pm at 30-minute headways in the peak periods and 60-minute headways in the off-peak periods. Fares follow the rate structure of the transit agency. The transit agency files a B-60 form.

If a public entity, such as a county or city government only supports the local transit system through a monetary contribution, and there is no specific transit service requirement, the transit agency does not complete a B-60 form. The sources of the local support are part of Local Government sources on the Sources of Funds—Funds Expended and Funds Earned form (F-10)

Federal Pass-Through Funds

If you are the designated recipient of Federal funds for transit, do not complete this form.

Two Public NTD Reporters

There may be a relationship between two public NTD reporters for transit service. They will file Contractual Relationship forms (B-30) if a true contractual relationship exists. For NTD, this is rare. It occurs when the NTD reporter providing the service legally operates service under the name of the buyer of service. The buyer's name appears on the transit vehicles, and the seller operates as if he were the buyer, e.g., dba status.

If there is not a contractual relationship between the NTD reporters, complete the B-60 form. There will be a corresponding B-70 form for the other NTD reporter involved in the funding relationship.

Detailed Instructions

The form identifies the public entities from whom the NTD reporter receives funds by source and use, operating or capital. Follow accrual accounting principles. The funds received are the funds earned for liabilities incurred for operating or capital expenditures during the report year.

Reporter Receiving Public Funds from

Report the name of the agency from whom you are receiving funding. For almost all transit agencies, this is a public entity who is not an NTD reporter.

If the public agency has an NTD ID, report the NTD ID and name.

Financial Information

Follow accrual accounting principles. Funds received are for those expenses incurred during the report year by the provider of service.

Report by the source of Federal, State and local government funds, or other funds for operating or capital uses. If you receive other funds, Internet Reporting will display a box for you to describe the sources and amounts.

If the source of funds is from a grant, report any matching funds that you receive as part of the total funds. For example, if funds are from a State grant for capital and they have a 10% local match requirement, then report 90% of the total as State funds and 10% as Local funds.

Completing the Reporter Receiving Public Funds from form (B-60)

Complete one form for each public funding relationship. Use the **Add Form** button at the bottom of the **Forms** screen to create additional forms for each funding relationship.

Form Level Help: Click on the **Help** tab at the top of the screen for form level help.

Form Note: A form note can be attached to any form. Use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. Click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. Do not use the **Form Notes** feature to answer issues generated from this form. From the **Issues** tab use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: Click on the **Save** button at the bottom of the screen to save the form. Click on the **Close** button at the bottom of the screen to close the form without saving.

Deleting the Form: Click on the **Delete** button at the bottom of the form.

Reporter Receiving Public Funds from

Line 01: NTD reporter. Enter the NTD ID and name of the public agency from whom you receive funds for specific transit service.

Line 02: Agency. Enter the name of the public agency from whom you receive funds for specific transit service. The public agency is not an NTD reporter.

Financial Information

Line 03: Federal government funds. These are pass-through funds from the designated recipient.

- Column a: Operating Funds. Enter the operating funds received from all Federal Government sources during the period.
- Column b: Capital Funds. Enter the capital funds received from all Federal Government sources during the period.
- Column c: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total Federal government funds received for operating and capital expenditures equal to the sum of columns a and b.

Line 04: State government funds.

- Column a: Operating Funds. Enter the operating funds received from all State Government sources during the period.
- Column b: Capital Funds. Enter the capital funds received from all State Government sources during the period.
- Column c: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total State government funds received for operating and capital expenditures equal to the sum of columns a and b.

Line 05: Local government funds.

- Column a: Operating Funds. Enter the operating funds received from all Local Government sources during the period.
- Column b: Capital Funds. Enter the capital funds received from all Local Government sources during the period.
- Column c: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total Local government funds received for operating and capital expenditures equal to the sum of columns a and b.

Line 06: Other funds
Describe the sources and amounts in the **Other Funds – Other Description** field.

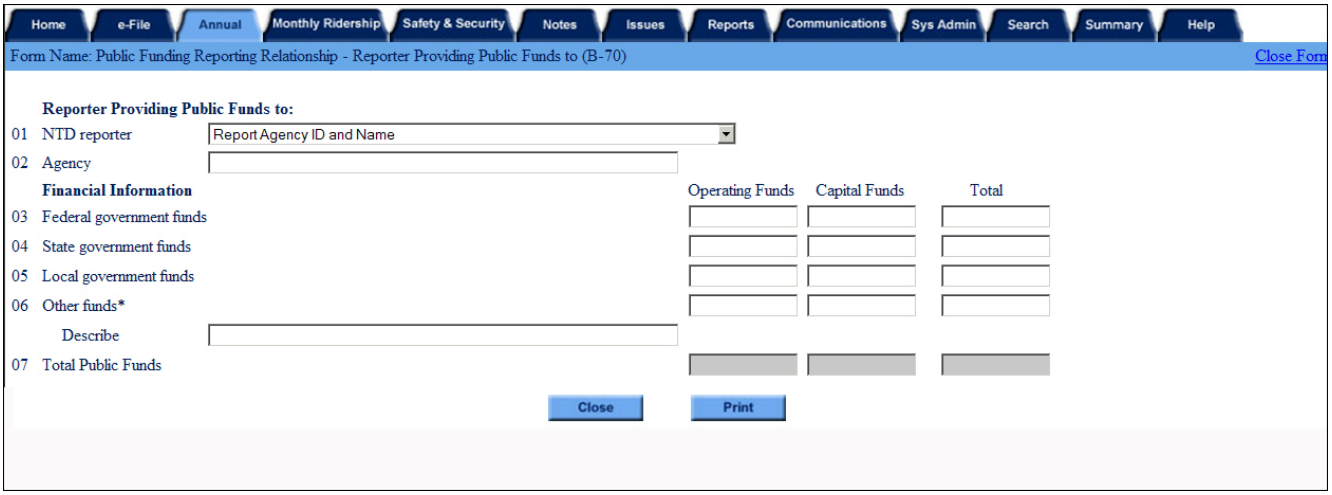
- Column a: Operating Funds. Enter the operating funds received from all Other sources during the period.
- Column b: Capital Funds. Enter the capital funds received from all Other sources during the period.
- Column c: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total Other funds received for operating and capital expenditures equal to the sum of columns a and b.

Line 07: Total Public Funds.

- Column a: Operating Funds. This is an **auto-calculated** field and cannot be edited. This field displays the total public funds received from Federal, State and Local government and Other sources for operating expenditures equal to the sum of lines 03 through 06, column a.

- Column b: Capital Funds. This is an **auto-calculated** field and cannot be edited. This field displays the total public funds received from Federal, State and Local government and Other sources for capital expenditures equal to the sum of lines 03 through 06, column b.
- Column c: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total public funds received from Federal, State and Local government and Other sources for operating and capital expenditures equal to the sum of lines 03 through 06, column c.

Reporter Providing Public Funds to form (B-70)



Overview

The B-70 form collects information about funding relationships among public entities. The form is for transit agencies who provide funds to other public entities to provide transit services.

Reporting Requirements and Thresholds

Reporters must complete this form if:

The public transit agency provides funding to another public entity who is not an NTD reporter.

There is a written memorandum of understanding, budgeting process or other form of agreement for transit services specified by the public entity providing the funding, and

They provide pass-through Federal funds to another NTD reporter.

A separate B-70 form is used to report the funding relationship for each public entity providing funding.

What Has Changed from Prior Year

There are no changes for the 2011 report year.

Approach

The keys to completing this form are to determine:

- If funds are for the general support of transit service in the area or for specific transit services that would not exist without the funding provided
- If Federal funds are a pass-through to the public agency receiving the funding
- If the funding relationship involves two public NTD reporters, whether there is a contractual relationship for specific transit services.

Transit Service

There must be an agreement for specific transit services. The public entity to whom you provide funds operates the transit service. You specify the terms of the transit service including route layout, days of operation, frequency of service and fares. For example, a suburban town operates a feeder route to a transit agency's rail station. A county requests the transit agency to extend an existing transit line to a rapidly developing suburb. The county determines the service will operate only weekday service from 6:00 am to 7:00 pm at 30-minute headways in the peak periods and 60-minute headways in the off-peak periods. Fares follow the rate structure of the transit agency. The transit agency files a B-70 form.

Federal Pass-Through Funds

If you are the designated recipient of Federal funds for transit and pass-through funds to other public entities, complete this form.

Two Public NTD Reporters

There may be a relationship between two public NTD reporters for transit service. They will file Contractual Relationship forms (B-30) if a true contractual relationship exists. For NTD, this is rare. It occurs when the NTD reporter providing the service legally operates service under the name of the buyer of service. The buyer's name appears on the transit vehicles, and the seller operates as if he were the buyer, e.g., dba status.

If there is not a contractual relationship between the NTD reporters, complete the B-70 form. There will be a corresponding B-60 form for the other NTD reporter involved in the funding relationship.

Detailed Instructions

The form identifies the public entities from whom the NTD reporter receives funds by source and use, operating or capital. Follow accrual accounting principles. The funds received are the funds earned for liabilities incurred for operating or capital expenditures during the report year.

Reporter Providing Public Funds to

Report the name of the agency to whom you are providing funding.

If the public agency has an NTD ID, report the NTD ID and name.

Financial Information

Follow accrual accounting principles. Funds provided are for those expenses incurred during the report year by the provider of service.

Report by the source of Federal, State and local government funds, or other funds for operating or capital uses. If you provide funds from other sources, Internet Reporting will display a box for you to describe the sources and amounts.

If the source of funds is from a grant, report any matching funds that you provide as part of the total funds. For example, if funds are from a State grant for capital and they have a 10% local match requirement, then report 90% of the total as State funds and 10% as Local funds.

Completing the Reporter Providing Public Funds to form (B-70)

Complete one form for each public funding relationship. Use the **Add Form** button at the bottom of the **Forms** screen to create additional forms for each funding relationship.

Form Level Help: Click on the **Help** tab at the top of the screen for form level help.

Form Note: A form note can be attached to any form. Use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. Click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. Do not use the **Form Notes** feature to answer issues generated from this form. From the **Issues** tab use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: Click on the **Save** button at the bottom of the screen to save the form. Click on the **Close** button at the bottom of the screen to close the form without saving.

Deleting the Form: Click on the **Delete** button at the bottom of the form.

Reporter Providing Public Funds to

Line 01: NTD reporter. Enter the NTD ID and name of the public agency to whom you provide funds for specific transit service.

Line 02: Agency. Enter the name of the public agency to whom you provide funds for specific transit service. The public agency is not an NTD reporter.

Financial Information

Line 03: Federal government funds. These are pass-through funds from you the designated recipient to the agency.

- Column a: Operating Funds. Enter the operating funds provided from all Federal Government sources during the period.
- Column b: Capital Funds. Enter the capital funds provided from all Federal Government sources during the period.
- Column c: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total Federal government funds provided for operating and capital expenditures equal to the sum of columns a and b.

Line 04: State government funds.

- Column a: Operating Funds. Enter the operating funds provided from all State Government sources during the period.
- Column b: Capital Funds. Enter the capital funds provided from all State Government sources during the period.
- Column c: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total State government funds provided for operating and capital expenditures equal to the sum of columns a and b.

Line 05: Local government funds.

- Column a: Operating Funds. Enter the operating funds provided from all Local Government sources during the period.
- Column b: Capital Funds. Enter the capital funds provided from all Local Government sources during the period.
- Column c: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total Local government funds provided for operating and capital expenditures equal to the sum of columns a and b.

Line 06: Other funds. Describe the sources and amounts in the **Other Funds – Other Description** field.

- Column a: Operating Funds. Enter the operating funds provided from all Other sources during the period.
- Column b: Capital Funds. Enter the capital funds provided from all Other sources during the period.
- Column c: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total Other funds provided for operating and capital expenditures equal to the sum of columns a and b.

Line 07: Total Public Funds.

- Column a: Operating Funds. This is an **auto-calculated** field and cannot be edited. This field displays the total public funds provided from Federal, State and Local government and Other sources for operating expenditures equal to the sum of lines 03 through 06, column a.

- Column b: Capital Funds. This is an **auto-calculated** field and cannot be edited. This field displays the total public funds provided from Federal, State and Local government and Other sources for capital expenditures equal to the sum of lines 03 through 06, column b.
- Column c: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total public funds provided from Federal, State and Local government and Other sources for operating and capital expenditures equal to the sum of lines 03 through 06, column c.

Financial Module

The Financial Module contains five forms:

1. Sources of Funds — Funds Expended and Funds Earned form (F-10)
2. Uses of Capital form (F-20)
3. Operating Expenses form (F-30)
4. Operating Expenses Summary form (F-40)
5. Statement of Finances form (F-60)

All data are reported using accrual accounting principles.

Sources of Funds — Funds Expended and Funds Earned form (F-10)

The objectives of the F-10 form are to:

- Identify the origin and amount of capital and operating funds that transit agencies receive from Federal, State and local governments and from their own (directly generated) sources; and
- Determine the amounts of these funds that transit agencies use to pay for capital projects and operating expenses (OE).

The data are reported system wide, except for passenger fares, which are reported by mode and type of service (TOS).

This form is required for all transit agencies.

Uses of Capital form (F-20)

The F-20 form identifies the funds expended for capital projects by type of project, and by project need as either an improvement for existing transit services or for expansion of transit services. The required data for uses of capital funds are reported on one form by mode and TOS.

This form is required for all transit agencies.

Operating Expenses form (F-30)

The F-30 form identifies total OE by object class and function. The required data use standard expense object classes (line items) detailed by function (activity performed), as specified in the Uniform System of Accounts (USOA).

Transit agencies complete, by mode, separate forms for directly operated (DO) and purchased transportation (PT) services.

This form is required for all transit agencies.

Operating Expenses Summary form (F-40)

The F-40 form is a system wide summary of the operating expenses reported, by mode and TOS, on the F-30 form. Operating expenses are summarized by function and expense object class. The summarized data also includes reconciling items to handle items where accounting practices vary due to local ordinances and conditions such as depreciation, interest payments and leases.

This form is required for all transit agencies.

Statement of Finances form (F-60)

The purpose of the F-60 form to consolidate and simplify bond and loan reporting. Bonds and loans will now be reported include consolidated reporting of financial assets, along with financial liabilities, according to categories already established in the Uniform System of Accounts (USOA), since the reporting of liabilities without the concurrent reporting of asset does not present a full picture of the financial capacity of the transit system. This form is not required for transit agencies operating as a unit of city or local government, and which do not have their own financial assets and liabilities.

Sources of Funds — Funds Expended and Funds Earned form (F-10)

Home | e-File | Annual | Monthly Ridership | Safety & Security | Notes | Issues | Reports | Communications | Sys Admin | Help

Form Name: Sources of Funds--Funds Expended & Funds Earned (F-10) Add Form Note Close Form

	a	b	c Funds Earned During Period	d Funds Expended on Operations	e Funds Expended on Capital
Sources of Directly Generated Funds by Transit Agency - All Transit Agencies					
02 Total All Directly Operated Modes					
04 Total All Purchased Transportation Modes				--	
05 Park and Ride Parking Revenue					
06 Other Transportation Revenues					
Describe Other:*					
Auxiliary Transportation Funds					
07 Concessions					
08 Advertising revenues					
09 Other					
Describe Other:*					
10 Total Auxiliary Transportation Funds					
11 Non-Transportation Funds					
Describe Other:*					
12 Total Park and Ride, Other Transportation, Auxilliary and Non-Transportation Revenues			566,198	4,343	434
Revenues Accrued Through a Purchased Transportation Agreement			Funds Earned During Period	Funds Expended on Operations	Funds Expended on Capital
13a with an NTD reporting agency					
13b with a non-NTD reporting agency					
Contributed Services					
15 State and local government					
16 Contra account for expenses					
17 Net contributed services					
18 Subsidy from Other Sectors of Operations					
Describe Other:*					
25 Bridge, tunnel and highway tolls					
26 High Occupancy tolls					
27 Other dedicated funds					
Describe Other:*					
28 Total Funds Dedicated to Transit at their Source					
29 Other Directly Generated Funds					
Describe Other:*					
30 Total Directly Generated Funds					

Local Government Sources of Funds

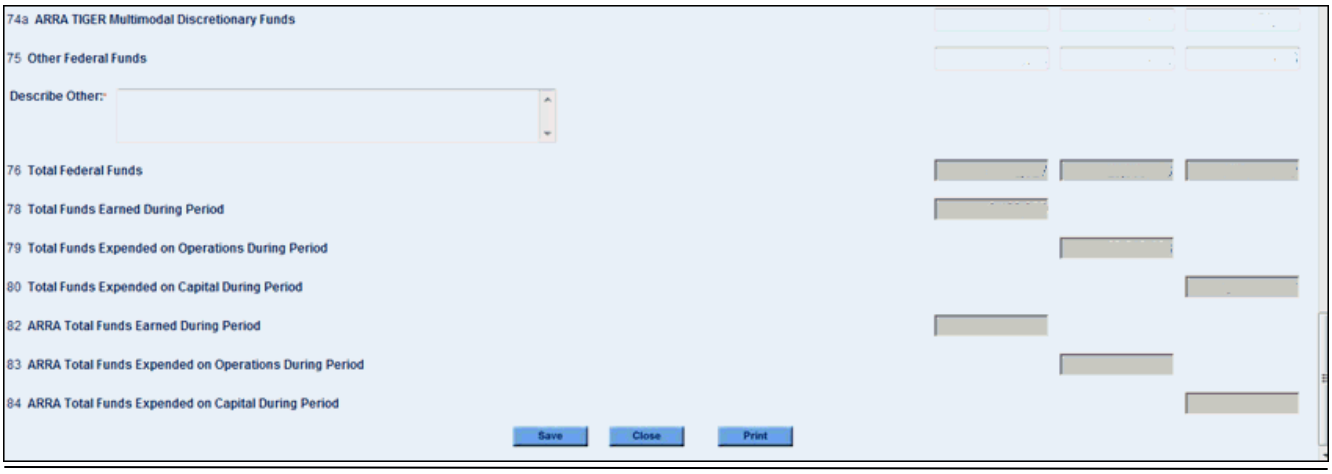
		Funds Earned During Period	Funds Expended on Operations	Funds Expended on Capital
32	Funds Allocated to Transit out of the General Revenues of the Government Entity			
	Funds Dedicated to Transit at Their Source			
	Dedicated Taxes			
33	Income taxes			
34	Sales taxes			
35	Property taxes			
36	Gasoline taxes			
37	Other taxes			
	Describe Other:*			
38	Bridge, tunnel and highway tolls			
39	High Occupancy tolls			
40	Other dedicated funds			
	Describe Other:*			
41	Total Funds Dedicated to Transit at Their Source			
42	Other Funds*	43,424	3,432	43,434
	Describe Other:*			
		Funds Earned During Period	Funds Expended on Operations	Funds Expended on Capital
43	Total Local Funds			

State Government Sources of Funds

45	Funds Allocated to Transit out of the General Revenues of the Government Entity			
	Funds Dedicated to Transit at their Source			
	Dedicated Taxes			
46	Income taxes			
47	Sales taxes			
48	Property taxes			
49	Gasoline taxes			
50	Other taxes			
	Describe Other:*			
51	Bridge, tunnel and highway tolls			
52	High occupancy tolls			

53 Other dedicated funds	324,324		
Describe Other:			
	Funds Earned During Period	Funds Expended on Operations	Funds Expended on Capital
54 Total Funds Dedicated to Transit at their Source			2
55 Other Funds			
Describe Other:			
56 Total State Funds			
Federal Government Sources of Funds			
Funds Received from FTA			
58 FTA Capital Program Funds (§5309)			
58 a ARRA Fixed Guideway Modernization Funds (§5309)			
58 b ARRA major Capital investment (New Starts) Funds (§5309)			
59 FTA Urbanized Area Formula (UAFP) program (§5307)			
60 §5307 - capital assistance spent on operations (including maintenance expenses)			
60 a ARRA Urbanized Area Program Funds (§5307)			
60 b ARRA Urbanized Area Program Funds (§5307) - Capital assistance spent on operations (including maintenance expenses)			
61 FTA Metropolitan Planning (§5303)			
62 FTA Clean Fuels Program (§5308)			
63 FTA Special Needs of Elderly Individuals and Individuals with Disabilities Formula Program (§5310)			

4 §5310 - capital assistance spent on operations (including maintenance expenses)			
5 FTA Other Than Urbanized Area (§5311)			
	Funds Earned During Period	Funds Expended on Operations	Funds Expended on Capital
6 §5311 - capital assistance spent on operations (including maintenance expenses)			
6 a FTA ARRA Other than Urbanized Area Program funds (§5311)			
6 b FTA ARRA other than Urbanized Area Program funds (§5311) - apital assistance spend on operations (including maintenance expenses)			
7 FTA Job Access and Reverse Commute Formula Program (§5316)			
8 FTA New Freedom Program (§5317)			
9 §5317 - capital assistance spent on operations (including maintenance expenses)			
0 FTA Transit in the Park (§5320)			
0 a ARRA TIGGER (Greenhouse Gas and Energy Reduction) Funds			
1 Other FTA Funds			
Describe Other:			
2 Other FTA funds - capital assistance spent on operations (including maintenance expenses)			
Describe Other:			
3 Total FTA Funds			
4 Funds Received from other USDOT Grant Programs			
Describe Other:			


74a ARRA TIGER Multimodal Discretionary Funds
75 Other Federal Funds
Describe Other:
76 Total Federal Funds
78 Total Funds Earned During Period
79 Total Funds Expended on Operations During Period
80 Total Funds Expended on Capital During Period
82 ARRA Total Funds Earned During Period
83 ARRA Total Funds Expended on Operations During Period
84 ARRA Total Funds Expended on Capital During Period
Save
Close
Print

2011 Annual Reporting Manual

Overview

The F-10 form collects data on your transit agency's sources of funds for transit operations and capital by funding category. The funding categories cover sources generated by your transit agency and from Federal, State and local governments. For each category of funds, the form collects the following data by original revenue source:

- The total amount earned.
- The amount expended (applied) for operating expenses (OE) for agencies reporting transit service.
- The amount expended (applied) for capital expenses.

Reporting Requirements and Thresholds

All transit agencies and agencies reporting capital investment for future service must complete the F-10 form. The form covers all modes for directly operated (DO) and purchased transportation (PT) services.

What Has Changed from Prior Year

There is one change for the 2011 report year:

1. The lines for bonds and loans have been removed. Bonds and loans are now treated as a financing mechanism, in accordance with the USOA. In years in which funds are borrowed, funds applied will exceed funds earned. In years in which bonds and loans are repaid, funds earned will exceed funds applied.

Approach

This form details, by source, the total funds for transit earned during the year (revenues) and the total funds actually expended (applied) for capital expenses and OE during the year. It follows accrual accounting principles regarding the recognition of funds earned and expended (applied) during the reporting period.

Capital expenses relate to the purchase of equipment. The equipment has a useful life of more than one year and an acquisition cost threshold consistent with Federal and local government requirements.

Operating expenses relate to the day-to-day operation of your transit agency. OEs are classified by activity and the goods and services purchased.

In addition to the accrual accounting principles, there are four additional areas, which have unique NTD Annual reporting requirements:

1. Transit related projects
2. PT services
3. In-kind services
4. Pass-through funds.

You should contact your finance and grants management personnel to obtain the information required to complete this form.

Accrual Accounting

You should report funds earned and expended based on accrual accounting principles. In accrual accounting:

- **Funds earned** are reported for the period in which they are earned with no consideration of when your agency received payment.
- **Funds expended** are reported for the period in which expenses (liabilities) are incurred with no consideration of when your agency paid these expenses.
- For each funding source, you need to understand the logical relationship between funds earned and funds expended. There are two types of relationships:
- Funds earned based on expenses incurred, and
- Funds earned based on non-cost factors.

The reporting for the all forms in the Financial Module is based on accrual accounting. You need to understand the relationships of the F-10 form to the other financial forms.

Funds Earned Based on Expenses Incurred

Most Federal, State and local grants are earned on a reimbursement basis. Generally, transit agencies will earn grant funds only when expenditure occurs. Therefore, on an accrual basis, funds earned must equal funds expended for the reporting period.

There also can be a difference between: 1) the amount of funding that is provided in an approved grant application for your agency (e.g., $6M) and 2) the amount of funding your agency expended (and earned) during a reporting period (e.g., $3M for new buses delivered). You should report only the grant funds earned from an incurred expenditure during the period ($3M) and not the total amount of funding in your agency's approved grant application (e.g., $6M).

When you report funds earned based on expenses incurred, the amount you report for funds earned (e.g., $10M) should equal the amounts that you report for funds expended on operations (e.g., $1M) and funds expended on capital (e.g., $9M). This rule applies to the vast majority of the reporting you will do for funds earned based on expenses incurred.

Funds Earned Based on Non-Cost Factors

Some funds are earned based on non-cost factors. Examples of these funds include passenger revenues, dedicated taxes, and bridge, tunnel and highway tolls.

Often, there will be a difference in the reporting year between the funds earned and the funds expended. For example, dedicated sales tax revenues earned in one year (e.g., $15M) may be greater than sales tax revenues expended (e.g., $10M for OE and $1M on capital). The net balance of unexpended ($4M) sales tax revenues may be carried over to fund the capital or OE for the following year.

When you report funds earned based on expenses incurred, the amount you report for funds earned (e.g., $15M) often will not equal the amounts that you report for funds expended on OE (e.g., $10M) and funds expended on capital (e.g., $1M). This rule applies to the vast majority of the reporting you will do for funds earned based on non-cost factors.

Relationship of Funds Expended (Applied) to Key NTD Financial Forms

This form has key relationships with the following two key NTD financial forms that also are based on accrual accounting principles:

1. **Uses of Capital form (F-20)** — the total sources of funds expended on capital must equal the total uses of capital reported in the F-20 form.
2. **Operating Expenses Summary form (F-40)** —the total sources of funds expended on operations must equal the total operating expenses reported in the F-40 form.

Transit Related Projects

Since this form covers transit uses, you should report only those funds that were earned by transit agency and were or will be expended on transit related projects. For example, you should not report revenues from dedicated sales taxes that are used to fund highway improvements for mobility projects not related to transit.

Public Funding Reporting Relationships

Often another public entity will help support transit operations by providing funding to the public NTD reporter. These relationships may be a memorandum of understanding (MOU), part of the budgeting process of a State or Local governmental entity, or there may be an actual contract.

If you receive funds from another public entity, use the Funds Received from Other Public Entities (B-60) form to:

- Identify the funding entity
- Detail the sources of the funding by Federal, State, Local or Other funds.
- For Federal sources on the B-60 form, report only those funds passed through from another public entity, i.e., from the actual grant recipient.

On the F-10, report the funding identified on the B-60 under the source of the Federal, State, Local or Other funds provided to you as the NTD reporter.

If you provide funds to another public entity, use the Funds Provided to Other Public Entities (B-70) form to:

- Identify the entity receiving the funding
- Detail the sources of the funding by Federal, State, Local or Other funds.
- For Federal sources on the B-70 form, report only those funds passed through to another public entity, i.e., from you as the designated grant recipient.

Do not report the funds identified on the B-70 form on the F-10 form. If you need to balance your financial statements with your NTD report, report the total of the funding on the Operating Expenses Summary (F-40) form under Other reconciling items.

Purchased Transportation (PT)

In most cases, the reporting requirements for PT are simple because: 1) the buyer is the public agencythat includes the PT in its NTD Annual report and: 2) the seller is a private or private non-profit agency that is not filing a separate NTD Annual report. In this common situation:

- You report the funds that your transit agency earns and expends on operations and capital. For capital expenditures, this applies regardless of whether your agency retains ownership of the capital.
- You do not report funds that the seller may have expended on operations or capital from the seller's own resources.
- There are a limited number of cases in which both the buyer and the seller file separate NTD Annual reports. The following principles apply to these limited cases:
- The buyer reports all funds expended on operations (column d). These are from the buyer's sources of funds only; the seller's sources are not included.

  There is no double counting of funds when a seller files a separate NTD Annual report.

  Public Agency Sellers — for public agency sellers, the funds received from the buyer are tracked and accounted for in the sources of funds expended on PT in the revenues accrued through a PT agreement (directly generated funds, line 13a). If additional expenditures are made by the public agency selling the PT service, they are reported in the appropriate functions and object classes in the seller's NTD Annual report.

  Private and Private Non-Profit Sellers — for private and private non-profit sellers, the funds received from the buyer are tracked and accounted for in the sources of funds expended on PT in the revenues accrued through a PT agreement (directly generated funds, line 13a). If additional expenditures are made by the private or private non-profit agency selling the PT service, they are reported in the appropriate functions and object classes in the seller's NTD Annual report. Any costs incurred by the buyer of service are reported in both the buyer's and seller's report on the Contractual Relationship form (B-30).
- Whether the buyer or the seller reports funds for capital expenditures depends on whether the seller is a private or private non-profit or public provider.

  Public Agency Sellers — for public agency sellers, the seller reports the funds for capital expenditures if the seller is a public transit agency.

  Private and Private Non-Profit Sellers — for private and private non-profit sellers, the buyer reports all funds for capital expenditures regardless of whether the buyer retains ownership of the capital. These are from the buyer's sources of funds only; the seller's own sources of funds for purchase of equipment or capital projects are not reported to NTD.

  For private or private non-profit or public agency providers, in the seller's separate NTD Annual report, the funds earned during the period (column c) equal the funds expended on operations (column d) under the PT agreement.

Example 8 — Reporting Funding Sources

Example: Coaster Transit Agency (Coaster) has a fleet replacement schedule as part of its capital improvement program. The fleet replacement includes vehicles for Coaster's PT contractor, DJ Transit Company.

Coaster agrees to buy 10 demand response (DR) vehicles for DJ Transit Company for FY 2009 at a cost of $600,000, or $60,000 each. The vehicles are leased to DJ Transit (seller) as part of the PT agreement for DR service.

Coaster received and accepted only 5 of the vehicles before fiscal year end (FYE). Coaster uses FTA Urbanized Area Formula Program (UAF) funds and State dedicated gasoline tax funds: 80% Federal funds matched with 20% non-Federal funds.

What should be reported on the Sources of Funds — Funds Expended and Funds Earned form (F-10)?

Solution: Report the funding sources Coaster used to purchase the vehicles on the F-10 form under funds expended on capital:

State Sources			
State government funds — transit dedicated gasoline tax	(5 * $60,000 * 20 %)	$ 60,000	line 49, column e
Federal Government Sources			
UAF funds	(5 * $60,000 * 80 %)	$240,000	line 59, column e

Report the purchase of the vehicles on the F-20 form under Revenue Vehicles for DR/PT.

In-Kind Services

In-kind services are a type of contributed service where your transit agency derives a benefit from another entity but is under no obligation to pay for that benefit.

For example, a city government may donate staff to help a transit agency plan and promote a new downtown transit shuttle service. Your transit agency is under no obligation to pay for the staff resources.

Typically, in-kind services are used for the local share (some or all) in Federal grants. For these in-kind matches, you should report their monetary value in the appropriate category of State and local sources in this form. You should report in-kind services as contributed services only if there is no obligation to pay for the services.

Pass-Through Funds

Pass-through funds are funds that the designated recipient receives from FTA and gives to another transit agency. The funds do not support directly operated (DO) or purchased transportation (PT) services provided by the designated recipient.

If your transit agency serves as a designated recipient, you should report only the funds that relate to your transit services, DO or PT. You should not report funds that belong to other transit agencies that your transit agency gave them as pass-through funds.

Detailed Instructions

The instructions are divided into the four categories of funds.

The funding categories are:

1. Sources of directly generated funds
    - All transit agencies
    - Independent political entities
2. Local government sources
3. State government sources
4. Federal government sources.

Directly Generated Funds by the Transit Agency: All Transit Agencies

Directly generated funds are funds obtained from non-governmental sources. These funds are derived from revenues generated by or donated directly to your transit agency, and by transit agencies that are independent political entities that have the ability to impose taxes.

You should report sources of funds earned, sources of funds expended on (applied to) operations and sources of funds expended on (applied to) capital during the period, using the revenue categories described below.

Passenger Fares

Passenger fares are the revenues earned from carrying passengers. They are usually the amounts paid by the rider to use transit services but may also include special transit fares. Special transit fares are fares from contracts to your transit agency in which an agency or organization pays a set amount in return for unlimited transit service for the persons covered by the contract.

Passenger fares may include special programs such as reduced passes or ticket prices for students, the elderly or individuals with disabilities. However, passenger fares should reflect the amount of the fare that the passengers pay on their own behalf.

Passenger fares may be collected in several ways, including:

- 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., farebox, turnstile)
- After the service is provided, (e.g., through weekly or monthly billing).

Passenger fares do not include subsidies or passenger fare assistance from other entities, such as governments to provide a reduced fare or free fare. Subsidies are provided to support the general provision of transit service. Passenger fare assistance is targeted to help specific classes of users (e.g., senior citizens, students) and helps to offset the reduced or free fares offered these users. Subsidies and fare assistance are reported in the appropriate State and local government source of funds.

For ferryboat (FB) and vanpool (VP) modes, the following rules apply:

Ferryboat

For FB services, passenger fares are determined from three categories:

1. Walk-on pedestrians and bicyclists
2. Non-public transit vehicles (e.g., private automobiles and commercial trucks)
3. Public transportation vehicles (e.g., buses and VP using a FB for part of their trip).

For walk-on pedestrians and bicyclists, you should report passenger fares for each person using the fee charged for personal travel not including any additional ferriage fees for transporting the bicycle. For non-public transit vehicles and public transit vehicles, you should report passenger fares for each occupant of the vehicle including the driver, and not include any vehicle ferriage fees.

For example, if the ferriage fee is $20 for the vehicle and its driver, you should report the passenger fare for the driver passenger fare / fee charged for pedestrians (e.g., $2). You should deduct the passenger fare ($2) from the ferriage revenues ($20) collect and report the difference ($18) under Other transportation revenues (line 06).

Vanpool

For publicly sponsored VP services, passenger fares have unique provisions. For these services passenger fares include all the fees paid by the riders, which often include fuel costs, tolls and other out-of-pocket costs.

Allocation of Fare Revenues

You may have to allocate fares to modes and types of service. This is frequently the case when:

- There is a fixed fare for the initial segment of a multi-mode trip and the transfer charge is minimal
- A large portion of passengers use prepaid fare media that is accepted on all modes
- Many or most passengers use multiple modes
- The route structure encourages (or forces) transfers.

In these cases, you should allocate fare revenues to each mode and type of service based on a reasonable allocation methodology, which can be locally determined. You may use one of the following methodologies to allocate fare revenues by mode or you may develop another methodology:

- Allocation by unlinked passenger trips (UPT): Fare revenues are allocated to modes based on the proportion of annual unlinked trips by mode to the total annual unlinked trips across modes.

  For example, if 75 percent of unlinked trips are on MB/DO and 25 percent are on MB/PT), then fare revenues would be allocated to MB/DO and MB/PT using the same 75/25 percent split.
- Allocation by passenger miles traveled (PMT): Fare revenues are allocated to modes based on the proportion of annual PMT by mode to the total PMT across modes.

  For example, if 60 percent of PMT are on MB/DO and 40 percent are on MB/PT, then fare revenues would be allocated to MB/DO and MB/PT using the same 60/40 split.
- Allocation by operating expenses (OE): Fare revenues are allocated to modes based on the proportion of annual OE by mode to the total OE.

  For example, if 65 percent of OE is for MB/DO and 35 percent are for LR/DO, then fare revenues would be allocated to MB and LR using the same 65/35 split.

Passenger Fares for Directly Operated (DO) Service

You should report passenger fares, by mode, for DO service. Internet Reporting generates the appropriate DO modes.

Internet Reporting automatically calculates the total passenger fares for DO service earned during the period for all modes. You should report the total passenger fares for DO transit service that were expended on operations and expended on capital during the year. Many transit agencies apply the total DO fare revenues to funds expended on operations. Other transit agencies split the total fare revenues between operations and capital.

Passenger Fares for Purchased Transportation (PT) Service

Only the buyer of PT service reports purchased transportation (PT) fare revenues. Sellers of PT filing their own report will report passenger fares as DO.

PT fare revenues are the fares derived from the transit services provided under the PT agreement. The PT fares often involve the buyer and the seller since they may be:

- Sold by the buyer or seller
- Collected by the buyer or seller
- Retained by the seller or returned to the buyer.

Internet Reporting automatically calculates the total PT fare revenues earned during the period by mode from data entered in the Contractual Relationship form (B-30) and enters these totals on the F-10. It also calculates the total for all modes.

You should report the total amount of PT fares expended on operations and expended on capital. Many transit agencies apply the total PT fare revenues to funds expended on operations. Other transit agencies split the total fare revenues between operations and capital.

Park-and-Ride Parking Revenue

Park-and-ride parking revenue is the parking fees paid by passengers who drive to park-and-ride facilities to use transit service. It includes parking revenues for both DO and PT services.

You should report park-and-ride parking revenue only in column c.

Other Transportation Revenues

This category is for miscellaneous sources of non-public transportation revenue and is infrequently used by transit agencies. Other transportation revenues include school bus service revenues, charter service revenues and freight tariffs.

You should report other transportation revenues only in column c.

Auxiliary Transportation Revenues

Auxiliary transportation revenues are earned from activities closely related to the provision of transit service. The revenues are generated from the by-products of the transit service such as advertisements on-board vehicles, concessions stands in station areas; fees paid for transit ID cards, or fines paid for fare evasion.

You should report auxiliary transportation revenues using the following categories:

- Concessions (station concessions and vehicle concessions)
- Advertising revenues
- Other auxiliary transportation revenues, including ID card fees (seniors, persons with disabilities, employees), fare evasion and park-and-ride lot fines, and automotive vehicle ferriage.

You should report auxiliary transportation revenues only in column c for the three categories. Internet Reporting automatically totals the categories.

Non-Transportation Funds

You should report other funds earned through activities not associated with the provision of transit service as non-transportation funds.

Non-transportation funds include:

- Investment earnings
- Other non-transportation sources, including:
  - Revenues earned from sales of maintenance services on property not owned or used by your transit agency
  - Rentals of revenue vehicles to other operators
  - Rentals of transit agency buildings and property to other organizations
  - Parking fees generated from parking lots not normally used as park-and-ride locations
  - Donations
  - Grants from private foundations
  - Development fees
  - Rental car fees.

You should report non-transportation funds only in column c.

Total Park-and-Ride, Other Transportation, Auxiliary and Non-Transportation Revenues

Internet Reporting automatically totals the park-and-ride parking, other transportation, auxiliary transportation and non-transportation revenues.

Of this total, you should report the total amount expended on operations and expended on capital.

Revenues Accrued through a Purchased Transportation Agreement

Revenues accrued through a purchased transportation (PT) agreement only apply to sellers of PT services filing an NTD report. The seller reports the contract revenues earned (payments and accruals) as a result of the PT agreement. Revenues accrued through a PT agreement are differentiated by whether the seller is an NTD reporting agency and both the buyer and seller are filing NTD reports (seller uses line 13a) or whether buyer is a non-NTD reporting agency (seller uses line 13b).

If your transit agency is the seller and is a private or private non-profit provider, you should report funds only for funds earned during the period (column c) and for funds expended on operations (column d) since the buyer of service reports any capital purchases and funding. If your transit agency is a public agency, you should also report funds for funds expended on capital (column e).

Contributed Services

In-kind services are a type of contributed services from another entity where there is no obligation to pay for the services.

You should report in-kind services as contributed services only if there is no obligation to pay for the services. If in-kind services are used for the local share in Federal grants, then you should report their monetary value in the appropriate category of State and local sources; you should rot report these match funds as contributed services.

Subsidy from Other Sectors of Operations

Occasionally, transit agencies receive subsidies from other sectors of operations to help cover the cost of transit. Typically, the transit operation is only one part of a larger transportation entity, for example a transportation authority that is responsible for airports, ports, or bridges as well as for public transit.

Funds Dedicated to Transit at their Source

Transit agencies may be independent political entities, such as a transit or transportation authority, or transit agencies may be a part of local or State government. Reporting funds dedicated to transit at their source is based on whose taxation authority has generated the revenues, as described below.

Independent Political Entities

Transit agencies that are organized as independent political subdivisions with their own taxation authority also may earn funds from taxes, tolls and fees that they put into place specifically to generate revenue to support transit programs and projects. These are funds dedicated to transit at their source; they can only be used for transit.

You should report the revenues to your transit agency raised through the taxing authority of the grantor governmental unit in the local and State sections of this form. This situation applies to transit agencies that are a part of the local or State government.

This section will only appear if you have indicated that your transit agency is an Independent Agency with an elected or an appointed Board of Directors on the Identification form (B-10).

There are four categories of funds dedicated to transit at their source:

1. Dedicated taxes
2. Bridge, tunnel and highway tolls
3. High occupancy / toll (HO/T) lane tolls
4. Other dedicated funds.

Dedicated Taxes

If your transit agency is an independent political entity and has the legal authority to impose a dedicated tax, this tax is called a directly levied tax, and your report it under directly generated sources of funds. If the tax is levied by the legal authority of the local or State government for transit use, you report it under local or State government sources of funds.

For administrative convenience, directly levied taxes may be collected through another governmental entity. For example, a transit agency may use its legal authority to add one percent to the county sales tax for transit uses. The county collects all of the sales tax and distributes the one percent back to the transit agency. The one percent tax is a directly levied sales tax by the transit agency reported as directly generated under funds dedicated to transit at their source.

You should report taxes using the following categories:

- Income taxes
- Sales taxes
- Property taxes (include mortgage and property transfer taxes and fees)
- Gasoline taxes
- Other taxes
  - Payroll taxes
  - Utility taxes
  - Communication taxes (e.g., telephone taxes and fees)
  - Motor vehicle and tire excise taxes
  - Other. .

Bridge, Tunnel and Highway Tolls

Another source of funds raised for transit at their source is from tolls collected on bridges, tunnels or highways. Typically, transit agencies that have the power to impose these taxes are multipurpose transportation agencies that operate and own these facilities. This reporting category does not include tolls collected on HO/T lanes.

High Occupancy / Toll Lanes

SAFETEA-LU enhances and clarifies provisions governing the use and operation of HOV, in particular the use of HOV facilities by HO/T vehicles. These are vehicles that are not otherwise exempt to use the HOV facility (e.g., energy efficient vehicles) if the vehicle pays a toll. HO/T toll lanes allow single occupancy vehicles (SOVs) to gain access to high occupancy vehicle (HOV) facilities by paying a toll. If a transit agency has stricter requirements for HOV facilities than the prohibition of SOVs, then those requirements apply to the HO/T lane.

A State agency with jurisdiction over the operation of a HOV facility must establish occupancy requirements for HOV lanes and for any exemptions. The State agency that chooses to allow exceptions to HOV requirements must certify to the US Secretary of Transportation that they have established a program to monitor, assess, and report on the operation of the facility and the impact of HO/T vehicles and other low emission and energy efficient vehicles. An adequate enforcement program is also required, and provision made for limiting or discontinuing the exemptions if the facility becomes seriously degraded.

Each segment used as a HO/T lane must be identified on the Fixed Guideway Segments form (S-20). See the S-20 form for SAFETEA-LU added provisions to the requirements for new HOV lanes and HO/T lanes (23 U.S.C. Section 166).

Other Dedicated Funds

If there are other sources of dedicated funds not covered by taxes or bridge, tunnel and highway tolls, report the funds as other dedicated funds. These funds include:

- Vehicle licensing and registration fees
- Communications access fees, surcharges and taxes
- Lottery and casino proceeds
- Sale of property and assets
- Other.

Other Directly Generated Funds

If there are other sources of funds not included in the directly generated sources common to all transit agencies and for independent political entities (lines 20 through 28), you should report as other directly generated funds.

Local and State Government Sources

You should report the sources from State government funds and from local government funds. These funds assist with paying the operating and capital costs of providing transit services and include:

- Operating assistance
  - 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
  - Re-imbursements of payments for taxes, interest, snow removal, maintenance and security costs
  - Special demonstration project assistance.
- Capital assistance

Sources of local and State government funds use the same categories for reporting:

- Funds allocated to transit out of general revenues of the government entity. These funds are often part of the government's annual budgeting process from general revenues rather than dedicated funds for transit.
- Funds dedicated to transit at their source. These are funds from State taxes, tolls and fees; bridge, tunnel and highway tolls, bonds and loans, and other sources that are put into place specifically to generate revenue to support transit programs and projects.
- Other funds.

Funds Allocated to Transit Out of General Revenues of the Government Entity

The funds in this category come from general government revenues and are derived from revenues that are designated only for transit use. As general revenues, funding for transit annually competes for funding with other government programs such as police, fire and education. Although they compete for funding, many transit agencies receive most of their State and local government funds in this category.

Funds Dedicated to Transit at their Source

Funds dedicated to transit at their source are the same category described under Directly Generated Funds (see discussion above). The same four categories of dedicated funds are used:

1. Dedicated taxes
2. Bridge, tunnel and highway tolls
3. High occupancy / toll (HO/T) lane tolls
4. Other dedicated funds.

The key principal in reporting dedicated transit funds is to determine the entity that has the legal authority to impose taxes or other dedicated fund sources. You should report the funds as:

- Directly generated sources of funds if your transit agency has the legal authority
- Local government sources of funds if the local government has the legal authority
- State government sources of funds if the State government has the legal authority.

Other Funds

You should report under other funds for any State government or any local government funding sources that are not dedicated to transit at their source or are not included in the budgeting process of general revenue funds.

These funds include:

- Vehicle licensing and registration fees
- Communications access fees, surcharges, taxes
- Lottery and casino proceeds
- Sale of property and assets
- Refund of sales tax on fuel
- Other.

You should report reimbursements and refunds such as sales tax on fuel in the original source of revenues used to pay for the expense. If unknown, then you should report under other funds.

Federal Government Sources

This section covers payments or accruals from the Federal government. These include American Recovery and Reinvestment Act of 2009 (ARRA) program funds. You should report the funding sources using the following categories:

- Funds received from Federal Transit Administration (FTA) grant programs
- Funds received from other U.S. Department of Transportation (USDOT) grant programs

- Other Federal funds.

These categories have line item entries for funds through the American Recovery and Reinvestment Act of 2009. The American Recovery and Reinvestment Act, 2009 (ARRA) [Pub. L. 111-5] was signed into law by President Barack Obama on February 17, 2009. ARRA includes appropriations and tax law changes totaling approximately $787 billion to support government wide efforts to stimulate the economy. Goals of the statute include the preservation or creation of jobs and the promotion of an economic recovery, as well as the investment in transportation, environmental protection and other infrastructure providing long-term economic benefits.

Over $48 billion will be invested in transportation infrastructure, including $8.4 billion for transit capital improvements made available through FTA programs. In addition, transit may benefit from flexible funding transferred from highway program allocations as well as discretionary allocations under a $1.5 billion multimodal program administered by the Secretary of Transportation. FTA has published formula apportionments, discretionary allocations, or notices of funding availability for the entire $8.4 billion appropriated for transit programs.

In 2010, report an additional ARRA program for TIGER (Transportation Investment Generating Economic Recovery) Multimodal Discretionary funds. Under this multimodal program, investment in transit infrastructure is an eligible activity. On the form, it is in the Other USDOT grant programs section.

You should consider the following when reporting Federal funding:

- You should refer to your transit agency's grant applications and grants management personnel to determine the correct source of funds for reporting.
- You should report Federal funds based on the program (Federal agency) administering the funding. This is particularly important for programs that transfer funding to FTA (see FTA Urbanized Area Formula Program (UAF) and flexible funding below).
- For FTA formula programs, transit agencies may use capital funds for eligible operating expenses, such as preventive maintenance costs. For the NTD, you should report the operating expenses accrued as operating expenses on the Operating Expenses form (F-30) regardless of grant eligibility for capital assistance, and report the funds expended (applied) under funds expended on operations on the F-10. The formula programs are:
  - FTA Urbanized Area Formula Program (UAF) (§5307)
  - FTA Special Needs of Elderly Individuals and Individuals with Disabilities Formula Program (§5310)
  - FTA Other Than Urbanized Area Formula Program (§5311)
  - FTA New Freedom Program (§5317).

Funds Received from FTA

There are ten categories of funds received from FTA:

1. FTA Capital Program (§5309) funds
2. FTA Urbanized Area Formula Program (§5307) (UAF) funds
3. FTA Metropolitan Planning (§5303) funds
4. FTA Clean Fuels Program (§5308) funds
5. FTA Special Needs of Elderly Individuals and Individuals with Disabilities Formula Program (§5310) funds
6. FTA Other Than Urbanized Area Formula Program (§5311) funds
7. FTA Job Access and Commute Formula Program (§5316) funds
8. FTA New Freedom Program (§5317) funds
9. FTA Alternative Transportation in Parks and Public Lands (§5320) funds
10. Other FTA funds.

There are also line items for those FTA programs with AARA funding.

FTA Capital Program

The FTA Capital Program (§5309) is a discretionary program that provides capital assistance for three primary types of projects:

1. New and replacement buses and facilities
2. Modernization of existing fixed guideway (FG) systems
3. New FG systems.

Capital expenses are for property having a useful life of more than one year and an acquisition cost that meets Federal requirements of at least $5,000 or meets requirements set by the government unit for its financial statements if this value is less than $5,000.

FTA Urbanized Area Formula Program

The FTA Urbanized Area Formula Program (UAF) (§5307) is a formula program for:

- Capital projects
- Planning
- Operating assistance in UZAs with population less than 200,000, and
- Capitalized operating assistance (e.g., preventive maintenance using FTA UAF (capital) funds.

FTA UAF funds include flexible funding programs. Several programs of the Federal Highway Administration (FHWA) of the USDOT allow transfer of funds to the FTA UAF, under the flexible funding provision, for transit projects:

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

When the flexible fund programs from the FHWA are administered by FTA under the UAF program, you should report the funds under the FTA Urbanized Area Formula Program. For example, a transit agency may receive FHWA Congestion Mitigation Air Quality (CMAQ) funding through the FTA UAF program. You should report the FHWA CMAQ funding should be reported as FTA UAF program funds, not under other USDOT grant programs. For more detailed information, see www.fta.dot.gov/funding/grants/grants_financing_2484.html, in particular Attachment 2--FHWA and FTA Funds That May be Used for Either Highway or Transit Purposes.

In most cases, the funding reporting is straightforward. However, you should first refer to your grant agreements to determine the appropriate category to use.

FTA Metropolitan Planning

The FTA Metropolitan Planning Program (§5303) supports the cooperative, continuous and comprehensive planning program for making transportation investment decisions in urbanized areas (UZA). These funds are allocated to the Metropolitan Planning Organizations (MPO) and are designated by local elected officials as being responsible for carrying out the urban transportation and other planning process, including short and long-range transportation plans that prioritized projects for implementation.

FTA Clean Fuels Program

The FTA Clean Fuels Program (§5308) is a formula program that supports the use of alternative fuels. Projects are eligible in air quality maintenance or nonattainment areas for ozone or carbon monoxide, for both for UZA and nonurbanized areas (non-UZA).

The program assists transit systems in purchasing low emission buses and related equipment, constructing alternative fuel fueling facilities, modifying existing garage facilities to accommodate clean fuel vehicles and assisting in the utilization of biodiesel fuel.

Funds may be used for the purchase or lease of clean fuel buses, the construction of clean fuel electrical recharging facilities, improvement to existing facilities to accommodate clean fuel buses, and the re-powering and retrofit or rebuild of pre-1993 engines if before a mid-life rebuild.

FTA Special Needs of Elderly Individuals and Individuals with Disabilities Formula

The FTA Special Needs of Elderly Individuals and Individuals with Disabilities Formula Program (§5310) is a formula program that provides capital assistance to State and local governments and private non-profit groups in meeting the transportation needs of elderly individuals and individuals with disabilities. The State (or State-designated agency) administers the §5310 program.

States may allocate funds to private non-profit organizations and to public agencies if they are designated to provide coordinated service. SAFETEA-LU increases coordination requirements by requiring that projects be on a locally-developed human service transportation coordination plan. That planning process includes representatives of public, private, and non-profit transportation and human services providers and the public.

A seven State pilot program for FY 2006-2009 has been established to determine whether expanding eligibility to operating assistance would improve services to elderly individuals and individuals with disabilities. In the pilot, up to 33% of a participating State's apportioned §5310 funds may be used for operating expenses.

§5310 funds may be transferred to and administered through the §5311 program.

FTA Other Than Urbanized Area Formula Program

The FTA Other Than Urbanized Area Formula Program (§5311) is a formula program for rural transportation for:

- Capital projects
- Planning
- Operating assistance in non-UZAs with population less than 50,000.

Federal operating and capital assistance under §5311 includes any §5310, §5307, §5316 or §5317 funds transferred to the program or flexible highway funds transferred to the program and administered through the §5311 program.

FTA Job Access and Reverse Commute Formula Program

The Job Access and Reverse Commute (JARC) Formula Program (§5316) is a formula program to States and designated recipients to support the development and maintenance of job access projects designed to transport welfare recipients and eligible low-income individuals to and from jobs and activities related to their employment, and for reverse commute projects designed to transport residents of UZAs and non-UZAs to suburban employment opportunities.

§5316 funds may be transferred to and administered through the §5311 program.

FTA New Freedom Program

The FTA New Freedom Program (§5317) is a formula program for new public transportation services and public transportation alternatives beyond those required by the Americans with Disabilities Act (ADA) that assist individuals with disabilities with transportation, including transportation to and from jobs and employment support services. Projects must be included in locally-developed human service transportation coordinated plan beginning in FY 2007. Funds may be used for:

- Capital projects
- Operating assistance
- Planning

§5317 funds may be transferred to and administered through the §5311 program.

FTA Alternative Transportation in Parks and Public Lands Program

The FTA Alternative Transportation in Parks and Public Lands Program (§5320) is a program for preserving our parklands and enhancing visitor enjoyment. The program is administered jointly by FTA, US Department of Interior (DOI) and the US Department of Agriculture Forest Service (USFS). Projects include capital and planning.

Other FTA Funds

Any FTA funds not described above are reported as Other FTA funds. These funds include:

- FTA Research, Development, Demonstration and Training Projects (§5312)
- Interstate Transfer Program.

Other FTA funds reported should be described using the **Other FTA Funds — Describe** field.

Funds Received from Other USDOT Grant Programs

Report funding through Other U.S. Department of Transportation (USDOT) Programs, where funds were not transferred to FTA, as funds received from other USDOT grant programs. This includes funds from the Federal Railroad Administration (FRA) (including AMTRAK) that occurs for commuter rail operations.

Other Federal Funds

Report funding from the Federal government other than through USDOT programs as Other Federal Funds. These include Federal Emergency Management Agency (FEMA), Housing and Urban Development Programs (HUD) and Department of Justice (DOJ) programs (e.g., JOBS).

You should describe other Federal funds using the **Other Federal Funds — Describe** field.

Summary

NTD Internet Reporting automatically calculates the totals from all sources — directly generated, Federal, State and local sources. The totals include:

- Total funds earned during the period
- Funds expended on (applied to) operations during the period
- Funds expended on (applied to) capital during the period

Line by Line Instructions Funds Expended and Funds Earned form (F-10)

Completing the Funds Expended and Funds Earned form (F-10)

You should complete one form. The form covers all modes for directly operated (DO) and purchased transportation (PT) services.

Form Level Help: You should click on the **Help** tab at the top of the screen for form level help.

Form Notes: A form note can be attached to any form. You should use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. You should click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. You should not use the **Form Notes** feature to answer issues generated from this form. From the **Issues** tab you should use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: You should click on the **Save** button prior to exiting the form and continuing with the report. You should click on the **Close** button at the bottom of the screen to close the form without saving.

Sources of Directly Generated Funds by the Transit Agency — All Transit Agencies

Line 01, column c: Passenger Fares for Directly Operated Service — Funds Earned during Period. By mode, enter the funds earned during the period from carrying passengers for services that were DO by your transit agency (passenger fares).

Line 02: Total All DO Modes

- Column c: Funds Earned during Period. This is an **auto-calculated** field and cannot be edited. This field displays the total of funds earned during the period from passenger fares for all DO modes.
- Column d: Funds Expended on Operations. Enter the passenger fare revenues that were expended on operations during the period for all DO modes. For most transit agencies, passenger fare revenues are earned and expended during the current report year, typically on operations. In addition, expenditures may include fare revenues from prior years or may be less than fare revenues earned in column c if they are not needed to cover expenditures.
- Column e: Funds Expended on Capital. Enter the passenger fares revenues that were expended on capital during the period for all DO modes. Most transit agencies do not use passenger fare revenues for capital.

Line 03, column c: Passenger Fares for Purchased Transportation Service — Funds Earned during Period

- This field is **auto-calculated** with data from the Contractual Relationship form (B-30) and cannot be edited. By mode, this field displays the passenger fares earned during the period from PT services.

Line 04: Total All PT Modes

Many transit agencies apply the total PT fare revenues to funds expended on operations. Other transit agencies split the total fare revenues between operations and capital.

- Column c: Funds Earned During the Period. This is an **auto-calculated** field and cannot be edited. This field displays the total of funds earned during the period from passenger fares for all PT modes.
- Column d: Funds Expended on Operations. Enter the PT fares expended on operations during the period.
- Column e: Funds Expended on Capital. Enter the purchased transportation fares expended on capital during the period.

Line 05, column c: Park-and-Ride Parking Revenue — Funds Earned during Period.

- Enter the parking fees paid by passengers during the period who drive to park-and-ride facilities to use transit service (park-and-ride parking revenues). Park-and-ride parking revenues include parking revenues for both DO and PT services. It does not include rental income from surplus land leased to an outside party that may use the land for parking.

Line 06, column c: Other Transportation Revenues — Funds Earned during Period.

- Enter the revenues earned during the period from charter services, school bus services, and freight tariffs.

Auxiliary Transportation Funds

Line 07, column c: Concessions — Funds Earned during Period.

- Enter the revenues earned during the period from station concessions and vehicle concessions. These are one type of auxiliary transportation funds.

Line 08, column c: Advertising Revenue — Funds Earned during Period.

- Enter the revenues earned during the period from advertising revenues. These are one type of auxiliary transportation funds.

Line 09, column c: Other — Funds Earned during Period.

- Enter the revenues earned during the period from auxiliary transportation funds other than station concessions, vehicle concessions and advertising revenues (other auxiliary transportation revenues).

Line 10, column c: Total Auxiliary Transportation Funds — Funds Earned during Period.

- This is an **auto-calculated** field and cannot be edited. This field displays the total auxiliary transportation funds earned during the period equal to the sum of lines 07 through 09, column c.

Line 11, column c: Non-Transportation Funds — Funds Earned during Period.

- Enter the revenues earned from activities not associated with the provision of transit services (non-transportation funds).

Line 12: Total Park-and-Ride Parking, Other Transportation, Auxiliary and Non-Transportation Revenues

- Column c: Funds Earned during Period. This is an **auto-calculated** field and cannot be edited. This field displays the total park-and-ride parking, other transportation, auxiliary and non-transportation revenues earned during the period.
- Column d: Funds Expended on Operations. Enter the park-and-ride parking, other transportation, auxiliary and non-transportation revenues that were expended on operations during the period.
- Column e: Funds Expended on Capital. Enter the park-and-ride parking, other transportation, auxiliary and non-transportation revenues that were expended on capital during the period.

Line 13: Revenues Accrued through a Purchased Transportation Agreement

Line 13a: With an NTD reporting agency

- Column c: Funds Earned during Period. Enter the revenues earned from contract payments and accruals (net of fare revenues) for PT services (revenues accrued through a PT agreement). This category only applies to sellers of PT services under contract to an NTD Annual reporter and when both agencies are filing an NTD Annual report. The seller reports the contract revenues earned (payments and accruals) as a result of the PT agreement. For most transit agencies, this is the sum of net contract expenditures in line 07 on the B-30 form.

This category only applies to sellers of PT services under contract to an NTD Annual reporter and when both agencies are filing an NTD Annual report. The seller reports the contract revenues earned (payments and accruals) as a result of the PT agreement. If the seller is a private for profit provider or non-profit provider, funds should only be reported for funds earned during period (column c) and for funds expended on operations (column d) since the buyer of service reports any capital purchases and funding. If the seller is a public agency, funds also can be reported for funds expended on capital (column e).

- Column d: Funds Expended on Operations. Enter the revenues accrued through a PT agreement that were expended on operations during the period.
- Column e: Funds Expended on Capital. Enter the revenues accrued through a PT agreement that were expended on capital during the period.

Line 13b: With a non-NTD reporting agency

- Column c: Funds Earned during Period. Enter the revenues earned from contract payments and accruals (net of fare revenues) for PT services (revenues accrued through a PT agreement). This category only applies to sellers of PT services under contract to a non-NTD Annual reporter. Only the seller is filing an NTD Annual report. The seller reports the contract revenues earned (payments and accruals) as a result of the PT agreement. For most transit agencies, this is the sum of net contract expenditures in line 07 on the B-30 form.

This category only applies to sellers of PT services under contract to a non-NTD reporter. Only the seller is filing an NTD Annual report. The seller reports the contract revenues earned (payments and accruals) as a result of the PT agreement. If the seller is a private for profit provider or non-profit provider, funds should only be reported for funds earned during period (column c) and for funds expended on operations (column d) since the buyer of service reports any capital purchases a

- Column d: Funds Expended on Operations. Enter the revenues accrued through a PT agreement that were expended on operations during the period. If the seller is a public agency, funds also can be reported for funds expended on capital (column e).
- Column e: Funds Expended on Capital. Enter the revenues accrued through a PT agreement that were expended on capital during the period.

Contributed Services

Line 15: State and Local Government

- Column c: Funds Earned during Period. Enter the estimated value of services during the period received from another entity where there is no obligation to pay (contributed services). In-kind services are a form of contributed services. Report in-kind services only if there is no obligation to pay for the services. If in-kind services are used for the local (non-Federal) share in Federal grants, then report their monetary value in the appropriate category of State and local sources; do not report these matching funds as contributed services.
- Column d: Funds Expended on Operations. Enter the amount of contributed services received during the period that were expended on operations.
- Column e: Funds Expended on Capital. Enter the amount of contributed services received during the period that were expended on capital.

Line 16: Contra Account for Expenses

- Column c: Funds Earned during Period. This is an **auto-calculated** field and cannot be edited. This field displays a negative amount equal to line 15, column c.
- Column d: Funds Expended on Operations. This is an **auto-calculated** field and cannot be edited. This field displays a negative amount equal to line 15, column d.
- Column e: Funds Expended on Capital. This is an **auto-calculated** field and cannot be edited. This field displays a negative amount equal to line 15, column e.

Line 17: Net Contributed Services

- Column c: Funds Earned during Period. This is an **auto-calculated** field and cannot be edited. This field displays the net contributed services or zero.
- Column d: Funds Expended on Operations. This is an **auto-calculated** field and cannot be edited. This field displays the net contributed services or zero.
- Column e: Funds Expended on Capital. This is an **auto-calculated** field and cannot be edited. This field displays the net contributed services or zero.

Line 18: Subsidy from Other Sectors of Operations

- Column c: Funds Earned during Period. Enter the funds earned during the period from subsidies from other sectors of operations. These funds are used to help cover the cost of providing transit service and include subsidies from utility rates where the transit agency is a utility company, subsidies from bridge and tunnel tolls where the transit agency owns and operates the bridges and tunnels, and subsidies from other sources provided by the same entity that operates the transit agency. This usually occurs with transportation authorities that operate other transportation services (e.g., airports, ports) in addition to transit services.
- Column d: Funds Expended on Operations. Enter the funds expended on operations during the period received from subsidies from other sectors of operations.
- Column e: Funds Expended on Capital. Enter the funds expended on operations during the period received from subsidies from other sectors of operations.

Sources of Directly Generated Funds by the Transit Agency — Independent Political Entities

(Lines 20 - 24 will only appear for reporters who have indicated that they are an Independent Agency with an elected or an appointed Board of Directors on the B-10.

Funds Dedicated to Transit at their Source

Dedicated Taxes

Line 20: Income Taxes

These are directly generated funds dedicated to transit at their source. These are directly levied by your transit agency.

- Column c: Funds Earned during Period. Enter the revenues generated from income taxes dedicated to transit uses that were earned during the period.

Line 21: Sales Taxes

These are directly generated funds dedicated to transit at their source. These are directly levied by your transit agency.

- Column c: Funds Earned during Period. Enter the revenues generated from sales taxes dedicated to transit uses that were earned during the period.

Line 22: Property Taxes

These are directly generated funds dedicated to transit at their source. These are directly levied by your transit agency.

- Column c: Funds Earned during Period. Enter the revenues generated from property taxes dedicated to transit uses that were earned during the period.

Line 23: Gasoline Taxes

These are directly generated funds dedicated to transit at their source. These are directly levied by your transit agency.

- Column c: Funds Earned during Period. Enter the revenues generated from gasoline taxes dedicated to transit uses that were earned during the period.

Line 24: Other Taxes

These are directly generated funds dedicated to transit at their source. These are directly levied by your transit agency.

- Column c: Funds Earned during Period. Enter the revenues generated from other taxes dedicated to transit uses that were earned during the period. Describe the taxes in the **Other Taxes — Describe Other** field.

Line 25: Bridge, Tunnel and Highway Tolls

These are directly generated funds dedicated to transit at their source. These are directly levied by your transit agency.

- Column c: Funds Earned during Period. Enter the revenues generated from bridge, highway or tunnel tolls earned during the period.

Line 26: High Occupancy / Tolls

These are directly generated funds dedicated to transit at their source. These are directly levied by your transit agency.

- Column c: Funds Earned during Period. Enter the revenues generated from high occupancy / toll (HO/T) lanes earned during the period.

Line 27: Other Dedicated Funds

These are directly generated funds dedicated to transit at their source. These are directly levied by your transit agency.

- Column c: Funds Earned during Period. Enter the revenues generated from any funds other than income, sales, property, gasoline and other taxes; and, bridges, tunnels and highway tolls dedicated to transit uses that were earned during the period (other dedicated funds).

Line 28: Total Funds Dedicated to Transit at their Source

- Column c: Funds Earned during Period. This is an **auto-calculated** field and cannot be edited. This field displays the total directly generated funds of independent political entities dedicated to transit at their source earned during the period equal to the sum of lines 20 through 27, column c.
- Column d: Funds Expended on Operations. Enter the total directly generated funds of independent political entities dedicated to transit at their source that were expended on operations during the period , column d.
- Column e: Funds Expended on Capital. Enter the total directly generated funds of independent political entities dedicated to transit at their source that were expended on capital during the period.

Line 29: Other Directly Generated Funds

- Column c: Funds Earned during Period. Enter the revenues generated from any other directly generated funds not reported on lines 1 through 28 that were earned during the period.
- Column d: Funds Expended on Operations. Enter the revenues generated from any other directly generated funds not reported on lines 1 through 28 that were expended on operations during the period.
- Column e: Funds Expended on Capital. Enter the revenues generated from any other directly generated funds not reported on lines 1 through 28 that were expended on capital during the period.

Line 30: Total Directly Generated Funds

- Column c: Funds Earned during Period. This is an **auto-calculated** field and cannot be edited. This field displays the total directly generated funds earned during the period equal to the sum of lines 02, 04, 12 through 18, 28 and 29, column c.
- Column d: Funds Expended on Operations. This is an **auto-calculated** field and cannot be edited. This field displays the total local funds that were expended on operations during the period equal to the sum of lines 02, 04, 12 through 18, 28 and 29, column d.
- Column e: Funds Expended on Capital. This is an **auto-calculated** field and cannot be edited. This field displays the total local funds that were expended on capital during the period equal to the sum of lines 02, 04, 12 through 18, 28 and 29, column e.

Local Government Sources of Funds

Line 32: Funds Allocated to Transit out of the General Revenues of the Government Entity

These are the funds received from the local government's annual budgeting process.

- Column c: Funds Earned during Period. Enter the funds earned during the period that were allocated to transit out of the general revenues of the local government.
- Column d: Funds Expended on Operations. Enter the funds expended on operations during the period that were allocated to transit out of the general revenues of the local government.
- Column e: Funds Expended on Capital. Enter the funds expended on capital during the period that were allocated to transit out of the general revenues of the local government.

Funds Dedicated to Transit at their Source

Dedicated Taxes

Line 33: Income Taxes

These are local government funds dedicated to transit at their source rather than through an appropriation of general funds.

- Column c: Funds Earned during Period. Enter the revenues generated from income taxes dedicated to transit uses that were earned during the period.

Line 34: Sales Taxes

These are local government funds dedicated to transit at their source rather than through an appropriation of general funds.

- Column c: Funds Earned during Period. Enter the revenues generated from sales taxes dedicated to transit uses that were earned during the period.

Line 35: Property Taxes

These are local government funds dedicated to transit at their source rather than through an appropriation of general funds.

- Column c: Funds Earned during Period. Enter the revenues generated from property taxes dedicated to transit uses that were earned during the period.

Line 36: Gasoline Taxes

These are local government funds dedicated to transit at their source rather than through an appropriation of general funds.

- Column c: Funds Earned during Period. Enter the revenues generated from gasoline taxes dedicated to transit uses that were earned during the period.

Line 37: Other Taxes

These are local government funds dedicated to transit at their source rather than through an appropriation of general funds.

- Column c: Funds Earned during Period. Enter the revenues generated from other taxes dedicated to transit uses that were earned during the period. Describe the taxes in the **Other Taxes — Describe Other** field.

Line 38: Bridge, Tunnel and Highway Tolls

These are local government funds dedicated to transit at their source rather than through an appropriation of general funds.

- Column c: Funds Earned during Period. Enter the revenues generated from bridge, highway or tunnel tolls earned during the period.

Line 39: High Occupancy / Tolls

These are local government funds dedicated to transit at their source rather than through an appropriation of general funds.

- Column c: Funds Earned during Period. Enter the revenues generated from HO/T lanes earned during the period.

Line 40: Other Dedicated Funds

These are local government funds dedicated to transit at their source rather than through an appropriation of general funds.

- Column c: Funds Earned during Period. Enter the revenues generated from any funds other than income, sales, property, gasoline and other taxes; and, bridges, tunnels and highway tolls dedicated to transit uses that were earned during the period (other dedicated funds).

Line 41: Total Funds Dedicated to Transit at their Source

- Column c: Funds Earned during Period. This is an **auto-calculated** field and cannot be edited. This field displays the total local government funds dedicated to transit at their source earned during the period equal to the sum of lines 33 through 40, column c.
- Column d: Funds Expended on Operations. Enter the total local government funds dedicated to transit at their source that were expended on operations during the period.
- Column e: Funds Expended on Capital. Enter the total local government funds dedicated to transit at their source that were expended on capital during the period.

Line 42: Other Funds

- Column c: Funds Earned during Period. Enter the funds earned during the period from local government sources other than funds allocated to transit out of the general revenues of the government entity and funds dedicated to transit at their source (other funds). Describe the taxes in the **Other Funds — Describe Other** field.
- Column d: Funds Expended on Operations. Enter the funds that were expended on operations during the period from local government sources other than funds allocated to transit out of the general revenues of the government entity and funds dedicated to transit at their source (other funds). Describe the taxes in the **Other Funds — Describe Other** field.
- Column e: Funds Expended on Capital. Enter the funds expended on capital during the period from local government sources other than funds allocated to transit out of the general revenues of the government entity and funds dedicated to transit at their source (other funds). Describe the taxes in the **Other Funds — Describe Other** field.

Line 43: Total Local Funds

- Column c: Funds Earned during Period. This is an **auto-calculated** field and cannot be edited. This field displays the total local funds earned during the period equal to the sum of lines 32, 41 and 42, column c.
- Column d: Funds Expended on Operations. This is an **auto-calculated** field and cannot be edited. This field displays the total local funds that were expended on operations during the period equal to the sum of lines 32, 41 and 42, column d.
- Column e: Funds Expended on Capital. This is an **auto-calculated** field and cannot be edited. This field displays the total local funds that were expended on capital during the period equal to the sum of lines 32, 41 and 42, column e.

State Government Sources of Funds

Line 45: Funds Allocated to Transit out of the General Revenues of the Government Entity

These are the funds received from the State government's annual budgeting process.

- Column c: Funds Earned during Period. Enter the funds earned during the period that were allocated to transit out of the general revenues of the government entity.
- Column d: Funds Expended on Operations. Enter the funds expended on operations during the period that were allocated to transit out of the general revenues of the government entity.
- Column e: Funds Expended on Capital. Enter the funds expended on capital during the period that were allocated to transit out of the general revenues of the government entity.

Funds Dedicated to Transit at their Source

Dedicated Taxes

Line 46: Income Taxes

These are State government funds dedicated to transit at their source rather than through an appropriation of general funds.

- Column c: Funds Earned during Period. Enter the revenues generated from income taxes dedicated to transit uses that were earned during the period.

Line 47: Sales Taxes

These are State government funds dedicated to transit at their source rather than through an appropriation of general funds.

- Column c: Funds Earned during Period. Enter the revenues generated from sales taxes dedicated to transit uses that were earned during the period.

Line 48: Property Taxes

These are State government funds dedicated to transit at their source rather than through an appropriation of general funds.

- Column c: Funds Earned during Period. Enter the revenues generated from property taxes dedicated to transit uses that were earned during the period.

Line 49: Gasoline Taxes

These are State government funds dedicated to transit at their source rather than through an appropriation of general funds.

- Column c: Funds Earned during Period. Enter the revenues generated from gasoline taxes dedicated to transit uses that were earned during the period.

Line 50: Other Taxes

These are State government funds dedicated to transit at their source rather than through an appropriation of general funds.

- Column c: Funds Earned during Period. Enter the revenues generated from other taxes dedicated to transit uses that were earned during the period. Describe the taxes in the **Other Taxes — Describe Other** field.

Line 51: Bridge, Tunnel and Highway Tolls

These are State government funds dedicated to transit at their source rather than through an appropriation of general funds.

- Column c: Funds Earned during Period. Enter the revenues generated from bridge, highway or tunnel tolls earned during the period.

Line 52: High Occupancy / Tolls

These are State government funds dedicated to transit at their source rather than through an appropriation of general funds.

- Column c: Funds Earned during Period. Enter the revenues generated from high occupancy / toll (HO/T) lanes earned during the period.

Line 53: Other Dedicated Funds

These are State government funds dedicated to transit at their source rather than through an appropriation of general funds.

- Column c: Funds Earned during Period. Enter the revenues generated from any funds other than income, sales, property, gasoline and other taxes; and, bridges, tunnels and highway tolls dedicated to transit uses that were earned during the period (other dedicated funds).

Line 54: Total Funds Dedicated to Transit at their Source

- Column c: Funds Earned during Period. This is an **auto-calculated** field and cannot be edited. This field displays the total State government funds dedicated to transit at their source earned during the period equal to the sum of lines 46 through 53, column c.
- Column d: Funds Expended on Operations. Enter the total State government funds dedicated to transit at their source that were expended on operations during the period.
- Column e: Funds Expended on Capital. Enter the total State government funds dedicated to transit at their source that were expended on capital during the period.

Line 55: Other Funds

- Column c: Funds Earned during Period. Enter the funds earned during the period from State government sources other than funds allocated to transit out of the general revenues of the government entity and funds dedicated to transit at their source (other funds). Describe the sources in the **Other Funds — Describe Other** field.
- Column d: Funds Expended on Operations. Enter the funds that were expended on operations during the period from State government sources other than funds allocated to transit out of the general revenues of the government entity and funds dedicated to transit at their source (other funds). Describe the sources in the **Other Funds — Describe Other** field.
- Column e: Funds Expended on Capital. Enter the funds expended on capital during the period from State government sources other than funds allocated to transit out of the general revenues of the government entity and funds dedicated to transit at their source (other funds). Describe the sources in the **Other Funds — Describe Other** field.

Line 56: Total State Funds

- Column c: Funds Earned during Period. This is an **auto-calculated** field and cannot be edited. This field displays the total State funds earned during the period equal to the sum of lines 45, 54 and 55, column c.
- Column d: Funds Expended on Operations. This is an **auto-calculated** field and cannot be edited. This field displays the total State funds that were expended on operations during the period equal to the sum of lines 45, 54 and 55, column d.
- Column e: Funds Expended on Capital. This is an **auto-calculated** field and cannot be edited. This field displays the total State funds that were expended on capital during the period equal to the sum of lines 45, 54 and 55, column e.

Federal Government Sources of Funds

Most Federal grants are earned on a reimbursement basis. Generally, transit agencies will earn grant funds only when expenditure occurs. Therefore, on an accrual basis, funds earned must equal funds expended for the reporting period. For the Federal programs below, unless your transit agency borrowed against future year grants, columns d + e will equal column c.

Line 58: FTA Capital Program Funds (§5309)

- Column c: Funds Earned during Period. Enter the funds earned during the period from the FTA Capital Program Funds (§5309).
- Column d: Funds Expended on Operations. Enter the funds expended on operations during the period from §5309 funds. These items include capital maintenance expenses (see F-30 form).
- Column e: Funds Expended on Capital. Enter the funds expended on capital during the period from §5309 funds.

Line 58a: ARRA Fixed Guideway Modernization funds (§5309)

- Column c: Funds Earned during Period. Enter the funds earned during the period from the ARRA Fixed Guideway Modernization funds (§5309).
- Column d: Funds Expended on Operations. Enter the funds expended on operations during the period from ARRA §5309 funds. These items include capital maintenance expenses (see F-30 form).

Column e: Funds Expended on Capital. Enter the funds expended on capital during the period from ARRA §5309 funds.

Line 58b: ARRA Major Capital Investments (New Starts) funds (§5309)

- Column c: Funds Earned during Period. Enter the funds earned during the period from the Major Capital Investments (New Starts) funds (§5309).
- Column d: Funds Expended on Operations. Enter the funds expended on operations during the period from ARRA §5309 funds. These items include capital maintenance expenses (see F-30 form).
- Column e: Funds Expended on Capital. Enter the funds expended on capital during the period from ARRA §5309 funds.

Line 59: FTA Urbanized Area Formula (UAFP) Program (§5307)

- Column c: FTA UAFP Funds. Enter the funds earned during the period from the FTA Urbanized Area Formula Program (UAF) (§5307).
- Column d: FTA UAFP Funds – Eligible Operating Assistance. Enter the funds expended on operations during the period from §5307 funds – operating assistance. This applies to transit agencies in urbanized areas (UZAs) with a population of 200,000 or less according to the 2000 Census and some Americans with Disabilities Act of 1990 complementary paratransit service costs for UZAs of any size.
- Column e: FTA UAFP Funds – Spent on Capital Projects. Enter the funds expended on capital during the period from §5307 funds.

Line 60, column d: FTA UAFP Funds – Capital Assistance Spent on Operations (Including Maintenance Expenses).

- Enter the funds expended on operations during the period from §5307 funds – capital assistance. These are formula capital funds eligible for operating expenses (OE) such as preventive maintenance costs.

Line 60a: ARRA Urbanized Area Formula (UAFP) Program (§5307)

- Column c: ARRA UAFP Funds. Enter the funds earned during the period from the FTA Urbanized Area Formula Program (UAF) (§5307).
- Column d: ARRA UAFP Funds – Eligible Operating Assistance. Enter the funds expended on operations during the period from §5307 funds – operating assistance. This applies to transit agencies in urbanized areas (UZAs) with a population of 200,000 or less according to the 2000 Census and some Americans with Disabilities Act of 1990 complementary paratransit service costs for UZAs of any size.
- Column e: ARRA UAFP Funds – Spent on Capital Projects. Enter the funds expended on capital during the period from §5307 funds.

Line 60b, column d: ARRA UAFP Funds – Capital Assistance Spent on Operations (Including Maintenance Expenses).

- Enter the funds expended on operations during the period from ARRA §5307 funds – capital assistance. These are formula capital funds eligible for operating expenses (OE) such as preventive maintenance costs.

Line 61: FTA Metropolitan Planning (§5303)

- Column c: Funds Earned during Period. Enter the funds earned during the period from the FTA Metropolitan Planning Program (§5303). These are funds allocated to Metropolitan Planning Organizations (MPO).

- Column d: Funds Expended on Operations. Enter the funds expended on operations during the period. These are planning activities which are an operations expense under the General Administration function on the Operating Expenses form (F-30).

Line 62: FTA Clean Fuels Program (§5308)

- Column c: Funds Earned during Period. Enter the funds earned during the period from the FTA Clean Fuel Program (§5308).
- Column d: Funds Expended on Operations. Enter the funds expended on operations during the period from §5308 funds. These items include capital maintenance expenses.
- Column e: Funds Expended on Capital. Enter the funds expended on capital during the period from §5308 funds.

Line 63, FTA Special Needs of Elderly Individuals and Individuals with Disabilities Formula Program (§5310)

- Column c: Enter the funds earned during the period from the FTA Special Needs of Elderly Individuals and Individuals with Disabilities Formula Program (§5310).
- Column d: FTA Special Needs of Elderly Individuals and Individuals with Disabilities Formula Program – Eligible Operating Assistance. Enter the funds expended on operations during the period from §5310 funds – operating assistance.
- Column e: FTA Special Needs of Elderly Individuals and Individuals with Disabilities Formula Program – Spent on Capital Projects. Enter the funds expended on capital during the period from §5310 funds.

Line 64, column d: FTA Special Needs of Elderly Individuals and Individuals with Disabilities Formula Program – Capital Assistance Spent on Operations (Including Maintenance Expenses).

- Enter the funds expended on operations during the period from §5310 funds – capital assistance. These are formula capital funds eligible for OE such as preventive maintenance costs.

Line 65, FTA Other Than Urbanized Area (§5311)

- Column c: Enter the funds earned during the period from the FTA Other Than Urbanized Area Program (§5311).
- Column d: FTA Other Than Urbanized Area Program – Eligible Operating Assistance. Enter the funds expended on operations during the period from §5311 funds – operating assistance.
- Column e: FTA Other Than Urbanized Area – Spent on Capital Projects. Enter the funds expended on capital during the period from §5311 funds.

Line 66 column d: FTA Other Than Urbanized Area – Capital Assistance Spent on Operations (Including Maintenance Expenses).

- Enter the funds expended on operations during the period from the §5311 funds – capital assistance. These are formula capital funds eligible for OE such as preventive maintenance costs.

Line 66a, FTA ARRA FTA Other Than Urbanized Area (§5311)

- Column c: Enter the funds earned during the period from the FTA ARRA Other Than Urbanized Area Program (§5311).
- Column d: ARRA FTA Other Than Urbanized Area Program – Eligible Operating Assistance. Enter the funds expended on operations during the period from FTA ARRA §5311 funds – operating assistance.
- Column e: FTA ARRA Other Than Urbanized Area – Spent on Capital Projects. Enter the funds expended on capital during the period from FTA ARRA §5311 funds.

Line 66b, column d: FTA ARRA Other Than Urbanized Area – Capital Assistance Spent on Operations (Including Maintenance Expenses).

- Enter the funds expended on operations during the period from the FTA ARRA §5311 funds – capital assistance. These are formula capital funds eligible for OE such as preventive maintenance costs.

Line 67: FTA Job Access and Commute Formula Program (§5316)

- Column c: Funds Earned during Period. Enter the funds earned during the period from the FTA Job Access and Reverse Commute Formula Program (§5316).
- Column d: Funds Expended on Operations. Enter the funds expended on operations during the period from §5316 funds. These items include capital maintenance expenses.
- Column e: Funds Expended on Capital. Enter the funds expended on capital during the period from §5316 funds.

Line 68, FTA New Freedom Program (§5317)

- Column c: Funds Earned during Period. Enter the funds earned during the period from the FTA New Freedom Program (§5317).

- Column d: FTA New Freedom Program – Eligible Operating Assistance. Enter the funds expended on operations during the period from §5317 funds – operating assistance.
- Column e: FTA New Freedom Program – Spent on Capital Projects. Enter the funds expended on capital during the period from §5310 funds.

Line 69, FTA New Freedom Program (UAF) (§5317)

- Column d: FTA New Freedom Program – Capital Assistance Spent on Operations (Including Maintenance Expenses). Enter the funds expended on operations during the period from §5317 funds – capital assistance. These are formula capital funds eligible for OE such as preventive maintenance costs.

Line 70: FTA Alternative Transportation in Parks and Public Lands (5320)

- Column c: Funds Earned during Period. Enter the funds earned during the period from the FTA Alternative Transportation in Parks and Public Lands (§5320).
- Column d: Funds Expended on Operations. Enter the funds expended on operations during the period §5320 funds. These items include capital maintenance expenses.
- Column e: Funds Expended on Capital. Enter the funds expended on capital during the period from §5320 funds.

Line 70a: ARRA TIGGER (Greenhouse Gas and Energy Reduction) funds

- Column c: Funds Earned during Period. Enter the funds earned during the period from the ARRA TIGGER (Greenhouse Gas and Energy Reduction) funds.
- Column d: Funds Expended on Operations. Enter the funds expended on operations during the period from ARRA TIGGER (Greenhouse Gas and Energy Reduction) funds. These items include capital maintenance expenses.
- Column e: Funds Expended on Capital. Enter the funds expended on capital during the period from ARRA TIGGER (Greenhouse Gas and Energy Reduction) funds.

Line 71: Other FTA Funds

- Column c: Funds Earned during Period. Enter the funds earned during the period from other FTA programs not detailed above, such as the FTA Research, Development, Demonstration and Training Projects Program (§5312) or Interstate Transfer Program.
- Column d: Funds Expended on Operations. Enter the funds expended on operations during the period other FTA programs not detailed above, such as §5312 or Interstate Transfer Program funds. These items include capital maintenance expenses.
- Column e: Funds Expended on Capital. Enter the funds expended on capital during the period from other FTA programs not detailed above, such as §5312 or Interstate Transfer Program funds.

Line 72, column d: Other FTA Funds – Capital Assistance Spent on Operations (Including Maintenance Expenses).

- Enter the funds expended on operations during the period from the Other FTA Program Funds – capital assistance.
- These are formula capital funds eligible for OE such as preventive maintenance costs.

Line 73: Total FTA Funds

- Column c: Funds Earned during Period. This is an **auto-calculated** field and cannot be edited. This field displays the total funds earned from FTA programs equal to the sum of lines 58 through 72, column c.
- Column d: Funds Expended on Operations. This is an **auto-calculated** field and cannot be edited. This field displays the total funds expended on operations from FTA programs equal to the sum of lines 58 through 72, column d.
- Column e: Funds Expended on Capital. This is an **auto-calculated** field and cannot be edited. This field displays the total funds expended on capital from FTA programs equal to the sum of lines 58 through 72, column e.

Line 74: Funds Received from other USDOT Grant Programs

- Column c: Funds Earned during Period. Enter the funds earned during the period from other USDOT grant programs.
- Column d: Funds Expended on Operations. Enter the funds expended on operations during the period from other USDOT grant programs.
- Column e: Funds Expended on Capital. Enter the funds expended on capital during the period from other USDOT grant programs.

Line 74a: ARRA TIGER (Transportation Investment Generating Economic Recovery) Multimodal Discretionary funds.

- Column c: Funds Earned during Period. Enter the funds earned during the period from ARRA TIGER (Transportation Investment Generating Economic Recovery) funds.

- Column d: Funds Expended on Operations. Enter the funds expended on operations during the period from ARRA TIGER (Transportation Investment Generating Economic Recovery) funds.
- Column e: Funds Expended on Capital. Enter the funds expended on capital during the period from ARRA TIGGER (Transportation Investment Generating Economic Recovery) funds.

Line 75: Other Federal Funds

- Column c: Funds Earned during Period. Enter the funds earned during the period from other Federal programs (Other Federal funds). Describe the sources in the **Other Federal Funds — Describe Other** field.
- Column d: Funds Expended on Operations. Enter the funds expended on operations during the period from (Other Federal funds).
- Column e: Funds Expended on Capital. Enter the funds expended on capital during the period from (Other Federal funds).

Line 76: Total Federal Funds

- Column c: Funds Earned during Period. This is an **auto-calculated** field and cannot be edited. This field displays the total Federal funds earned during the period equal to the sum of lines 73 through 75, column c.
- Column d: Funds Expended on Operations. This is an **auto-calculated** field and cannot be edited. This field displays the total Federal funds expended on operations during the period equal to the sum of lines 73 through 75, column d.
- Column e: Funds Expended on Capital. This is an **auto-calculated** field and cannot be edited. This field displays the total Federal funds expended on capital during the period equal to the sum of lines 73 through 75, column e.

Summary

Line 78, column c: Total Funds Earned During Period.

- This is an **auto-calculated** field and cannot be edited. This field displays the total funds earned during the period equal to the sum of total directly generated funds (line 30, column c), total local funds (line 43, column c), total State funds (line 56, column c) and total Federal funds (line 76, column c).

Line 79, column d: Total Funds Expended on Operations During Period. This is an **auto-calculated** field and cannot be edited.

- This field displays the total funds expended on operations during the period equal to the sum of total directly generated funds (line 30, column d), total local funds (line 43, column d), total State funds (line 56, column d) and total Federal funds (line 76, column d).

Line 80, column e: Total Funds Expended on Capital During Period. This is an auto-calculated field and cannot be edited.

- This field displays the total funds expended on capital during the period equal to the sum of total directly generated funds (line 30, column e), total local funds (line 43, column e), total State funds (line 56, column e) and total Federal funds (line 76, column e).

Line 82: ARRA Total Funds Earned during Period.

- This is an **auto-calculated** field and cannot be edited. This field displays the total ARRA funds earned during the period equal to the sum of ARRA Fixed Guideway Modernization (§5309) funds (line 58a, column c), ARRA Major Capital investment(New Starts) (§5309)funds (line 58b, column c), ARRA Urbanized Area Program (§5307) funds (line 60a, column c), ARRA TIGGER(Greenhouse Gas and Energy Reduction) funds (line 70a, column c) and ARRA TIGER Multimodal Discretionary funds (line 74a, column c).

Line 83: ARRA Total Funds Expended on Operations during Period.

- This is an **auto-calculated** field and cannot be edited. This field displays the total ARRA funds expended on operations during the period equal to the sum of ARRA Fixed Guideway Modernization (§5309) funds (line 58a, column d), ARRA Major Capital investment(New Starts) (§5309)funds (line 58b, column d), ARRA Urbanized Area Program (§5307) funds (line 60a, column d), ARRA Urbanized Area Program Funds(§5307)- Capital assistance spent on operations(including maintenance expenses) funds (line 60b, column d), ARRA TIGGER(Greenhouse Gas and Energy Reduction) funds (line 70a, column d) and ARRA TIGER Multimodal Discretionary funds (line 74a, column d).

Line 84: ARRA Total Funds Expended on Capital during Period.

- This is an **auto-calculated** field and cannot be edited. This field displays the total ARRA funds expended on capital during the period equal to the sum of ARRA Fixed Guideway Modernization (§5309) funds (line 58a, column e), ARRA Major Capital investment(New Starts) (§5309)funds (line 58b, column e), ARRA Urbanized Area Program (§5307) funds (line 60a, column e), ARRA TIGGER(Greenhouse Gas and Energy Reduction) funds (line 70a, column e) and ARRA TIGER Multimodal Discretionary funds (line 74a, column e).

Uses of Capital form (F-20)

NTD Internet Reporting - Uses of Capital (F-20) Logout

NTD ID: 0000 Agency Name: NTD Reporting Agency, Inc. Report: RY 2008

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Form Name: Uses of Capital (F-20) Add Form Note Close Form

Rehabilitation / Reconstruction / Replacement / Improvement for Existing Service

line	Item	a Guideway	b Passenger Stations	c Administrative Buildings	d Maintenance Buildings	e Revenue Vehicles	f Service Vehicles (non-revenue)	g Fare Revenue Collection Equipment	h Communication and Information Systems	i Other	j Total
1a	[Mode] [Service]										
2a	[Mode] [Service]										
#a	Total										

Expansion of Service

		a Guideway	b Passenger Stations	c Administrative Buildings	d Maintenance Buildings	e Revenue Vehicles	f Service Vehicles (non-revenue)	g Fare Revenue Collection Equipment	h Communication and Information Systems	i Other	j Total
1b	[Mode] [Service]										
2b	[Mode] [Service]										
#b	Total										

Total of All Uses of Capital

		a Guideway	b Passenger Stations	c Administrative Buildings	d Maintenance Buildings	e Revenue Vehicles	f Service Vehicles (non-revenue)	g Fare Revenue Collection Equipment	h Communication and Information Systems	i Other	j Total
1c	[Mode] [Service]										
2c	[Mode] [Service]										
#c	Total										

Save Close Print

Uses of Capital form (F-20) – Grants Reporting

NTD Internet Reporting - Uses of Capital (F-20) Active G Logout

NTD ID: 0000 Agency Name: NTD Reporting Agency, Inc. Report: RY 2008

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Form Name: Uses of Capital (F-20) ActiveG Add Form Note Close Form

Expansion of Service

	Mode	Service	a Guideway	b Passenger Stations	c Administrative Buildings	d Maintenance Buildings	e Revenue Vehicles	f Service Vehicles (non-revenue)	g Fare Revenue Collection Equipment	h Communication and Information Systems	i Other	j Total
1b	Mode	Service										
2b	Mode	Service										
#b	Total											

Total of All Uses of Capital

	Mode	Service	a Guideway	b Passenger Stations	c Administrative Buildings	d Maintenance Buildings	e Revenue Vehicles	f Service Vehicles (non-revenue)	g Fare Revenue Collection Equipment	h Communication and Information Systems	i Other	j Total
1c	Mode	Service										
2c	Mode	Service										
#c	Total											

Close Save Print

Overview

The Uses of Capital form (F-20) form details the amount of funds expended by category of capital asset and by project classification as either an improvement for existing transit services or expansion of service.

Reporting Requirements and Thresholds

All transit agencies must complete this form. You should complete one form. The form lists each mode and type of service (TOS) identified on the Identification form (B-10).

What Has Changed from Prior Year

There is one change for the 2011 report year:

1. Clarification on reporting planning and service development activities.

Approach

This form collects capital expenses by mode and TOS, and by nine project categories classified as either improvements for existing transit services or expansion for new services.

The project categories are:

- Guideway
- Passenger stations
- Administrative buildings
- Maintenance buildings
- Revenue vehicles
- Service vehicles (non-revenue)
- Fare revenue collection equipment
- Communications and information systems
- Other.

Projects are further classified by whether the capital projects are for:

- Rehabilitation, reconstruction or replacement projects for existing transit services, or
- Expansion of service resulting in new capital projects.

These two classifications are then summarized into total expenditures by the nine project categories for each mode by TOS.

Capital expenses are expenses for items of tangible property that have a useful life of more than one year and an acquisition cost threshold consistent with Federal and local requirements. The cost threshold by FTA requirements is at least $5,000 or a lesser level if used by the agency for its financial statements.

Transit agencies often report planning and service development costs as operating expenses on the Operating Expenses form (F-30) rather than as capital expenses. Once a commitment is made for a specific capital project, these costs are capital expenses on the Capital Funding form (F-20).

The following discusses five major concepts necessary to complete the F-20 form:

1. Accrual accounting
2. Relationship to sources of funds
3. Capital maintenance expenses
4. Purchased transportation (PT)
5. Project classification.

Accrual Accounting

Capital expenses are reported using the accrual accounting principle that expenses are reported in the period they are incurred; i.e., the year in which they result in liabilities for benefits received, regardless of whether or not the expenditure is paid during the reporting period.

Relationship to Sources of Funds

The total capital expenses reported on the F-20 form must equal the total funds expended for capital reported on the F-10 form.

Capital Maintenance Expenses

Operating expenses (OE) that are paid with capital funds are not reported on this form. The Uniform System of Accounts (USOA) defines operating expenses (Section 5.2) regardless of grant eligibility for Federal capital assistance. You should go to the Operating Expenses form (F-30) for reporting capital maintenance expenses.

Purchased Transportation

You should report all capital expenditures made by your transit agency for transit, whether the expenditures are used for DO service or for PT service. You should not report capital expenditures incurred by your PT provider in your report.

For the rare cases when your transit agency is a seller and files a separate NTD Annual report the following apply:

- If your transit agency is a private for profit or private non-profit seller filing a separate report, you should not report capital expenditures.
- If your transit agency is a public agency that is a seller of service, you should report capital expenditures.

Contracts for PT service are reported to NTD on an annual basis and contractors may vary from year-to-year. Also, capital projects by definition have a useful life of more than one year. Thus, it is unusual that a contractor, unless it is a public agency, would acquire capital equipment solely for use in a particular contract. More often, if equipment is dedicated to PT services, it is acquired by the buyer of service and provided to the contractor under the PT agreement. Therefore, for NTD, except for public agency sellers, all capital expenditures relating to PT services are reported by the buyer, whether the PT services are contained within the buyer's NTD Annual report or filed by the seller in a separate NTD Annual report.

Project Classification

There are three parts to capital project classification necessary for completing this form:

1. Determining the project need as an improvement to existing services or expansion for new service
2. Determining the appropriate mode and TOS
3. Determining the project category when there are multiple uses for the project.

The following provides the rules that transit agencies should follow. These rules simplify reporting requirements.

Capital Project Need

Project need is classified into two categories:

1. Improvements relating to existing transit services through rehabilitation, reconstruction or replacement of capital
2. Capital for expansion of service (e.g., light rail (LR) line extension), implementing new services (e.g., new mode of service) or building a new facility to accommodate planned services.

In classifying a project as an improvement relating to existing transit services or as new capital for expansion of service, you should refer to the project justification in grant applications and other documents used in their capital projects program.

When a project need is a combination of these two categories, you should report the capital project cost attributed to each category. An example follows the discussion of these two categories.

Improvements for Existing Transit Services

Improvements relating to existing transit services are done to extend their useful life or to replace existing equipment and buildings that have become obsolete. Typical projects may be rehabilitating a bus, doing midlife overhaul on rail passenger cars, re-roofing a maintenance facility or replacing an obsolete garage or vehicles that have reached their useful life. As long as the improvement extends the useful life of the equipment or replaces capital for existing transit services, you should report the project as an improvement for existing transit services.

Expansion of Transit Service

Expansion of service requires new capital equipment. Expansion of service may be for capital projects such as the extension of a rail line, or starting a new mode of service, or buying additional buses for new MB routes in developing areas, or constructing an additional maintenance facility for planned expansions of service.

Expansions should be for committed plans to implement new services. A project may also have elements of both improvements and expansion. If a project is both an improvement and an expansion, you should prorate the project between the two project needs. These concepts are illustrated in the following example.

Example 9 — Reporting Project Need Classification

Example 1: A transit agency decides to rehabilitate an existing maintenance / operating garage, designed for 200 revenue vehicles, by replacing the roof and updating electrical, heating and air conditioning systems. At the same time, the agency has increased its transit services and the maintenance garage needs to be expanded to accommodate 275 revenue vehicles that are currently operating out of the garage. How would the project be reported?
Solution: The project is reported only as an improvement. Even though the project involves expanding the size of the facility, the project is necessary for existing transit services. You should report the project under maintenance buildings in the rehabilitation / reconstruction / replacement / improvements section of the form.

Example 2: A transit agency decides to replace an existing, obsolete garage. The transit agency decides to expand the size of the facility as well even though it currently does not need the additional capacity, nor does it have any commitments for increases in transit services that would require additional revenue vehicles. How should the project be reported?
Solution: You should report the garage under maintenance buildings in the rehabilitation / reconstruction / replacement / improvements section of the form since there are no commitments for expansion of service.

Example 3: A transit agency decides to replace an existing, obsolete garage. The transit agency is also committed to implement new transit services, phased in over the next several years, which will require additional revenue vehicles. Therefore, the replacement garage is bigger than the original garage in order to handle these new services. How should the project be reported?
Solution: In this case, there is a commitment for expansion of services and therefore, you should report the project as both rehabilitation / reconstruction / replacement / improvements and an expansion. You should report the project costs under maintenance buildings in the rehabilitation / reconstruction / replacement / improvements section of the form for the part of the project that replaces the original garage. You should report the project costs under maintenance buildings in the expansion section of the form for the part of the project that accommodates the new transit services.

Example 4: A transit agency purchases 50 new buses (MB). The agency is replacing 40 MB that have reached their useful life and acquiring 10 MB for new services to developing suburbs. How would the project be reported?
Solution: You should report the cost of the 40 replacement buses under revenue vehicles in the improvements section of the form. The 10 MB for expansion of service under revenue vehicles in the expansion section of the form since these MB are for services not previously operated.

Multiple Modes and Types of Service

Some capital projects may apply to more than one mode or TOS. You should report the project for one mode and TOS based on the predominant use. Predominant use should be determined by:

- The primary reason why the project was constructed or acquired, or
- How it is used as measured by:
  - The amount of passengers served by mode or TOS for passenger facilities
  - The square footage or number of revenue vehicles serviced for non-passenger facilities such as maintenance garages.

Multiple Capital Project Categories

Sometimes a project fits more than one capital project category. You should report the project for one mode and TOS based on the predominant use.

The following are examples of how to report predominant use.

Example 10 — Reporting Predominant Use

Example 1: A transit agency builds a new heavy rail (HR) passenger station on a new rail line extension. The station is also served by MB mode for both DO and PT services. Passengers also use the rail station as a transfer center between MB routes. Overall, there are more MB users than HR users. How would the station be reported?
Solution: The primary reason the station was constructed was to serve rail passengers even though there may be more MB transit users than HR users. You should report the project under HR mode in the expansion section of the form.

Example 2: A transit agency builds a transit center building for its MB, demand response (DR) and vanpool (VP) services. The center serves as the major hub for passenger transfers between the modes. More MB riders use the center than DR or VP riders. Previously, the site consisted of a few off-street passenger shelters. How would the transit center be reported?
Solution: There are more passengers for MB than DR or VP. You should report the project under MB mode. Since the site and the transit services previously existed, you should report the project under the rehabilitation / reconstruction / replacement / improvements section of the form.

Example 3: A transit agency builds a new maintenance garage to accommodate new transit services. The garage is used for both MB and DR services. The garage has a design capacity for 200 buses and 50 DR revenue vehicles. How would the garage be reported?
Solution: You should report the project under MB mode since it has the larger design capacity. You should report it under maintenance buildings in the expansion section of the form since it accommodates new services.

Example 4: A large transit agency directly operates LR, MB and DR services and purchases ferryboat (FB) and VP service. It is replacing its administrative headquarters building. Most transit users are MB riders. Under which mode and type of service (TOS) should the administrative building be reported?
Solution: You should report the building under administrative buildings for MB DO under the rehabilitation / reconstruction / replacement / improvements portion of this form as an improvement for existing transit services. You report it under MB DO since it carries the largest number of riders and probably incurs the most administrative operating expenses.

Example 5: A small transit agency just beginning service builds a new garage. The agency operates only DR service. The garage also serves as the agency's administrative office. How would the garage be reported?
Solution: You should report the garage as DR under maintenance buildings since the primary reason the garage exists is to service DR vehicles. You should report it in the expansion section of the form since this is not a replacement of an existing building.

Detailed Instructions

There is one form for all modes and TOS. Internet Reporting automatically generates rows for each applicable mode and TOS.

If your transit agency did not have any capital expenditures during the report year, you should use the Check List box at the top of the form to indicate form not applicable. You should save and exit the form.

Within each of the nine categories of projects, you should classify projects by the project need determined by whether these are:

- Improvements for existing transit services through rehabilitation, reconstruction or replacement projects, or
- Capital for expansion of transit service (e.g., LR line extension), implementing new services (e.g., new mode of service) or building a new facility to accommodate planned services.

You should divide project cost into each classification if the project involves both classes.

You also should select the predominant use when a project applies to more than one mode or TOS, or to more than one project category.

These two project need classifications are automatically totaled in Internet Reporting.

As a general rule, projects include all equipment and furniture integral to buildings and structures.

Guideway

You should report capital expenses for guideway including the costs for design and engineering, land acquisition and relocation, demolition, and purchase or construction of guideway.

Guideway includes the buildings and structures dedicated for the operation of transit vehicles such as at grade, elevated and subway structures, tunnels, bridges, track and power systems for rail modes; paved highway lanes dedicated to MB mode.

Guideway does not include passenger stations and transfer facilities, bus pull-ins or communication systems (e.g., cab signaling and train control).

Passenger Stations

You should report capital expenses for passenger stations, including the costs for design and engineering, land acquisition and relocation, demolition, and purchase or construction of the stations. Passenger stations include park-and-ride facilities.

Station Criteria

The most important step is to determine what is considered a passenger station. The intent is to capture significant structures in separate rights-of-way (ROW). This usually means a platform area for rail modes and something more than a street stop or street side passenger shelter for non-rail modes.

The following rules apply:

- All rail passenger facilities (except LR and cable car (CC)) are stations.
- All LR and CC passenger facilities in a separate right-of-way (ROW) that have platforms are stations.
- All MB and trolleybus (TB) passenger facilities in a separate ROW that have an enclosed structure (building) for passengers for such items as ticketing, information, restrooms, concessions, telephones are stations.
- Stops on-street or in medians for CC, LR, MB, and TB are not stations if at most they have shelters, canopies, lighting, signage or ramps for accessibility requirements i.e., no separate, enclosed buildings.
- All transportation, transit or transfer centers, park-and-ride facilities and transit malls, if they have an enclosed structure (building) for passengers for such items as ticketing, information, restrooms, concessions, and telephones are stations.

You should include platforms, shelters, parking and crime prevention and security equipment at stations. You should not include shelters located at on-street bus stops. These are reported under other capital projects.

Administrative Buildings

You should report capital expenses for administrative buildings, including the costs for design and engineering, land acquisition and relocation, demolition, and purchase or construction of the administrative buildings.

Administrative buildings are the general administrative offices owned by your transit agency. Administrative buildings usually house the executive management and supporting activities for overall transit operations such as accounting, finance, engineering, legal, safety, security, customer services, scheduling and planning. They include separate buildings for customer information or ticket sales that are owned by your transit agency and which are not part of passenger stations. See the general administrative function (160) in the F-30 form for activities usually performed in administrative buildings.

Maintenance Buildings

You should report capital expenses for maintenance buildings, including the costs for design and engineering, land acquisition and relocation, demolition, and purchase or construction of the maintenance buildings.

Maintenance buildings include garages, shops (e.g., body, paint, machine) and operations centers, Include in maintenance buildings, equipment that enhances the maintenance function for example bus diagnostic equipment. You should not include information systems such as computers that are used to process maintenance data.

Revenue Vehicles

You should report the capital expenses for revenue vehicles, including acquisition and major rehabilitation of revenue vehicles.

Revenue vehicles are the vehicles used in providing transit service for passengers. As a capital project, revenue vehicles include the body and chassis and all fixtures and appliances inside or attached to the body or chassis, except fare collection equipment and revenue vehicle movement control equipment (radios). For rubber-tired vehicles, it includes the cost of one set of tires and tubes to make the vehicle operational, if the tires and tubes are owned by your transit agency.

Capital funds for revenue vehicles may be used for:

- Replacement (fleet) — the replacement of revenue vehicles having reached the end of a minimum normal service life.

- Rehabilitation (fleet) — the rebuilding of revenue vehicles to original specifications of the manufacture. Rebuilding may include some new components but has less emphasis on structural restoration than would be the case in a remanufacturing operation, focusing on mechanical systems and vehicle interiors.
- Remanufacture (fleet) — the structural restoration of revenue vehicles in addition to installation of new or rebuilt major components (e.g., engines, transmissions, body parts) to extend service life.
- Rail overhaul (fleet) — the one-time rebuild or replacement of major subsystems on revenue producing rail cars and locomotives, commonly referred to as midlife overhaul.
- Expansion (fleet) — the acquisition of revenue vehicles for expansion of transit service.

Service Vehicles

You should report the capital expenses for the acquisition or rehabilitation of service vehicles.

Service vehicles are vehicles that are not used in providing transit service for passengers (e.g., supervisor vans, tow trucks, mobile repair trucks, transit police cars and staff cars).

Fare Revenue Collection Equipment

You should report the capital expenses for the acquisition or rehabilitation of fare revenue collection equipment.

Fare revenue collection equipment includes turnstiles, fare boxes (drop), automated fare boxes and related software, money changers and fare dispensing machines (tickets, tokens, passes).

Communications and Information Systems

You should report the capital expenses for systems. There are two types of systems:

1. Information systems which process information
2. Communications systems that relay information between locations.

A system is a group of devices or objects forming a network especially for distributing something or serving a common purpose (e.g., telephone, data processing systems).

Communication systems include two-way radio systems for communications between dispatchers and vehicle operators, cab signaling and train control equipment in rail systems, automatic vehicle locator systems, automated dispatching systems, vehicle guidance systems, telephones, facsimile machines and public address systems.

Information systems include computers, monitors, printers, scanners, data storage devices and associated software that support transit operations such as general office, accounting, scheduling, planning, vehicle maintenance, non-vehicle maintenance and customer service functions.

For NTD reporting, you must distinguish between: 1) equipment that collects information and 2) equipment that processes that information. For example, you should report a bus diagnostic machine as part of a maintenance building but you should report the computer that processes the data under systems.

Other

You should report the expense for other capital projects including:

- Furniture and equipment that are not an integral part of buildings and structures
- Shelters, signs and passenger amenities (e.g., benches) not in passenger stations.

Line by Line Instructions Uses of Capital form (F-20)

Completing the Uses of Capital form (F-20)

You should complete one form by mode and type of service (TOS).

Form Level Help: You should click on the **Help** tab at the top of the screen for form level help.

Form Notes: A form note can be attached to any form. You should use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. You should click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. You should not use the **Form Notes** feature to answer issues generated from this form. From the **Issues** tab you should use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: You should click on the **Save** button prior to exiting the form and continuing with the report. You should click on the **Close** button at the bottom of the screen to close the form without saving.

Check-box: If your transit agency did not have any capital expenditures during the report year for any modes and TOS, you should click the **Check-box**, save and exit the form.

Rehabilitation / Reconstruction / Replacement / Improvements for Existing Transit Services

Column a: Guideway. By mode and TOS

- Enter the capital expenses for rehabilitation / reconstruction / replacement improvements for existing transit services for guideway including the costs for design and engineering, land acquisition and relocation, demolition, and purchase or construction of guideway. Guideway does not include passenger stations and transfer facilities, bus (pull-ins or communication systems (e.g., cab signaling and train control). Does not apply to demand response (DR), demand response-taxi (DT), jitney (JT), publico (PB), vanpool (VP) and ferryboat (FB) modes.

Column b: Passenger Stations. By mode and TOS

- Enter the capital expenses for rehabilitation / reconstruction / replacement improvements for existing transit services for passenger stations, including the costs for design and engineering, land acquisition and relocation, demolition, and purchase or construction of the stations. Passenger stations include park-and-ride facilities. Include platforms, shelters, parking and crime prevention and security equipment at stations. Do not include shelters located at on-street bus stops. These are reported under other capital projects.

Column c: Administrative Buildings. By mode and TOS

- Enter the capital expenses for rehabilitation / reconstruction / replacement improvements for existing transit services for administrative buildings, including the costs for design and engineering, land acquisition and relocation, demolition, and purchase or construction of the administrative buildings. Include furniture and equipment that are integral to the building.

Column d: Maintenance Buildings. By mode and TOS

- Enter the capital expenses for rehabilitation / reconstruction / replacement improvements for existing transit services for maintenance buildings, including the costs for design and engineering, land acquisition and relocation, demolition, and purchase or construction of the maintenance buildings. Include equipment that enhances the maintenance function for example bus diagnostic equipment, as well as furniture and equipment that are integral to the building. Do not include information systems such as computers that are used to process maintenance data.

Column e: Revenue Vehicles. By mode and TOS

- Enter the capital expenses for rehabilitation / reconstruction / replacement improvements for existing transit services for revenue vehicles, including acquisition and major rehabilitation of revenue vehicles. As a capital project, revenue vehicles include the body and chassis and all fixtures and appliances inside or attached to the body or chassis, except fare collection equipment and revenue vehicle movement control equipment (radios). For rubber-tired vehicles, it includes the cost of one set of tires and tubes to make the vehicle operational, if the tires and tubes are owned by your transit agency. Capital funds for revenue vehicles may be used for: Replacement (fleet), Rehabilitation (fleet), Remanufacture (fleet) and Rail overhaul (fleet).

Column f: Service Vehicles (non-revenue). By mode and TOS

- Enter the capital expenses for rehabilitation / reconstruction / replacement improvements for existing transit services for the acquisition or rehabilitation of service vehicles.

Column g: Fare Revenue Collection Equipment. By mode and TOS

- Enter the capital expenses for rehabilitation / reconstruction / replacement improvements for existing transit services for the acquisition or rehabilitation of fare revenue collection equipment.

Column h: Communications and Information Systems. By mode and TOS

- Enter the capital expenses for rehabilitation / reconstruction / replacement improvements for existing transit services for information systems and communication systems. In reporting, it is necessary to distinguish between equipment that collects information and equipment that processes that information. For example, a bus diagnostic machine should be reported as part of a maintenance building but the computer that processes the data should be reported in systems.

Column i: Other Capital Projects. By mode and TOS

- Enter the capital expenses for rehabilitation / reconstruction / replacement improvements for existing transit services for other capital projects.

Column j: Total Capital Expenditures — By mode and TOS

- This is an **auto-calculated** field and cannot be edited. This field displays, by mode and TOS, the total capital expenses for rehabilitation / reconstruction / replacement improvements for existing transit services equal to the sum of columns a through i.

Columns a – j: Total Capital Expenditures — Project Category

- These are **auto-calculated** fields and cannot be edited. These fields display, by project category, the total capital expenses for rehabilitation / reconstruction / replacement improvements for existing transit services equal to the sum of all modes and TOS.

Expansion of Service

Column a: Guideway. By mode and TOS

- Enter the capital expenses for expansion of service for guideway including the costs for design and engineering, land acquisition and relocation, demolition, and purchase or construction of guideway. Guideway does not include passenger stations and transfer facilities, bus pull-ins or communication systems (e.g., cab signaling and train control). Does not apply to DR, JT, PB, VP and FB modes.

Column b: Passenger Stations. By mode and TOS

- Enter the capital expenses for expansion of service for existing transit services for passenger stations, including the costs for design and engineering, land acquisition and relocation, demolition, and purchase or construction of the stations. Passenger stations include park-and-ride facilities. Include platforms, shelters, parking and crime prevention and security equipment at stations. Do not include shelters located at on-street bus stops. These are reported under other capital projects.

Column c: Administrative Buildings. By mode and TOS

- Enter the capital expenses for expansion of service for administrative buildings, including the costs for design and engineering, land acquisition and relocation, demolition, and purchase or construction of the administrative buildings. Include furniture and equipment that are integral to the building.

Column d: Maintenance Buildings. By mode and TOS

- Enter the capital expenses for expansion of service for maintenance buildings, including the costs for design and engineering, land acquisition and relocation, demolition, and purchase or construction of the maintenance buildings. Include equipment that enhances the maintenance function for example bus diagnostic equipment, as well as furniture and equipment that are integral to the building. Do not include information systems such as computers that are used to process maintenance data.

Column e: Revenue Vehicles. By mode and TOS

- Enter the capital expenses for expansion of service for revenue vehicles, including acquisition and major rehabilitation of revenue vehicles. As a capital project, revenue vehicles include the body and chassis and all fixtures and appliances inside or attached to the body or chassis, except fare collection equipment and revenue vehicle movement control equipment (radios). For rubber-tired vehicles, it includes the cost of one set of tires and tubes to make the vehicle operational, if the tires and tubes are owned by your transit agency. Capital funds for revenue vehicles may be used for Expansion (fleet).

Column f: Service Vehicles (non-revenue). By mode and TOS

- Enter the capital expenses for expansion of service for the acquisition of service vehicles.

Column g: Fare Revenue Collection Equipment. By mode and TOS

- Enter the capital expenses expansion of service for the acquisition of fare revenue collection equipment.

Column h: Communications and Information Systems. By mode and TOS

- Enter the capital expenses for expansion of service for information systems and communication systems. In reporting systems, it is necessary to distinguish between equipment that collects information and equipment that processes that information. For example, a bus diagnostic machine should be reported as part of a maintenance building but the computer that processes the data should be reported in systems.

Column i: Other Capital Projects. By mode and TOS

- Enter the capital expenses for expansion of service for other capital projects.

Column j: Total Capital Expenditures — Mode and TOS

- This is an **auto-calculated** field and cannot be edited. This field displays, by mode and TOS, the total capital expenses for expansion of service equal to the sum of columns a through i.

Columns a – j: Total Capital Expenditures — Project Category

- These are **auto-calculated** fields and cannot be edited. These fields display, by project category, the total capital expenses for expansion of service equal to the sum of all modes and TOS.

Total of All Uses of Capital

Column a: Guideway

- This is an **auto-calculated** field and cannot be edited. This field displays, by mode and TOS, the sum of capital expenses for guideway equal to rehabilitation / reconstruction / replacement improvements for existing transit services and expansion of service. Does not apply to DR, JT, PB, VP and FB modes.

Column b: Passenger Stations

- This is an **auto-calculated** field and cannot be edited. This field displays, by mode and TOS, the sum of capital expenses for passenger stations equal to rehabilitation / reconstruction / replacement improvements for existing transit services and expansion of service.

Column c: Administrative Buildings

- This is an **auto-calculated** field and cannot be edited. This field displays, by mode and TOS, the sum of capital expenses for administrative buildings equal to rehabilitation / reconstruction / replacement improvements for existing transit services and expansion of service.

Column d: Maintenance Buildings

- This is an **auto-calculated** field and cannot be edited. This field displays, by mode and TOS, the sum of capital expenses for maintenance buildings equal to rehabilitation / reconstruction / replacement improvements for existing transit services and expansion of service.

Column e: Revenue Vehicles

- This is an **auto-calculated** field and cannot be edited. This field displays, by mode and TOS, the sum of capital expenses for revenue vehicles equal to rehabilitation / reconstruction / replacement improvements for existing transit services and expansion of service.

Column f: Service Vehicles (non-revenue)

- This is an **auto-calculated** field and cannot be edited. This field displays, by mode and TOS, the sum of capital expenses for service vehicles (non-revenue) equal to rehabilitation / reconstruction / replacement improvements for existing transit services and expansion of service.

Column g: Fare Revenue Collection Equipment

- This is an **auto-calculated** field and cannot be edited. This field displays, by mode and TOS, the sum of capital expenses for fare revenue collection equipment equal to rehabilitation / reconstruction / replacement improvements for existing transit services and expansion of service.

Column h: Communications and Information Systems

- This is an **auto-calculated** field and cannot be edited. This field displays, by mode and TOS, the sum of capital expenses for systems equal to rehabilitation / reconstruction / replacement improvements for existing transit services and expansion of service.

Column i: Other Capital Projects

- This is an **auto-calculated** field and cannot be edited. This field displays, by mode and TOS, the sum of capital expenses for other capital projects equal to rehabilitation / reconstruction / replacement improvements for existing transit services and expansion of service.

Column j: Total Capital Expenditures — Mode and TOS

- This is an **auto-calculated** field and cannot be edited. This field displays, by mode and TOS, the total capital expenses for rehabilitation / reconstruction / replacement improvements for existing transit services and expansion of service equal to the sum of columns a through i.

Columns a – j: Total Capital Expenditures — Project Category

- These are **auto-calculated** fields and cannot be edited. These fields display, by project category, the total capital expenses for rehabilitation / reconstruction / replacement improvements for existing transit services and expansion of service equal to the sum of all modes and TOS.

Operating Expenses form (F-30)

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Form Name: Operating Expenses (F-30) **Mode:** LR **Service:** DO Close Form

Line Expense Object Class	a Vehicle Operations 010 Total	b Vehicle Maintenance 041 Total	c Non-Vehicle Maintenance 042 Total	d General Administration 160 Total	e Total Modal Expenses
Labor (501)					
01 Operators' salaries and wages (01)					
02 Other salaries and wages (02)					
03 **Fringe Benefits (502)**					
04 **Services (503)**					
Materials and Supplies (504)					
05 Fuel and lubricants (01)					
06 Tires and tubes (02)					
07 Other materials and supplies (99)					
08 **Utilities (505)**					
09 **Casualty and Liability Costs (506)**					
10 **Taxes (507)**					
13 **Miscellaneous Expenses (509)**					
14 **Expense Transfers (510)**					
15 **Total Modal Expenses**					

Close Print

Home | e-File | Annual | Monthly Ridership | Safety & Security | Notes | Issues | Reports | Communications | Sys Admin | Search | Summary | Help

Form Name: Operating Expenses (F-30) **Mode:** LR **Service:** PT Close Form

Line Expense Object Class	a Vehicle Operations 010 Total	b Vehicle Maintenance 041 Total	c Non-Vehicle Maintenance 042 Total	d General Administration 160 Total	e Total Modal Expenses
Labor (501)					
01 Operators' salaries and wages (01)					
02 Other salaries and wages (02)					
03 **Fringe Benefits (502)**					
04 **Services (503)**					
Materials and Supplies (504)					
05 Fuel and lubricants (01)					
06 Tires and tubes (02)					
07 Other materials and supplies (99)					
08 **Utilities (505)**					
09 **Casualty and Liability Costs (506)**					
10 **Taxes (507)**					
Purchased Transportation (508)					
11 In Report (01)					
12 Filing Separate Report (02)					
13 **Miscellaneous Expenses (509)**					
14 **Expense Transfers (510)**					
15 **Total Modal Expenses**					

The sum of the total on line 11 should equal the sum of lines 06 and 07 of the B-30s for service included in this report for this mode ($10,851,700)

The sum of the total of lines 01 - 10 and 13 - 14, should equal the total of B-30s, line 08 for all service reported as purchased transportation for this mode ($6,581,390)

The total of line 15 should equal the total of the B-30s, line 09, total operating expenses for all service reported as purchased transportation for this mode in both this report and filing a seperate report ($17,433,090)

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Form Name: Operating Expenses (F-30) **Mode:** DR **Service:** DO Close Form

Line Expense Object Class	a Vehicle Operations 010 Total	b Vehicle Maintenance 041 Total	c Non-Vehicle Maintenance 042 Total	d General Administration 160 Total	e Total Modal Expenses
Labor (501)					
01 Operators' salaries and wages (01)					
02 Other salaries and wages (02)					
03 **Fringe Benefits (502)**					
04 **Services (503)**					
Materials and Supplies (504)					
05 Fuel and lubricants (01)					
06 Tires and tubes (02)					
07 Other materials and supplies (99)					
08 **Utilities (505)**					
09 **Casualty and Liability Costs (506)**					
10 **Taxes (507)**					
13 **Miscellaneous Expenses (509)**					
14 **Expense Transfers (510)**					
15 **Total Modal Expenses**					
16 **Americans with Disabilities Act of 1990 (ADA)-Related Expenses**					

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Form Name: Operating Expenses (F-30) **Mode:** DR **Service:** PT Close Form

Line Expense Object Class	a Vehicle Operations 010 Total	b Vehicle Maintenance 041 Total	c Non-Vehicle Maintenance 042 Total	d General Administration 160 Total	e Total Modal Expenses
Labor (501)					
01 Operators' salaries and wages (01)					
02 Other salaries and wages (02)					
03 **Fringe Benefits (502)**					
04 **Services (503)**					
Materials and Supplies (504)					
05 Fuel and lubricants (01)					
06 Tires and tubes (02)					
07 Other materials and supplies (99)					
08 **Utilities (505)**					
09 **Casualty and Liability Costs (506)**					
10 **Taxes (507)**					
Purchased Transportation (508)					
11 In Report (01)					
12 Filing Separate Report (02)					
13 **Miscellaneous Expenses (509)**					
14 **Expense Transfers (510)**					
15 **Total Modal Expenses**					
16 **Americans with Disabilities Act of 1990 (ADA)-Related Expenses**					

The sum of the total on line 11 should equal the sum of lines 06 and 07 of the B-30s for service included in this report for this mode ($1,555,778)

The sum of the total of lines 01 - 10 and 13 - 14, should equal the total of B-30s, line 08 for all service reported as purchased transportation for this mode ($476,429)

The total of line 15 should equal the total of the B-30s, line 09, total operating expenses for all service reported as purchased transportation for this mode in both this report and filing a seperate report ($2,032,207)

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Overview

The purpose of the Operating Expenses form (F-30) is to collect data on your transit agency's operating expenses (OE) using the Uniform System of Accounts (USOA).

Reporting Requirements and Thresholds

All transit agencies must complete this form. You should complete one form for each mode and type of service (TOS).

What Has Changed from Prior Year

There are two changes for the 2011 Report Year:

1. Clarification on reporting planning and service development activities.
2. Inclusion of the USOA function equivalency chart.

Approach

This form collects OE which are those expenses associated with the day-to-day operation of your transit agency. They are collected using the Uniform System of Accounts (USOA), which establishes standard definitions for functions or activities performed and object classes or categories of expenditures such as labor, fringe expenses and materials (Sections 5.2 and 6.2 of the USOA).

You need to understand the following concepts to correctly complete the F-30 form:

- Accrual accounting
- Treatment of capital maintenance expenses
- Treatment of incidental transit service
- Cost allocation for resources shared by modes or types of service (TOS)
- Treatment of vanpools (VP)
- Treatment of vehicle leases and depreciation costs.

Accrual Accounting

Operating expenses are reported using the accrual accounting principle that OE are reported in the year they are incurred, i.e., the year in which they result in liabilities for benefits received, regardless of whether or not the expenditure is paid during the reporting period.

Capital Maintenance Expenses

Operating expenses are defined in Section 5.2 of the USOA, regardless of grant eligibility for Federal capital assistance. You should report all maintenance expenses, which are OE that are paid with capital funds, on this form.

For example, preventive maintenance costs reported on the F-30 form are eligible for Federal capital assistance in FTA programs. For the purpose of Federal funding assistance under FTA programs, preventive maintenance costs are defined as all maintenance costs reported under functions 041, vehicle maintenance, and 042, non-vehicle maintenance, on the F-30 form.

The FTA funds expended on (applied to) these capital maintenance expenses are reported as funds expended on (applied to) operations on the F-10.

Incidental Transit Service

There are times when existing transit services cannot meet demand. Transit agencies provide alternate ways to accommodate transit riders. This often occurs for:

- Employer-based Guaranteed Ride Home (GRH) program where the transit agency works with employers to ensure employees who took transit to work and who must leave work for a personal emergency (illness, family crisis) or have unscheduled overtime, have a ride home. There are often limits on the number of times an employee or company may use the GRH.
- Service interruptions (e.g., vehicle breakdown) and a replacement vehicle is not available; or an accident on light rail tracks so passengers must transfer to a bus line
- Cancellation of a reserved passenger trip in the demand response mode (vehicle or driver unavailable).

As these occurrences are infrequent, the alternate transit services are “incidental” to the regular mode of service.

Transit agencies provide incidental services typically in one of two ways:

1. Taxicabs—reimbursing or providing vouchers to pay for the cost of the ride
2. Transit agency--using vehicles available from another mode or service vehicles (such as a supervisor van and its driver) to provide the ride.

Report the cost of incidental services in the mode where the unforeseen event occurred as a miscellaneous expense. For the light rail accident described above, report the costs under light rail mode, not bus mode. Substituting with taxi service does not require a separate Contractual Relationship (B-30) form since the costs will be part of the normal transit mode used.

Cost Allocation

All OE for transit operations must be fully allocated to functions by mode and TOS for NTD Annual reporting. To fully allocate OE you should:

- Determine which expenses or costs are direct costs and can be easily traced to a particular mode and TOS.
- Determine which expenses or costs are joint expenses or shared costs. These costs are incurred for the benefit of more than one mode or TOS and cannot be easily traced to a specific mode or TOS.
- Allocate joint expenses or shared costs to each mode and TOS.

Examples of direct costs are:

- Labor expenses for operators who work only on MB service
- Tires and tubes expenses for directly operated (DO) demand response (DR) vehicles
- Schedule printing costs incurred by your transit agency for the MB service operated under a purchased transportation (PT) contract
- Printing expenses for ticket issued for DO commuter rail (CR) service
- Gasoline expenses for vans in DR mode when your transit agency tracks fuel consumption by vehicle at the fueling island or station.

Examples of joint expenses are:

- Salary expenses for the general manager who is responsible for the provision of MB and DR services
- Electric utility expenses for a garage that serves both MB and DR vehicles
- Outside audit services that are used annually to meet State and local requirements for a transit agency that provides DO MB service and PT DR service.

There are many ways to allocate costs. This discussion of allocating joint expenses is based on the publication Fully Allocated Cost Analysis Guidelines for Public Transit Providers (April 1987), which provides a comprehensive review of fully allocated cost analysis, cost allocation variables, and the development and application of cost models. Approaches include a one variable unit cost model and a three variable unit cost model, as well as an example of a cost build up approach using vehicle hours, vehicle miles and peak vehicles. Peak vehicles are equivalent to vehicles operated in annual maximum service (VOMS) in NTD Annual reporting.

The exhibit below depicts how the eight major expense object classes included on the F-30 are assigned to these three allocation variables. The exhibit is taken from the Fully Allocated Cost Analysis Guidelines for Public Transit Providers publication.

In addition to vehicle hours, vehicle miles and peak vehicles, other typical allocation variables are revenue hours and miles, total vehicles, number of employees, and ridership. While these options for allocating costs are common to the transit industry, in some instances others may be more appropriate.

For example, you might use track miles and passenger stations may be used to allocate certain types of rail system costs. You also might use number of transactions to allocate the costs of accounts payable department. Any variable or measure that can be related to the modes and types of services provided, and is logically related to the rate of consumption of an expense element, is an acceptable basis for allocation.

Exhibit 9 — Assignment of Expense Object Classes to Allocation Variables

Expense Object Class	Vehicle Hours	Vehicle Miles	Peak Vehicles
501. Labor			
Operator salaries	Yes		
Maintenance salaries		Yes	
Other salaries			Yes
502. Fringe Benefits			
Operator	Yes		
Maintenance		Yes	
Other			Yes
503. Services			
Professional and technical			Yes
Contract maintenance		Yes	
Security			Yes
Other services			Yes
504. Materials and Supplies			
Fuel and lubricants		Yes	
Tires and tubes		Yes	
Other materials			Yes
505. Utilities			
Utilities			Yes
506. Casualty and Liability Costs			
Premiums for damage		Yes	
Recoveries of losses			Yes
Payouts for uninsured			Yes
507. Taxes			
Vehicle registration			Yes
Fuel and lubricant		Yes	
Other taxes			Yes
509. Miscellaneous Expenses			
Dues and subscriptions			Yes
Travel and meetings			Yes
Bridges, tunnel and highway tolls		Yes	
Advertising media			Yes
Other miscellaneous expense			Yes

The following is an example of how to allocate joint expenses using the previous exhibit.

Example 11— Allocating Joint Expenses

Example: Coaster Transit Agency (Coaster) has one maintenance facility that it uses for both its directly operated (DO) bus (MB) and demand response (DR) operations:

This facility is used to fuel and maintain the revenue service vehicles for MB and DR operations.
Coaster receives one electric bill for the power used in the maintenance facility.
How can Coaster allocate electric utility expenses?

Solution: You must determine shared (joint) cost for object class (505), Utilities, under function (160), general administration.

Expenses: Joint expenses (shared costs-electric power) $1,000,000

You select the allocation variable and calculate the allocation percentage:

Allocation Variable Vehicles

Percentage	**Available for Maximum Service**	**Allocation**
MB 200	**80.0%**	
DR 50	**20.0%**	
Total	250	**100.0%**

Allocate joint expenses:	**Allocation**
MB ($1,000,000 x 80.0%)	**$800,000**
DR ($1,000,000 x 20.0%)	**$200,000**

Vanpools

You should report only publicly sponsored vanpool (VP) services. For inclusion in the NTD, vanpools:

- Must be operated by a public entity, or a public entity owns, purchases or leases the vehicle(s)
- Must be in compliance with public transit rules, including Americans with Disabilities Act of 1990 (ADA) provisions
- Must be open to the public, and that availability must be made known.

Other forms of public participation to encourage ridesharing arrangements, such as the provision of parking spaces, use of high occupancy vehicle (HOV) lanes, coordination or clearing house services, do not qualify as public vanpools.

You must report all expenses involved with operating these services, even when VP participants pay for some of the costs. OE could include cost of purchased service (if service is provided through a private operator), vehicle leases, administrative, marketing, maintenance and legal services, plus additional expenses to operate the vans (e.g., fuel, tires, insurance, tolls, maintenance or repairs) often paid by riders.

Vehicle Leases and Depreciation Costs

You should report vehicle capital lease and depreciation costs as reconciling items. If total costs are based on unit charges to riders, (e.g., per mile or per trip) you must separate operating costs from any lease and depreciation costs.

Detailed Instructions

You should complete one form for each DO mode and each PT mode.

You should use the operating chart of accounts for OE that is defined in the USOA. Below, discussion is provided for each object class and function as well as information about ADA-related expenses.

Chart of Accounts for Modal Operating Expenses

The USOA provides a detailed explanation of the chart of accounts for NTD Annual reporting in Chapter 5, Expense Object Classes, and Chapter 6, Expense Functions. The OE chart of accounts used in the F-30 form is organized by expense function (columns) and expense object class (rows).

Functions

A function is an activity performed by a transit agency.

NTD Annual reporting uses four basic functions:

1. Vehicle operations (010)
2. Vehicle maintenance (041)
3. Non-vehicle maintenance (042)
4. General administration (160).

The activities included under each basic function are detailed in Section 6.2 of the USOA. The following exhibit provides the the detailed to basic function equivalency. The detailed functions provide additional clarification on activities.

Exhibit 10 - Function Equivalency

010 Vehicle operations	010 Transportation administration 151 Ticketing and fare collection 161 System security 030 Revenue vehicle operation	011 Transportation administration 012 Revenue vehicle movement control 021 Scheduling of transportation operations 151 Ticketing and fare collection 161 System security 031 Revenue vehicle operation
041 Vehicle maintenance	041 Vehicle maintenance	041 Maintenance administration - vehicles 051 Servicing revenue vehicles 061 Inspection & maintenance of revenue vehicles 062 Accident repairs of revenue vehicles 071 Vandalism repairs of revenue vehicles 081 Servicing and fuel of service vehicles 091 Inspection & maintenance of service vehicles
042 Non-vehicle maintenance	042 Non-vehicle maintenance	042 Maintenance administration – non-vehicles 101 Maintenance of vehicle movement control systems 111 Maintenance of fare collection and counting equipment 121 Maintenance of roadway and track 122 Maintenance of structures, tunnels, bridges and subways 123 Maintenance of passenger stations 124 Maintenance of operating station buildings, grounds and equipment 125 Maintenance of garage and shop buildings, grounds and equipment 126 Maintenance of communication system 127 Maintenance of general administration buildings, grounds and equipment 128 Accident repairs of buildings, grounds and equipment 131 Vandalism repairs of buildings, grounds and equipment 141 Operation and maintenance of electric power facilities
160 General administration	160 General administration	165 Injuries and damages 166 Safety 167 Personnel administration 168 General legal services 169 General insurance 170 Data processing 171 Finance and accounting 172 Purchasing and stores 173 General engineering 174 Real estate management 175 Office management and services 176 General management 145 Preliminary transit system development 181 General function 162 Customer service 163 Promotion 164 Market research 177 Planning

Vehicle Operations

Vehicle operations are all the activities associated with dispatching and running vehicles in revenue service to carry passengers, including administrative and clerical support. There are six detailed functions in the basic vehicle operation function (010):

1. Transportation administration and support (011) includes supervising garages / operating centers to make sure operators are available, inspecting and instructing operators, run selection and supervision, and reporting accidents and appearing as a witness.
2. Revenue vehicle movement control (012) includes dispatching and return of operators and revenue vehicles to garages / operating centers, and monitoring and supervising revenue vehicle operations.
3. Scheduling of transportation operations (021) includes collecting data, making schedules and run cutting.
4. Revenue vehicle operation (030) includes moving revenue vehicles along routes to carry passengers, and moving vehicles to and from garages / operating centers to routes (deadheading), laying over at the ends of routes, and moving operators to and from relief points. This is the largest expense category in the vehicle operations function since it includes all the labor, fringes and fuel to operate the revenue vehicles.
5. Ticketing and fare collection (151) includes producing, distributing and collecting fare instruments (passes, tickets, tokens), and providing security for collecting and counting the fares.
6. System security (161) includes patrolling revenue vehicles and passenger stations during revenue operations, and patrolling and controlling access to yards, buildings and grounds.

Public transportation is a labor-intensive activity. Since vehicle operators generally are the largest employee group for non-rail services, vehicle operation expenses are typically the largest expense function arising from the labor and fringe benefit expenses for these employees.

Vehicle Maintenance

Vehicle maintenance is all the activities associated with ensuring revenue vehicles and service vehicles are operable, cleaned, fueled, inspected and repaired. There are seven detailed functions in the basic vehicle maintenance function (041):

1. Maintenance administration — vehicles (041) includes preparing maintenance records, analyzing data for vehicle performance and training vehicle maintenance personnel.
2. Servicing revenue vehicles (051) includes fueling, interior cleaning and exterior washing of revenue vehicles.
3. Inspection and maintenance of revenue vehicles (061) includes performing scheduled preventive maintenance, performing minor repairs, going to vehicle breakdowns to either repair or tow revenue vehicles, rebuilding and overhauling repairable components, performing major repairs on revenue vehicles (e.g. body work, re-upholstering, unit rebuilds and replacing major repairable units of revenue vehicles (e.g. engines, transmissions and air conditioners).
4. Accident repairs of revenue vehicles (062) includes repairing damage as a result of collisions, floods and accidental fires.
5. Vandalism repairs of revenue vehicles (071) includes repairing damage as a result of willful or malicious destruction or defacement of revenue vehicles.
6. Servicing and fuel of service vehicles (081) includes fueling, interior cleaning and exterior washing of service vehicles.
7. Inspection and maintenance of service vehicles (091) includes performing scheduled preventive maintenance, performing minor repairs, going to vehicle breakdowns to either repair or tow service vehicles, rebuilding and overhauling repairable components, performing major repairs on service vehicles (e.g. body work, re-upholstering, unit rebuilds and replacing major repairable units of service vehicles (e.g. engines, transmissions and air conditioners).

For inspection and maintenance of revenue or service vehicles, work on repairable units such as engine rebuilds and overhauls are an operating expense only if they meet the criteria established by FTA in determining when an item is an operating or a capital expenditure. If the total labor and materials necessary for the rebuild or overhaul are less than a unit value of $5,000 or a lesser capitalization level used by the agency such as $3,000, then this is an operating expense reported on the F-30. If not, then the rebuild or overhaul expenses are a capital expenditure reported on the F-20.

Vehicle maintenance employees typically are the second largest group of employees for non-rail services. Therefore, vehicle maintenance expenses are the second largest expense function.

Non-Vehicle Maintenance

Non-vehicle maintenance is all the activities associated with ensuring buildings, grounds and equipment (garages, passenger stations and shelters, administration buildings); fare collection equipment; and communications systems, track, structures, tunnels and power systems are operable. There are thirteen detailed functions in the basic non-vehicle maintenance function (042). These are summarized in four categories below:

1. Maintenance administration — non-vehicles (042) includes preparing maintenance records and training facility maintenance personnel.
2. Inspecting, cleaning, repairing and replacing components for:
   - Maintenance of vehicle movement control systems (101) including radios, roadway phones and monitor units
   - Maintenance of fare collection and counting equipment (111) including fare boxes, vaults and money counters, changers and sorters
   - Maintenance of roadway and track (121) including rails and rail bed
   - Maintenance of structures, tunnels, bridges and subways (122)
   - Maintenance of passenger stations (123) including shelters and custodial services
   - Maintenance of operating station buildings, grounds and equipment (124) including mechanics, electricians, carpenters, plumbers, janitors, groundskeepers and custodial services;

     Operating stations are the buildings and rail yards where vehicles are stored and dispatched for revenue service. Often operating stations and garages are the same facilities.
   - Maintenance of garage and shop buildings, grounds and equipment (125) including mechanics, electricians, carpenters, plumbers, janitors, groundskeepers and custodial services;

     Garages and shop buildings are where repairs and maintenance is performed. Often operating stations and garages are the same facilities.
   - Maintenance of communication systems (126) including office telephones, fax machines and public address systems, but not including vehicle movement control systems
   - Maintenance of general administration buildings, grounds and equipment (127) including mechanics, electricians, carpenters, plumbers, janitors, groundskeepers and custodial services
3. Vandalism repairs of buildings, grounds and equipment (131) includes repairing damage as a result of willful or malicious destruction or defacement of buildings, grounds and equipment
4. Operation and maintenance of electric power facilities (141) includes electric power generation and distribution facilities for third rail, overhead lines, cable systems, etc.

For rail systems, non-vehicle maintenance is a larger portion of overall OE than for non-rail systems since there is a large infrastructure to maintain — track, rail beds, signaling, overhead lines and third rails, and passenger stations, etc.

General Administration

General administration is all the activities associated with supporting the provision of transit service. Usually, you should report these expenses using a cost allocation plan as discussed above because these activities benefit all modes and TOS. There are seventeen detailed functions and one residual function in the basic general administration function (160). These are summarized in five categories below:

1. Finance and procurement:
   - Finance and accounting (171) including maintaining accounting records; payroll processing; paying vendors; accounting for receivables, assets and investments; investing available cash; obtaining funds through debt, equity, subsidy and other financing transactions; budgeting; performing internal audits; and, preparing and submitting financial reports
   - Purchasing and stores (172) including preparing specification and procuring materials and supplies from vendors, receiving at and issuing and distributing supplies from storage facilities, and maintaining inventory records
   - Real estate management (174) including negotiating purchases and sales of transit real estate, negotiating property leases and managing concessionaire contracts.
2. Marketing and customer service:
   - Customer services (162) including telephone information on routes and services, handling customer complaints and providing information at transit centers and stations
   - Promotion (163) including media relations, and developing and distributing promotional materials to encourage transit use
   - Market research (164) including conducting consumer behavior research and transit service demand surveys to help define new routes and revisions to existing services.

o Accidents:
   - Injuries and damages (165) including insuring your transit agency against liability losses, receiving and processing damage claims, investigating accidents, making settlements and defending public liability cases

- Safety (166) for providing a system safety plan for employees and the public in order to prevent accidents and including compiling safety statistics.

4. Planning and service development:
   - Preliminary transit service development (145) including researching transit technology and service areas to determine appropriate technology, route configurations and service level requirements. This covers the expenses associated with performing these activities before a firm commitment to construct is made. After a commitment to construct, these costs are often included as part of the capital cost of the project.
   - Planning (177) including long range and regional transit needs assessments.

Transit agencies often report planning and service development costs as operating expenses on the Operating Expenses form (F-30) rather than as capital expenses. Once a commitment is made for a specific capital project, these costs are capital expenses on the Capital Funding form (F-20).

5. General activities:
   - Personnel administration (167) including employee recruitment, administering pre-employment medical exams, conducting orientation programs, administering fringe benefits, performing employee evaluations, conducting grievance procedures, negotiating labor agreements, providing management and supervisory training, and maintaining employee records
   - General legal services (168) for general legal service activities not related to public liability claims for injuries and damages
   - General insurance (169) for preparing, submitting and pursuing insurance claims not related to public liability including fires, weather related damage such as floods, and accidents not related to public liability
   - Data processing (170) including data entry and verification; operating computers, scanners and other equipment for maintaining data bases and conducting analyses; testing, software development and other programming activities; and, maintaining data processing equipment
   - General engineering (173) including researching available technology for performing transit activities, and preparing specifications for constructing or purchasing capital assets;

     All engineering associated with maintenance of vehicles, buildings, structures, communication systems, equipment, etc. is included in the appropriate vehicle or non-vehicle maintenance function.
   - Office management and services (175) for managing general office activities including receptionists, telephone operators, mail rooms, libraries and distribution of office supplies
   - General management (176) for establishing policies for the development and operation of your transit agency and services, and providing top level management to implement these policies
   - General function (181) is used when expenses not related to or easily associated with the other functions under the general administration function (180).

Object Classes

There are ten major expense object classes used in NTD Annual reporting:

1. Labor (501)
2. Fringe benefits (502)
3. Services (503)
4. Materials and supplies (504)
5. Utilities (505)
6. Casualty and liability costs (506)
7. Taxes (507)
8. Purchased transportation (PT) service (508)
9. Miscellaneous expenses (509)
10. Expense transfers (510).

An object is an article or service obtained. An object class is a grouping of expenses for the goods or services purchased. The object classes include salaries and wages, fringe benefits, services, materials and supplies and other expenses, and are detailed in Section 5.2 of the USOA.

Labor

Labor (501) is the pay that transit agency employees receive for work performed for your transit agency. The pay to employees of outside organizations that provide services to your transit agency are not included as labor expenses, but rather as services (503).

There are two categories for labor (501):

1. Operators' salaries and wages (501.01)
2. Other salaries and wages (501.02).

Operators' Salaries and Wages

Operators' salaries and wages (501.01) are the labor expenses for your transit agency employees that usually are the persons driving revenue vehicles. However, there are two other types of transit agency employees that are included as operators:

1. Conductors and ticket takers in commuter rail (CR) mode
2. Attendants aboard vehicles to assist riders in boarding and alighting, securing wheelchairs, etc., typically the elderly and individuals with disabilities.

Operators do not include the following two categories:

1. Employees aboard vehicles for other purposes than described above such as transit security personnel, employees conducting surveys and employees monitoring service performance
2. Employees permanently removed from performing as operators but who remain classified as operators for payroll. These employees do not work as operators but perform other functions.

You should report the wages paid for vehicle operators, conductors and other on-board crew in object class 501.01, operators' salaries and wages, under the appropriate function, as follows:

- Report wages for performing vehicle operations under the vehicle operations function (010). Include platform time, student training time, accident reporting time, standby time and revenue vehicle movement control.
- Report wages for performing inspection and maintenance and servicing revenue vehicles under the vehicle maintenance function (041).
- Do not report operators' wages under the non-vehicle maintenance function (042). Ordinarily, there are no operators' wages for performing non-vehicle maintenance.
- Report wages for performing customer service or marketing duties under the general administration function (160).

The vast majority of operators' wages and salaries typically are reported in the vehicle operations function. If there is a sizeable portion of operator wages reported in other functions such as vehicle maintenance or general administration, you should describe the reasons for these expenses using the **Add Form Notes** link.

Other Salaries and Wages

Other salaries and wages (501.02) are the labor expenses for all of your transit agency employees who are not revenue vehicle operators or crew.

You should report other salaries and wages by function using the following rules:

- Report the wages paid for vehicle operations for employees such as dispatchers, schedulers, ticketing and fare collection, security, revenue vehicle movement control, traffic managers, terminal managers, as well as superintendents and their clerical support in object class 501.02, other salaries and wages under the vehicle operations function (010).
- Report wages for performing inspection, servicing and maintenance work on transit agency vehicles or components of those vehicles under the vehicle maintenance function (041). You should include supervisory, clerical and cleaning personnel.
- Report wages under the non-vehicle maintenance function (042) for performing maintenance of roadway and track; structures; passenger stations; fare collection and counting equipment; vehicle movement control systems; buildings, grounds and equipment; and associated professional and clerical support.
- Report wages for performing marketing, customer information, accounting, data processing, legal, safety, planning and other administrative functions under the general administration function (160).

Although the majority of vehicle operations labor expenses typically are for operators, labor expenses typically also are reported for vehicle operations under other salaries and wages. You should use sing the **Add Form Notes** link to describe why there are no wages reported for vehicle operations.

Fringe Benefits

Fringe benefits (502) are the expenses for employment benefits or services that an employee receives in addition to his / her basic wages. These payments are your transit agency's costs over and above labor costs, but still arising from the employment relationship. Typical benefits include contributions to or providing:

- Retirement plans
- Pension plans
- Medical plans
- Dental plans
- Life insurance and short-term disability plans
- Unemployment insurance
- Workers' compensation insurance
- Sick leave
- Holiday leave
- Vacation (and other paid leave such as bereavement leave, jury duty)
- Uniform and work clothing allowances typically for drivers, security personnel
- Tool allowances for mechanics.

Some accounting systems do not track fringe benefit costs by function. In this situation, you must allocate fringe benefit expenses by function. One common approach is to allocate fringe benefit costs in proportion to the sum of salaries and wages listed for labor (501.01 and 501.02) by function. You should report these allocated expenses under fringe benefits (502) and not under expense transfers (510).

Services

The services (503) object class is for:

- Management services
- Professional services
- Temporary labor services of personnel who are not employees of your transit agency, the governmental body or the multifunctional organization.

Services (503) are the expenses for the labor and other work provided by outside organizations for fees and related expenses. Usually, services from an outside organization are a substitute for in-house employee labor because the skills offered by the outside organization are needed for only a short period of time or are better than internally available skills.

Some transit agencies are organized as a department of State or local government, or as part of a multifunctional organization. For NTD Annual reporting purposes, if your transit agency is organized this way, your agency does not purchase services from other parts of the governmental entity or multifunctional organization. Therefore, you should not report these expenses in the services object class (503).

Instead, you should report all expenses for activities pertaining to the transit services, but performed by other departments or offices within the governmental or multifunctional entity, in the appropriate object class and function.

For example, if your transit agency is a department of a county government and the county highway department maintains the transit vehicles, you should report highway department's transit maintenance expenses under the vehicle maintenance function and report maintenance labor expenses in the other salaries and wages object class (501.02), fringe benefit expenses in object class (502) and materials and supplies in object class (504).

Materials and Supplies

Materials and supplies (504) consumed are expenses for tangible products obtained from outside suppliers or manufactured internally. Discounts, sales taxes and excise taxes (except on fuel and lubricants) are included in the cost of the material or supply. Charges to these expense accounts are for the materials and supplies issued from inventory for use and for the materials and supplies purchased for immediate use; i.e., without going through inventory.

There are three reporting categories for materials and supplies (504) consumed:

1. Fuel and lubricants (504.01)
2. Tires and tubes (504.02)
3. Other materials and supplies (504.99).

Fuel and Lubricants

Fuel and lubricants (504.01) are the costs of items such as gasoline, diesel fuel, propane, lubricating oil, transmission fluid, and grease for use in vehicles.

You should report expenses for fuel and lubricants for:

- Revenue vehicles under the vehicle operations function (010)
- Service vehicles under the vehicle maintenance function (041).
- Internet helps you follow the reporting rules by not providing data cells under the non-vehicle maintenance and general administration functions for fuel and lubricants

You should report the taxes paid on fuel and lubricants, if applicable, for taxes (507). You should not report these taxes for fuel and lubricants (504.01).

Tires and Tubes

Tires and tubes (504.02) are the lease payments for tires and tubes rented on a time period or mileage basis or the cost of tires and tubes for replacement of tires and tubes on vehicles.

You should report expenses for tires and tubes for:

- Revenue vehicles under the vehicle operations function (010)
- Service vehicles under the vehicle maintenance function (041).
- Internet helps you follow the reporting rules by not providing data cells under the non-vehicle maintenance and general administration functions for tires and tubes.

Other Materials and Supplies

Other materials and supplies (504.99) are the costs of materials and supplies not specifically identified in object classes (504.01) and (504. 02). These materials and supplies may be issued from inventory or purchased for immediate consumption.

In many transit agencies, other materials and supplies expenses reported under vehicle maintenance are the largest category of materials and supplies expenses. These expenses represent the parts used to repair revenue and service vehicles.

Utilities

Utilities (505) costs cover payments made to utility companies for the purchase of their energy or services. Utilities include propulsion power used for electrically driven vehicles, electric power for other uses, water and sewer, natural gas and other fuels for heating, telephone and garbage collection.

You should report expenses for utilities for:

- Propulsion power for revenue vehicles under the vehicle operations function (010)
- Other utilities under general administration (160).

Casualty and Liability Costs

Casualty and liability costs (506) are the expenses related to losses incurred by your transit agency including the costs of loss protection. These expenses include compensation of others for their losses due to acts for which your transit agency is liable, the costs of protecting your transit agency from losses through conventional insurance and other risk financing programs (e.g., self insurance, pools) and agency losses due to the liable actions of others that are covered by other corporate insurance.

Casualty and liability costs (506) include:

- Physical damage insurance premiums
- Recovery of physical damage losses for public liability and property damage insurance premiums
- Insured and uninsured public liability and property damage settlement pay outs and recoveries, and
- Other corporate insurance premiums (e.g., fidelity bonds, business records insurance).

Transit agencies cover casualty and liability costs using different risk financing techniques. For these techniques, you should report:

- The amount of the physical damage insurance as casualty and liability costs under the vehicle maintenance function (041) if your agency carries physical damage insurance on its rolling stock,
- The amount of the physical damage insurance as casualty and liability costs under the non-vehicle maintenance function (042)if your agency carries physical damage insurance on its buildings, grounds and equipment.
- Casualty and liability costs under the general administration function (160) if your agency is self insured for repairs to damaged vehicles.
- Other insurance premiums usually carried, such as fire insurance, under the general administration function (160).

Internet helps you follow the reporting rules by not providing data cells under the vehicle operations function for casualty and liability costs.

You should classify related expenses in the correct object classes and report:

- The costs of repairing damaged property in the labor (501), fringe benefits (502), and material and supplies (504) object classes.
- The costs of writing off property damaged beyond repair in the depreciation object class (513).
- The costs of your agency employees engaged in insuring and processing claims for and against your transit agency in labor (501) and fringe benefits (502) object classes.

Taxes

Taxes (507) are the charges and assessments levied against your transit agency by Federal, State and local governments.

You should report expenses for:

- Income taxes
- Property taxes
- Fuel and lubricant taxes
- Electric propulsion power taxes
- Vehicle licensing and registration fees.

You should not report:

- Sales and excise taxes on materials and services purchased other than fuel and lubricants. You should report these as part of the base price of the material in materials and supplies (504) or service in services (503).
- Rebates and reimbursements of taxes as a credit against an OE. You should report rebates and reimbursements paid as revenue on the F-10 form in either the other funds line or from the original sources.

Purchased Transportation Service

Purchased transportation (PT) services (508) are the expenses incurred and billed by PT providers (sellers) in the operation of the contracted transit services identified on Contractual Relationship (B-30) forms. You only report expenses for this expense object class for PT services. The PT services object class is not included in the expense object classes for DO services.

The PT service object class (508) is for the buyer of PT service and covers the payments or accruals made to the PT provider. This expense object class does not include:

- Expenses for which your agency has no obligation to pay — for example, if the service costs the seller more than his contract covers.
- Expenses incurred by your agency in support of the PT services — for example, salaries and wages of transit agency personnel administering or working in some capacity in support of the agreement, fuel and tires if provided to the seller, vehicle maintenance, marketing, advertising, legal services, and ticket sales. These are called other costs incurred by the buyer and are reported in the appropriate object classes (501) to (507) and (509) to (510).
- Depreciation and lease costs for vehicles and facilities. These costs should be reported as reconciling items. Some purchased transportation providers provide the revenue vehicles as part of their contract. Also, commonly the purchased transportation provider may operate the service from its own maintenance facility. If the purchased transportation provider charges total costs – either in absolute dollars and unit charges (e.g., per mile or per trip), you must separate operating costs from any lease and depreciation costs.

There are two reporting categories for PT service:

1. One for sellers included in your agency's report — In report (508.01)
2. One for sellers filing their own report — Filing separate report (508.02).

As a general rule, public agencies should report all PT service for In report (508.01), regardless of the number of vehicles operated in maximum service (VOMS) by the PT seller. Therefore, the public agencies will report PT expenses. The public agencies also will report the non-financial operating data for these services in their NTD Annual reports.

However, public agencies buying / selling PT service from / to another public agency (NTD Annual reporter) may determine locally which public agency will report the service, provided only one agency reports the service. If the public agency seller reports the service, the public agency buyer of the service will report PT expenses for Filing separate report (508.02). In this case, the public agency seller also will report the non-financial operating data for the service in its NTD Annual reports.

In rare instances, a seller may be a private or non-profit entity filing a separate NTD report. The seller has a purchased transportation agreement with a buyer who is public agency NTD reporter. The buyer completes Filing separate report (508.02).

Filing in Report

Purchased transportation (PT) service in report (508.01) are the expenses for PT services involving sellers whose non-financial data are included in the buyer's report.

Filing Separate Report

PT service filing separate report (508.02) are the expenses for PT services involving sellers whose non-financial operating data are not included in the buyer's report.

Other Costs Incurred by the Buyer

You should report other costs incurred by your agency in the appropriate function and object class. For example you should report your agency's expenses for scheduling under the vehicle operations function (010) for labor (501.02) and fringe benefits (502).

Relationship of Purchased Transportation Costs to Contractual Relationship form (B-30)

The purchased transportation costs are reported by contractual relationship on the Contractual Relationship form (B-30). Each form provides information on:

- Whether the PT provider is Filing in (buyer's) Report, or whether the PT provider is Filing Separate Report and
- Cost of the PT service which is reflected by two items:
  1. Total contract costs
  2. Other costs incurred by buyer.

For most transit agencies, the total by mode across all the B-30 of the three items listed above **equals** the operating expenses for PT by mode reported on the F-30 Total Modal Expenses on line 15, column e. The total is the sum of the following:

- Object Class 508.01 Filing In Report, line 11 column e, is equal to line 07a, the sum of line(s) 07 (contract costs net of fare revenues) and line(s) 06 (fare revenues for the service under the PT agreement) from the B-30 form(s) when contractual relationship types are 1, 3 or 10.
- Object Class 508.02 Filing Separate Report, line 12 column e, is equal to the sum of line(s) 07 (contract costs net of fare revenues) and line(s) 06 (fare revenues for the service under the PT agreement) from the contracted agencies' B-30 form(s) when contractual relationship types are 5, 7, 8, 9, or 12.
- Object Classes 501-507, 509-510, lines 01-10, 13 and 14, are equal to the sum of line(s) 08 (other costs incurred by the buyer) from the B-30 form(s) for PT service when contractual relationship types are 1, 3, 5, 9 and 12.
- All Object Classes, line 15 column e, is equal to the sum of line(s) 09 (total operating expenses) from the B-30 form(s) for PT service for this mode, filed in this report and in a separate report, when contractual relationship types are 1, 3, 5, 7, 8, 9, 10 and 12.

For some transit agencies, the total by mode across all the B-30 of the three items listed **will not equal** the operating expenses by PT mode reported on the F-30 Total Modal Expenses on line 15, column e. This is because the contract includes items such as vehicle capital lease and depreciation costs which are reported as reconciling items on the Operating Expenses Summary form (F-40).

Miscellaneous Expenses

Miscellaneous expenses (509) are expenses that cannot be classified in expense object classes (501) through (508).

Miscellaneous expenses include:

- Dues and subscriptions
- Travel and meeting expenses

- Bridge, tunnel and highway tolls
- Entertainment expenses
- Charitable donations
- Fines and penalties
- Bad debt expense
- Advertising and promotion expenses
- Incidental transit services.

Report the costs of incidental transit services under vehicle operations (010).

Expense Transfers

Expense transfers (510) are adjustments and reclassifications of expenses previously reported in object classes (501) through (509).

Expense transfers include:

- Reclassifications of expenses from one function to another
  - Reclassification of costs between cost centers and work orders
  - Capitalization of non-operating costs

If you report expense transfers, expenses in individual object classes and functions for your transit agency may be overstated or understated.

Americans with Disabilities Act of 1990 Related Expenses (Complementary Paratransit)

NTD requires reporting the total expenses for operating complementary paratransit services, in compliance with Americans with Disabilities Act of 1990 (ADA) requirements. You should report total OE for these services on the F-30 form for demand response (DR) and demand response-taxi (DT) modes only on line 16, column e. These expenses should be less than or equal to the total DR or DT modal expenses reported on line 15, column e you may estimate these expenses.

Line by Line Instructions Operating Expenses form (F-30)

Completing the Operating Expenses form (F-30)

You should complete one form for each mode and type of service (TOS).

Form Level Help: You should click on the **Help** tab at the top of the screen for form level help.

Form Note: A form note can be attached to any form. You should use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. You should click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. You should not use the **Form Notes** feature to answer issues generated from this form. From the **Issues** tab you should use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: You should click on the **Save** button prior to exiting the form and continuing with the report. You should click on the **Close** button at the bottom of the screen to close the form without saving.

Labor (501)

Line 01: Operators' Salaries and Wages (501.01)

Report the operators' salaries and wages paid for vehicle operations (010), vehicle maintenance (041), non-vehicle maintenance (042) and general administration (160) functions.

- Column a: Vehicle Operations (010). Enter the wages paid for vehicle operators and other on-board crew for performing vehicle operations. Include platform time, student training time, accident reporting time, standby time and revenue vehicle movement control.
- Column b: Vehicle Maintenance (041). Enter the wages paid for vehicle operators, and other on-board crew performing inspection and maintenance, and servicing revenue vehicles.
- Column c: Non-Vehicle Maintenance (042). Ordinarily there are no operators' wages for performing non-vehicle maintenance functions.
- Column d: General Administration (160). Enter the wages paid for vehicle operators and other on-board crew for performing customer service or marketing duties. Using the **Add Form Notes** link, describe if there is a sizeable portion of operators' wages in general administration activities.
- Column e: Total Modal Expenses. This is an **auto-calculated** field and cannot be edited. This field displays the total wages paid for vehicle operators and other on-board crew equal to the sum of operators' salaries and wages for the vehicle operations (010), vehicle maintenance (041), non-vehicle maintenance (042) and general administration (160) functions.

Line 02: Other Salaries and Wages (501.02)

Report the other salaries and wages paid for vehicle operations (010), vehicle maintenance (041), non-vehicle maintenance (042) and general administration (160) functions.

- Column a: Vehicle Operations (010). Enter the wages paid for dispatchers, schedulers, ticketing and fare collection, security, revenue vehicle movement control, traffic managers, terminal managers, and superintendents and their clerical support for performing vehicle operations.
- Column b: Vehicle Maintenance (041). Enter the wages paid for dispatchers, schedulers, ticketing and fare collection, security, revenue vehicle movement control, traffic managers, terminal managers, and superintendents and their clerical support for performing inspection, servicing and maintenance work on transit agency vehicles or components of those vehicles. Include supervisory, clerical and cleaning personnel.
- Column c: Non-Vehicle Maintenance (042). Enter the wages paid for dispatchers, schedulers, ticketing and fare collection, security, revenue vehicle movement control, traffic managers, terminal managers, and superintendents and their clerical support for performing maintenance of roadway and track; structures; passenger stations; fare collection and counting equipment; vehicle movement control systems; buildings, grounds and equipment. Include associated professional and clerical support.
- Column d: General Administration (160). Enter the wages paid for dispatchers, schedulers, ticketing and fare collection, security, revenue vehicle movement control, traffic managers, terminal managers, and superintendents and their clerical support for performing marketing, customer information, accounting, data processing, legal, safety, planning and other administrative functions.
- Column e: Total Modal Expenses. This is an **auto-calculated** field and cannot be edited. This field displays the total wages paid for dispatchers, schedulers, ticketing and fare collection, security, revenue vehicle movement control, traffic

managers, terminal managers, and superintendents and their clerical support equal to the sum of other salaries and wages the vehicle operations (010), vehicle maintenance (041), non-vehicle maintenance (042) and general administration (160) functions.

Line 03: Fringe Benefits (502)

Report the fringe benefits expenses (i.e., vacation, sick, holiday, personal insurance plans, retirement plans, etc.). Attributable to vehicle operations (010), vehicle maintenance (041), non-vehicle maintenance (042) and general administration (160) functions.

- Column a: Vehicle Operations (010). Enter benefits expenses attributable vehicle operations based on the salaries and wages (operators and others) reported by function.
- Column b: Vehicle Maintenance (041). Enter benefits expenses attributable to vehicle maintenance based on the salaries and wages (operators and others) reported by function.
- Column c: Non-Vehicle Maintenance (042). Enter benefits expenses attributable to non-vehicle maintenance based on the salaries and wages (operators and others) reported by function.
- Column d: General Administration (160). Enter benefits expenses attributable to general administration based on the salaries and wages (operators and others) reported by function.
- Column e: Total Modal Expenses. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses attributable to benefits, i.e., vacation, sick, holiday, personal insurance plans, retirement plans, etc. equal to the sum of fringe benefits expenses for the vehicle operations (010), vehicle maintenance (041), non-vehicle maintenance (042) and general administration (160) functions.

Line 04: Services (503)

Report the services expenses for the vehicle operations (010), vehicle maintenance (041), non-vehicle maintenance (042) and general administration (160) functions.

If your transit agency is organized as a department of State or local government, or as part of a multifunctional organization, your agency does not purchase services from other parts of the governmental entity or multifunctional organization. Do not report these expenses in the services object class (503). Report all expenses for activities pertaining to the transit services, but performed by other departments or offices within the governmental or multifunctional entity, in the appropriate object class and function.

- Column a: Vehicle Operations (010). Enter expenses for management, professional or temporary labor services of personnel who are not employees of your transit agency performing vehicle operations functions.
- Column b: Vehicle Maintenance (041). Enter expenses for management, professional or temporary labor services of personnel who are not employees of your transit agency performing vehicle maintenance functions.
- Column c: Non-Vehicle Maintenance (042). Enter expenses for management, professional or temporary labor services of personnel who are not employees of your transit agency performing non-vehicle maintenance functions.
- Column d: General Administration (160). Enter expenses for management, professional or temporary labor services of personnel who are not employees of your transit agency performing general administration functions.
- Column e: Total Modal Expenses. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses for management, professional or temporary labor services of personnel who are not employees of your transit agency equal to the sum of services expenses for the vehicle operations (010), vehicle maintenance (041), non-vehicle maintenance (042) and general administration (160) functions.

Materials and Supplies (504)

Line 05: Fuel and Lubricants (504.01)

Report the fuel and lubricants expenses for vehicle operations (010) and vehicle maintenance (041) functions.

- Column a: Vehicle Operations (010). Enter expenses for fuel and lubricants for revenue vehicles.
- Column b: Vehicle Maintenance (041). Enter expenses for fuel and lubricants for service vehicles.
- Column e: Total Modal Expenses. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses for fuel and lubricants equal to the sum of fuel and lubricants expenses for the vehicle operations (010) and vehicle maintenance (041) functions.

Line 06: Tires and Tubes (504.02)

Report the tires and tubes expenses for the vehicle operations (010) and vehicle maintenance (041) functions.

- Column a: Vehicle Operations (010). Enter expenses for tires and tubes for revenue vehicles.
- Column b: Vehicle Maintenance (041). Enter expenses for tires and tubes for service vehicles.

- Column e: Total Modal Expenses. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses for tires and tubes equal to the sum of tires and tubes expenses for the vehicle operations (010) and vehicle maintenance (041).

Line 07: Other Materials and Supplies (504.99)

Report the other materials and supplies expenses for the vehicle operations (010), vehicle maintenance (041), non-vehicle maintenance (042) and general administration (160) functions

- Column a: Vehicle Operations (010). Enter expenses for other materials and supplies used for vehicle operations functions.
- Column b: Vehicle Maintenance (041). Enter expenses for other materials and supplies used for vehicle maintenance functions.
- Column c: Non-Vehicle Maintenance (042). Enter expenses for other materials and supplies used for non-vehicle maintenance functions.
- Column d: General Administration (160). Enter expenses for other materials and supplies used for general administration functions.
- Column e: Total Modal Expenses. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses for other materials and supplies equal to the sum of other materials and supplies expenses for the vehicle operations (010), vehicle maintenance (041), non-vehicle maintenance (042) and general administration (160) functions.

Line 08: Utilities (505)

Report the expenses for utilities equal to the expenses for the vehicle operations (010) and general administration (160) functions.

- Column a: Vehicle Operations (010). Enter the expenses associated with electricity used to propel revenue vehicles.
- Column d: General Administration (160). Enter the expenses associated with utilities other than electricity used to propel revenue vehicles.
- Column e: Total Modal Expenses. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses for utilities equal to the expenses for the vehicle operations (010) and general administration (160) functions.

Line 09: Casualty and Liability Costs (506)

Report the expenses for casualty and liability for the vehicle maintenance (041), non-vehicle maintenance (042) and general administration (160) functions.

- Column b: Vehicle Maintenance (041). Enter expenses for physical damage insurance on revenue vehicles.
- Column c: Non-Vehicle Maintenance (042). Enter expenses for physical damage insurance on buildings, grounds, and equipment.
- Column d: General Administration (160). Enter expenses for all other insurance premiums.
- Column e: Total Modal Expenses. This is an **auto-calculated** field and cannot be edited. This field displays the total casualty and liability costs equal to the expenses for casualty and liability for the vehicle maintenance (041), non-vehicle maintenance (042) and general administration (160) functions.

Line 10: Taxes (507)

Report the Federal, State and local taxes (including Federal and State income tax, property tax, vehicle licensing and registration fees, fuel, lubricant and electric power taxes) for taxes for vehicle operations (010), vehicle maintenance (041), non-vehicle maintenance (042) and general administration (160) functions.

Do not report sales and excise taxes on materials and services purchased other than fuel and lubricants. These are accounted for as part of the base price of the material in materials and supplies (504) or service in services (503).

Do not report rebates and reimbursements of taxes as a credit against an operating expense (OE). Rebates and reimbursements paid are reported as revenue on the Sources of F-10 in either the other funds line or from the original sources.

- Column a: Vehicle Operations (010). Enter Federal, State, and local taxes attributable to vehicle operations functions.
- Column b: Vehicle Maintenance (041). Enter Federal, State, and local taxes attributable to vehicle maintenance functions.
- Column c: Non-Vehicle Maintenance (042). Enter Federal, State, and local taxes attributable to non-vehicle maintenance functions.
- Column d: General Administration (160). Enter Federal, State, and local taxes attributable to general administration operations functions.

- Column e: Total Modal Expenses. This is an **auto-calculated** field and cannot be edited. This field displays the total Federal, State and local taxes equal to the expenses for taxes for the vehicle operations (010), vehicle maintenance (041), non-vehicle maintenance (042) and general administration (160) functions.

Purchased Transportation (508)

Line 11: In Report (508.01)

Report total contract costs to sellers. These costs may include payments, accruals, and retainage of fares.

- Column a: Vehicle Operations (010). Enter expenses for vehicle operations for PT contractors that are included in your report.
- Column b: Vehicle Maintenance (041). Enter expenses for vehicle maintenance for PT contractors (sellers) that are included in your report.
- Column c: Non-Vehicle Maintenance (042). Enter expenses for non-vehicle maintenance for PT contractors (sellers) that are included in your report.
- Column d: General Administration (160). Enter expenses for general administration for PT contractors (sellers) that are included in your report.
- Column e: Total Modal Expenses. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses for PT, including payments or accruals to sellers under the contracts and PT fare revenues (regardless of whether or not the contractor retains the fares) for contractors (sellers) included in your report equal to the PT expenses for the vehicle operations (010), vehicle maintenance (041), non-vehicle maintenance (042) and general administration (160) functions.

Report all other expenses incurred by your transit agency as a result of the contracts in the appropriate object class and function. These can include salaries and wages of your transit agency personnel administering or working in some capacity in support of the agreement; fuel and tires if provided to the seller; maintenance of vehicles; marketing; advertising; legal services; ticket sales, etc.

Line 12: Filing Separate Report (508.02)

Report total contract costs to sellers. These costs may include payments, accruals, and retainage of fares.

- Column a: Vehicle Operations (010). Enter expenses for vehicle operations for PT contractors (sellers) submitting a complete and separate report.
- Column b: Vehicle Maintenance (041). Enter expenses for vehicle maintenance for PT contractors (sellers) submitting a complete and separate report
- Column c: Non-Vehicle Maintenance (042). Enter expenses for non-vehicle maintenance for PT contractors (sellers) submitting a complete and separate report.
- Column d: General Administration (160). Enter expenses for general administration for PT contractors (sellers) submitting a complete and separate report.
- Column e: Total Modal Expenses. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses for PT, including payments or accruals to sellers under the contracts and PT fare revenues (regardless of whether or not the contractor retains the fares) for contractors (sellers) submitting a complete and separate report equal to the PT expenses for the vehicle operations (010), vehicle maintenance (041), non-vehicle maintenance (042) and general administration (160) functions.

Report all other expenses incurred by your transit agency as a result of the contracts in the appropriate object class and function. These can include salaries and wages of your transit agency personnel administering or working in some capacity in support of the agreement; fuel and tires if provided to the seller; maintenance of vehicles; marketing; advertising; legal services; ticket sales, etc.

Line 13: Miscellaneous Expenses (509)

Report expenses that cannot be attributed to any other expense category. Include dues and subscriptions; travel and meeting expenses; bridge, tunnel, and highway tolls; entertainment expenses; charitable donations; fines and penalties, bad debt expense and advertising and promotion expenses.

- Column a: Vehicle Operations (010). Enter all miscellaneous expenses for vehicle operations functions.
- Column b: Vehicle Maintenance (041). Enter all miscellaneous expenses for vehicle maintenance functions.
- Column c: Non-Vehicle Maintenance (042). Enter all miscellaneous expenses for non-vehicle maintenance functions.
- Column d: General Administration (160). Enter all miscellaneous expenses for general administration functions.

- Column e: Total Modal Expenses. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses for miscellaneous expenses equal to the expenses for utilities for the vehicle operations (010), vehicle maintenance (041), non-vehicle maintenance (042) and general administration (160) functions.

Line 14: Expense Transfers (510)

Report the expenses for adjustment and reclassification of expenses previously recorded, and capitalization of non-operating costs (used to credit any function in which expense has been temporarily deposited for ultimate capitalization) equal to the expense transfers for the vehicle operations (010), vehicle maintenance (041), non-vehicle maintenance (042) and general administration (160) functions.

- Column a: Vehicle Operations (010). Enter expenses for adjustment and reclassification of vehicle operations.
- Column b: Vehicle Maintenance (041). Enter expenses for adjustment and reclassification of vehicle maintenance.
- Column c: Non-Vehicle Maintenance (042). Enter expenses for adjustment and reclassification of non-vehicle maintenance.
- Column d: General Administration (160). Enter expenses for adjustment and reclassification of general administration.
- Column e: Total Modal Expenses. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses for adjustment and reclassification of expenses previously recorded, and capitalization of non-operating costs (used to credit any function in which expense has been temporarily deposited for ultimate capitalization) equal to the expense transfers for the vehicle operations (010), vehicle maintenance (041), non-vehicle maintenance (042) and general administration (160) functions.

Line 15: Total Modal Expenses

- Column a: Vehicle Operations (010). This is an **auto-calculated** field and cannot be edited. This field displays the total modal expenses for the vehicle operations function equal to the sum of the expenses reported for each object class for the vehicle operations (010) function.
- Column b: Vehicle Maintenance (041). This is an **auto-calculated** field and cannot be edited. This field displays the total modal expenses for the vehicle maintenance function equal to the sum of the expenses reported for each object class for the vehicle maintenance (041) function.
- Column c: Non-Vehicle Maintenance (042). This is an **auto-calculated** field and cannot be edited. This field displays the total modal expenses for the non-vehicle maintenance function equal to the sum of the expenses reported for each object class for the non-vehicle maintenance (042) function.
- Column d: General Administration (160). This is an **auto-calculated** field and cannot be edited. This field displays the total modal expenses for the general administration function equal to the sum of the expenses reported for each object class for the general administration (160) function.
- Column e: Total Modal Expenses. This is an **auto-calculated** field and cannot be edited. This field displays the total modal expenses for the all functions equal to the sum of the expenses reported for each object class for the vehicle operations (010), vehicle maintenance (041), non-vehicle maintenance (042), and general administration (160) functions.

Line 16, column e: Americans with Disabilities Act of 1990 (ADA) Related Expense.

- Enter total expenses for complementary paratransit services (demand response (DR) and demand response-taxi (DT)) attributable to ADA compliance requirements. These expenses should be less than or equal to the total modal expenses for DR on line 15, column e. Applies only to DR and DT modes.

Expenses Summary form (F-40)

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Form Name: Operating Expenses Summary (F-40) — Close Form

Line Expense Object Class	a Vehicle Operations 010 Total	b Vehicle Maintenance 041 Total	c Non-Vehicle Maintenance 042 Total	d General Administration 160 Total	e Total Expenses
Labor (501)					
01 Operators' salaries and wages (01)					
02 Other salaries and wages (02)					
03 **Fringe Benefits (502)**					
04 **Services (503)**					
Materials and Supplies (504)					
05 Fuel and lubricants (01)					
06 Tires and tubes (02)					
07 Other materials and supplies (99)					
08 **Utilities (505)**					
09 **Casualty and Liability Costs (506)**					
10 **Taxes (507)**					
Purchased Transportation (508)					
11 In report (01)					
12 Filing separate report (02)					
13 **Miscellaneous Expenses (509)**					
14 **Expense Transfers (510)**					
15 **Total Modal Expenses**					
16 **Americans with Disabilities Act of 1990 (ADA)-Related Expenses (DR and DT only)**					

Reconciling Items	Funds Applied	Funds Not Applied	Total Expenses for Period
17 **Interest Expenses (511)**			
18 **Leases and Rentals (512)**			
19 **Purchase Lease Agreement (514)**			
20 **Related Parties Lease Agreement (515)**			
21 **Depreciation (513)**			
22 **Amortization of Intangibles (513.13)**			
23 **Other Reconciling Items (516)**			
24 **Total Reconciling Items**			
25 **Americans with Disabilities Act of 1990 (ADA)-Related Expenses (DR and DT Only)**			
26 **Total Expenses from Published Reports for Transit Operations**			

Close | Print

Overview

The Operating Expenses Summary form (F-40) form has two purposes:

1. To summarize total agency expenses reported by mode and type of service (TOS) on the F-30. NTD Internet Reporting summarizes the system wide expenses automatically.
2. To reconcile expenses reported on the F-30 with expenses reported by your transit agency in other published reports, typically your transit agency's audited financial statement. This reconciliation is done through the reporting of reconciling expenses on the F-40 form. Transit agencies that are multifunctional organizations should reconcile expenses for their transit operations only.

Reporting Requirements and Thresholds

All transit agencies must complete this form. There is one form covering all modes and TOS.

What Has Changed from Prior Year

There are no changes to the F-40 form for the 2011 report year.

Approach

You should complete only one F-40 form. All data from the F-30 form by mode and TOS are automatically summarized and transferred to the summary form by object class and function, providing a system wide summary of modal expenses. You should enter data only for any reconciling items at the system level.

Reconciling items vary among agencies in how they are treated in their accounting systems. Accounting practices may vary as a result of local ordinances on accounting treatments. Typical reconciling items are depreciation, interest expenses and leases and rentals. They are called reconciling items because they are needed to provide an overall total that is consistent with local published reports, typically the audited financial statement.

Funds Applied and Funds Not Applied

The chart of accounts used for reconciling items is organized by expenditure type (columns) and expense object class (rows). There are two types of expenditures:

1. Funds applied
2. Funds not applied.

Funds applied means that your transit agency has incurred expenses and that its payment involves a transfer of money between the agency and another party such as a contractor or another government agency. Examples of object classes with expenses that usually are classified as funds applied include interest expenses and leases and rentals.

The total operating expenses (OE) for which funds where applied and reported on the F-40 form must equal the total sources of funds applied to operations reported on the F-10.

Funds not applied means that the expenses do not involve a transfer of money between your agency and another party and that are typically valued using accounting principles. Examples of object classes with expenses that usually are classified as funds not applied include depreciation of vehicles and amortization of intangibles.

Detailed Instructions

You should report reconciling items by object class for the funds applied and funds not applied categories. An object is an article or service obtained. An object class is a grouping of expenses on the basis of goods or services purchased.

Reconciling Items

There are five major object classes and a residual category to capture reconciling items. One category, amortization of intangibles is a special form of depreciation:

1. Interest expenses (511)
2. Leases and rentals (512)
3. Purchase lease payments (514)
4. Related parties lease agreement (515)
5. Depreciation (513)
    - Amortization of intangibles (513.3)
6. Other reconciling items (516).

There is also a category to report reconciling items for Americans with Disabilities Act of 1990 (ADA) related expenses for complementary paratransit.

Interest expenses (511) are the charges incurred for borrowed money by your transit agency, and include both long and short-term debt obligations. You should not report interest charges pertaining to construction debt that is capitalized as an interest expense.

Depreciation (513) is probably the largest expense for most transit agencies and is usually reported in the funds not applied category. Depreciation reflects the loss in service value of your transit agency's capital assets. As capital assets, depreciated items have a high initial cost and a useful life of more than one year. To reflect the consumption or use of the asset over its service life, a portion of the asset's cost is expensed each year. Transit agencies may use different methods to arrive at the yearly depreciation expense.

Amortization of intangibles (513.3) is a special form of depreciation that applies to intangible assets such as franchises, patents, and goodwill. Typically, transit agencies receive intangible assets when they acquire other transit providers. Since these acquisitions have become less and less frequent, very few transit agencies report amortization expenses.

Leasing often covers two types of costs:

1. Capital equipment lease costs
2. Operating and maintenance costs.

When reporting leases, you must separate costs associated with operating or maintaining the equipment from costs associated with leasing capital equipment. You should report the operating and maintenance costs in the appropriate object classes and functions by mode on the F-30 form. You should report the lease cost for the capital equipment in the appropriate object class under reconciling items.

Leases are payments for the use of capital assets not owned by your transit agency. There can be different leasing arrangements involving:

- Leases and rentals (512) are true leases and cover the total cost of the capital asset plus interest. At the end of the lease the capital asset is still owned by the lessor (entity providing the capital asset) rather than your transit agency.
- Purchase lease agreements (514) are financing plans that enable your transit agency to acquire (own) the capital asset at the end of the lease, sometimes with an additional payment due. The property covered by such leases may or may not have been recorded as owned assets, either during or after the period of the lease, your transit agency's internal accounting records. If purchase leases have not been capitalized in your transit agency's internal accounting records, this category includes the lease payments for the purchase lease agreement. If the lease has been capitalized in the internal accounting records of your transit agency, you should report it as it has been accounted for internally.
- Related parties lease (515) where the terms and amount of payments by your transit agency are substantially less than in a true lease because your transit agency is related to the lessor. For example, a transit agency may lease surplus equipment from another transit agency or local government.

Other reconciling (516) items are any other costs that cannot be captured in object classes (511) through (515), such as funds to another agency through a cooperative agreement and expenses for purchased transportation (PT) services not meeting NTD requirements for a contractual agreement.

You must provide a description for costs reported in other reconciling items. You should describe other reconciling items in the Reconciling Items — Other Description field.

A detailed explanation of these expense object classes is provided in Chapter 5, Expense Object Classes, in the Uniform System of Accounts (USOA).

Americans with Disabilities Act of 1990 Related Expenses

For demand response (DR) and demand response-taxi (DT) modes only, you should report the portion of the total reconciling items that result from ADA requirements for complementary paratransit. These expenses should be less than or equal to the total reconciling expenses.

Completing the Operating Expenses Summary form (F-40)

You should complete one form. This is a system wide form for all modes and types of service (TOS). Expenses are summarized from the modal detail forms (F-30). You should enter expenses for reconciling items.

Note: Your transit agency may handle reconciling items differently than other transit agencies depending upon local ordinances and conditions.

Form Level Help: You should click on the **Help** tab at the top of the screen for form level help.

Form Note: A form note can be attached to any form. You should use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. You should click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. You should not use the **Form Notes** feature to answer issues generated from this form. From the **Issues** tab You should use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: You should click on the **Save** button prior to exiting the form and continuing with the report. You should click on the **Close** button at the bottom of the screen to close the form without saving.

Summarized Data from Operating Expenses form (F-30)

Lines 01 – 14: Object Classes 501 – 510.

- Column a: Vehicle Operations (010). These are **auto-calculated** fields and cannot be edited. These fields display, by object class, the sum of all modal operating expenses for vehicle operations from the detail pages, column a.
- Column b: Vehicle Maintenance (041). These are **auto-calculated** fields and cannot be edited. These fields display, by object class, the sum of all modal operating expenses for vehicle maintenance from the detail pages, column b.
- Column c: Non-Vehicle Maintenance (042). These are **auto-calculated** fields and cannot be edited. These fields display, by object class, the sum of all modal operating expenses for non-vehicle maintenance from the detail pages, column c.
- Column d: General Administration (160). These are **auto-calculated** fields and cannot be edited. These fields display, by object class, the sum of all modal operating expenses for general administration from the detail pages, column d.
- Column e: Total Expenses for Period. These are **auto-calculated** fields and cannot be edited. These fields display, by object class, the sum of all modal operating expenses from the detail pages, column e.

Lines 15: Total Agency Expenses by Function.

- Column a: Vehicle Operations (010). This is an **auto-calculated** field and cannot be edited. This field displays the sum of object classes (501-510) for vehicle operations function (010), lines 1-14, column a.
- Column b: Vehicle Maintenance (041). This is an **auto-calculated** field and cannot be edited. This field displays the sum of object classes (501-510) for vehicle maintenance function (041), lines 1-14, column b.
- Column c: Non-Vehicle Maintenance (042). This is an **auto-calculated** field and cannot be edited. This field displays the sum of object classes (501-510) for non-vehicle maintenance function (042), lines 1-14, column c.
- Column d: General Administration (160). This is an **auto-calculated** field and cannot be edited. This field displays the sum of object classes (501-510) for general administration function (160), lines 1-14, column d.
- Column e: Total Modal Expenses. This is an **auto-calculated** field and cannot be edited. This field displays the total operating expenses, equal to the sum of total operating expenses for each function, line 15, columns a-d.

Line 16, column e: Americans with Disabilities Act of 1990 (ADA) Related Expenses.

- This is an **auto-calculated** field and cannot be edited. This field displays the sum of all operating expenses for complementary paratransit services (DR) attributable to Americans with Disabilities Act of 1990 (ADA) compliance. Total ADA related expenses should be less than or equal to the total modal expenses on line 15, column e.

Reconciling Items

Line 17: Interest Expenses (511)

- Column a: Funds Applied. Enter interest expenses for which you have applied funds to pay for the expenditures. Interest is the charges incurred for borrowed money by your transit agency, and include both long and short-term debt obligations. Interest charges pertaining to construction debt that is capitalized are not reported as interest expense.

- Column b: Funds Not Applied. Enter interest expenses for which you have not applied funds to pay for the expenditures. Interest is the charges incurred for borrowed money by your transit agency, and include both long and short-term debt obligations. Interest charges pertaining to construction debt that is capitalized are not reported as interest expense.
- Column c: Total Expenses for Period. This is an **auto-calculated** field and cannot be edited. This field displays the total interest expenses equal to the sum of columns a and b.

Line 18: Leases and Rentals (512)

Leases and rentals are the expenses for the use of capital assets not owned by your transit agency. True leases are those in which the lessor and lessee are not related parties; the total lease payments cover the lessor's cost of the property for the period of the lease plus interest; and the ownership of the property remains with the lessor upon expiration of the lease. For the true lease, this object class includes the lease payments on true lease property.

- Column a: Funds Applied. Enter leases and rentals expenses for which you have applied funds to pay for the expenditures.
- Column b: Funds Not Applied. Enter leases and rentals expenses for which you have not applied funds to pay for the expenditures.
- Column c: Total Expenses for Period. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses for leases and rentals equal to the sum of columns a and b.

Line 19: Purchase Lease Agreement (514)

Purchase lease agreements are financing plans that enable your transit agency to acquire (own) the capital asset at the end of the lease, sometimes with an additional payment due. The property covered by such leases may or may not have been booked as owned assets, either during or after the period of the lease, in your transit agency's internal accounting records. If purchase leases have not been capitalized in your transit agency's internal accounting records, this category includes the lease payments for the purchase lease agreement. If the lease has been capitalized in the internal accounting records of your transit agency, it is to be accounted for in the NTD system as it has been accounted for internally.

- Column a: Funds Applied. Enter purchase lease agreement expenses for which you have applied funds to pay for the expenditures.
- Column b: Funds Not Applied. Enter purchase lease agreement expenses for which you have not applied funds to pay for the expenditures.
- Column c: Total Expenses for Period. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses for purchase lease agreements equal to the sum of columns a and b.

Line 20: Related Parties Lease Agreement (515)

- Column a: Funds Applied. Enter related parties lease agreement expenses for which you have applied funds to pay for the expenditures. Related parties leases are where the terms and amount of payments by your transit agency are substantially less than in a true lease because your transit agency is related to the lessor. For example, a transit agency may lease surplus equipment from another transit agency or local government.
- Column b: Funds Not Applied. Enter related parties lease agreement expenses for which you have not applied funds are substantially less than in a true lease because your transit agency is related to the lessor. For example, a transit agency may lease surplus equipment from another transit agency or local government.
- Column c: Total Expenses for Period. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses for related parties lease agreements equal to the sum of columns a and b.

Line 21: Depreciation (513)

Depreciation is probably the largest expense for most transit agencies and is usually reported in the funds not applied category. Depreciation reflects the loss in service value of your transit agency's assets. Depreciated items have a high initial cost and a useful life of more than one year. In order to account for the reduction in value (usefulness) of the asset, a portion of the cost is expensed each year of the asset's life. Transit agencies may use different methods to arrive at the yearly depreciation expense.

- Column a: Funds Applied. Enter depreciation expenses for which you have applied funds to pay for the expenditures.
- Column b: Funds Not Applied. Enter depreciation expenses for which you have not applied funds to pay for the expenditures.
- Column c: Total Expenses for Period. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses for depreciation equal to the sum of columns a and b.

Line 22: Amortization of Intangibles (513.13)

The amortization of the intangible costs of your transit agency includes organization costs, franchises, patents, goodwill and other intangible assets.

- Column a: Funds Applied. Enter the amortization of the intangible expenses for which you have applied funds to pay for the expenditures.
- Column b: Funds Not Applied. Enter the amortization of the intangible expenses for which you have not applied funds to pay for the expenditures.
- Column c: Total Expenses for Period. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses for amortization of intangibles equal to the sum of columns a and b.

Line 23: Other Reconciling Items (516)

- Column a: Funds Applied. Enter any other expenses for which you have applied funds that cannot be captured in object classes (511 through 515). Some examples of other reconciling items are expenses for non-transit programs, funds to another agency through a cooperative agreement and expenses for PT services not meeting NTD requirements for a contractual agreement. Describe in the **Other Reconciling Items — Other Describe** field.
- Column b: Funds Not Applied. Enter any other expenses for which you have not applied funds that cannot be captured in object classes (511 through 515). Some examples of other reconciling items are expenses for non-transit programs, funds to another agency through a cooperative agreement and expenses for PT services not meeting NTD requirements for a contractual agreement. Describe in the **Other Reconciling Items — Other Describe** field.
- Column c: Total Expenses for Period. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses for other reconciling items equal to the sum of columns a and b.

Line 24: Total Reconciling Items

- Column a: Funds Applied. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses for reconciling items for which you have applied funds equal to the sum of lines 17-23, column a.
- Column b: Funds Not Applied. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses for reconciling items for which you have not applied funds equal to the sum of lines 17-23, column b.
- Column c: Total Expenses for Period. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses for the period equal to the sum of columns a and b.

Line 25: Americans with Disabilities Act of 1990 (ADA) Related Expenses

- Column a: Funds Applied. Enter the sum of all reconciling items for which you have applied funds to pay for the expenditures for complementary paratransit services (DR) attributable to ADA compliance. Total ADA related expenses should be less than or equal to the total reconciling items on line 24, column a.
- Column b: Funds Not Applied. Enter the sum of all reconciling items for which you have not applied funds to pay for the expenditures for complementary paratransit services (DR) attributable to ADA. Total ADA related expenses should be less than or equal to the total reconciling items on line 24, column a.
- Column c: Total Expenses for Period. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses for reconciling items attributable to ADA related expenses (DR only) equal to the sum of columns a and b.

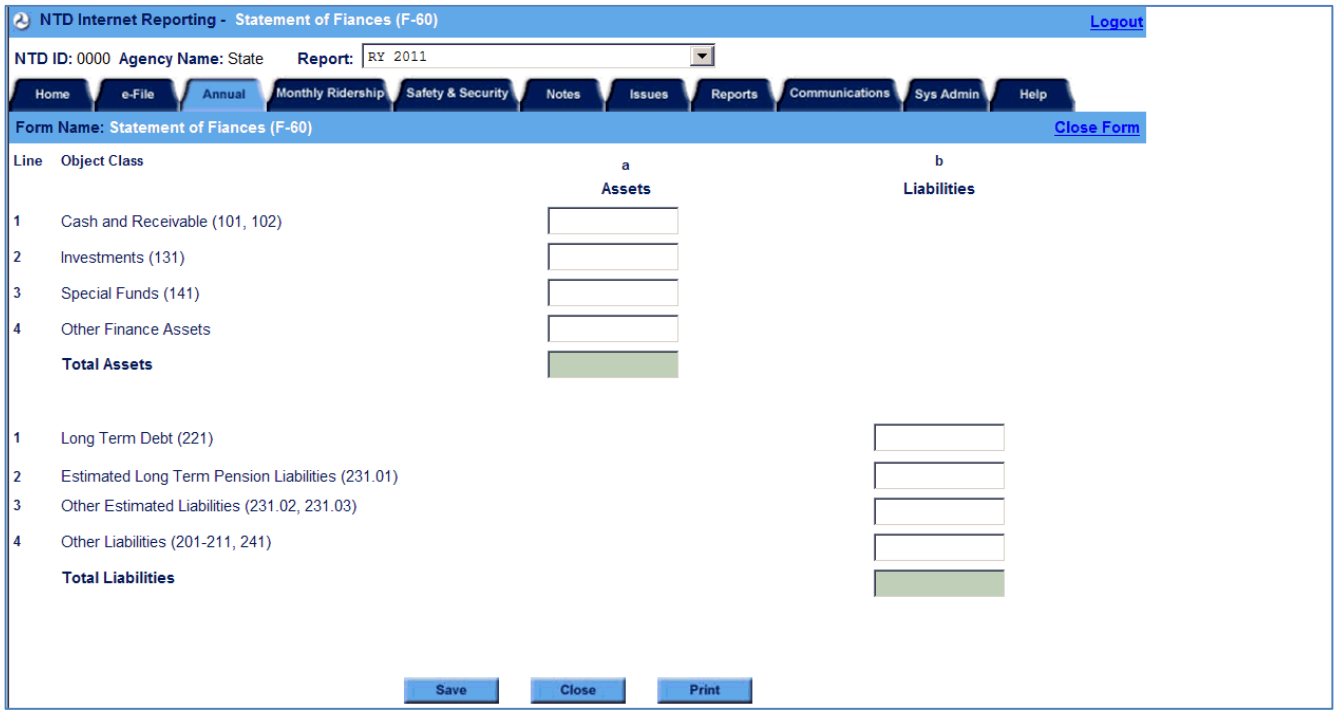
Line 26: Total Expenses from Published Reports for Transit Operations

- Column a: Funds Applied. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses for which you have applied funds to pay for the expenditures. The total expenses should reconcile to published reports for transit operations and should be equal to the sum of line 15, column e and line 24; column a. Published reports are typically your transit agency's audited financial statement.
- Column b: Funds Not Applied. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses for which you have not applied funds to pay for the expenditures. The total expenses should reconcile to published reports for transit operations and should be equal to the sum of line 15, column e and line 24; column b. Published reports are typically your transit agency's audited financial statement.
- Column c: Total Expenses for Period. This is an **auto-calculated** field and cannot be edited. This field displays the total expenses from published reports for transit operations equal to columns a and b.

Statement of Finances (F-60)

The purpose of the F-60 form to consolidate and simplify bond and loan reporting. Bonds and loans will now be reported include consolidated reporting of financial assets, along with financial liabilities, according to categories already established in the Uniform System of Accounts (USOA), since the reporting of liabilities without the concurrent reporting of asset does not present a full picture of the financial capacity of the transit system.

Statement of Finances (F-60)



Overview

The FTA uses the statistics from the

Reporting Requirements and Thresholds

Transit agencies that are not operating as a unit of city or local Government, and which have their own financial assets and liabilities, are required to submit this form.

What Has Changed from Prior Year

This form is a new requirement for the 2011 Report Year.

Approach

This form will be used for consolidated reporting of financial assets, along with financial liabilities, according to categories already established in the Uniform System of Accounts (USOA), since the reporting of liabilities without the concurrent reporting of asset does not present a full picture of the financial capacity of the transit system. You are required to submit a ‘‘best available’’ report to the NTD by the established deadline in order to begin the validation process, but revisions may be made during the validation process. Finally, given the difficulty in valuing many transit capital assets, let alone the difficulty of liquidating those assets in order to meet financial liabilities, you will not have to include the reporting of the value of capital assets to the NTD at this time.

This form is divided into two sections. One is for assets and one for liabilities. All reporting is based on the Uniform System of Accounts (USOA).

Detailed Instructions

The first half of this form details the assets.

Cash and receivables (101 and 102)

101. CASH AND CASH ITEMS

These categories cover cash on hand and in banks available for the liquidation of transit agency liabilities, including special deposits for which a current liability exists.

01. Cash and Cash Items - Cash

The amount of current funds available for use on demand. They may be in the hands of financial officers or on deposit in banks and trust companies.

02. Cash and Cash Items - Working (Imprest) Funds.

The amounts advanced to officers, agents, employees, masters, pursers and others as petty cash or working funds from which certain expenditures are to be made and accounted for.

03. Cash and Cash Items - Special Deposits, Interest

The monies and bank credits specially deposited in the hands of fiscal agents or others for the payment of interest on behalf of the transit agency. When interest is paid from such deposits, this account shall be credited and the appropriate accrued or matured interest liability account shall be debited.

04. Cash and Case Items - Special Deposits, Dividends

The monies and bank credits in the hands of fiscal agents or others for the payment of dividends on behalf of the transit agency. When dividends are paid from such deposits, this account shall be credited and the appropriate dividend account shall be debited.

05. Cash and Cash Items - Special Deposits, Other

The monies and bank credits in the hands of fiscal agents or others for special purposes other than the payment of interest or dividends. This includes cash or securities deposited with Federal, state or municipal authorities, public utilities or others as a guarantee for the fulfillment of obligations. When the purposes for which the deposit exists have been satisfied, this account shall be credited with the amount of the deposit disbursed or released.

06. Cash and Cash Items - Temporary Cash Investments

The book cost of investments such as time drafts receivable and time loans, bankers' acceptances, United States Treasury certificates, marketable securities and other similar investments acquired for the purpose of temporarily investing cash. Any securities included herein must be of such a nature as to be readily convertible into cash at substantially the book value.

102. RECEIVABLES

These categories cover amounts owed to the transit agency by other parties.

01. Receivables - Accounts Receivable

The amounts due from others (except associated companies) for material and supplies furnished and services rendered, including transportation and storage charges, property use charges, other matured rents, amounts owing by public authorities, amounts of collectible judgments, current accounts with officers and employees and other accounts and claims upon which responsibility is acknowledged by solvent concerns or individuals.

02. Receivables - Notes Receivable

The book cost of all collectible obligations in the form of notes receivable, contracts receivable and similar evidences of money receivable on demand or within a time not exceeding one year from date of issue.

03. Receivables - Interest and Dividends Receivable

The amount of current interest accrued to the date of the balance sheet on bonds, mortgages, notes and other commercial paper owned; on loans made; and on open accounts, bank deposits, etc. The amount of dividends receivable on stocks owned.

04. Receivables - Receivables from Associated Companies

The total of amounts receivable from associated companies which are subject to current settlement, such as balances in open accounts for services rendered, material furnished, traffic accounts, claims, rent for use of property and similar items.

- Interest and dividends receivable from associated companies.

- Loans, notes and drafts for which associated companies are liable.

05. Receivables - Receivable Subscriptions to Capital Stock

The balance due from subscribers upon legally enforceable subscriptions to capital stock.

06. Receivables - Receivables for Capital Grants

Grant amounts receivable from Federal, state and local governments or other parties, for capital projects and acquisitions.

07. Receivables - Receivables for Operating Assistance

Amounts receivable from Federal, state and local governments or other parties, for general operating assistance, special fare subsidies, demonstration project assistance, and purchase-of- service payments.

08. Receivables - Other Receivables

Amounts receivable from solvent debtors based on debtor-creditor relationships other than those specified in categories 102.01 through 102.07.

09. Receivables - Reserve for Uncollectible Accounts

131. INVESTMENTS

These categories cover investments of transit agency funds in the operation of other entities for purposes other than the temporary investment of surplus cash.

01. Investments - Investments and Advances, Associated Companies

The book cost of the transit agency's investments in securities issued or assumed by associated companies. The notes of associated companies maturing more than one year from date of issue. The amount of advances to associated companies not subject to current settlement including accrued interest on such advances when not subject to current settlement.

02. Investments - Other Investments and Advances

The book cost of the transit agency's investments in securities issued or assumed by non-associated companies.

141. SPECIAL FUNDS

These categories cover cash and near cash items whose use is restricted to satisfying a specific class of transit agency long-term obligations.

01. Special Funds - Sinking Funds

The cash, cost of securities of other companies and cost of other assets placed on deposit or in the hands of trustees or segregated from the transit agency's other assets as a sinking fund to meet obligations maturing in the future or to carry out such operations as the retirement of preferred stock or the procurement of serial bonds.

02. Special Funds - Capital Asset Funds

The cash, cost of securities of other companies and cost of other assets which have been specifically set aside for the purpose of providing a fund for the acquisition of units of depreciable property.

03. Special Funds - Insurance Reserve Funds

The cash, cost of securities of other companies and cost of other assets placed on deposit or in the hands of trustees to guarantee the satisfaction of obligations for losses that related to the current or a prior accounting period in instances where the transit agency is a "self-insurer" in whole or in part.

04. Special Funds - Pension Funds

The cash, cost of securities of other companies and cost of other assets which have been specifically set aside, placed on deposit or in the hands of trustees to provide for employees' pensions, relief, savings, and hospital benefits accruing to employees for performance of their labor services.

05. Special Funds - Other Special Funds

The cash, cost of securities of other companies and cost of other assets that have been specifically set aside for special purposes not provided for in the above categories.

151. OTHER ASSETS

These categories cover the assets not properly included in major categories 101through 141 above.

01. Other Assets - Prepayments

The payments for items whose benefit is to be realized subsequent to the time of the payment, e.g., prepaid rent, prepaid insurance, etc. As the benefit is realized, the prepayment will be reduced and the appropriate expense category charged.

02. Other Assets - Miscellaneous Other Assets

The cost of all assets not provided for in any other asset object class.

The second half of the form details the liabilities.

221. LONG-TERM DEBT

These categories cover obligations of the transit agency due after one year from the current period ending date and evidenced by formal long-term debt instruments such as equipment obligations, bonds, etc.

01. Long-Term Debt - Equipment Obligations

The face value of equipment obligations issued by the transit agency which will mature more than one year from the current period ending date or, if payable in installments, the face amount of such installments not due within one year from that date. This includes equipment bonds, equipment notes, chattel mortgages and other obligations for which equipment is pledged as security or held under a conditional sales agreement. It also includes the face value of equipment obligations issued by others, the payment of which has been assumed by the transit agency, and equipment obligations so issued or assumed, the majority of which has been extended by specific agreement.

02. Long-Term Debt - Bonds

The face value of bonds, other than equipment obligations, issued by the transit agency which will mature more than one year from the reporting date. Unsecured debentures and general revenue bonds are to be included in this category. This category also includes the face value of such bonds issued by others, the payment of which has been assumed by the transit agency.

03. Long-Term Debt - Receivers' and Trustees' Securities

The par value of evidences of indebtedness issued or assumed by receivers or trustees acting under the orders of a court.

04. Long-Term Debt - Long-Term Construction Liabilities

The amount of construction retentions scheduled as due after one year from the current period ending date.

05. Long-Term Debt - Other Long-Term Obligations

The amount of long-term obligations not provided for in the above categories and maturing more than one year from the current period ending date. This covers such items, executed or assumed, as real estate mortgages, assessments for public improvements, receipts outstanding for long-term obligations and other obligations maturing more than one year from the reporting date.

06. Long-Term Debt - Unamortized Debt Discount and Expense

The amount of unamortized discount and expense incurred in connection with the issuance of the transit agency's outstanding long-term debt instruments.

07. Long-Term Debt - Unamortized Premium on Debt

The amount of unamortized premium incurred in connection with the issuance of the transit agency's outstanding long-term debt instruments.

08. Long-Term Debt - Reacquired and Nominally Issued Long- Term Obligations

The par value of long-term debt of the transit agency nominally issued or reacquired by the transit agency and held uncanceled by it, except debt held in sinking or other special funds.

ESTIMATED LIABILITIES

These categories cover amounts which have been established and segregated as estimates of future liabilities.

Estimated Long Term Pension Liabilities

231.01. The estimated obligations of the transit agency, due more than one year from the current period ending date, to make payments to employees, their beneficiaries or trustees or managers of pension funds for pension, savings, relief and hospital benefits accruing to employees for the performance of their labor services.

Other Estimated Liabilities

231.02. Estimated Liabilities - Uninsured Public Liability and Property Damage Losses The estimated amounts required from which to pay settlements for injuries and damages to the person or property of others which are not covered by outside insurance.

231.03. Estimated Liabilities - Other Estimated Liabilities - Estimated obligations other than those for pensions and satisfaction of uninsured public liability settlements.

Other Liabilities

201. TRADE PAYABLES - ACCOUNTS PAYABLE

The amounts payable to others (except associated companies) for materials and services received, including use of property, other matured rents, amounts due to public authorities, amounts of payable judgments, current accounts with officers and employees, personal injury and property damage claims and other similar items. 01. Trade Payables - Payables to Associated Companies The amounts payable to associated companies which are subject to current settlement, such as credit balances in open accounts for services rendered, materials furnished, claims, rents for use of property and similar items.

202. ACCRUED PAYROLL LIABILITIES

This category covers obligations to pay for the labor services rendered by employees of the transit agency, including deductions from employees' wages for Social Security, income taxes and other similar items.

203. ACCRUED TAX LIABILITIES

This category covers obligations to pay taxes (income, property, payroll, etc.) which have accrued during the accounting period.

204. SHORT-TERM DEBT

These categories cover obligations to repay borrowings for periods of less than one year and current maturities of longer term financing transactions.

01. Short-Term Debt - Notes Payable

The face value of outstanding obligations in the form of notes, drafts, acceptances and other similar evidences of indebtedness which, by their terms, do not run for a period in excess of one year, including the face value of notes receivable discounted or sold without releasing the transit agency from liability as endorser thereon.

02. Short-Term Debt - Matured Equipment and Long-Term Obligations

The amount (including obligations for premiums) of equipment obligations, long-term obligations and receiver's certificates which have matured, but are unpaid, without any specific agreements for extension of maturity. This category includes unpresented bonds called for redemption.

03. Short-Term Debt - Unmatured Equipment and Long-Term Obligations, Current Portion

The amount of bonds, equipment obligations and other long-term debt obligations, including obligations maturing serially or payable in installments, which are due and payable within one year from the current period ending date, for which arrangements for refunding have not been made and for which no sinking funds have been provided.

04. Short-Term Debt - Matured Interest Payable

The amount of matured (i.e., past due) and unpaid interest on obligations of the transit agency, whether the cause of the failure to pay the interest is on the part of the creditor or for other reasons, except where such interest is added to the principal of the obligation.

05. Short-Term Debt - Accrued Interest Payable

The amount of interest accrued to the date of the balance sheet, but not payable until after that date, on all indebtedness of the transit agency, except interest which is added to the principal.

06. Short-Term Debt - Current Pension Liabilities

The amount to be paid within one year of the current period ending date to retired employees, their beneficiaries or a trustee or manager of a pension fund for the pension, savings, relief or hospital benefits accruing to employees for their labor services.

205. OTHER CURRENT LIABILITIES

These categories cover miscellaneous obligations of the transit agency due within one year of the current period ending date and not properly included in the above categories.

01. Other Current Liabilities - Unredeemed Fares

The amount of the obligation to provide transit service upon the redemption of tickets or tokens in the possession of patrons.

02. Other Current Liabilities - CODs Unremitted

The net amount of CODs collected from consignees, but not remitted to shippers.

03. Other Current Liabilities - Dividends Declared and Payable

The amount of dividends declared, but not paid, on any issue of capital stock of the transit agency.

04. Other Current Liabilities - Short-Term Construction Liabilities

The amount of construction retentions scheduled as due within one year of the current period ending date.

05. Other Current Liabilities - Miscellaneous Other Current Liabilities

The amount of obligations due within one year of the current period ending date and not properly included in the above categories.

211. ADVANCES PAYABLE

These categories cover longer term obligations of the transit agency evidenced by open accounts and notes rather than by more conventional long-term debt instruments, such as equipment obligations, bonds, etc.

01. Advances Payable - Advances Payable to Associated Companies

The amount of advances from associated companies, whether evidenced by notes or open accounts, which are not subject to current settlement, including interest accrued thereon when such interest is not subject to current settlement.

02. Advances Payable - Other Advances Payable

The amount of advances from individuals and companies other than associated companies, whether evidenced by notes or open accounts, which are not subject to current settlement, including interest accrued thereon when such interest is not subject to current settlement.

241. DEFERRED CREDITS

This category covers credit balances in suspense accounts that cannot be entirely cleared and disposed of until additional information is received and other items of a deferred nature.

Line by Line Instructions Statement of Finances form (F-60)

Line 1, column a, Cash and Receivable (101, 102)

Line2, column a, Investments (131)

Line 3, column a, Special Funds (141)

Line 4, column a, Other Assets

Total Assets, This is an auto-calculated field and cannot be edited, review for accuracy.

Line 1, column b, Long Term Debt (221)

Line 2, column b, Estimated Long Term Pension Liabilities (231.01)

Line 3, column b, Other Estimated Liabilities (231.02, 231.03)

Line 4, column b, Other Liabilities (201-211, 241)

Total Liabilities, This is an auto-calculated field and cannot be edited, review for accuracy.

Asset Module

The Asset Module contains three forms:

1. Stations and Maintenance Facilities form (A-10)
2. Transit Way Mileage form (A-20)
3. Revenue Vehicle Inventory form (A-30).

Stations and Maintenance Facilities form (A-10)

The A-10 form collects data on passenger stations and maintenance facilities.

This form is required for all transit agencies. Transit agencies complete separate forms for directly operated (DO) and for purchased transportation (PT) services by mode. The form is not applicable for demand response taxi (DT).

Transit Way Mileage form (A-20)

The A-20 form collects mileage data on all fixed route and fixed schedule modes.

This form is required for all transit agencies with fixed route and fixed schedule modes that operate on fixed guideway. Transit agencies complete separate forms for DO and for PT services by mode. The form is not applicable to ferryboat (FB), demand response (DR), demand response-taxi (DT), jitney (JT), publico (PB), and vanpool (VP) modes.

Revenue Vehicle Inventory form (A-30)

The A-30 form collects data on the revenue vehicle inventory at the end of the fiscal year and identifies the characteristics of the vehicles in the fleet.

This form is required for all transit agencies. Transit agencies complete separate forms for DO and for PT services by mode.

Stations and Maintenance Facilities form (A-10)

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Form Name: Stations and Maintenance Facilities - DO (A-10) Mode: Service: DO — Add Form Note — Close Form

Line	a	b	c	g
Passenger Stations	**Number of Facilities**			
01 Americans with Disabilities Act of 1990 (ADA) accessible				
02 Americans with Disabilities Act of 1990 (ADA) non-accessible				
03 **Total Stations**				
04 **Number of Multi-Modal Stations**				
05 **Escalators**				
06 **Elevators**				
Maintenance Facilities **General Purpose Maintenance Facilities**	**Owned**	**Leased from Another Public Agency**	**Leased from a Private Entity**	**Total**
07 Serving under 200 vehicles				
08 Serving 200 - 300 vehicles				
09 Serving more than 300 vehicles				
10 **Number of Heavy Maintenance Facilities**				
11 **Total Maintenance Facilities**				

Save | Close | Print

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Form Name: Stations and Maintenance Facilities - DO (A-10) Mode: Service: DO — Close Form

Line	a	b	c	g
Maintenance Facilities **General Purpose Facilities**	**Owned**	**Leased from Another Public Agency**	**Leased from a Private Entity**	**Total**
07 Serving under 200 vehicles				
08 Serving 200 - 300 vehicles				
09 Serving more than 300 vehicles				
10 **Number of Heavy Maintenance Facilities**				
11 **Total Maintenance Facilities**				

Save | Close | Print

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Form Name: Stations and Maintenance Facilities - PT (A-10) **Mode:** **Service:** PT Add Form Note Close Form

Line	a	d	e	f	g
Passenger Stations	**Number of Facilities**				
01 Americans with Disabilities Act of 1990 (ADA) accessible					
02 Americans with Disabilities Act of 1990 (ADA) non-accessible					
03 **Total Stations**					
04 **Number of Multi-Modal Stations**					
05 **Escalators**					
06 **Elevators**					
Maintenance Facilities **General Purpose Maintenance Facilities**	**Owned by Service Provider**	**Owned by Public Agency for Service Provider**	**Leased by Public Agency for Service Provider**	**Leased by Service Provider**	**Total**
07 Serving under 200 vehicles					
08 Serving 200 - 300 vehicles					
09 Serving more than 300 vehicles					
10 **Number of Heavy Maintenance Facilities**					
11 **Total Maintenance Facilities**					

Save Close Print

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Form Name: Stations and Maintenance Facilities - PT (A-10) **Mode:** **Service:** PT Close Form

Line	a	d	e	f	g
Maintenance Facilities **General Purpose Maintenance Facilities**	**Owned by Service Provider**	**Owned by Public Agency for Service Provider**	**Leased by Public Agency for Service Provider**	**Leased by Service Provider**	**Total**
07 Serving under 200 vehicles					
08 Serving 200 - 300 vehicles					
09 Serving more than 300 vehicles					
10 **Number of Heavy Maintenance Facilities**					
11 **Total Maintenance Facilities**					

Save Close Print

Overview

The purpose of the A-10 form is to collect data on the number of passenger stations, both accessible and non-accessible, in accordance with the Americans with Disabilities Act of 1990 (ADA), the number of elevators and escalators within passenger stations, and the number of maintenance facilities by size and ownership categories.

Reporting Requirements and Thresholds

All transit agencies must complete this form. You should complete one form for each mode and type of service (TOS) except demand response taxi (DT)

What Has Changed from Prior Year

There are no changes to the A-10 form for the 2011 report year.

Approach

The reported data represents the inventory of passenger stations and maintenance facilities used for directly operated (DO) and purchased transportation (PT) services at the end of the fiscal year.

Passenger Stations

The passenger station information is only reported for fixed route, fixed schedule services (rail modes, bus (MB), trolleybus (TB), ferryboat (FB), aerial tramway (TR)). All passenger stations are reported, even though the NTD reporter may not own them. The key reporting criterion is that the passenger stations are served by the public transportation services contained in the NTD Annual report.

Example 12 — Reporting Passenger Stations
Example: Coaster Transit Agency provides MB service to a FB passenger station that is owned by Coast Transportation Authority. How should the passenger station be reported? **Solution:** Coaster Transit Agency should report 1 passenger station while Coast Transportation Authority also reports 1 passenger station as stations are reported by use, not ownership.

Station Criteria

One reporting consideration is the definition of a passenger station. The intent of the definition is to capture significant structures in separate rights-of-way (ROW). This usually means a platform area for rail modes and something more than a street stop or street side passenger shelter for non-rail modes.

The following rules apply:

- All rail passenger facilities (except light rail (LR) and cable car (CC)) are stations.
- All LR and CC passenger facilities in a separate ROW that have platforms are stations.
- All MB and TB passenger facilities in a separate ROW that have an enclosed structure (building) for passengers for such items as ticketing, information, restrooms, concessions, and telephones are stations.
- Stops on street or in medians for CC, LR, MB, and TB are not stations if at most they have shelters, canopies, lighting, signage or ramps for accessibility requirements, (i.e., no separate, enclosed buildings).
- All transportation, transit or transfer centers, park-and-ride facilities and transit malls are stations if they have an enclosed structure (building) for passengers for such items as ticketing, information, restrooms, concessions, and telephones.

Multi-Modal Stations

Another reporting consideration is the definition of a multi-modal station. A station is defined as multi-modal if it serves one of your transit agency's modes and serves at least one of the following:

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

ADA Accessibility

The last reporting consideration is whether the station meets the Americans with Disabilities Act of 1990 (ADA) accessibility requirements. To meet other Federal requirements, your transit agency probably has made this assessment.

Maintenance Facilities

Maintenance facilities are reported by:

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

Type

Maintenance facilities are the garages and buildings where routine maintenance and repairs are performed (general purpose maintenance facility) and, in larger transit agencies, where engine and other major unit rebuilds are performed (heavy maintenance facility). General purpose maintenance facilities generally also serve as operating garages where vehicles are stored and dispatched daily for revenue service.

In some transit agencies, the same facility is used for both general purpose and heavy maintenance. You should report joint general purpose / heavy maintenance facility as a general purpose maintenance facility.

Ownership

Maintenance facility ownership is reported based on the type of service (TOS) —DO or PT.

For DO service, the interest is in whether the facility is publicly owned, either by the transit agency itself or by another public entity, such as a city highway department maintenance facility, or whether the facility is leased from a private entity.

For PT service, the interest is in whether there is public involvement in the maintenance facility either as a public facility owned or leased by the buyer of the PT service, or whether the PT provider owns its own facility or leases one from a private entity.

Size

The size of the facility is based on how many revenue vehicles can be serviced and stored. It is a measure of capacity of the facility, not the number of revenue vehicles currently operated from the facility Shared Facilities

Some transit agencies operate more than one mode from a facility or use the facility for both DO and PT services. The most common arrangement is the operation of bus (MB) and DR vehicles from a single facility. If a facility is shared by more than one mode or TOS, you should prorate among the modes and TOS so that, in total, only one facility is reported (e.g., 0.9 for MB/DO and 0.1 for DR/DO).

Detailed Instructions

This form is tailored to meet the different reporting requirements for:

- Scheduled versus non-scheduled services. The fixed schedule services form for rail modes, MB, TB, FB, and TR collects information about passenger stations. The non-scheduled services form for DR, VP, JT, and PB does not collect passenger station information.
- TOS. The forms for DO or PT have different ownership types for maintenance facilities.

Complete one form for each mode and TOS.

Passenger Stations

You should report the number of transit passenger stations, distinguishing between Americans with Disabilities Act of 1990 (ADA) accessible stations and non-ADA accessible stations,, and total number of multi-modal stations. You should report the number of stations that serve transit passengers, regardless of ownership.

For rail modes, you should report the station in each rail mode and TOS that it is used. This may result in the “double counting” of some stations since they might be served by two rail modes (e.g., DO heavy rail (HR), DO light rail (LR)) or two TOS (e.g., DO commuter rail (CR), purchased transportation (PT) CR).

Many rail stations also should be counted as multi-modal stations since they are served by two or more rail modes (e.g., heavy rail (HR) and LR) or by a non-rail mode, typically MB. When the station is served by multiple rail modes, you should report the station as multi-modal on each form.

However, the “double-counting” rule does not apply when a station is served by rail modes and MB mode at the same station. You should only report the station only under the rail modes.

For non-rail modes, you should report the station in each mode and TOS that it is used. This may result in the “double counting” of some stations, in most cases because they are served by two types of MB service —DO bus and PT bus.

Americans with Disabilities Act of 1990 Accessible Stations

Accessible stations do not have physical barriers that would prevent or restrict access by individuals with disabilities, including individuals who use wheelchairs. To meet other Federal requirements, your transit agency probably has identified accessible stations.

Non-ADA Accessible Stations

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

Multi-Modal Passenger Stations

You should report the total number of passenger stations serving multiple modes. Modes include other transit modes, AMTRAK, airports, water transportation, and intercity bus.

If a rail passenger station also has MB services, you should report it as a multi-modal passenger station if it has more than three bus bays or one bay with capacity for more than three buses.

Escalators and Elevators

You should report the number of escalators and elevators within the passenger stations. These are used to transfer passengers between levels in a station or parking facility or between each other. Elevators and escalators exclude moving sidewalks.

You should not include non-passenger escalators and elevators used only for freight, or by transit staff, or as a back-up if passenger escalators and elevators break down.

Maintenance Facilities

You should report the type of maintenance facility based on the type of work performed — for general maintenance or for heavy maintenance. If there is only one facility that is used for both general and heavy maintenance, you should report the facility under general purpose.

You should report maintenance facility ownership by category. The categories are different for DO and PT services. The form is tailored to reflect the data required for each TOS.

For DO modes, there are three categories of ownership:

1. Owned facilities
2. Facilities leased from another public agency
3. Facilities leased from a private entity.

For PT modes, there are four categories of ownership:

1. Owned by service provider — facility owned by seller of PT service (public entity or private operator)
2. Owned by public agency for service provider — facility owned by public agency buying PT (reporter)
3. Leased by public agency for service provider — facility leased by public agency buying PT service (reporter) from a third party
4. Leased by service provider — facility leased by seller of PT service (public entity or private operator) from a third party.

You should not report maintenance facilities if maintenance services are performed at any other facility. For example, a transit agency has a PT agreement with a taxicab company for DT service. The taxicab vehicles are taken to the local gasoline service station for routine repairs and servicing. You should not report the local gasoline service as a maintenance facility.

General Purpose Maintenance Facilities

You should report general purpose maintenance facilities by:

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

Size is divided into three categories based on the number of revenue vehicles that can be serviced:

1. Under 200 vehicles
2. 200 – 300 vehicles
3. More than 300 vehicles.

You should report the facility size based on design capacity, not the number of vehicles assigned to the facility.

Example 13 — Serves versus Capacity
Example: Coaster Transit Agency operates 100 vehicles and owns a maintenance facility that can store 300 vehicles. How what type of general maintenance facility should be reported? **Solution:** You should report the size of the general purpose maintenance facility as 1 Serving 200 – 300 vehicles.

For PT service, these are the facilities owned or leased by the buyer for the seller, or the facilities owned or leased by the seller for inspection, service and repair of the revenue vehicles used under the PT agreement.

If the same facility serves more than one mode or TOS, you should prorate the facility's use by mode or TOS to one decimal place. See the example below.

Heavy Maintenance Facilities

You should report heavy maintenance facilities by ownership category. There is no distinction for the size of the facility.

For PT service, these are the facilities owned or leased by the buyer for the seller, or the facilities owned or leased by the seller for engine and other major unit rebuilds of the revenue vehicles used under the PT agreement.

If the same facility serves more than one mode or TOS, you should prorate the facility's use by mode or TOS to one decimal place. Do not include service vehicles when prorating maintenance facilities. See the example below.

Example 14 — Reporting Maintenance Facilities

Example: Coaster Transit Agency uses one of its general purpose maintenance facilities for servicing both MB and DR vehicles for DO services, and for DR PT service. How should maintenance facilities be reported?

Solution: You should prorate the facility based on usage. One way to estimate usage is to prorate the number of vehicles available in annual maximum service for each mode and TOS. You should report facilities prorated to each mode and TOS.

Mode	Vehicles Serviced	Ratio	Prorated Facilities Reported		
MB/DO	240	.8	.8	Line 08, column a	Owned / public agency
DR/DO	30	.1	.1	Line 08, column a	Owned / public agency
DR/PT	20	.1	.1	Line 08, column d	Owned / public agency for service provider
Total	**290**		**1.0**	**Serving 200-300 vehicles**	

Line by Line Instructions Stations and Maintenance Facilities from (A-10)

Completing the Stations and Maintenance Facilities form (A-10)

You should complete one form for each mode and type of service (TOS).

Form Level Help: You should click on the **Help** tab at the top of the screen for form level help.

Form Notes: A form note can be attached to any form. You should use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. You should click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. You should not use the **Form Notes** feature to answer issues generated from this form. From the **Issues** tab you should use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: You should click on the **Save** button at the bottom of the screen to save the form. You should click on the **Close** button at the bottom of the screen to close the form without saving.

Passenger Stations

This section does not apply to demand response (DR), demand response-taxi (DT), jitney (JT), publico (PB), and vanpool (VP) modes.

Line 01, column a: Americas with Disabilities Act of 1990 (ADA) Accessible Passenger Stations — Number of Facilities.

- Enter the number of transit passenger stations that do not restrict access to individuals with disabilities under Americas with Disabilities Act of 1990 (ADA) requirements.

  For transit rail modes, report the station in each mode and TOS that it is used.

  For transit rail modes and MB mode at the same station, count the station only under the rail mode.

  For transit non-rail modes, report the station in each mode and TOS that it is used.

Line 02, column a: ADA Non-Accessible Passenger Stations — Number of Facilities.

- Enter the number of transit passenger stations that do not meet ADA accessibility requirements for individuals with disabilities.

  For transit rail modes, report the station in each mode and TOS that it is used.

  For transit rail modes and MB mode at the same station, count the station only under the rail mode.

  For transit non-rail modes, report the station in each mode and TOS that it is used.

Line 03, column a: Total Stations — Number of Facilities. This is an **auto-calculated** field and cannot be edited. This field displays the total number of ADA accessible and non-ADA accessible passenger stations.

Line 04, column a: Number of Multi-Modal Stations — Number of Facilities.

- Of the total number of transit passenger stations, enter the number of those serving multiple transit modes, AMTRAK, airports or intercity bus.

  If the primary mode is rail and the passenger station has more than three bus bays or one bay with capacity for three buses, report it as a multi-modal passenger station.

Line 05, column a: Escalators — Number of Facilities.

- Enter the number of escalators in passenger stations whose primary purpose is to transfer passengers between levels in a station or parking facility or between each other, exclude moving sidewalks.

Line 06, column a: Elevators — Number of Facilities.

- Enter the number of elevators in passenger stations whose primary purpose is to transfer passengers between levels in a station or parking facility or between each other, excluding moving sidewalks.

Maintenance Facilities - Directly Operated Service

Line 07: General Purpose Maintenance Facilities Serving under 200 Vehicles

- Column a: Owned
  - Enter the number of maintenance facilities that are owned by the transit agency and that are designed to service up to 200 revenue vehicles.
- Column b: Leased from Another Public Agency.

Enter the number of maintenance facilities that the transit agency leases from another public agency and that are designed to service up to 200 revenue vehicles. If you are a private company filing an NTD Annual report as directly operated (DO) service, select this category if you are using any public agency facility for maintenance whether it is leased or owned by the buyer for your use under the PT agreement.

- Column c: Leased from a Private Entity. If you are a private company filing an NTD Annual report as DO service, select this category if you are using any private facility for maintenance whether it is leased by the buyer or by yourself for your use under the PT agreement.
  - Enter the number of maintenance facilities that the transit agency leases from a private entity and that are designed to service up to 200 revenue vehicles.
- Column g: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total number of general purpose maintenance facilities that are designed to service up to 200 revenue vehicles.

Line 08: General Purpose Maintenance Facilities Serving 200-300 Vehicles

- Column a: Owned.
  - Enter the number of maintenance facilities that are owned by the transit agency and that are designed to service 200 to 300 revenue vehicles.
- Column b: Leased from another Public Agency. If you are a private company filing an NTD Annual report as DO service, select this category if you are using any public agency facility for maintenance whether it is leased or owned by the buyer for your use under the PT agreement.
  - Enter the number of maintenance facilities that the transit agency leases from another public agency and that are designed to service 200 to 300 revenue vehicles.
- Column c: Leased from a Private Entity. If you are a private company filing an NTD Annual report as DO service, select this category if you are using any private facility for maintenance whether it is leased by the buyer or by yourself for your use under the PT agreement.
  - Enter the number of maintenance facilities that the transit agency leases from a private entity and that are designed to service 200 to 300 revenue vehicles.
- Column g: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total number of general purpose maintenance facilities that are designed to service 200 to 300 revenue vehicles.

Line 09: General Purpose Maintenance Facilities Serving more than 300 Vehicles

- Column a: Owned. Enter the number of maintenance facilities that are owned by the transit agency and that are designed to service more than 300 revenue vehicles.
- Column b: Leased from another Public Agency. If you are a private company filing an NTD Annual report as DO service, select this category if you are using any public agency facility for maintenance whether it is leased or owned by the buyer for your use under the PT agreement.
  - Enter the number of maintenance facilities that the transit agency leases from another public agency and that are designed to service more than 300 revenue vehicles.
- Column c: Leased from a Private Entity. If you are a private company filing an NTD Annual report as DO service, select this category if you are using any private facility for maintenance whether it is leased by the buyer or by yourself for your use under the PT agreement.
  - Enter the number of maintenance facilities that the transit agency leases from a private entity and that are designed to service more than 300 revenue vehicles.
- Column g: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total number of general purpose maintenance facilities that are designed to service more than 300 revenue vehicles.

Line 10: Heavy Maintenance Facilities

- Column a: Owned. Enter the number of heavy maintenance facilities that are owned by the transit agency.
- Column b: Leased from another Public Agency. If you are a private company filing an NTD Annual report as DO service, select this category if you are using any public agency facility for maintenance whether it is leased or owned by the buyer for your use under the PT agreement.
  - Enter the number of heavy maintenance facilities that the transit agency leases from another public agency.
- Column c: Leased from a Private Entity. If you are a private company filing an NTD Annual report as DO service, select this category if you are using any private facility for maintenance whether it is leased by the buyer or by yourself for your use under the PT agreement.
  - Enter the number of heavy maintenance facilities that the transit agency leases from a private entity.
- Column g: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total number of heavy maintenance facilities.

Line 11: Total Maintenance Facilities

- Column a: Owned. This is an **auto-calculated** field and cannot be edited. This field displays the total number of general purpose and heavy maintenance facilities that are owned by the transit agency.
- Column b: Leased from another Public Agency. This is an **auto-calculated** field and cannot be edited. This field displays the total number of general purpose and heavy maintenance facilities that the transit agency leases from another public agency.
- Column c: Leased from a Private Entity. This is an **auto-calculated** field and cannot be edited. This field displays the total number of general purpose and heavy maintenance facilities that the transit agency leases from a private entity.
- Column g: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total number of general purpose and heavy maintenance facilities.

Maintenance Facilities - Purchased Transportation Service

Line 07: General Purpose Maintenance Facilities Serving under 200 Vehicles

- Column a: Owned by Service Provider.
  - Enter the number of maintenance facilities that are owned by the service provider and that are designed to service up to 200 revenue vehicles.
- Column d: Owned by Public Agency for Service Provider.
  - Enter the number of maintenance facilities that are owned by the public agency for the service provider and that are designed to service up to 200 revenue vehicles.
- Column e: Leased by Public Agency for Service Provider.
  - Enter the number of maintenance facilities that are leased by the public agency for the service provider and that are designed to service up to 200 revenue vehicles.
- Column f: Leased by Service Provider.
  - Enter the number of maintenance facilities that are leased by the service provider and that are designed to service up to 200 revenue vehicles.
- Column g: Total. This is an **auto-calculated** field and cannot be edited. This field display the total number of general purpose maintenance facilities that are designed to service up to 200 revenue vehicles.

Line 08: General Purpose Maintenance Facilities Serving 200-300 Vehicles

- Column a: Owned by Service Provider.
  - Enter the number of maintenance facilities that are owned by the service provider and that are designed to service 200 to 300 revenue vehicles.
- Column d: General Purpose Maintenance Facilities Serving 200-300 Vehicles — Owned by Public Agency for Service Provider.
  - Enter the number of maintenance facilities that are owned by the public agency for the service provider and that are designed to service 200 to 300 revenue vehicles.
- Column e: General Purpose Maintenance Facilities Serving 200-300 Vehicles — Leased by Public Agency for Service Provider.
  - Enter the number of maintenance facilities that are leased by the public agency for the service provider and that are designed to service 200 to 300 revenue vehicles.
- Column f: General Purpose Maintenance Facilities Serving 200-300 Vehicles — Leased by Service Provider.
  - Enter the number of maintenance facilities that are leased by the service provider and that are designed to service 200 to 300 revenue vehicles.
- Column g: Total. This is an **auto-calculated** field and cannot be edited. This field display the total number of general purpose maintenance facilities that are designed to service 200 to 300 revenue vehicles.

Line 09: General Purpose Maintenance Facilities Serving more than 300 Vehicles

- Column a: Owned by Service Provider.
  - Enter the number of maintenance facilities that are owned by the service provider and that are designed to service more than 300 revenue vehicles.
- Column d: General Purpose Maintenance Facilities Serving 200-300 Vehicles — Owned by Public Agency for Service Provider.
  - Enter the number of maintenance facilities that are owned by the public agency for the service provider and that are designed to service more than 300 revenue vehicles.

- Column e: General Purpose Maintenance Facilities Serving 200-300 Vehicles — Leased by Public Agency for Service Provider.
  - Enter the number of maintenance facilities that are leased by the public agency for the service provider and that are designed to service more than 300 revenue vehicles.
- Column f: General Purpose Maintenance Facilities Serving 200-300 Vehicles — Leased by Service Provider.
  - Enter the number of maintenance facilities that are leased by the service provider and that are designed to service more than 300 revenue vehicles.
- Column g: Total. This is an **auto-calculated** field and cannot be edited. This field display the total number of general purpose maintenance facilities that are designed to service more than 300 revenue vehicles.

Line 10: Heavy Maintenance Facilities

- Column a: Owned by Service Provider.
  - Enter the number of heavy maintenance facilities that are owned by the service provider.
- Column d: Owned by Public Agency for Service Provider.
  - Enter the number of heavy maintenance facilities that are owned by the public agency for the service provider.
- Column e: Leased by Public Agency for Service Provider.
  - Enter the number of heavy maintenance facilities that are leased by the public agency for the service provider.
- Column f: Leased by Service Provider.
  - Enter the number of heavy maintenance facilities that are leased by the service provider.
- Column g: Total. This is an **auto-calculated** field and cannot be edited. This field displays the total number of heavy maintenance facilities.

Line 11: Total Maintenance Facilities

- Column a: Owned by Service Provider. This is an **auto-calculated** field and cannot be edited. This field displays the total number of general purpose and heavy maintenance facilities that are owned by the service provider.
- Column d: Owned by Public Agency for Service Provider. This is an **auto-calculated** field and cannot be edited. This field displays the total number of general purpose and heavy maintenance facilities that are owned by the public agency for the service provider.
- Column e: Leased by Public Agency for Service Provider. This is an **auto-calculated** field and cannot be edited. This field displays the total number of general purpose and heavy maintenance facilities that are leased by the public agency for the service provider.
- Column f: Leased by Service Provider. This is an **auto-calculated** field and cannot be edited. This field displays the total number of general purpose and heavy maintenance facilities that are leased by the service provider.
- Column g: Total. This is an **auto-calculated** field and cannot be edited. This field displays total number of general purpose and heavy maintenance facilities.

Transit Way Mileage form (A-20)

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Form Name: Transit Way Mileage Rail (A-20) — Add Form Note — Close Form

Line	a	b	c
Mode/Service	**Mode/Service**	**Mode/Service**	**Mode/Service**
Guideway Classification	**Miles of Track**	**Miles of Track**	**Miles of Track**
01 At grade: Exclusive right-of-way (ROW)			
02 At grade: With cross traffic			
03 At grade: Mixed and cross traffic			
04 Elevated-on-structure			
05 Elevated-on-fill			
06 Open-cut			
07 Subway			
08 **Total Miles**			
	Crossings	**Crossings**	**Crossings**
09 At grade crossings: With cross traffic			
10 At grade crossings: Mixed and cross traffic			
11 **Total Crossings**			

Save | Close | Print

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Form Name: Transit Way Mileage Non-Rail (A-20) — Add Form Note — Close Form

Line	a	b	c
Mode/Service	**Mode/Service**	**Mode/Service**	**Mode/Service**
Guideway Classification	**Lane Miles**	**Lane Miles**	**Lane Miles**
12 Exclusive right-of-way (ROW)			
13 Controlled access right-of-way (ROW)			
08 **Total Miles**			

Save | Close | Print

Overview

The purpose of the A-20 form is to collect data for rail modes on system track and its construction, and for non-rail modes, on lane mileage (bus (MB), trolleybus (TB)) or line mileage (aerial tramway (TR)) for fixed guideway (FG).

Reporting Requirements and Thresholds

All transit agencies operating fixed route, fixed schedule service that operate on fixed guideway, must complete this form. You should complete one form for all rail modes and one form for all non-rail modes.

This form is not applicable to demand response (DR), demand response taxi (DT), jitney (JT), publico (PB), vanpool (VP) and ferryboat (FB) modes.

What Has Changed from Prior Year

There are no changes to the A-20 form for the 2011 report year.

Approach

The reported data represents the inventory of fixed guideway (FG) facilities with fixed route, fixed schedule services for rail and non-rail modes at the end of the fiscal year.

You need to understand the following concepts to use this form:

- Guideway classification
- Bus guideway safe operation
- Multiple modes or types of service (TOS) operating on a FG facility.

Guideway Classification

The traditional definition of FG is a separate right-of-way (ROW) for the exclusive use of public transportation vehicles. By this definition, all rail modes operate exclusively, (i.e., 24 hours per day and seven days per week), on FG.

For rail modes, you report miles of track by how the facility is constructed as follows:

- At grade
  - Exclusive right-of-way
  - With cross traffic
  - Mixed and cross traffic.
- Elevated
  - On structure
  - On fill.
- Open cut or subway.

The concept of FG also has been extended to non-rail modes. TR operates over its own exclusive air space that is similar to and is considered its own FG.

By Federal statute, the ROW used by FB also is considered exclusive FG. However, although FB is a fixed route, fixed schedule mode, you are not required to report lane miles of waterway on this form.

The remaining two fixed route modes — MB and TB — sometimes operate on their own FGs, but often operate with other vehicles. For MB and TB, you report lane miles by two types of ROW that involve the exclusive use of the ROW for transit operations:

- Exclusive right-of-way (ROW) is operated at all times — 24 hours per day, seven days per week.
- Controlled access right-of-way (ROW) is only operated sometimes — less than 24 hours per day or not all days of the week.

Mixed traffic right-of-way (ROW) is third type of ROW in which there is no exclusive use of the ROW for transit operations. You do not report lane miles for mixed traffic ROW on this form.

Bus Guideway Safe Operation

Safe operation is a requirement that applies only to MB FG facilities. It only applies to priority lanes (e.g., on freeways / expressways / high speed facilities) used by both MB mode and other high occupancy vehicles (HOV); (i.e., vanpools and carpools) to ensure safe travel. If the priority lanes do not meet the safe operation requirements, they are not classified as FG for NTD reporting. Priority lanes restricted to only MB mode always qualify under NTD reporting as safely operated.

Priority lanes that are used by both MB and other HOV meet the safe operation requirement if there is safe separation between free flowing HOV lanes and the congested, unrestricted lanes. Safe separation can be provided in two ways:

1. Physical barriers such as cones, concrete dividers, medians
2. Pavement markings such as a double solid wide line, a single solid wide line, a single broken wide line, or a diagonally striped area between lanes.

See below for graphic illustrations of safe operation designs.

Safe Operation — HOV lanes separated from general traffic lanes by double solid lines.

Safe Operation — HOV lanes separated from general traffic lanes by pylons.

Safe Operation — HOV lanes separated by fencing.

Safe Operation — HOV lanes separated from general traffic lanes by concrete barrier.

Sometimes high occupancy vehicle (HOV) lanes are identified by roadside or overhead signs, or by a diamond symbol in the lane. By themselves, roadside or overhead signs or diamond symbols do not meet the NTD requirements for safe operation. Priority lanes only meet the NTD requirements if one of the two ways discussed above — physical barriers or specific pavement markings — is provided. (Information on signage can be found in the Manual on Uniform Traffic Control Devices, Millennium Edition, December 2001, Section 3B.23, Preferential Lane Longitudinal Markings.)

Multiple Modes or Types of Service on a Fixed Guideway Facility

You must report all FG facilities on which a mode was operated either directly or through a PT agreement. It is possible that different modes or TOS operated on the same facility or a portion (segment) of the facility. The following rules apply in these situations:

- You should report all segments for each mode, even if more than one mode operates over some or all of the same segments.

- If directly operated (DO) and purchased transportation (PT) service of the same mode operates on some or all of the same segments you should report these segments on both the DO and PT forms.
- If your report includes multiple sellers of service of the same mode that operate on common segments, you should report the segments only once on the PT form.
- If the seller files a separate report, then the seller reports all segments over which it operates, even if the buyer of service operates over some or all of the same segments and includes them in its report.

Detailed Instructions

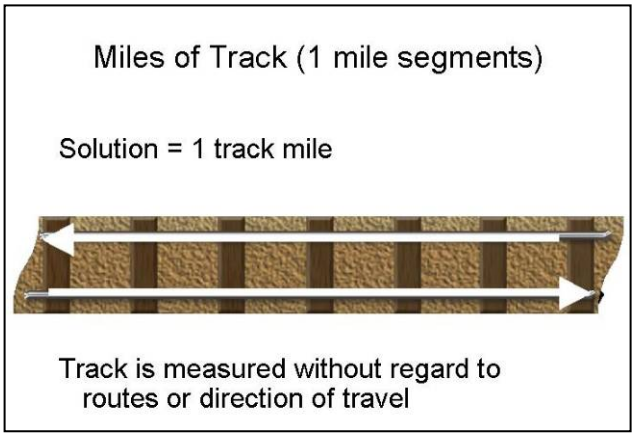
The form is tailored for rail modes and non-rail modes.

Rail Modes

You should report the miles of track for all rail modes. If the track is at grade with cross traffic or at grade with mixed and cross traffic, you should report the number of crossings.

- Miles of Track: Length of track to nearest tenth of a mile per segment of ROW. Miles of track are measured without regard to whether or not rail traffic can flow in only one direction on the track. All track is counted, including yard track and sidings.
- Number of Crossings: The number of locations at which other traffic may traverse the ROW for rail modes operating at grade.

The following graphics illustrate the reporting of miles of track.

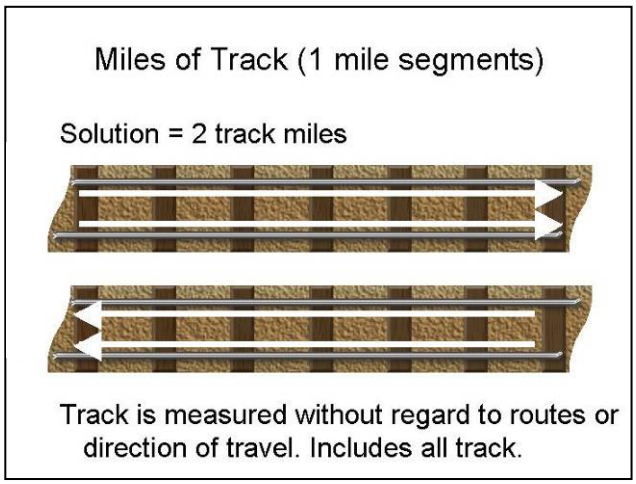


One track mile — service in two directions. How many Miles of Track?

A one-mile segment of track allows trains to operate in both directions. This is reported as one mile of track.

One track mile — service in two directions. How many Miles of Track?

This example illustrates a one-mile segment with inbound and outbound parallel tracks. This is reported as two miles of track.



Track Construction

For selected rail modes—AG, IP, CC and MO — you should report track miles and crossings as follows:

- AG and MO — you should report only total track miles as elevated on structure. There are no track crossings.
- IP — you should report only total track miles as at grade, exclusive ROW. There are no track crossings.
- CC — you should report only total track miles and total number of crossings under at grade, mixed and cross traffic.

However, for the other rail modes —CR, HR, LR and AR — you should report the required data based on the physical construction of the rail segment. Track construction is summarized for at grade, elevated, open cut and subway segments.

At grade (surface level) rail is divided into three categories based on traffic restrictions for non-rail traffic.

1. At grade, exclusive ROW restricts all non-rail traffic from entering the ROW
2. At grade, with cross traffic restricts all non-rail traffic from entering the right-of-way ROW except to cross at grade level crossings
3. At grade, mixed and cross traffic has no restrictions; non-rail traffic moving in the same direction or cross directions may pass.

Elevated guideway is exclusive ROW above surface level categorized in two ways:

1. Elevated on structure (e.g., bridges, overpasses)
2. Elevated on fill (solid ground such as dirt, concrete).

The last two classifications are below surface level:

1. Open cut is an excavated opening without a cover constructed over it
2. Subway tunnel/tube is covered and operates through an underground tunnel/tube.

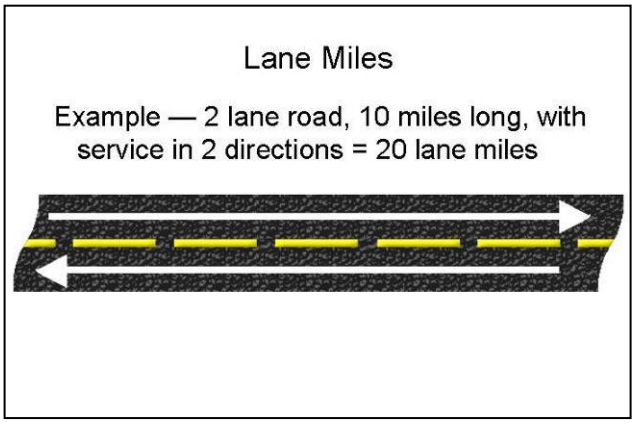
Non-Rail Modes

For MB and TB, you should report lane miles for exclusive ROW and controlled access ROW only. For TR you should report total TR line miles.

The example below describes how to determine lane miles on a HOV facility.

Example 15 — Calculating Lane Miles
Example 1: There is a high occupancy vehicle (HOV) facility ten miles long with one traffic lane running northbound and one traffic lane running southbound. **Solution:** 10 miles for the northbound lane + 10 miles for the southbound lane = **20 lane miles**. **Example 2:** There is a reversible HOV facility ten miles long with one traffic lane (operated north bound in the morning and south bound in the evening) **Solution:** There is only one lane = **10 lane miles**.

The following graphic illustrates the reporting of lane miles.



Line by Line Instructions Transit Way Mileage form (A-20)

Completing the Transit Way Mileage form (A-20)

You should complete one form for all rail modes and one for non-rail modes.

Form Level Help: You should click on the **Help** tab at the top of the screen for form level help.

Form Note: A form note can be attached to any form. You should use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. You should click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. You should not use the **Form Notes** feature to answer issues generated from this form. From the **Issues** tab You should use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: You should click on the **Save** button at the bottom of the screen to save the form. You should lick on the **Close** button at the bottom of the screen to close the form without saving.

Rail Modes

Miles of Track by mode and type of service (TOS)

Line 01: At Grade: Exclusive Right-of-Way (ROW).

- Enter the number of track miles, to the nearest tenth of a mile, on at grade, exclusive rail right-of-way (ROW), including yard and side track. Count all tracks regardless of direction or number of parallel tracks.
- Applicable for commuter rail (CR), heavy rail (HR), light rail (LR), Alaska railroad (AR) and inclined plane (IP) modes.

Line 02: At Grade: With Cross Traffic.

- Enter the number of track miles, to the nearest tenth of a mile, on at grade, with cross traffic rail ROW, including yard and side track. Count all tracks regardless of direction or number of parallel tracks.
- Applicable for CR, HR, LR and AR modes.

Line 03: At Grade: Mixed and Cross Traffic.

- Enter the number of track miles, to the nearest tenth of a mile, on at grade, mixed and cross traffic rail ROW, including yard and side track. Count all tracks regardless of direction or number of parallel tracks.
- Applicable for CR, HR, LR, AR and cable car (CC) modes.

Line 04: Elevated on Structure.

- Enter the number of track miles, to the nearest tenth of a mile, on rail transit way elevated on structure, including yard and side track. Count all tracks regardless of direction or number of parallel tracks.
- Applicable for CR, HR, LR, AR, automated guideway (AG) and monorail (MO) modes.

Line 05: Elevated on Fill.

- Enter the number of track miles, to the nearest tenth of a mile, on rail transit way elevated on fill, including yard and side track. Count all tracks regardless of direction or number of parallel tracks.
- Applicable for CR, HR and LR modes.

Line 06: Open Cut. Enter the number of track miles, to the nearest tenth of a mile, in open cut rail transitway, including yard and side track. Count all tracks regardless of direction or number of parallel tracks.

- Applicable for CR, HR, LR and AR modes.

Line 07: Subway.

- Enter the number of track miles, to the nearest tenth of a mile, of subway, tunnel or tube. Count all tracks regardless of direction or number of parallel tracks.
- Applicable for CR, HR, LR and AR modes.

Line 08: Total Miles. This is an **auto-calculated** field and cannot be edited. This field displays the total miles of track.

Crossings by mode and TOS

Line 09: At Grade Crossings: With Cross Traffic.

- Enter the number of rail ROW traffic crossings.

Line 10: At Grade Crossings: Mixed and Cross Traffic.

- Enter the number of rail ROW traffic crossings.

Line 11: Total Crossings. This is an **auto-calculated** field and cannot be edited. This field displays the total traffic crossings.

Non-Rail modes

Lane Miles by mode and TOS

Line 12: Exclusive ROW.

- Enter the number of lane miles to the nearest tenth of a mile, on roadway or other transit ROW reserved at all times of the day over which transit vehicles travel. Count all lanes / lines regardless of direction or number of parallel lanes / lines.
- Applicable for MB, TB and TR modes.

Line 13: Controlled Access ROW.

- Enter the number of lane miles to the nearest tenth of a mile, on roadway or other transit ROW reserved for a portion of the day over which transit vehicles travel. Count all lanes regardless of direction or number of parallel lanes.
- Applicable for MB and TB modes.

Line 08: Total Miles. This is an **auto-calculated** field and cannot be edited. This field displays the total lane miles.

Revenue Vehicle Inventory form (A-30)

Overview

The purpose of the A-30 form is to detail the characteristics of all vehicles in the revenue vehicle inventory at the end of the fiscal year.

Reporting Requirements and Thresholds

All transit agencies must complete this form. You should complete one form for each mode and type of service (TOS).

What Has Changed from Prior Year

There is one change to the A-30 form for the 2011 report year:

1. Updates have been made to the manufacturer lists provided for rail and non-rail.

Approach

The reported data represents the inventory of all revenue vehicles (i.e., those used to transport passengers) used to provide public transportation at the end of the fiscal year. For commuter rail (CR), both passenger cars and the locomotives used to pull or push them are included in the inventory.

This inventory identifies the vehicles in total fleet. You should include all revenue vehicles in the inventory:

- Vehicles in operation, (i.e., providing revenue service)
- Spare vehicles
- New vehicles purchased and delivered (but not yet put into revenue service)
- Vehicles out for long term repair
- Vehicles in storage
- Vehicles in a Federal Transit Administration (FTA) approved emergency contingency plan
- Vehicles awaiting sale.

The inventory includes only revenue vehicles at the fiscal year end (FYE). Vehicles in total fleet do not include vehicles that were in use part of the year but were sold or scrapped, and therefore, do not appear on the transit agency books at the FYE.

The NTD reporting requirements focus on the public transportation use of the revenue vehicles and not on how they were funded or their ownership. All revenue vehicles are reported, whether purchased with Federal, state, local or directly generated funds, or by a seller of purchased transportation service.

The key considerations in the approach are:

- Vehicles operating in multiple modes
- Purchase transportation vehicles
- Non-dedicated vehicles
- Grouping Vehicles by Like Characteristics (Sub-Fleet).

Vehicles Operating in Multiple Modes

You should report revenue vehicles used in more than one mode or type of service (TOS) in each mode by type of service (TOS). If this is the case, you should use the **Supports Another Mode** drop-down menu to select the other mode. The vehicles reported as serving more than one mode or type of service (TOS) should have all fields reported as identical on all applicable forms.

Purchased Transportation

For purchased transportation (PT) modes, the vehicle data cover only the revenue vehicles that the seller uses under the purchased transportation agreement.

Non-Dedicated Vehicles

When the seller of PT service uses non-dedicated vehicles under the agreement (i.e., the vehicles are not used exclusively for the services under contract), you should report data for a representative subset (or sample) of the vehicles. The subset should be large enough to include the number of vehicles operated in annual maximum service (VOMS) and spare vehicles.

For example, a PT agreement is for 20 vehicles for annual maximum service and two spare vehicles. However, the seller used 50 different vehicles at various times throughout the reporting year to satisfy the agreement. You should report data for 22 vehicles that represent the type, age, and manufacturer of the vehicles predominantly used and that are still part of the vehicle inventory at the FYE.

There are reduced reporting requirements for non-dedicated vehicles including demand response –taxi mode (DT/PT).

Taxicab operations are unique in NTD reporting. Typically vehicles are independently owned by the driver. Not all of the vehicle characteristics apply, so the form will automatically classify vehicles for the DT/PT mode as non-dedicated. Also, it would be unusual to have inactive vehicles (e.g., vehicles in storage or awaiting sale) or vehicles purchased with public funding.

- Number of vehicles in total fleet
- Vehicle type code
- Ownership code
- Funding source
- Number of active vehicles in fleet
- Number of Americans with Disabilities Act of 1990 (ADA) accessible (lift-equipped and low floor, with ramp) vehicles in fleet
- Fuel type code
- Seating capacity.

Grouping Vehicles by Like Characteristics (Sub-Fleet)

You should group all dedicated transit revenue vehicles in the transit agency's total fleet at the end of the fiscal year, by mode and TOS, according to identical characteristics for the following:

- Vehicle type
- Ownership
- Funding source
- Year of manufacture
- Year of rebuild
- Manufacturer
- Model number
- Fuel type
- Vehicle length
- Seating capacity
- Standing capacity.

You report data for each group of vehicles on one row.

Detailed Instructions

Except for mileage data, Internet Reporting pre-fills the Revenue Vehicle Inventory form (A-30) from the prior year NTD.

You should edit the pre-filled data as necessary and enter the required data for each group of vehicles. You should use the **Add Vehicle Fleet** button at the bottom of the form to enter data for a new group of vehicles. You should use the **Delete Vehicle Fleet** check box at the end of a row of pre-filled data to delete the row of data for a group of vehicles.

Dedicated Fleet menu selections:

Yes
No

Number of Vehicles in Total Fleet

You should report the number of vehicles in the total fleet at fiscal year end (FYE) for the group of vehicles. Total vehicles include both active vehicles and inactive vehicles held at the end of the fiscal year, including those in storage, emergency contingency and awaiting sale.

Demand response-taxi (DT/PT) is a new mode beginning in the 2010 Report Year. Previously, taxicabs were part of the demand response mode. You must delete this information from DR vehicle inventory and re-enter under DT/PT mode with any edits.

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. Often the number of active vehicles equals or is very close to the number of vehicles available for annual maximum service reported on the Service form (S-10).

Inactive vehicles are either not readily available to be used in revenue service, (i.e. vehicles in storage, emergency contingency vehicles, and vehicles out of service for an extended period of time for major repairs). Inactive vehicles also include vehicles that have been pulled from the active fleet and are awaiting sale.

Dedicated Fleet

Dedicated fleet is applicable only to PT services. You should use the **Dedicated Fleet** drop-down menu to indicate that the fleet is dedicated: “Yes”, i.e., the vehicles are used exclusively, for the service, otherwise, select “No”.

Vehicle Type

You should select the vehicle type from the **Vehicle Type** drop-down menu.

Vehicle Type menu selections:

AB	Articulated bus	RL	Commuter rail locomotive
AG	Automated guideway vehicle	RP	Commuter rail passenger coach
AO	Automobile	RS	Commuter rail, self-propelled passenger car
BR	Over-the-road bus	SB	School bus
BU	Bus	TB	Trolleybus
CC	Cable car	TR	Aerial tramway
DB	Double decked bus	TS	Taxicab sedan
FB	Ferryboat	TV	Taxicab van
HR	Heavy rail passenger car	TW	Taxicab station wagon
IP	Inclined plane vehicle	VN	Van
LR	Light rail vehicle	VT	Vintage trolley / streetcar

Ownership

The ownership categories are based on how public or private entities are involved in the ownership or leasing of revenue vehicles.

The three common ownership types are:

1. Owned outright
   - by a Public agency (OOPA)
   - by a Private entity (OOPE).
2. True lease
   - by a Public agency (TLPA)

Ownership menu selections:

1. LPPA – Leased under lease purchase agreement by a public agency
2. LPPE – Leased under lease purchase agreement by a private entity
3. LRPA – Leased or borrowed from related parties by a public agency
4. LRPE – Leased or borrowed from related parties by a private entity
5. OOPA – Owned outright by public agency (includes safe harbor leasing agreements where only the tax title is sold)
6. OOPE – Owned outright by private entity (includes safe harbor leasing agreements where only the tax title is sold)
7. TLPA – True lease by a public agency
8. TLPE – True lease by a private entity
9. OR - Other

- by a Private entity (TLPE).

3. Lease under a lease purchase agreement
   - by a Public agency (LPPA)
   - by a Private entity (LPPE).

There is one type not as commonly used: Leased or borrowed from related parties by:

- Public agency (LRPA)
- Private entity (LRPE).

Owned outright also includes safe harbor leasing agreements where only the tax title is sold.

Under a true lease, the public agency or private entity does not acquire the capital appreciation of the vehicle with each lease payment. Typically, at the end of the lease, the vehicle belongs to the leasing company and the public agency or private entity has to enter into a new lease agreement, usually for a new vehicle. However, some leases have the option where the vehicle can be bought at the end of the lease. If the vehicle is bought, then the vehicle ownership becomes owned outright.

With a lease under lease purchase agreement the public agency or private entity acquires the capital appreciation of the vehicles with each lease payment, and when all payments are made, it owns the vehicles. When the lease is over, the vehicle ownership becomes owned outright.

With public transit agencies, sometimes the vehicles are owned by another public entity and either leased to the transit agency or provided at no cost under a leased or borrowed from related parties arrangement. This may be due to legal ownership restrictions whereby the transit agency cannot own the title to the vehicles or simply as an economic consideration where one agency buys all the vehicles and leases the vehicles back to the participating agencies. Often, these agreements are at below market value. The vehicle is not a capital asset of the reporting agency and is reported as leased.

From the **Ownership** drop-down menu, you should select the type of vehicle ownership. If you select other (OR) ownership, you must describe the ownership using the **Add Form Notes** link.

Funding Source

The funding source used to purchase or lease vehicles is categorized by three considerations:

1. Were public funds used?
2. If public funds were used, were Federal funds used?
3. If Federal funds were used, were Urbanized Area Formula Program (UA) funds used?

Funding Source menu selections:

1. UA – Urbanized Area Formula Program
2. OF – Other Federal funds
3. NFPA - Non-Federal public funds
4. NFPE - Non-Federal private funds

If vehicles were purchased using funds from the Urbanized Area Formula Program (UA) and if funds from other Federal programs and non-Federal sources were used in addition to UA funds, you should report the funding source as Urbanized Area Formula Program (UA) funds.

If vehicles were purchased through Federal Programs other than the FTA Urbanized Area Formula Program or administered through the Urbanized Area Formula Program Fund, you should report the funding source as Other Federal Funds (OF).

If vehicles were purchased using non-Federal funds from both other public and private sources, you should report the funding source as non-Federal public agency funds (NFPA).

If vehicles were not purchased using any funds from Federal and non-Federal public sources, you should report the funding source as non-Federal private entity funds (NFPE).

You should use the **Funding Source** drop-down menu to select the source of funding used to purchase or lease the vehicles.

Year of Manufacture

You should report the year of manufacture for the vehicles. This is when the vehicles were originally built.

Example 16 — Year of Manufacture versus Model Year

Example: A fleet of 20 buses were manufactured in 2008. The model year of the 20 buses was 2009 as they were presented in the late fall of 2008. What is the year of manufacture?

Solution: You should report the year of manufacture as 2008 as this was the year that the vehicles were originally built.

Year of Rebuild

If applicable, you should report the year of rebuild for the vehicles. This is for work done to vehicles to increase their useful lives so that they will operate longer at an acceptable level of reliability.

Manufacturer

You should report the original manufacturer of the vehicle. The manufacturer of the vehicle body (final vehicle manufacturer) is defined as the manufacturer (e.g., National Coach Corporation (NCC) is the manufacturer of a vehicle with an Escort chassis, but manufacture by NCC). For vehicles manufactured by Flxible Corporation, use the choice FLX – Flxible Corporation.

Rail Manufacturer Codes

ABB	Asea Brown Boveri Ltd.	DHI	Daewoo Heavy Industries	MSR	Market Street Railway
ACF	American Car and Foundry Company	DWC	Duewag Corporation	PCF	PACCAR (Pacific Car and Foundry Company)
AEG	AEG Transportation Systems	FCH	Ferries and Cliff House Railway	PST	Pullman-Standard
ALS	ALSTOM Transport	GEC	General Electric Corporation	PTC	Perley Thomas Car Company
ALW	ALWEG	GMC	General Motors Corporation	RHR	Rohr Corporation
AMI	Amrail Inc.	GTC	Gomaco Trolley Company	SDU	Siemens Mass Transit Division
ASK	AAI/Skoda	HIT	Hitachi	SFB	Societe Franco-Belge De Material
BBB	Blue Bird Corporation	HSC	Hawker Siddeley Canada	SFM	San Franncisco Muni
BEC	Brookville Equipment Corporation	INE	Inekon Group, a.s.	SLC	St. Louis Car Company
BFC	Breda Transportation Inc.	JCC	Jewett Car Company	SOF	Soferval
BLM	Boise Locomotive Works	JHC	John Hammond Company	SOJ	Sojitz Corporation of America (formerly Nissho Iwai American)
BOM	Bombardier Corporation	KAW	Kawasaki Rail Car Inc. (formerly Kawasaki Heavy Industries)	SUM	Sumitomo Corporation
BUD	Budd Company	KIN	Kinksharyo USA	TCC	Tokyu Car Company
BVC	Boeing Vertol Company	MAF	Mafersa	USR	US Railcar (formerly Colorado Railcar Manufacturing)
CAF	Construcciones y Auxiliar de Ferrocarriles (CAF)	MBB	M.B.B.	UTD	UTDC Inc.
CBR	Carter Brothers	MBR	Mahoney Brothers	WAM	Westinghouse-Amrail
CSC	California Street Cable Railroad Company	MKI	American Passenger Rail Car Company (formerly Morrison-Knudsen)	WLH	W. L. Holman Car Company
CVL	Canadian Vickers Ltd.	MPT	Motive Power Industries (formerly Boise Locomotive)	ZZZ	Other (Describe)

Non-Rail Manufacturer Codes

AAI	Allen Ashley Inc.
ABI	Advanced Bus Industries
ACF	American Car and Foundry Company
ACI	American Coastal Industries
AEG	AEG Transportation Systems
AII	American Ikarus Inc.
ALL	Allen Marine, Inc.
ALX	Alexander Dennis Limited
AMD	AMD Marine Consulting Pty Ltd
AMG	AM General Corporation
AMT	AmTran Corporation
ARB	Arboc Mobility LLC
ASK	AAI/Skoda
ATC	American Transportation Corporation
AZD	Azure Dynamics Corporation
BBB	Blue Bird Corporation
BFC	Breda Transportation Inc.
BIA	Bus Industries of America
BLN	Blount Boats, Inc.
BOM	Bombardier Corporation
BOY	Boyertown Auto Body Works
BRA	Braun
BRX	Breaux's Bay Craft, Inc.
CBC	Collins Bus Corporation (formerly Collins Industries Inc./COL)
CBW	Carpenter Industries LLC (formerly Carpenter Manufacturing Inc.)
CCC	Cable Car Concepts Inc.
CCI	Chance Bus Inc. (formerly Chance Manufacturing Company/CHI)
CEQ	Coach and Equipment Manufacturing Company
CHA	Chance Manufacturing Company
CHR	New Chrysler
CMC	Champion Motor Coach Inc.
CMD	Chevrolet Motor Division - GMC
CVL	Canadian Vickers Ltd.
DAK	Dakota Creek Industries, Inc.
DER	Derecktor
DIA	Diamond Coach Corporation (formerly Coons Manufacturing
EDN	ElDorado National (formerly El Dorado/EBC/National Coach/NCC
EII	Eagle Bus Manufacturing
ELK	Elkhart Coach (Divison of Forest River, Inc.)
FDC	Federal Coach
FIL	Flyer Industries Ltd (also known as New Flyer Industries)
FLT	Flxette Corporation
FLX	Flxible Corporation
FRC	Freightliner Corporation
FRD	Ford Motor Corporation
FRE	Freeport Shipbuilding, Inc.
FSC	Ferrostaal Corporation
GCC	Goshen Coach
GCA	General Coach America, Inc.
GEO	GEO Shipyard, Inc.
GIL	Gillig Corporation
GIR	Girardin Corporation
GLF	Gulf Craft, LLC
GLH	Gladding Hearn
GLV	Glaval Bus
GMC	General Motors Corporation
GML	General Motors of Canada Ltd.
GOM	Gomaco
HMC	American Honda Motor Company, Inc.
HSC	Hawker Siddeley Canada IKU - Ikarus USA Inc.
INT	International
IRB	Name? Renault & Iveco
KIA	Kia Motors
KKI	Krystal Koach Inc.
MAN	American MAN Corporation
MBZ	Mercedes Benz
MCI	Motor Coach Industries International (DINA)
MDI	Mid Bus Inc.
MER	Ford or individual makes
MNA	Mitsibushi Motors; Mitsubishi Motors North America, Inc.
MOL	Molly Corporation
MTC	Metrotrans Corporation
NEO	Neoplan - USA Corporation
NFA	New Flyer of America
NOV	NOVA Bus Corporation
OBI	Orion Bus Industries Ltd. (formerly Ontario Bus Industries)
OCC	Overland Custom Coach Inc.
OTC	Oshkosh Truck Corporation
PCI	Prevost Car Inc.
PLY	Plymouth Division-Chrysler Corporation
PST	Pullman-Standard
PTE	Port Everglades Yacht & Ship
RIC	Rico Industries
SBI	SuperBus Inc.
SHI	Shepard Brothers Inc.
SCC	Sabre Bus and Coach Corporation (formerly Sabre Carriage Comp.)
SPC	Startrans (Supreme Corporation)
SPC	Supreme Corporation
SPR	Spartan Motors Inc.
SSI	Stewart Stevenson Services Inc.
STE	Steiner Shipyards, Inc.
STR	Starcraft
SUB	Name? Subaru of America or Fuji Heavy Industries Ltd.
SUL	Sullivan Bus & Coach Limited
SVM	Specialty Vehicle Manufacturing Corporation
TBB	Thomas Built Buses
TEI	Trolley Enterprises Inc.
TMC	Transportation Manufacturing Company
TOU	Tourstar
TOY	Toyota Motor Corporation
TRN	Transcoach
TRT	Name? Transteq
TRY	Name? Trolley Enterprises
TTR	Terra Transit
TTT	Turtle Top
VAN	Van Hool N.V.
VOL	Volvo
VTH	VT Halter Marine, Inc. (includes Equitable Shipyards, Inc.)

	Inc./CMI)				
DKK	Double K, Inc. (formerly Hometown Trolley)	NAB	North American Bus Industries Inc. (formerly Ikarus USA Inc./IKU)	WCI	Wheeled Coach Industries Inc.
DMC	Dina/Motor Coach Industries (MCI)	NAT	North American Transit Inc.	WDS	Washburn & Doughty Associates, Inc.
DTD	Dodge Division - Chrysler Corporation	NAV	Navistar International Corporation (also known as International/INT)	WOC	Wide One Corporation
DUC	Dutcher Corporation	NBB	Nichols Brothers Boat Builders	WTI	World Trans Inc. (also Mobile-Tech Corporation)
DUP	Dupont Industries	NBC	National Mobility Corporation	WYC	Wayne Corporation (formerly Wayne Manufacturing Company/WAY)
EBC	ElDorado Bus (EBC Inc.)	NCC	National Coach Corporation	ZZZ	Other (Describe)
EBU	Ebus, Inc.				

You should select the manufacturer of the vehicle from the **Manufacturer Codes** drop-down menu, by using the

manufacturer name of the current corporation that manufactures the particular model. If the manufacturer is not listed, you should select ZZZ – Other Manufacturers. When you select type ZZZ Other for manufacturer, a description box is generated and you are required to describe the manufacturer.

Model Number

You should report the model number of the vehicle as used by the manufacturer. You should not use any spaces, dashes, or other punctuation when you enter the model number.

Example 17 — Manufacturer versus Model Number

Example: You have a fleet of Ford F-350 vehicles. What is reported as the manufacturer and what is reported as the model number?

Solution: The manufacturer should be reported as Ford (FRD) while the model number is reported as F-350.

You are not required to report vehicle model numbers for automobiles and vans used in revenue service, such as those used for demand response (DR) and vanpool (VP) services. If the model number is not available for heavy rail (HR) cars, you should use the most recent edition of *Roster of North American Rapid Transit Cars* from the American Public Transportation Association, www.apta.com.

Number of Active Vehicles in Fleet

You should report the number of active vehicles in fleet, which are vehicles used in revenue service during the year and still active at fiscal year end (FYE). These include spares and vehicles that are in for scheduled preventive maintenance and minor repairs. Active vehicles do not include emergency contingency vehicles.

If vehicles reported were not active at the fiscal year end (FYE) but remained in the fleet because they had not been disposed of, you should report the number of active vehicles as zero. When reporting zero active vehicles for a fleet, the number of Americans with Disabilities Act of 1990 (ADA) accessible vehicles, the total miles on active vehicles during the period and the average lifetime miles per active vehicle should also be reported as zero.

ADA Accessible Vehicles

You should report active vehicles that meet Americans with Disabilities Act of 1990 (ADA) requirements for accessibility. There are two types of vehicle design for accessibility:

1. Lift-equipped vehicles
2. Ramp / low floor vehicles.

Lift-equipped vehicles use wheelchair lifts. Low floor vehicles do not have stairs inside the front or rear doors. They are equipped usually with a front door accessible ramp and a kneeling feature. This allows easier access for persons with mobility aids, or who have difficulty climbing steps or who may use a wheelchair.

Number of Emergency Contingency Vehicles

You should report the number of vehicles in an approved Federal Transit Administration (FTA) Emergency Contingency Plan. These are vehicles that FTA normally requires your agency to dispose of when they are replaced by vehicles funded through FTA. However, FTA can permit your transit agency to keep the vehicles in an inactive fleet to be used in the event of energy and other local emergencies that requires more vehicles than are available in the active fleet.

Your agency must request FTA approval of its Emergency Contingency Plan for keeping replaced vehicles in an inactive fleet. If your agency makes substantial changes to an Emergency Contingency Plan (10 percent or more of the vehicles), it must request re-approval of the plan by FTA

Fuel Type

You should report the type of fuel used to move the revenue vehicles in revenue service. You should use the **Fuel Type** drop-down menu to select the type of fuel used for propulsion of the vehicles.

If a vehicle uses more than one type of fuel or a mixture of fuels, you should report the fuel type as dual fuel (DU) and click the **Add Form Notes** link to describe the types of fuel. You should report the fuel type as dual fuel only if all fuels are from sources external to the vehicle.

There are special reporting rules hybrid vehicles — vehicles that use two or more sources of power:

- Internally generated electric power. You should report only the primary fuel source, such as gasoline (HG) or diesel (HD) that is used to propel the vehicle. NTD uses this reporting approach because it is difficult to measure the electric power that is generated and used to propel the vehicle.
- Externally-charged electric batteries. You should report the vehicle as a dual fuel (DU) if the "hybrid" vehicle uses batteries charged externally. You should click the **Add Form Notes** link to describe the types of fuel used which would include electric batteries charged externally. Then report each of these external fuel sources on the Energy Consumption form (R-30), for example, kilowatt hours to charge batteries and gallons of diesel.

Fuel Type menu selections:

BD	Bio-diesel
BF	Bunker fuel (low grade of diesel fuel often used in ferryboat operations)
CN	Compressed natural gas (CNG)
DF	Diesel fuel
DU	Dual fuel
EB	Electric battery
EP	Electric propulsion
ET	Ethanol
GA	Gasoline
GR	Grain additive (typical in Midwestern parts of the US)
HD	Hybrid diesel
HG	Hybrid gasoline
KE	Kerosene
LN	Liquefied natural gas (LNG)
LP	Liquefied petroleum gas (LPG)
MT	Methanol
OR	Other fuel (Describe)

You should select EP- Electric propulsion for the trolleybus (TB) mode and vehicle type. A TB is defined as a vehicle that draws its electrical power from overhead lines.

Some transit systems operate buses that are designed externally to look like trolleybuses. However, these "replica trolleybuses" are designed as motor buses and do not draw their electrical power from overhead lines. If your agency operates replica trolleybuses, you should report these buses as MB mode.

Vehicle Length

You should report the total length of the vehicles in feet (e.g. 30, 35, 40, 44, and 60).

Seating Capacity

You should report the seating capacity of the vehicle. This is the actual number of seats on-board the vehicle and generally is cited in the specification used in manufacturing the vehicle.

Standing Capacity

You should report the standing capacity of the vehicle. This is the number of standees allowed by transit agency policy. If local policy prohibits standing, you should report zero. If there is no local policy on the maximum number of standees, you should report the manufacturers rated standing capacity.

Total Miles on Active Vehicles and Average Lifetime Mileage per Active Vehicle

Two statistics are reported:

1. Total miles on active vehicles during period
2. Average lifetime mileage per active vehicle.

Total Miles on Active Vehicles during Period

You should report the total miles accumulated by revenue vehicles in the active fleet during the fiscal year.

Total miles on active vehicles during the period are only for mileage operated by the active vehicles during the current fiscal year that are in the revenue fleet at fiscal year end (FYE). The total miles operated includes: 1) the actual vehicle miles reported on the Service form (S-10) and: 2) other miles operated during the reporting period such as mileage accumulated in operator training when the vehicle is not in revenue service, and mileage accumulated moving vehicles between and within maintenance facilities / garages.

For vehicles with working odometers / hubodometers, you should calculate the total miles by subtracting the odometer / hubodometer readings from the beginning of the fiscal year from those at the end of the fiscal year. If vehicles have damaged or defective odometers / hubodometers you should estimate total vehicle mileage from available records. You can start with mileage from schedules, subtract mileage for missed trips and add mileage for extra service that was operated and was not on the schedule. For non-scheduled services, you can use trip logs to estimate mileage.

Average Lifetime Mileage per Active Vehicle

You should report the average mileage on the vehicles at the end of the fiscal year.

Average lifetime mileage per active vehicle is average mileage, since the date of manufacture, on active vehicles that are in the revenue fleet at FYE. You should calculate the average lifetime mileage per active vehicle by dividing the cumulative mileage on the active vehicles at the end of the fiscal year by the number of active vehicles at the end of the fiscal year.

For rebuilt vehicles, average lifetime mileage does not re-start at the year of rebuild. Average lifetime mileage always begins with the original date of manufacture.

For vehicles with working odometers / hubodometers, you should calculate cumulative mileage by summing the odometer / hubodometer readings, from the date of manufacture through FYE, for all active vehicles. If vehicles have damaged or defective odometers / hubodometers you should estimate total vehicle mileage from available records.

Example 18 — Reporting Total Mileage During Period and Average Lifetime Mileage per Active Vehicle

Example of Working Odometers /Hubometers: A transit agency operates MB service with a fleet of 8 vehicles. The odometer / hubodometer readings for each vehicle and the vehicle status at 2010 FYE are shown 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 transit agency report on the A-30?

Vehicle Number	Odometer Reading at 2009 Fiscal Year End (FYE)	Odometer Reading at 2010 Fiscal Year End (FYE)	Mileage During 2010 Fiscal Year End (FYE)	Status at 2010 Fiscal Year End (FYE)
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	Performing major overhaul
4	140,020	190,290	50,270	In revenue operation
5	38,732	68,333	29,601	Performing major overhaul
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 revenue operation

If odometer readings are not available or not reliable, derive mileage from schedules, adjusting for missed trips and additional trips (extra service not on the schedule). For non-scheduled services, use trip logs to derive mileage.

Solution:

Determine active vehicles at **2011** FYE:

1. 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.
2. Calculate and report average lifetime mileage per active vehicle and total mileage on active vehicles during the period:
   Average lifetime mileage per active vehicle (column s): (72,188 + 98,442 + 190,290 + 79,676 + 60,045) / 5 vehicles = **100,042 miles**
   Total mileage on active vehicles during period (column r): (37,183 + 51,032 + 50,270 + 39,121 + 29,965) = **207,571 miles**

A simplified way to calculate the average lifetime miles per active vehicle is to divided the total miles during the period (column r) by the number of active vehicles (column j) then add the prior report year's average lifetime mileage per active vehicle (column s).

Supports Another Mode

You should use the **Supports Another Mode** drop-down menu to indicate that all of the active vehicles are used to provide service on another mode of service. You should select only one mode. You should report a fleet group shared between modes on both A-30 forms for each mode for which it is used. All fields, for shared vehicles, should be identical on the A-30 forms for each applicable mode. You should only report this for vehicles that are used to provide service on both modes. If you use your buses to provide a bus bridge between rail stations during breakdowns or constructions, these buses are not reported as supporting the rail mode as the service they are providing is bus service, not rail.If only some of the active vehicles are used for other modes, you should report the grouped characteristics on two lines (rows). For example, one grouping of vehicles has twenty vehicles with the same characteristics, except five of the vehicles are used for both MB and DR mode. You should report the vehicles on two lines — one with fifteen vehicles and the other with five vehicles.

Delete Vehicle Fleet

You should click on the **Delete Vehicle Fleet** check box to remove a line (or row) of information. You generally remove this information for vehicles that were preloaded in Internet Reporting from the prior report year, but are no longer in the revenue vehicle inventory in the current report year.

Line by Line Instructions Revenue Vehicle Inventory form (A-30)

Completing the Revenue Vehicle Inventory form (A-30)

You should complete one form for each mode and type of service (TOS).

Form Level Help: You should click on the **Help** tab at the top of the screen for form level help.

Form Notes: A form note can be attached to any form. You should use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. You should click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. You should not use the **Form Notes** feature to answer issues generated from this form. From the **Issues** tab you should use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: You should click on the **Save** button at the bottom of the screen to save the form. You should click on the **Close** button at the bottom of the screen to close the form without saving.

Vehicle Fleet Data

Each line represents one vehicle fleet. You should group vehicles by vehicle type, ownership, funding source, year of manufacture, year of rebuild, manufacturer, model number, fuel type, vehicle length, seating capacity and standing capacity. You should edit **pre-filled** information or enter data using the **Add Vehicle Fleet** button.

Column a: Number of Vehicles in Total Fleet. This field is **pre-filled**, unless **Add Vehicle Fleet** is selected. Review for accuracy, edit as necessary.

- Enter the number of revenue vehicles in the total fleet on the transit agency's property at fiscal year end (FYE). Include vehicles in storage, emergency contingency vehicles and vehicles awaiting sale.

Column b: Dedicated Fleet. This field is **pre-filled**, unless **Add Vehicle Fleet** is selected. Review for accuracy, edit as necessary.

- Use the drop-down menu to indicate that the fleet is dedicated, (i.e., used exclusively), for the service. This is applicable only to purchased transportation (PT) services.

Column c: Vehicle Type. This field is **pre-filled**, unless **Add Vehicle Fleet** is selected. Review for accuracy, edit as necessary.

- Select only one item for vehicle type from the drop-down menu.

Column d: Ownership. This field is **pre-filled**, unless **Add Vehicle Fleet** is selected. Review for accuracy, edit as necessary.

- Complete the information based on whether the revenue vehicle is owned outright (i.e., the vehicle is an asset) or whether the vehicle is under a lease at the end of the fiscal year. Select only one item for ownership from the drop-down menu.

Column e: Funding Source. This field is **pre-filled**, unless **Add Vehicle Fleet** is selected. Review for accuracy, edit as necessary. Select only one item for funding source from the drop-down menu.

- If vehicles were purchased using funds from the Urbanized Area Formula Program (UAF) as well as funds from other Federal programs and non-Federal sources, report the funding source as Urbanized Area Formula Program funds (UA).
- If vehicles were purchased using non-Federal funds from both other public and private sources, report the funding source as non-Federal public agency funds.
- If vehicles were not purchased using any funds from Federal and non-Federal public sources, report the funding source as non-Federal private entity funds.

Column f: Year of Manufacture. This field is **pre-filled**, unless **Add Vehicle Fleet** is selected. Review for accuracy, edit as necessary.

- Enter the original year of manufacture of the vehicle.
- Not required for non-dedicated vehicles. Non-dedicated applies only to PT TOS.

Column g: Year of Rebuild. This field is **pre-filled**, unless **Add Vehicle Fleet** is selected. Review for accuracy, edit as necessary.

- Enter the year of rebuild for the vehicles, if applicable. This is for work done to vehicles to operate longer at an acceptable level of reliability.
- Not required for non-dedicated vehicles. Non-dedicated applies only to purchased transportation PT TOS.

Column h: Manufacturer. This field is **pre-filled**, unless **Add Vehicle Fleet** is selected. Review for accuracy, edit as necessary. Select only one item for the original manufacturer of the vehicle from the drop-down menu.

- See detailed list included with Manufacturer discussion. Select ZZZ-Other Manufacturers for a manufacturer not listed in the menu. Enter the description of the manufacturer in the field that appears after selecting ZZZ.
- Not required for non-dedicated vehicles. Non-dedicated applies only to purchased transportation PT TOS.

Column i: Model Number. This field is **pre-filled**, unless **Add Vehicle Fleet** is selected. Review for accuracy, edit as necessary.

- Enter the model number of the vehicle as used by the manufacturer.
- Do not use any spaces, dashes, or other punctuation in the identification of the model number.
- Not required for non-dedicated vehicles. Non-dedicated applies only to PT TOS.
- For heavy rail cars, use the most recent edition of Roster of North American Rapid Transit Cars.
- You are not required to report vehicle model numbers for automobiles and vans used in revenue service, such as those used for DR and VP services.

Column j: Number of Active Vehicles in Fleet. This field is **pre-filled**, unless **Add Vehicle Fleet** is selected. Review for accuracy, edit as necessary.

- Enter the number of active vehicles available for revenue service, including spares and vehicles in for scheduled preventive maintenance and minor repairs. Do not include emergency contingency vehicles.

Column k: Number of ADA Accessible Vehicles . This field is **pre-filled**, unless **Add Vehicle Fleet** is selected. Review for accuracy, edit as necessary.

- Of the active vehicles, enter the number that are accessible using wheelchair lifts, or using ramps or having low floors and meet Americans with Disabilities Act of 1990 (ADA) accessibility requirements. Low floor buses are a type of ramp-equipped vehicle. Low floor buses do not have stairs inside the front or rear doors. They are equipped usually with a front door accessible ramp and a kneeling feature that permits easier access for persons with mobility aids or who have difficulty climbing steps or who may use a wheelchair.

Column m: Number of Emergency Contingency Vehicles. This field is **pre-filled**, unless **Add Vehicle Fleet** is selected. Review for accuracy, edit as necessary.

- Enter the number of inactive vehicles stored and maintained under an FTA approved emergency contingency plan.
- Not required for non-dedicated vehicles. Non-dedicated applies only to PT TOS.

Column n: Fuel Type. This field is **pre-filled**, unless **Add Vehicle Fleet** is selected. Review for accuracy, edit as necessary. Select only one item for the fuel used to propel revenue vehicles from the drop-down menu.

- If a vehicle uses more than one type of fuel or a mixture of fuels, select dual fuel (DU). For dual fuel type, all fuels are from sources external to the vehicle.
- For hybrid vehicles report only the primary fuel source, such as gasoline or diesel that is used to produce electrical power to help propel the vehicle. If the “hybrid” vehicle uses batteries charged externally, then report the vehicle as a dual fuel for fuel type.
- Using the **Add Form Notes** link, describe other type of fuel.

Column o: Vehicle Length. This field is **pre-filled**, unless **Add Vehicle Fleet** is selected. Review for accuracy, edit as necessary.

- Enter the length of the vehicle in feet to the nearest whole foot.
- Not required for non-dedicated vehicles. Non-dedicated applies only to purchased transportation PT TOS.

Column p: Seating Capacity. This field is **pre-filled**, unless **Add Vehicle Fleet** is selected. Review for accuracy, edit as necessary.

- Enter the number of seats on the vehicle.

Column q: Standing Capacity. This field is **pre-filled**, unless **Add Vehicle Fleet** is selected. Review for accuracy, edit as necessary.

- Enter the number of standing passengers that can be accommodated aboard the vehicle during a normal full load (non-crush) in accordance with established loading policy, or, in the absence of a policy, the manufacturer’s rated standing capacity figure. If local policy prohibits standees, enter zero.
- Not required for non-dedicated vehicles. Non-dedicated applies only to PT TOS.

Column r: Total Miles on Active Vehicles During the Period.

- Enter the total number of miles that active vehicles have accumulated during the report year. Include only vehicles that are active at the end of the fiscal year.

- Not required for non-dedicated vehicles. Non-dedicated applies only to PT TOS.

Column s: Average Lifetime Miles per Active Vehicle. This field is **pre-filled**, unless **Add Vehicle Fleet** is selected. Review for accuracy, edit as necessary.

- Enter the average lifetime mileage per active vehicle. This is the average mileage since the date of manufacture, on active vehicles that are in the revenue fleet at fiscal year end (FYE).
- Not required for non-dedicated vehicles. Non-dedicated applies only to PT TOS.
- For rebuilt vehicles, average lifetime mileage does not re-start at the year of rebuild. Average lifetime mileage always begins with the original date of manufacture.

Column t: Supports Another Mode. This field is **pre-filled**, unless **Add Vehicle Fleet** is selected. Review for accuracy, edit as necessary.

- Use the drop-down menu to indicate that all of the active vehicles are used to support another mode of service. Select a mode from the menu. A fleet group shared between modes should be indicated on both Revenue Vehicle Inventory forms (A-30) for each mode for which it is used.

Column u: Delete Vehicle Fleet. Click on the **Delete Vehicle Fleet** check-box to remove a line of information.

Totals

Column a: Number of Vehicles in Total Fleet. This is an **auto-calculated** field and cannot be edited. This field displays the total number of revenue vehicles in the fleet.

Column j: Number of Active Vehicles in Fleet. This is an **auto-calculated** field and cannot be edited. This field displays the total number of active revenue vehicles in fleet.

Column k: Number of ADA Accessible Vehicles with Lifts. This is an **auto-calculated** field and cannot be edited. This field displays the total number of active revenue vehicles that are lift-equipped or are low floor / ramp-equipped and meet Americans with Disabilities Act of 1990 (ADA) accessibility requirements.

Column m: Number of Emergency Contingency Vehicles. This is an **auto-calculated** field and cannot be edited. This field displays the total number of inactive vehicles stored and maintained under an FTA Emergency Contingency Plan.

Column r: Total Miles on Active Vehicles During the Period. This is an **auto-calculated** field and cannot be edited. This field displays the total number of miles that active vehicles have accumulated during the report year.

Service Module

This module contains two forms:

1. Service form (S-10)
2. Fixed Guideway Segments form (S-20).

Service form (S-10)

The S-10 form provides data on the transit service supplied by the transit agency and the transit service consumed by passengers.

This form is required for all transit agencies. Transit agencies complete separate forms for directly operated (DO) and for purchased transportation (PT) services by mode.

Fixed Guideway Segments form (S-20)

The S-20 form details segments of fixed guideway (FG) facilities in order to determine directional route miles (DRM) for service operated and for eligibility in FTA Federal funding programs.

Internet reporting generates the data requirements for this form based on the mode of service operated. The data requirements vary by three modal groupings:

1. Bus (MB) , Commuter Bus (CB) and Bus Rapid Transit (RB) modes
2. Trolleybus (TB) mode
3. All other FG modes.

This form is required for all transit agencies that operate service on FG facilities. Transit agencies complete separate forms for DO and PT services by mode. The form is not applicable to demand response (DR), demand response-taxi (DT), jitney (JT), publico (PB), and vanpool (VP) modes.

Service form (S-10)

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Form Name: Service Rail (S-10) **Mode:** HR **Service:** PT — Add Form Note — Close Form

Line	a	b	c	d		e	f	g	h
Maximum Service Vehicles									
01 Vehicles operated in annual maximum service (VOMS)	#								
02 Vehicles available for annual maximum service									
Periods of Service	**Average Weekday Schedule**	**Average Saturday Schedule**	**Average Sunday Schedule**	**Annual Total Schedule**	**Auto Calculate Annual Total**	**Weekday AM Peak**	**Weekday Midday**	**Weekday PM Peak**	**Weekday Other**
03 Time service begins									
04 Time service ends									
Service Supplied									
05 Trains in operation									
06 Passenger cars in operation									
07 Total actual train miles									
08 Total actual train hours									
09 Total actual train revenue miles									
09a Train deadhead miles (line 07 minus line 09 by column)									
10 Total actual train revenue hours									
10a Train deadhead hours (line 08 minus line 10 by column)									
11 Total actual passenger car miles									
						Average Weekday AM Peak Schedule	**Average Weekday Midday Schedule**	**Average Weekday PM Peak Schedule**	**Average Weekday Other Schedule**
12 Total actual passenger car revenue miles									
12a Passenger car deadhead miles (line 11 minus line 12 by column)									
13 Total scheduled passenger car revenue miles									
14 Total actual passenger car hours									
15 Total actual passenger car revenue hours									
15a Passenger car deadhead hours (line 14 minus line 15 by column)									
Service Consumed									
18 Unlinked passenger trips (UPT)									
20 Passenger miles (PM)									
Service Operated (Days)	**Weekdays Schedule**	**Saturdays Schedule**	**Sundays Schedule**						
21 Days operated									
22 Days not operated due to strikes									
23 Days not operated due to officially declared emergencies									
Directional Route Miles	**Total**								
27 Total									

Save | Close | Print

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Form Name: Service Non-Rail (S-10) **Mode:** MB **Service:** PT — Add Form Note — Close Form

Line	a	b	c	d		e	f	g	h
Maximum Service Vehicles									
01 Vehicles operated in annual maximum service (VOMS)	#								
02 Vehicles available for annual maximum service									
Periods of Service	Average Weekday Schedule	Average Saturday Schedule	Average Sunday Schedule	Annual Total Schedule	Auto Calculate Annual Total	Weekday AM Peak	Weekday Midday	Weekday PM Peak	Weekday Other
03 Time service begins									
04 Time service ends									
Service Supplied									
06 Vehicles in operation									
11 Total actual vehicle miles									
12 Total actual vehicle revenue miles (VRM)									
12a Deadhead miles (line 11 minus line 12 by column)									
13 Total scheduled vehicle revenue miles									
14 Total actual vehicle hours									
15 Total actual vehicle revenue hours (VRH)									
15a Deadhead hours (line 14 minus line 15 by column)									
16 Charter service hours									
17 School bus hours									
Service Consumed									
18 Unlinked passenger trips (UPT)									
20 Passenger miles traveled (PMT)									
Service Operated (Days)	Weekdays Schedule	Saturdays Schedule	Sundays Schedule	Annual Total Schedule					
21 Days operated									
22 Days not operated due to strikes									
23 Days not operated due to officially declared emergencies									
Directional Route Miles	Total								
24 Exclusive right-of-way (ROW)									
25 Controlled access right-of-way (ROW)									
26 Mixed traffic right-of-way (ROW)									
27 Total									

Save | Close | Print

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Form Name: Service Non-Rail (S-10) **Mode:** FB **Service:** PT Add Form Note Close Form

Line	a	b	c	d	
Maximum Service Vehicles					
01 Vehicles operated in annual maximum service (VOMS)	#				
02 Vehicles available for annual maximum service					
Periods of Service	**Average Weekday Schedule**	**Average Saturday Schedule**	**Average Sunday Schedule**	**Annual Total Schedule**	**Auto Calculate Annual Total**
03 Time service begins					
04 Time service ends					
Service Supplied					
06 Vehicles in operation					
11 Total actual vehicle miles					
12 Total actual vehicle revenue miles (VRM)					
12a Deadhead miles (line 11 minus line 12 by column)					
13 Total scheduled vehicle revenue miles					
14 Total actual vehicle hours					
15 Total actual vehicle revenue hours (VRH)					
15a Deadhead hours (line 14 minus line 15 by column)					
16 Charter service hours					
Service Consumed					
18 Unlinked passenger trips (UPT)					
20 Passenger miles traveled (PMT)					
Service Operated (Days)	**Weekdays Schedule**	**Saturdays Schedule**	**Sundays Schedule**	**Annual Total Schedule**	
21 Days operated					
22 Days not operated due to strikes					
23 Days not operated due to officially declared emergencies					
Directional Route Miles	**Total**				
27 Total					

Save Close Print

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Form Name: Service Non-Rail (S-10) **Mode:** VP **Service:** PT Add Form Note Close Form

Line	a	b	c	d	
Maximum Service Vehicles					
01 Vehicles operated in annual maximum service (VOMS)	#				
02 Vehicles available for annual maximum service					
	Average Weekday Schedule	**Average Saturday Schedule**	**Average Sunday Schedule**	**Annual Total Schedule**	**Auto Calculate Annual Total**
Service Supplied					
06 Vehicles in operation					
11 Total actual vehicle miles					
12 Total actual vehicle revenue miles (VRM)					
14 Total actual vehicle hours					
15 Total actual vehicle revenue hours (VRH)					
16 Charter service hours					
17 School bus hours					
Service Consumed					
18 Unlinked passenger trips (UPT)					
20 Passenger miles traveled (PMT)					
Service Operated (Days)	**Weekdays Schedule**	**Saturdays Schedule**	**Sundays Schedule**	**Annual Total Schedule**	
21 Days operated					
22 Days not operated due to strikes					
23 Days not operated due to officially declared emergencies					

Save Close Print

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Form Name: Service Non-Rail (S-10) **Mode:** JT **Service:** PT Add Form Note Close Form

Line	a	b	c	d	
Maximum Service Vehicles					
01 Vehicles operated in annual maximum service (VOMS)	#				
02 Vehicles available for annual maximum service					
Periods of Service	**Average Weekday Schedule**	**Average Saturday Schedule**	**Average Sunday Schedule**	**Annual Total Schedule**	**Auto Calculate Annual Total**
03 Time service begins					
04 Time service ends					
Service Supplied					
06 Vehicles in operation					
11 Total actual vehicle miles					
12 Total actual vehicle revenue miles (VRM)					
12a Deadhead miles (line 11 minus line 12 by column)					
14 Total actual vehicle hours					
15 Total actual vehicle revenue hours (VRH)					
15a Deadhead hours (line 14 minus line 15 by column)					
16 Charter service hours					
17 School bus hours					
Service Consumed					
18 Unlinked passenger trips (UPT)					
20 Passenger miles traveled (PMT)					
Service Operated (Days)	**Weekdays Schedule**	**Saturdays Schedule**	**Sundays Schedule**	**Annual Total Schedule**	
21 Days operated					
22 Days not operated due to strikes					
23 Days not operated due to officially declared emergencies					

Save Close Print

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Form Name: Service Non-Rail (S-10) **Mode:** DR **Service:** PT Add Form Note Close Form

Line	a	b	c	d	
Maximum Service Vehicles					
01 Vehicles operated in annual maximum service (VOMS)	#				
02 Vehicles available for annual maximum service					
Periods of Service	**Average Weekday**	**Average Saturday**	**Average Sunday**	**Annual Total**	**Auto Calculate Annual Total**
03 Time service begins					
04 Time service ends					
Service Supplied					
06 Vehicles in operation					
11 Total actual vehicle miles					
12 Total actual vehicle revenue miles (VRM)					
12a Deadhead miles (line 11 minus line 12 by column)					
14 Total actual vehicle hours					
15 Total actual vehicle revenue hours (VRH)					
15a Deadhead hours (line 14 minus line 15 by column)					
16 Charter service hours					
17 School bus hours					
Service Consumed					
18 Unlinked passenger trips (UPT)					
19 Americans with Disabilities Act of 1990 (ADA) unlinked passenger trips (UPT)					
19a Sponsored service (UPT)					
20 Passenger miles traveled (PMT)					
Service Operated (Days)	**Weekdays**	**Saturdays**	**Sundays**	**Annual Total**	
21 Days operated					
22 Days not operated due to strikes					
23 Days not operated due to officially declared emergencies					

Save Close Print

Home | e-File | Annual | Monthly Ridership | Safety & Security | Notes | Issues | Reports | Communications | Sys Admin | Help

Form Name: Service Non-Rail (S-10) **Mode:** DT **Service:** PT Add Form Note Close Form

Line	a	b	c	d
Maximum Service Vehicles - Taxicab				
01 Vehicle operated in annual maximum service (VOMS)	#			
02 Vehicle available for annual maximum service				
				Annual Total
Service Supplied				
12 Total actual vehicle revenue miles (VRM)				
15 Total actual vehicle revenue hours (VRH)				
Service Consumed				
18 Unlinked passenger trips (UPT)				
19 Americans with Disabilities Act of 1990 (ADA) unlinked passenger trips (UPT)				
19a Sponsored service (UPT)				
20 Passenger miles traveled (PMT)				
Service Operated (Days)				
21 Days operated				
22 Days not operated due to strikes				
23 Days not operated due to officially declared emergencies				

Save Close Print

Overview

The Service form (S-10) form is used to report data on the transit service supplied by the transit agency and the transit service consumed by passengers on the system.

Reporting Requirements and Thresholds

All transit agencies must complete this form. You should complete one form for each mode and type of service (TOS).

When completing this form, you should use bus (MB) mode for any route deviation or point deviation services operated. Typically, deviated services are used to comply with the Americans with Disabilities Act of 1990 (ADA) requirements to provide complementary paratransit service. See discussion in the Identification form (B-10).

What Has Changed from Prior Year

There are no changes from prior years.

Approach

You should use this form to report data for the revenue vehicles used to provide transit service:

- Vehicle requirements for maximum service
- Periods of service
- Service supplied (miles and hours)
- Service consumed (passenger boardings and miles)
- Days service operated
- Directional route miles (DRM).

You report most data items by four time periods:

1. Average Weekday
2. Average Saturday
3. Average Sunday
4. Annual total.

You report limited data for weekday time periods — Weekday AM Peak, Weekday Midday, Weekday PM Peak, and Weekday Other.

The service supplied data are also distinguished by whether they are for rail or non-rail modes. Data are provided for rail service in terms of passenger car and train statistics while only vehicle statistics are provided for non-rail services.

Consistent with the general NTD reporting requirements, you should report actual, not estimated, data on this form. The only exceptions are the values you report for PMT and UPT. The sampling requirements for these data items are discussed later in this section under Passenger Mile Traveled and Unlinked Passenger Trip Data.

The following discussion covers reporting by time period and rail and non-rail mode reporting.

Reporting by Time Period

There are three basic time periods — average day schedules (weekday, Saturday or Sunday), peak and off-peak periods for an average weekday, and annual.

Average Daily Totals

You should report average daily data for an average weekday schedule, an average Saturday schedule, and an average Sunday schedule.

Average daily data depends on whether services are fixed route or non-fixed route:

- For scheduled, fixed route services, such as MB, CB. RB and rail modes, the average daily totals are for service that your agency usually operated, i.e., service operated on typical days. Average daily totals do not include service operated for one-time or limited events such as day of the game football shuttles, extra holiday shopper service, or a visit to the city by the President of the United States. They also do not include severe inclement weather days such as hurricanes and snowstorms.
- For non-fixed route and non-scheduled services (i.e., DR and VP) the average daily totals cover all days operated by your agency— typical and atypical.

The average daily data cover the service operated on typical days in accordance with the normal schedule (for fixed schedule service). Most transit agencies operate different schedules reflecting seasonal variation in demand for service. Additionally, transit agencies may add or delete service on certain routes during the year. The average daily totals must account for the seasonal variation in service.

A typical day is a day on which your transit agency:

- Operates its normal, regular schedule
- Does not provide extra service to meet demands for special events such as conventions, parades, or public celebrations
- Does not operate significantly reduced service because of unusually bad weather (e.g., snow storms, hurricanes, tornadoes, earthquakes) or major public disruptions (e.g., terrorism).

The average daily totals apply to the schedules developed for these days. Often, transit systems operate the Sunday schedule on holidays that fall on Monday through Saturday. You should include the data for these holidays in the day schedule that is operated (e.g., Sunday).

You may calculate the average daily totals (weekday, Saturday and Sunday) in one of two ways:

1. You may calculate the mathematical average for the service operated on typical days, if your transit agency has accumulated the actual data. This is the total service supplied or service consumed data for typical days divided by the number of typical days.
2. You may estimate the average for the service operated on typical days based on a sample of representative days throughout the year, taking into account the different schedules in place throughout the year. This is the weighted average of the service operated on a sample of typical days throughout the year, weighted to the number of days each schedule was operated.

The following examples illustrate how to compute average daily totals.

Example 19 — Computing Average Daily Data

Example 1: How to compute the actual vehicle miles for average weekday total for MB.
Solution: You calculate the mathematical average of total actual vehicle miles for typical weekdays.

	Typical Weekday Day Operation	Atypical Weekday Day Operation	Total Days Operated
Total vehicle miles operated	6,993,520	562,330	
Number of days	230	20	**250**
Average Weekday Total	**30,407**		

Average weekday total = 6,993,520 Actual vehicle miles / 230 days = **30,407**

Example 2: How to compute actual vehicle miles for average weekday total for DR (Same system as in Example 1).
Solution: You calculate the mathematical average of total actual vehicle miles for total weekdays operated.

	Total Days Operated
Total vehicle miles operated	1,567,238
Number of days	250
Average Weekday Total	**6,269**

Average weekday total = 1,567,238 Actual vehicle miles / 250 days **= 6,249**

Example 3: How to compute the actual vehicle miles for average weekday schedule for MB.
Four seasonal schedules — spring, summer, fall and winter. (No count of actual vehicle miles operated).
Solution: You record actual vehicle miles operated on several weekdays for each of the schedules and estimate the average actual vehicle miles operated for each schedule. You the estimate the weighted average for the reporting period as the weighted average for the schedule estimates by the number of days each schedule was in operation.

Schedule	Average Actual Vehicle Miles Operated on Sample Typical Days	Total Days Schedule Operated	Weighted Actual Vehicle Miles
Spring	6,012	75	450,900
Summer	5,608	60	336,480
Fall	6,258	75	469,350
Winter	6,123	42	257,166
Annual	**252**	**1,513,896**	

Average weekday total = 1,513,896 Actual vehicle miles / 252 weekdays = **6,008**

Average Weekday Time Periods

You use average weekday time periods — Weekday AM Peak period, Weekday Midday period, Weekday PM Peak period and Weekday Other period —to report data on times service begins and ends and the average number of revenue vehicles (passenger cars and trains) used during typical service for the year for selected modes. You should not report these data items for TR, DR, FB, JT, and PB services.

In addition to reporting revenue vehicles by average weekday time periods, you must report passenger car revenue miles and unlinked passenger trips for weekday time periods if the mode is heavy rail (HR), commuter rail (CR), and light rail (LR).

Exhibit 11 — Requirements for Weekday Periods

Average Weekday Data Item Breakdown by Time Period	Line / Column	Non-Rail Modes Except Bus and Trolleybus	Bus and Trolleybus	Rail Modes Except Heavy Rail, Commuter Rail and Light Rail	Heavy Rail, Commuter Rail and Light Rail
Time service begins	Line 3, columns e, f and g	No	Yes	Yes	Yes
Time service ends	Line 4, columns e, f and g	No	Yes	Yes	Yes
Vehicles in operation	Line 6, columns e, f, g and h	No	Yes	N/A	N/A
Trains in operation	Line 5, columns e, f, g and h	N/A	N/A	Yes	Yes
Passenger cars in operation	Line 6, columns e, f, g and h	N/A	N/A	Yes	Yes
Passenger car revenue miles	Line 12, columns e, f, g and h	N/A	N/A	No	Yes
Unlinked Passenger Trips	Line 18, columns e, f, g and h	No	No	No	Yes

The average weekday time periods are defined based on the service operated by your transit agency. You determine the beginning and ending of these time periods examining the changes in the normal vehicle headway, i.e., scheduled time interval between vehicles traveling in the same direction on a route. You use the other category, as appropriate, to provide information on night service operating after the PM peak and before the AM peak.

Consistent with current reporting requirements, you should define the peak period for your rail agency based upon those times of day at which it operates trains on shorter headways, relative to the rest of the day. As part of this effort you may define a one-way trip of a train as being either “peak” or “off-peak.” As such, it would not be necessary for you to determine when persons boarded an individual train trip and how you should add them to either “peak” or “off-peak” totals. Instead, you can define peak service using data for a complete one-way trip of a train.

The following example illustrates how to compute average weekday passenger car revenue miles and unlinked passenger trips by time period.

Example 20 — Computing Average Weekday Passenger Car Revenue Miles and Unlinked Passenger trips by Time Period

Example: An agency operates light rail (LR) service. The hours of operation for weekdays are from 6:00 AM to 3:00 AM.

The following time periods define the peak and off-peak hours for weekday service:

- Time Periods for Weekday service
- Time Period Hours Headway
- Weekday AM Peak 6:00 AM – 9:00 AM 10 minutes
- Weekday Midday 9:01 AM – 3:30 PM 25 minutes
- Weekday PM Peak 3:31 PM – 7:00 PM 10 minutes
- Weekday Other7:01 PM – 3:00 AM 30 minutes

The following sample of trips was extracted randomly from the set of weekday trips.

This example is for illustration purposes only. The actual calculation may need either a complete set of weekday trips or a much larger sample.

Trip #	Day of Week	Trip Departed at	Unlinked Passenger Trips	Passenger Car Revenue Miles	Peak Period
1	Monday	7:00 AM	20	10	Weekday AM Peak
2	Tuesday	8:30 AM	35	15	Weekday AM Peak
3	Wednesday	9:10 PM	10	20	Weekday Other
4	Thursday	4:00 PM	40	20	Weekday PM Peak
5	Friday	6:00 PM	30	10	Weekday PM Peak
6	Monday	11:30 AM	25	10	Weekday Midday
7	Tuesday	7:00 PM	40	20	Weekday PM Peak
8	Wednesday	6:45 AM	40	20	Weekday AM Peak
9	Thursday	9:00 PM	15	10	Weekday Other
10	Friday	6:00 AM	40	25	Weekday AM Peak
	Total		295	160	

For this sample of trips, the average weekday unlinked passenger trips equals 295 unlinked passenger trips/10 weekday trips = 29.5 average weekday unlinked passenger trips.

Solution: The average weekday passenger car revenue miles equals 160 miles/10 trips = 16 miles.

To break down this data by time period:

1. For Weekday AM Peak (6 AM to 9 AM) – Use trips 1, 2, and 10 to calculate average:
   - Average AM Peak Unlinked Passenger Trips= (20 + 35 + 40)/3 = 32 average unlinked passenger trips for Weekday AM Peak
   - Average AM Peak Passenger Car Revenue Miles = (10 + 15 + 25)/3 = 17 average passenger car revenue miles for Weekday AM Peak.
2. For Weekday Midday Service (9 AM to 4 PM) – Use trip 6 to calculate average:
   - Average Midday Unlinked Passenger Trips = 25/1 = 25 average unlinked passenger trips for Weekday Midday Service
   - Average Midday Passenger Car Revenue Miles = 10/1 = 10 passenger car revenue miles for Weekday Midday.
3. For Weekday PM Peak – Use trips 4, 5, and 7 to calculate average:
   - Average PM Peak Unlinked Passenger Trips = (40 + 30 + 40)/3 = 37 average unlinked passenger trips for Weekday PM Peak
   - Average PM Peak Passenger Car Revenue Miles = (20 + 10 + 20)/3 = 17 passenger car revenue miles for Weekday PM Peak.
4. For Weekday Other Period: Use trips 3 and 9 to calculate average:
   - Average Other Period Unlinked Passenger Trips = (10 + 15)/2 = 13 average unlinked passenger trips for Weekday Other period.
   - Average Other Passenger Car Revenue Miles = (20 + 10)/2 = 15 passenger car revenue miles for Weekday Other Period.

Note that the sum of the averages for the peak periods does not equal the average weekday total.

Annual Totals

The annual totals are the total service for the year. Therefore, they include data for both typical and atypical days. Annual totals include:

- Scheduled service

  Plus (+)
- Extra service operated for special events

  Less (-)
- Scheduled service not operated for any reason such as:
  - Driver and equipment shortages
  - Breakdowns
  - Problems created by severe weather conditions.

The annual total fields equal:

- The total number of weekdays, Saturdays, and Sundays of service multiplied by the corresponding data for an average weekday, Saturday and Sunday for typical days

  Plus (+)
- Corresponding data for atypical days.

The example below illustrates how to compute annual total data.

Example 21– Computing Annual Total Data

Example 1: How to compute the actual vehicle miles for average weekday total for MB (Data from Example 18, Example 1).

	Typical Weekday Day Operation	Atypical Weekday Day Operation	Total Actual Vehicle Miles Operated
Total actual vehicle miles operated	6,993,520	562,330	7,555,850
Number of Days	230	20	
Solution: Report total actual vehicle miles operated			7,555,850

Example 2: How to compute the actual vehicle miles for average weekday total for DR (Data from Example 18, Example 2).

	Total Days Operated
Total actual vehicle miles operated	1,567,238
Number of days	250
Solution: Report total actual vehicle miles operated =	1,567,238

Auto Calculate Annual Totals

The S-10 form estimates the values for the annual total by: 1) multiplying the values reported for the average day schedules by the corresponding number of days the schedules were operated (line 21) and then 2) summing the three products — weekday, Saturday, and Sunday — to estimate the annual totals. These estimates are provided to help you judge the reasonableness of the data that you are reporting for the average day schedules and for the annual totals.

Reporting for Rail and Non-Rail

The data for service supplied, the miles and hours of service operated, are different for rail and non-rail modes. Rail mode reporting captures information on both the passenger cars (the revenue vehicles that carry passengers) and the trains (grouping of passenger cars that travel as one unit). Typically, rail modes such as HR and LR have two or more cars in a train. Other rail modes, such as cable car (CC) and inclined plane (IP) have only one car in a train.

Detailed Instructions

You should report data by mode and TOS. You should complete one form for each directly operated (DO) mode and for each purchased transportation (PT) mode.

There are reduced reporting requirements for the demand response-tax mode. Complete only annual total data listed below:

- Maximum Service Vehicles (Annual Total)
  - VOMS
  - Vehicles available for annual maximum service.
- Service Supplied (Annual Total)
  - Total VRM
  - Total VRH.
- Service Consumed (Annual Total)
  - UPT
  - ADA unlinked passenger trips
  - Sponsored service unlinked passenger trips
  - PMT.
- Service Operated (Days)(Annual Total):
  - Days Operated — days that service was actually operated
  - Days Not Operated Due to Strikes — days that service would normally have operated but was not due to a transit labor strike
  - Days Not Operated Due to Officially Declared Emergencies — days that service would normally have operated but was not due to an officially declared emergency.

The following detailed instructions are presented in the order that they appear on the form:

- Maximum service vehicles
- Periods of service
- Service supplied
- Service consumed
- Service operated
- DRM.

Maximum Service Vehicles

You should report the number of revenue vehicles required to meet and available for service requirements as:

- VOMS
- Vehicles available for annual maximum service.

Vehicles Operated in Annual Maximum Service

You should report the number of VOMS for the current year. When you enter this number of VOMS on the Identification form (B-10) the number transfers automatically to the S-10 form.

For CR, you should report both passenger cars and the locomotives used to pull them. You should report locomotives whether or not they are used to carry passengers in revenue service.

> **Vehicles Operated in Annual Maximum Service (VOMS):** The number of revenue vehicles operated to meet the annual maximum service requirement. This is the revenue vehicle count during the peak season of the year; on the week and day that maximum service is provided. In most instances, this is the number of scheduled vehicles since most transit agencies have sufficient vehicles to operate the scheduled service. VOMS exclude atypical days or one-time special events.

Vehicles Available for Annual Maximum Service

You should report the number of vehicles available for maximum service for the current year.

For CR, You should report both passenger cars and the locomotives used to pull them. You should report locomotives whether or not they are used to carry passengers in revenue service.

Vehicles Available for Annual Maximum Service: The number of revenue vehicles available to meet the annual maximum service requirement. Vehicles available for maximum service include spare vehicles, out of service vehicles and vehicles in or awaiting maintenance, but exclude vehicles awaiting sale and emergency contingency vehicles.

Spare vehicles are needed to preserve and meet scheduled service. They are held in reserve to replace vehicles that break down or are involved in accidents. Spare vehicles also allow routine vehicle maintenance to be performed during the day when service is being operated.

Emergency contingency vehicles are inactive revenue vehicles that have reached their useful life and would normally be disposed. However, FTA allows your transit agency to retain the vehicles in the event of energy or local emergencies (floods, earthquakes, etc.) if they are in an FTA approved emergency contingency plan.

Unless there were changes in the vehicle inventory during the report year, the number of vehicles available for maximum service should be consistent with the active revenue vehicles that you report on the Revenue Vehicle Inventory form (A-30).

The exhibit below illustrates the difference between VOMS and vehicles available for maximum service.

Exhibit 12 – Vehicles Operated in Maximum Service and Vehicles Available in Maximum Service

Non-rail Modes	**Demand Response, Demand Response-Taxi and Vanpool**	**All other non-rail 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 scheduled revenue vehicles in service at any one time during the reporting year (excludes atypical service).
Vehicles Available for Annual Maximum Service	The largest number of vehicles in revenue service at any one time during the reporting year (includes atypical service) and all spare vehicles available outside of what is needed to provide maximum service.	The largest number of scheduled revenue vehicles in service at any one time during the reporting year (excludes atypical service) and all the spare vehicles available to provide both typical and atypical service.
Rail Modes	**Commuter Rail and Alaska Railroad**	**All other rail modes**
VOMS	The largest number of passenger cars and locomotives scheduled for service at any one time during the reporting year (excludes atypical service). Passenger cars and locomotives each count as a vehicle in this case.	The largest number of passenger cars (vehicles) scheduled for service at any one time during the reporting year (excluding atypical service).
Vehicles Available for Annual Maximum Service	The largest number of passenger cars and locomotives scheduled for service at any one time during the reporting year (excludes atypical service). Passenger cars and locomotives each count as a vehicle in this case, and the total number of spare passenger cars and locomotives available to provide service.	The largest number of passenger cars (vehicles) scheduled for service at any one time during the reporting year (excluding atypical service) and all spare passenger cars available to provide service.

The following exhibit illustrates the difference between trains in operation and passenger cars in operation.

Exhibit 13 – Trains in Operation and Passenger Cars in Operation

	Commuter Rail and Alaska Railroad	All other rail modes
Trains in Operation	The largest number of locomotive / passenger car combinations scheduled to provide service on the average weekday / Saturday or Sunday Schedule (excludes atypical service) Example: One locomotive may pull three passenger cars and you should report this as one train.	The largest number of single passenger cars or set of adjoining passenger cars scheduled for service on the average weekday / Saturday or Sunday Schedule (excludes atypical service). Example: Three adjoining passenger cars would be one train and one passenger car with no adjoining cars would also be considered one train. If your transit agency operates only one passenger car at a time (single car trains), this number will be the same as passenger cars in operation.
Passenger Cars in Operation	The largest number of passenger cars (excluding locomotives) scheduled for service on the average weekday / Saturday or Sunday Schedule (excludes atypical service). This will not be equal to trains in operation.	The largest number of passenger cars scheduled for the average weekday / Saturday or Sunday Schedule (excludes atypical service). If your transit agency operates only one passenger car at a time (single car trains), this number will be the same as trains in operation.

Periods of Service

You report service by the following time periods:

- Average Weekday Schedule — Whole day, Weekday AM peak, Week Midday and Weekday PM peak
- Average Saturday Schedule — Whole day
- Average Sunday Schedule — Whole day.

You should not report time period data for vanpool (VP) or demand response-taxi service.

Time Service Begins

You should report the beginning time for service on an average weekday by Weekday AM Peak period, Weekday Midday period, Weekday PM Peak period and for the day. The beginning time for the AM peak and for the day is defined as the time when the first revenue service vehicle leaves the garage or point of dispatch. You should determine the peak periods on the basis of service frequency (headway), not on the basis of the number of vehicles in service.

You should report the beginning (time service begins) for service on an average Saturday schedule and on an average Sunday schedule. Use 2400-hour time (e.g., 2:00 PM = 1400).

You should report the normal periods of service for a continuous day of operation. For example, if Weekday AM Peak service begins at 4:45 AM and the last service of the day ends at 2:00 AM the following day, you should report the periods of service for an average weekday as 0445 and 0200.

For TR, DR, FB, JT, and PB services, you should complete only the average weekday, Saturday and Sunday columns.

Time Service Ends

You should report the ending times for service on an average weekday by Weekday AM Peak period, Weekday Midday period, Weekday PM Peak period and for the day. The ending time for the day is defined as the time when the last revenue service vehicle returns to the garage or point of dispatch. You should determine the peak periods on the basis of service frequency (headway), not on the basis of the number of vehicles in service.

You should report the ending times (time service ends) for service on an average Saturday and on an average Sunday. Use 2400-hour time (e.g., 2:00 PM = 1400).

You should report the normal periods of service for a continuous day of operation. For example, if AM peak service begins at 4:45 AM and the last service of the day ends at 2:00 AM the following day, you should report the periods of service for an average weekday as 0445 and 0200.

For TR, DR, FB, JT, and PB services, you should complete only the average weekday, Saturday and Sunday columns.

Service Supplied

This section first provides a general discussion of the concepts relevant for reporting service supplied data. Detailed instructions for reporting service supplied data follow in the sections for rail and non-rail modes since they vary depending on whether the mode is a rail mode or a non-rail mode.

Key Service Supplied Concepts

Understanding the measures of service supplied and their components (deadhead, layover / recovery) will help you determine the appropriate category of vehicle miles and hours for reporting. The basic concepts addressed below are:

- Revenue service
- Deadhead
- Total service
- Determining revenue and total service statistics
- Scheduled and actual service.

Revenue Service

Revenue service is when your transit vehicle is providing public transportation and is available to carry passengers. Revenue service excludes non-public transportation activities such as exclusive school bus service and charter service. Vehicles operated in fare free service are considered in revenue service.

You measure revenue service in terms of revenue hours and revenue miles. For non-rail services, the service measures are VRH and VRM. For rail services, there are two different types of measures — train revenue hours (miles) and passenger car revenue hours (miles).

Revenue hours and miles for conventionally scheduled services, are comprised of two elements:

1. Running time, and
2. Layover / recovery time.

Running time is the time it takes your transit vehicle to travel from the beginning to the end of the transit route. Your agency's passenger timetable typically shows the running times for all trips operated by your agency.

The layover / recovery time typically is scheduled at the end of each trip and usually ranges from 10 to 20 percent of the running time. The time is scheduled to provide the transit operator a rest break and to provide an opportunity to get the transit service back on schedule if it was running late on the last trip.

For DR service, the definition of revenue service is slightly different than that for conventionally scheduled service. 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.

For DT service, revenue service is only the time spent carrying passengers.

Deadhead

Deadhead is the mileage and operating time needed to move your transit vehicle before revenue service begins and after revenue service ends. When transit vehicles are deadheading, they operate closed-door and are not available to passengers. Deadhead in fixed route services can involve travel between:

- The garage and the beginning of a route
- The end of one route and the start of a second route, or
- The end of a route and the garage.

Note that bus (MB) deadhead includes mileage and time when your vehicle is not advertised as available for the general public, but is traveling to its first publicly advertised stop from the garage or to the garage from the last publicly advertised stop. For a vehicle to be considered in revenue service there must be a marked stop which is advertised in your schedules and an indication on your bus (e.g., head sign, window board) that it is in revenue service.

For non-fixed route services (DR, VP), deadheading can involve travel between:

- The garage and the dispatching point
- The garage and the first passenger pick-up
- The last passenger drop-off and the dispatching point
- The last passenger drop-off and the garage, or
- The dispatching point and the garage.

DR services typically operate some deadhead mileage and time. VP services, on the other hand, rarely operate deadhead time and mileage because typically vanpool vehicles start and end at the homes of drivers which are the first passenger pick-up points and last passenger drop-off points. For DT services, while taxicab providers may operate some deadhead, NTD collects only revenue service miles and hours. Taxicab service is typically paid for a passenger trip from origin to destination (for the revenue part of the trip).

Deadhead does not include vehicle travel during other times when vehicles are not available to the general public. Examples include non-public transportation activities such as charter or exclusive school bus service and internal transit activities such as operator training and moving vehicles between maintenance or operations facilities.

Deadheading also does not cover fueling operations. Some transit system do not have fueling facilities at their maintenance facilities or parking lots and may have their drivers fuel their vehicles on the way back to the garage after they have completed their day's work. You should not include the time that the drivers spend fueling their vehicles as part of deadhead time (hours).

Total Service

Total service covers the time from when your transit vehicle starts (pull-out time) from a garage to go into revenue service to the time it returns to the garage (pull-in time) after completing its revenue service. Since total service covers the time between pull-out and pull-in, it therefore includes both deadhead and revenue service.

You measure total service in terms of hours and miles. For non-rail services, the service measures are vehicle hours and vehicle miles. For rail services, there are two types of measures — train hours (miles) and passenger car hours (miles).

Determining Revenue and Total Service Statistics

You can calculate revenue and total service hours (miles) by examining the schedule for each of your agency's revenue vehicle, commonly known as a vehicle block. The example below illustrates how to calculate the vehicle revenue hours (miles) and vehicle hours (miles) for a bus vehicle block.

Example 22 — Calculating Vehicle Revenue and Vehicle Hours and Miles for Peak Periods

Example: How to compute vehicle revenue and vehicle hours and miles for a morning rush hour trip.

Starting Location	Ending Location	Start Time	End Time	Time (Minutes)	Distance (Miles)	Activity
Garage	Route 22 suburban end	6:30 AM	6:35 AM	5	2.0	Deadhead time
Route 22 suburban end	Route 22 CBD end	6:35 AM	7:25 AM	50	15.3	Running end time
Route 22 CBD end	Route 22 CBD end	7:25 AM	7:35 AM	10	0.0	Layover / recovery time
Route 22 CBD end	Route 22 suburban end	7:35 AM	8:25 AM	50	15.3	Running time
Running time	Garage	8:25 AM	8:30 AM	5	2.0	Deadhead time

Solution:

Vehicle revenue hours / miles = running time plus layover / recovery time

VRH = (50 + 10 + 50) / 60 = 110 / 60 = **1.83**

VRM = 15.3 + 15.3 = **30.6**

Vehicle hours / miles = running time plus layover / recovery time plus deadhead time

Vehicle hours = (5 + 50 + 10 + 50 + 5) / 60 = 120 / 60 = **2.0**

Vehicle miles = 2.0 + 15.3 + 15.3 + 2.0 = **34.6**

Scheduled and Actual Service

Scheduled service refers to the service that your agency planned to operate. Generally, this service is detailed in internal agency documents and provided to the users in public timetables.

Depending on the mode, you should report different scheduled statistics. For scheduled, non-rail services, the service measure is scheduled vehicle revenue miles. For rail services, the service measure is scheduled passenger car revenue miles. You should report scheduled service statistics only for scheduled services and therefore, you should not report for DR, VP, JT, and PB services.

Actual service refers to the service that your transit agency operated during the reporting period. The amount of actual service usually is very close to the amount of scheduled service. The difference between actual and scheduled service is due to two types of operating changes:

1. Missed service that occurred because of shortages of operators and revenue vehicles, vehicle breakdowns, weather related cancellations of service, and other service interruptions.

2. Added service operated as needed to meet the expected high ridership for special events such as fairs, parades, and civic celebrations.

Except for scheduled vehicle revenue miles (non-rail) and scheduled passenger car revenue miles, you must report actual service data in the service supplied portion of this form.

Service Supplied (Non-Rail Modes) Instructions

The reporting requirements for service supplied data vary by the two types of service operated:

1. Scheduled fixed route —TR, MB, FB, JT, PB, and TB
2. Non-Scheduled, Non-Fixed Route Services —DR, DT and VP.

Scheduled Fixed Route Services

For scheduled, fixed route services (TR, MB, FB, JT, PB, and TB), service supplied data for the average daily schedules cover the service typically (or commonly) operated by your transit agency. The average daily schedule values do not include:

- Service operated by your transit agency for one-time or limited events such as day of the game football shuttles or a visit to the city by the President of the United States
- Extra service operated in addition to the service public timetable by your transit agency to meet anticipated higher demand for limited season travel such as holiday shopping or county fairs.

You should report service supplied data for the average day schedules (weekday, Saturday and Sunday) and for the annual total.

Vehicles in Operation

You should report the vehicles in operation for service that is typically operated by your transit agency. These are the maximum number of vehicles necessary to actually operate service excluding atypical days.

In addition to average daily schedule data, for MB and TB, you should report vehicles in operation for the Weekday AM Peak, Weekday Midday, weekday PM Peak, and Weekday Other time periods.

Actual Vehicle Miles and Hours, Actual Vehicle Revenue Miles and Hours, Deadhead Miles and Hours

You should report average daily schedule and annual total data for actual vehicle miles, actual vehicle hours, VRM and VRH. Actual vehicle revenue miles and hours are when the service is available to the general public. These are the miles and hours traveled by vehicles in carrying passengers, plus layover / recovery time. It does not include the miles and hours for items such as deadhead, charter services, school bus service, operator training or maintenance testing.

The following exhibit illustrates how to report hours and miles for a vehicle in fixed route service.

Exhibit 14 — Accounting for Miles and Hours for Bus Service

	Actual Vehicle		Vehicle Revenue	
Activity	**Hours**	**Miles**	**Hours**	**Miles**
Bus travels (deadheads) from dispatching point to start of route.	Yes	Yes	No	No
Bus travels from 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 the route, lays over. Passengers can board during layover.	Yes	N/A	Yes	N/A
Bus arrives at the end of the route, lays over. Passengers cannot board during layover.	Yes	N/A	Yes	N/A
Bus arrives at the end of the route, goes out of service. Resumes service in PM peak.	No	No	No	No
Bus arrives at the end of the route, travels (deadheads) and parks at storage lot.	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
From the garage the bus travels to another maintenance facility to perform routine maintenance.	No	No	No	No
Due to a collision with another vehicle, the trip is terminated 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

The S-10 form automatically calculates deadhead miles (line 12a) and deadhead hours (line 15a) based on the data you reported for actual vehicle miles, actual vehicle hours, VRM and VRH. The automatic calculations are made as follows:

- Deadhead miles (line 12a) are calculated as total actual vehicle miles (line 11) minus total actual vehicle revenue miles (line 12) by column
- Deadhead hours (line 15a) are calculated as total actual vehicle hours (line 14) minus total actual vehicle revenue hours (line 15) by column.

These calculations are provided to help you judge the reasonableness of the data that you are reporting for the average day schedules and for the annual totals.

Scheduled Vehicle Revenue Miles

You should report scheduled vehicle revenue miles directly from your schedules, excluding any service interruptions or special additional services. Average weekday schedule data are the sum of the scheduled service offered during all time segments of a typical weekday.

Charter Service and School Bus Hours

You should report charter service hours and school bus hours. Charter and school bus service are not open to the general public, but serve a select group.

School bus service means the exclusive use of vehicles for carrying students. It does not mean additional services (school trippers) that your transit agency may operate on an existing route to meet the demands of traveling students. You should report school trippers as part of revenue service.

Most transit agencies operate no or very limited charter and school bus service.

Modes Using Ferryboat Service

The reporting of FB service has unique reporting requirements when other transportation modes also utilize the FB service. These other transportation modes may be other public transit modes such as VP and MB, or they may be private vehicles such as automobiles.

The following rules apply:

- You should report vehicle miles operated by the ferryboat only once, as FB mode. Other public transit mode vehicles are stationary on the ferryboat and therefore do not accumulate any vehicle mileage
- You should report the time for other public transit modes that their vehicles spend your ferryboats. You should report this time like you report “layover” time since there are passengers on board these other public transit vehicles. You should report this time as part of actual vehicle hours and actual vehicle revenue hours.

Non-Scheduled Non-Fixed Route Services

In the following, reporting instructions are given for three types of non-scheduled services:

1. DR
2. DT
3. VP.

The reporting of average daily totals is different for DR and VP than it is for scheduled, fixed route services. For DR and VP services (non-fixed route, non-scheduled), the average daily totals cover all days operated — typical and atypical. For DT, report all days operated — typical and atypical — only for the annual total.

Vehicles in Operation

You should report the vehicles in operation for service that your transit agency operated. These are the maximum number of vehicles necessary to actually operate the DR or VP service.

Actual Vehicle Miles and Hours, Actual Vehicle Revenue Miles and Hours, Deadhead Miles and Hours

You should report average daily and annual total data for actual vehicle miles, actual vehicle hours, VRM and VRH. This is when the service is available to the general public. For DR service, VRM and VRH include all travel and 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. In addition, VRM and VRH include the distance and time to pick-up the next passenger. Thus, actual vehicle miles and hours are usually only slightly larger than actual VRM and VRH.

For DT service, you report only annual totals for VRM and VRH. For DT services, while taxicab providers may operate some deadhead, NTD collects only revenue service miles and hours. Taxicab service is typically paid for a passenger trip from origin to destination (for the revenue part of the trip).

The exhibit below illustrates how to report hours and miles for a vehicle in DR and DT service.

Exhibit 15 — Accounting for Miles and Hours for Demand Response Service

	Actual Vehicle		Vehicle Revenue	
Activity	**Hours**	**Miles**	**Hours**	**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 on-board.	Yes	Yes	Yes	Yes
After a passenger drop-off, the driver goes to a restaurant for lunch.	No	No	No	No
Vehicle transports passengers from a community center to a shopping mall.	Yes	Yes	Yes	Yes
Vehicle returns to the dispatching point with no passengers on-board.	Yes	Yes	No	No
Vehicle waits at the dispatching point before returning to shopping mall.	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

For VP, the driver is considered a passenger. Since the driver is a passenger, you report the travel from the driver's home to the first passenger pick-up and the travel from the last passenger drop-off in VRM and VRH.

For VP you should not report travel to or from maintenance and you also should not report the driver's personal use of the vehicle in vehicle miles and hours.

Therefore, for vanpool services, no deadhead hours or miles are operated and reported because: 1) the drivers are also passengers and 2) most vanpool vehicles are stored at the homes of passenger drivers. Since no deadhead hours or miles are operated, the following relationships will occur:

- Total Actual Vehicle Miles = Total Actual Vehicle Revenue Miles
- Total Actual Vehicle Hours = Total Actual Vehicle Revenue Hours.

The S-10 form automatically calculates deadhead miles (line 12a) and deadhead hours (line 15a) based on the data you reported for actual vehicle miles, actual vehicle hours, VRM and VRH. The automatic calculations are made as follows:

- Deadhead miles (line 12a) are calculated as total actual vehicle miles (line 11) minus total actual vehicle revenue miles (line 12) by column
- Deadhead hours (line 15a) are calculated as total actual vehicle hours (line 14) minus total actual vehicle revenue hours (line 15) by column.

These calculations are provided to help you judge the reasonableness of the data that you are reporting for the average day schedules and for the annual totals.

Scheduled Vehicle Revenue Miles

You do not report these data because DR, DT and VP are non-scheduled services.

Charter Service and School Bus Hours

You should report charter service hours and school bus hours operated for DR and VP mode. Charter and school bus service are not open to the general public, but serve a select group.

School bus service means the exclusive use of vehicles for carrying students. It does not mean additional services (school trippers) that your transit agency may operate on an existing route to meet the demands of traveling students. You should report school trippers as part of revenue service.

Transit agencies rarely operate service with charter or school bus DR, DT or VP service.

Service Supplied (Rail Modes) Instructions

Reporting for rail modes requires separate data for trains and for the passenger cars of each train. A train is simply a group of passenger cars that move as one unit. For CR mode, a train includes the locomotive that pulls the passenger cars even though the locomotive may or may not carry passengers. For some rail modes, such as HR and LR, a train consists of one or more passenger cars. For other rail modes, there may be only one car per train, such as CC, or IP.

You should report service supplied data for average schedule days (weekday, Saturday and Sunday) and for the annual total. In addition, for HR, LR, and CR, you should report average weekday schedule data by time period for the following items:

- Passenger car revenue miles

- Unlinked passenger trips.

Trains and Passenger Cars in Operation

You should report the number of trains in operation and passenger cars in operation for service that your transit agency typically operated. These are the maximum number of trains and passenger cars necessary to actual operate service excluding atypical days. In addition to average daily data, you should report vehicles in operation for the weekday AM peak, midday, PM peak, and other time periods.

Actual Train and Passenger Car Miles and Hours, Actual Train and Passenger Car Revenue Miles and Hours, Train and Passenger Car Deadhead Miles and Hours

You should report actual train miles, actual train hours, actual train revenue miles and actual train revenue hours; and actual passenger car miles, actual passenger car revenue miles, actual passenger car hours and actual passenger car revenue hours. For CR mode, you should not include locomotive miles when reporting passenger car miles and hours.

Examples of how these statistics are computed are shown in the following example.

Example 23— Calculating Actual Train and Passenger Car Statistics

Example: A commuter rail (CR) train makes one round trip in the morning. The train consists of one locomotive and six passenger cars.

Starting Location	Ending Location	Start Time	End Time	Time (Minutes)	Distance (Miles)	Activity
Maintenance facility	Line A suburban end	5:30 AM	5:40 AM	10	3.0	Deadhead time
Line A Suburban end	Line A CBD end	5:40 AM	7:00 AM	80	32.6	Running time
Line A CBD end	Line A CBD end	7:00 AM	7:20 AM	20	0.0	Layover / recovery time
Line A CBD end	Line A suburban end	7:20 AM	8:40 AM	80	32.6	Running time
Line A suburban end	Maintenance facility	8:40 AM	8:50 AM	10	3.0	Deadhead time

Train miles / hours = Deadhead time + Running time + Layover / recovery time

Train miles = 3.0 + 32.6 + 32.6 + 3.0 = **71.2**

Train hours = (10 + 80 + 20 + 80 + 10) / 60 = 200 / 60 = **3.3**

Train revenue miles / hours = Running time + Layover / recovery time

Train revenue miles = 32.6 + 32.6 = **65.2**

Train revenue hours = (80 + 20 + 80) / 60 = 180 / 60 = **3.0**

Passenger car miles / hours = (Deadhead time + Running time + Layover / recovery time) x Number of passenger cars

Passenger car miles = (3.0 + 32.6 + 32.6 +3.0) x 6 = 71.2 X 6 = **427.2**

Passenger car hours = [(10 + 80 + 20 + 80 + 10) X 6] / 60 = [200 X 6] / 60 = 1,200 / 60 = **20.0**

Passenger car revenue miles / hours = (Running time + Layover / recovery time) x Number of passenger cars

Passenger car revenue miles = (32.6 + 32.6) x 6 = 65.2 x 6 = **391.2**

Passenger car revenue hours = [(80 + 20 + 80) x 6] / 60 = [180 x 6] / 60 = 1,080 / 60 = **18.0**

The S-10 form automatically calculates train and passenger car deadhead miles and deadhead hours based on the data you reported for actual miles, actual revenue miles, actual hours and actual revenue hours. The automatic calculations are made as follows:

- Train deadhead miles (line 9a) are calculated as total actual train miles (line 07) minus total actual train revenue miles (line 09) by column
- Train deadhead hours (line 10a) are calculated as total actual train hours (line 08) minus total actual train revenue hours (line 10) by column. Passenger car deadhead miles (line 12a) are calculated as total actual passenger car miles (line 11) minus total actual passenger car revenue miles (line 12) by column
- Passenger car deadhead hours (line 15a) are calculated as total actual passenger car hours (line 14) minus total actual passenger car revenue hours (line 15) by column.

These calculations are provided to help you judge the reasonableness of the data that you are reporting for the average day schedules and for the annual totals.

Scheduled Passenger Car Revenue Miles

You should report scheduled passenger car revenue miles directly from your schedules, excluding any service interruptions or special additional services. Average weekday schedule data are the sum of the scheduled service offered during all time segments of a typical weekday.

The following exhibit illustrates how to report hours and miles for rail modes.

Exhibit 16— Accounting for Miles and Hours for Rail Service

	Actual Vehicle		Vehicle Revenue	
Activity	**Hours**	**Miles**	**Hours**	**Miles**
Train travels (deadheads) from the yard to the station where the trip is scheduled to start.	Yes	Yes	No	No
Train departs from the yard and travels to an adjacent station. The transit agency states that the train is in revenue service, however, no passengers are allowed to board.	Yes	Yes	No	No
Train travels from beginning to end of the line carrying passengers.	Yes	Yes	Yes	Yes
Train completes trip, lays over. Passengers cannot board during layover.	Yes	N/A	Yes	N/A
Train completes trip, lays over at a maintenance facility adjacent to the station. Passengers cannot board during layover.	Yes	N/A	Yes	N/A
Train completes trip, lays over. Passengers can board during layover.	Yes	N/A	Yes	N/A
Train departs from station A, breaks down at station B. Trip is terminated. Passengers alight at station B to board the next train. Trip operated from station A to station B.	Yes	Yes	Yes	Yes
Trip not operated beyond station B.	No	No	No	No
Train departs from station A, short turns at station B. Passengers alight at station B and board the next train. Trip operated from station A to station B.	Yes	Yes	Yes	Yes
Trip not operated beyond station B.	No	No	No	No
Train departs from station A, is expressed from station B to the end of the line. Passengers on-board can only alight at Station B or at end station. Trip operated from station A to station B.	Yes	Yes	Yes	Yes
Trip operated non-stop beyond station B.	Yes	Yes	Yes	Yes
Train completes a trip, deadheads to the end of another line to make another trip.	Yes	Yes	No	No
In the transition from AM to midday service, the train is put out of service at the end station. Service will resume for PM peak.	No	N/A	No	N/A
In the transition from AM to midday service, the train travels (deadheads) to the yard.	Yes	Yes	No	No
Train travels for operators' training and no passengers are allowed to board.	No	No	No	No
Train travels from the yard to a maintenance facility.	No	No	No	No

Service Consumed

Service consumed data are measures of the use of public transportation. NTD collects data on two measures:

1. UPT
2. PMT.

In addition, for DR and DT service, NTD collects two types of UPT:

1. Americans with Disabilities Act of 1990 (ADA) related unlinked passenger trips (line 19) are complementary paratransit trips provided under the ADA requirements
2. Sponsored service unlinked passenger trips (line 19a) are paid in whole or part by a third party who, in many cases, handled all or part of the trip arrangements.

You report only annual totals for these two special types of UPT. Counts of these two special types are included in the annual total you reported for unlinked passenger trips (line 18). **Sponsored service can also be included in the ADA related UPT count.**

For FB mode, there are also unique NTD reporting requirements for reporting UPT and PMT when other transportation modes also utilize the FB service. These other transportation modes may be other public transit modes such as VP and MB, or they may be private vehicles such as automobiles.

The following rules apply:

- You report in the FB mode UPT for each occupant of the vehicle including the driver, whether the other transportation mode is public transit or private vehicles
- You report PMT only once and then as FB mode. This is because the other public transit or private vehicle is not moving under its own power aboard the FB.

See also discussion above for reporting vehicle miles and hours, and in the F-10 form for reporting passenger fares and FB ferriage fees.

Unlike all other data reported in the NTD, you may estimate PMT and UPT based on a sampling procedure. Acceptable sampling procedures and requirements are discussed at the end of this section.

Unlinked Passenger Trips

You should report UPT (boardings) for the average weekday schedule, average Saturday schedule, average Sunday schedule, and the annual total. UPT are the number of passengers who board your public transportation vehicles. You should count passengers each time they board vehicles no matter how many vehicles they use to travel from their origin to their destination.

For DT mode, report only the annual total UPT.

For DR and DT modes, you should report personal care attendants and companions as long as they are not employees of your transit agency. You should report attendants and companions regardless of whether or not they are fare-paying passengers.

For YR, SR, HR, LR and CR, you should report average weekday unlinked passenger trips by time period (Weekday AM Peak, Weekday Midday, Weekday PM Peak, and Weekday Other).

If your transit agency operates complementary paratransit trips, you should report the number of the unlinked trips attributable to ADA requirements (including personal care attendants and companions) under the DR and DT modes. These UPT should be less than or equal to the UPT you reported for the DR or DT service (line 18).

If your transit agency carries sponsored service trips, you should report the number of the sponsored service unlinked trips under the DR mode. These UPT should be less than or equal to the UPT you reported for the DR or DT service (line 18).

The categories of ADA-related and sponsored service are not exclusive. These kinds of trips can overlap. Each is a separate subset of the unlinked passenger trips. The total of ADA-related unlinked passenger trips and sponsored service unlinked passenger trips can exceed the total unlinked passenger trips.

For VP service, commonly you should report the driver as a passenger since most drivers are not paid wages and they are commuting to work. However, in rare instances, you should consider the drivers employees because, like other transit operators, they are paid wages and are not traveling for personal reasons (e.g., work commuting, shopping).

For rail systems, you should not confuse UPT with counts of passengers entering the systems through fare turnstiles. Often, rail systems allow passengers to transfer from one train to another train without exiting the rail system. In these systems, the turnstile counts always will be less than unlinked passenger counts because the turnstile counts do not include counts of boarding transfer passengers.

Passenger Miles Traveled Data

You should report PMT for an average weekday schedule, average Saturday schedule, average Sunday schedule, and the annual total. PMT is the other measure of service consumed by transit users. This measure tracks the distance traveled by each passenger, i.e., the distance from the time he boards until he gets off the vehicle. PMT are the cumulative sum of the distances ridden by each passenger.

For DT mode, report only the annual total PMT.

Sampling Procedures and Requirements for Passenger Miles Traveled and Unlinked Passenger Trips

The counting of all unlinked passenger trips or all passenger miles traveled consumed is called a 100 percent count. If available and reliable, you must report 100 percent counts of either or both PMT and UPT. This requirement applies to all modes and types of service.

If 100 percent counts are not available and reliable, you must estimate and report the PMT and UPT values based on statistical sampling. The Federal Transit Administration (FTA) requirements for all modes and types of service are:

- Minimum confidence of 95 percent, and
- Minimum precision level of ±10 percent.

The required precision level (±10 percent) applies to the annual total, not the average day schedule estimates that you report. The precision levels for the average day schedule estimates will be greater than ±10 percent if the sample size for the annual count was designed to meet ±10 percent exactly.

PMT and UPT are important NTD data items. The accuracy of the reported PMT and UPT must be certified in the Chief Executive Officer (CEO) Certification.

The 100 percent count method and sampling requirements and procedures are discussed below.

100 Percent Count of Unlinked Passenger Trips and Passenger Miles Traveled

A 100 percent count of UPT involves counting passengers each time they board a vehicle. As part of this count, the distance traveled by each passenger may also recorded to produce a 100 percent count of PMT. These two types of 100 percent counts are generally applicable to smaller systems, but their use is not precluded by a system's size. If 100 percent counts are available and reliable for either UPT or PMT, you must report them.

Your transit agency may try to do a 100 percent count may miss some of the vehicle trips because of personnel problems or equipment failures. If these vehicle trips are two percent or less of the total, then you should factor up the data to account for the missing percentage. If the missed vehicle trips are more than two percent of the total, then you must have a qualified statistician approve the methodology for factoring the data to account for the missing percentage.

Transit agencies using FTA C2710.2A for sampling DR passenger miles traveled must do a 100 percent count of UPT. Refer to FTA Approved Sampling Techniques below.

For DT mode, you may calculate PMT using origin and destination trip data in place of recording the passenger miles traveled using the taxi trip route.

Passenger Miles Traveled Sampling

Your transit agency may use any data sampling technique, by mode and TOS, which meets the 95 percent confidence and ±10 percent precision levels. Your transit agency may use different sampling techniques for each mode / TOS combination.

To assist transit agencies, FTA has developed acceptable PMT and UPT sampling procedures for bus (MB) and DR services. Your transit agency may also use any other procedure (alternative technique) that meets FTA requirements.

If your transit agency samples, you must follow the sampling technique exactly. You may choose to oversample your data, provided that the oversampling is selected randomly from all vehicle runs operated, but you may not in any case collect a smaller sample than is prescribed by the sampling plan. You should not change: 1) the prescribed number of trips in the sample except to oversample as noted above or 2) the approach for selecting trips that comprise the sample.

The following items are discussed below:

- FTA approved sampling techniques
- Alternative sampling techniques
- Automatic Passenger Counters
- Sampling for PT service
- Sampling cycles — mandatory sampling years
- CEO certification of sampling techniques and data.

FTA Approved Sampling Techniques

There are three approved sampling techniques described in circulars that provide definitions, sampling procedures, data recording procedures, annual report compilation and sample selection information:

1. FTA C 2710.1A Sampling Techniques for Obtaining Fixed Route Bus Operating Data Required under the Section 15 Reporting System. Six sampling plans are presented. The minimum number of sample trips is 549 annually. The six sampling plans are for systems that operate daily service. If your transit agency does not operate on a seven-day schedule you should contact their NTD analyst for assistance. You should not submit the documentation outlined in the circular with your NTD Annual report, but retain it for your files.

   This procedure was developed to provide an estimate of both PMT and UPT for fixed route bus systems. However, if a 100 percent count of UPT is available and reliable you can not report the procedure's estimate for UPT. Instead FTA requires you to report the available 100 percent count of UPT. In this case, you should only use the procedure to estimate and report PMT.
2. FTA C 2710.2A Sampling Procedures for Obtaining DR Bus System Operating Data Required under the Section 15 Reporting System. The circular describes a method for sampling the service provided by one demand response (DR) vehicle on one day each week. The method is used to estimate annual passenger miles traveled (PMT) and requires your transit agency to collect 100 percent counts of UPT. The sampling circular includes the Annual Report to FTA —DR form (406B). You should not submit this form with your NTD Annual report, but retain it for your files.

These circulars can be downloaded from the NTD Program website (www.ntdprogram.gov).

Pending New FTA Approved Sampling Manual

3. The new NTD Sampling Method currently in the formal approval process by FTA, and Transit agencies may use the techniques and sampling templates during this "trial phase".

The sampling techniques are for:

- Estimation of passenger miles traveled
- Estimation of unlinked passenger trips if 100% counts are unreliable or unavailable.

NTD sampling requirements for data estimation remain the same:

- 95% Confidence Level
- 10% Precision.

Key points about the new sampling approach:

- Covers all modes
- Provides more than one sampling plan
- Sample size is not fixed but based on transit agency and mode specific characteristics
- Sampling is based on random selections within a weekly, monthly or quarterly time period
- Sampling templates can be tailored to transit agency needs.

The Sampling manual can be downloaded from the NTD Program website (www.ntdprogram.gov).

You do not need to get approval from FTA nor from a qualified statistician to use the Sampling Package, unless you are using APC's to collect your data—in which case the usual APC approval requirements apply,

Alternative Sampling Techniques

Your transit agency may also use any other procedure (alternative technique) approved by a qualified statistician. An alternative sampling technique is a statistically valid technique, other than a 100 percent count of both UPT and PMT and other than the sampling techniques described in the FTA circulars.

A qualified statistician is someone who can ensure that FTA statistical sampling requirements are met. FTA does not prescribe specific statistician qualifications. Instead, it requires your transit agency to insure that the statistician is suitably qualified. The statistician may be an in-house staff person with a working knowledge 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 determine that the sampling technique meets FTA's confidence and precision levels.

You must document and retain in your files both the technique and the statistician's approval. The documentation should include:

- A description of the technique that includes:
  - The parameters used to estimate UPT (e.g., UPT per vehicle trip x number of vehicle trips operated) if a 100% 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's confidence and precision levels.
- A summary of the statistician's education and experience that indicates that the statistician is qualified.

FTA considers FTA C 2710.4A Revenue Based Sampling Procedures for Obtaining Fixed Route Bus (MB) Operating Data Required under the Section 15 Reporting System an alternative sampling technique. If your transit agency uses C 2710.4A you must have a qualified statistician review, revise (if necessary), and approve the sampling parameters.

Automatic Passenger Counters (APC)

Some transit agencies use automatic passenger counters (APC) for collecting UPT and PMT data for bus (MB) mode, either through sampling or a 100 percent count of data. The APCs must be calibrated and validated by each transit agency periodically in order to be used for NTD reporting.

The use of APCs for NTD reporting requires prior FTA approval. If your transit agency fails to obtain prior FTA approval FTA will not include the reported APC-derived passenger mile data in the Urbanized Area Formula Program apportionment.

In order to ensure the reliability of the UPT and PMT data FTA must approve the following:

- Implementation of a new APC system
- APC benchmarking plan for the first year
- APC maintenance plan for subsequent years, i.e., periodic calibration of the APC equipment against benchmark dataset (i.e., developing adjustment factors for replicating UPT and PM data collected by ride checkers to APC derived UPT and PMT data).

Specifically, the APC benchmarking plan for the first year must include procedures for:

- Validating the APC data for UPT and PM data against a separate data sample covering a full year. For example, if you wish to use an APC to collect PMT data, then the APCs should be run parallel to traditional human sampling for one year. If the average passenger trip length from the APCs is statistically equivalent to the average passenger trip length from the human sampling, then APCs may be used in the future for collecting PMT data for the NTD.
- Developing procedures for adjusting the APC data for UPT and PMT to replicate the data produced by the other data source; and
- Implementing procedures to ensure that APC data for UPT and PMT meets FTA standards for at least 95% confidence level and 10% precision.

You must submit the benchmarking plan to FTA for approval using the **e-File** tab in Internet Reporting. You also must submit the result after the benchmarking plan has been completed using the **e-File** tab in Internet Reporting.

In subsequent years, the APC maintenance plan must include procedures for the calibration of the APC equipment every year using a sample of at least 100 bus vehicle trips using ride checkers to collect the UPT and PM data. The trips in the sample do not need to be randomly distributed by route, by day, and time of day. Most APC manufacturers recommend routine calibration checks. For MB service, UPT counts from APCs should be regularly checked and reconciled against trip counts and fares from registering fare boxes. If a transit system uses APCs for both directly operated and purchased transportation bus services, separate samples of at least 100 bus vehicle trips are required for each type of service.

You must annually submit to FTA documentation of the results of the maintenance plans including the UPT and PM data collected by ride checkers compared to APC derived UPT and PM data and the statistical variance between the two data sets. You should submit the documentation to NTD using the using the **e-File** tab in Internet Reporting.

The requirements for the use of APCs in the computation of UPT and PMT for bus also are valid for the use of APCs on other modes such as LR service.

Sampling for Purchased Transportation Service

Rules have been developed for sampling PT services when your agency, the buyer, also operates the same mode of service and when there is more than one seller. The guiding sampling rules for PT services included in your report are:

- PT sellers may use different sampling techniques than those implemented by your transit agency for DO service
- Your transit agency may apply one sample technique covering all PT contracts for a specific mode
- Each PT seller may use a different sampling technique.

Sampling Cycles — Mandatory Sampling Years

Transit agencies must sample or collect 100 percent counts of PMT in a mandatory year. The mandatory years are fixed in one-year or three-year cycles based on urbanized area (UZA) size, number of VOMS and TOS. UZAs are determined from the 2000 US Census.

The cycles for mandatory year sampling are based on the TOS operated UZAs served as follows:

- Mandatory One-Year Sampling Cycle
  - Directly operated service
  - Transit agencies serving UZA's with 500,000 more population and operating in total, across all modes, 100 or more vehicles in annual maximum service.
- Mandatory Three-Year Sampling Cycle
  - Directly operated service
  - Transit agencies serving UZA's with 500,000 more population and operating in total, across all modes, less than 100 or more vehicles in annual maximum service
- Transit agencies serving UZA's with less than 500,000 population
  - Purchased transportation modes
  - All transit agencies.

The exhibit below summarizes mandatory year criteria for sampling PMT.

Exhibit 17 — Mandatory Year Criteria for Sampling Passenger Miles Traveled

DO Service Mandatory Year Frequency	Mandatory Year	Population (UZA size)	Number of Directly Operated Vehicles In Annual Maximum Service Across all Modes
Every year	2011	≥ 500,000	≥ 100
Every 3rd year	2011	≥ 500,000	< 100
Every 3rd year	2011	50,000 - 499,999	Any number
PT Service			**Number of Purchased Transportation Vehicles in Annual Maximum**
Mandatory Frequency	**Mandatory Year**	**Population (UZA size)**	**Service Year (not filing separate report)**
Every 3rd year	2011	≥ 50,000	Any number

If your transit agency reporting for the first time or if your transit agency started a new mode / TOS during the report year, you must sample during your first report year even if it is not your mandatory year. Your next mandatory year occurs in the next fixed cycle for your transit agency. Similarly, if your agency is an existing reporter but missed a mandatory sampling year, you must sample the next report year and your next mandatory year occurs in the next fixed cycle for your transit agency.

Sampling Cycles — Non-Mandatory Sampling Years

In intermediate (non-mandatory) years, you may report PMT data in one of three ways:

1. Report 100 percent count.
2. Conduct 100 percent count of UPT. You must estimate PMT data by multiplying: 1) the average trip length (PMT divided by UPT) statistics reported in the annual total from the mandatory year and 2) the UPT (for weekday schedule, Saturday schedule, and Sunday schedule) for the current year.
3. Continue sampling.

Note that you can view your average trip length for annual total data from the prior years in Internet reporting by clicking on the **Reports** tab.

The example below illustrates how to estimate PMT data using the average trip length.

Example 24— Using Average Trip Length to Estimate Passenger Miles Traveled Data

Example: Transit agency A serves an urbanized area (UZA) with a population of 350,000 (2000 Census). The transit agency DO MB and DR modes with 110 and 34 VOMS, respectively. What are the NTD reporting requirements for PMT data?

Solution: Transit agency A is required to sample (or conduct 100% counts) every three years since it is in an UZA between less than 500,000 population:

- Make a 100% count of PMT and UPT
- Conduct a 100% count of UPT in the current year, and estimate PMT data using the average trip factors from the mandatory year, or
- Use a statistically valid sampling technique to estimate PM.

Transit agency A decides to do a 100% count of PMT and UPT for DR mode and to report MB data using average trip length statistics to estimate intermediate year data. The transit agency performs a 100% count of the UPT for MB in the current year. The following details the mandatory and current year data for MB:

	Weekday	***Saturday***	***Sunday***
PM	50,000,000	7,000,000	3,000,000
UPT	10,000,000	2,000,000	750,000
Average trip length	5.0	3.5	4.0
Non-Mandatory Year			
UPT	10,500,000	2,100,000	800,000
Estimated average trip length (mandatory year)	5.0	3.5	4.0
Estimated PM (current year)	52,500,000 (5.0 x 10,500,000)	7,350,000 (3.5 x 2,100,000)	3,200,000 (4.0 x 800,000)

Estimated average trip length = PM **/** UPT

Estimated PM = average trip length × UPT

The exhibit below summarizes the certification requirements for PMT data.

Exhibit 18 — Passenger Miles Traveled Chief Executive Officer Certification Requirements

Mandatory Sampling Year - CEO Certification of PMT:

- Verifies that the FTA standards for precision and accuracy of sampling are met
- Verifies how (PMT data are collected:
  - Sample, or
  - 100% count.

Intermediate (Non-Mandatory Sampling) Years - CEO Certification of Passenger Miles Traveled (PMT):

- Verifies how PMT data are collected:
  - Sample
  - 100% count, or
  - Estimate PMT data using average trip length statistics from the mandatory year (for an average weekday schedule, Saturday schedule, and Sunday schedule) multiplied by the UPT from the report year (for an average weekday schedule, Saturday schedule, and Sunday schedule).

CEO Certification of Sampling Techniques and Data

For both mandatory and intermediate years, your CEO Certification verifies that the PMT data satisfy FTA requirements and describes how the PMT data were estimated.

Service Operated (Days)

You should report the total number of days of service for the following categories:

- Days Operated — days that service was actually operated
- Days Not Operated Due to Strikes — days that service would normally have operated but was not due to a transit labor strike
- Days Not Operated Due to Officially Declared Emergencies — days that service would normally have operated but was not due to an officially declared emergency.

Within each of these categories, you should report the total number of days for weekday schedule, Saturday schedule, and Sunday schedule service. Many transit systems operate different schedules on weekdays, Saturdays, and Sundays. The reported number of days reflects the number of days each schedule was operated. You should report holiday service as the day that most closely reflects the TOS operated. For example, if on Christmas day you operate a Sunday schedule of service, you should report this as a Sunday.

For DT mode, report only the annual total service operated days.

If you did not operate service on some days due to transit labor strikes or officially declared emergencies, Internet reporting will display a box for you to describe the situation.

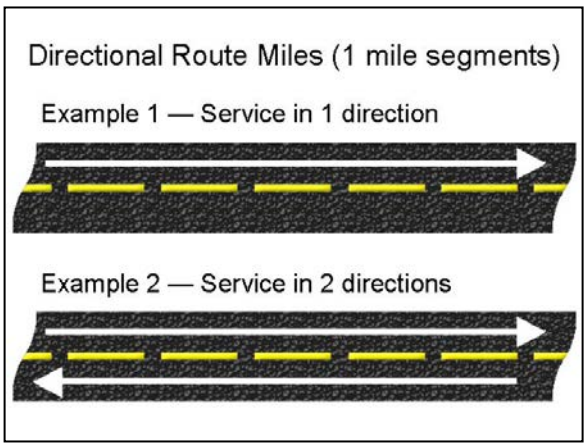
FTA holds harmless adjustments due to strikes, labor disputes, and work stoppages. RY 2011 data are the actual data to be used in apportionment of Fiscal Year (FY) 2012 funds. If your agency had a valid work stoppage during FY 2011, the CEO of your transit agency must request a hold harmless adjustment in writing via the **e-File**. Pending review, an adjustment can be made in the FY 2012 apportionment.

For the period of the strike, for the transit mode affected (e.g., commuter rail), FTA will adjust certain annual data used in the apportionment. FTA's adjustments are final and not subject to appeal. The data to be adjusted are based on the number of days of the strike. Partial strike days will not count.

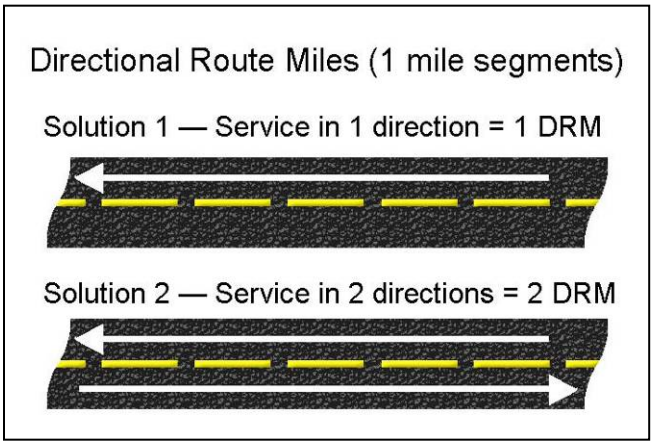
NTD apportionment data to be adjusted are unlinked passenger trips, vehicle revenue miles, passenger miles traveled, and operating costs. For service lost, simple adjustments will be made based on the annual weekday schedule, Saturday schedule, and Sunday schedule averages during the entire year, or an entire year that FTA deems appropriate.

Directional Route Miles

DRM are a measure of the service provided by your transit agency. They measure, by direction, the path of a vehicle in revenue service. They are counted once for each path, i.e., they do not depend on frequency of service. They are computed with regard to direction of service, but without regard to the number of traffic lanes or rail tracks existing in the right-of-way (ROW).



Examples 1 and 2 illustrate reporting of DRM for MB mode for different operations. The graphic illustrates the difference between service operated in one direction only and service operated in both directions.



Solution 1: Two MB routes operate in only one direction over a one-mile segment of Main Street. In this case, there is one DRM.

Solution 2: Two MB routes operate in both directions over the one-mile segment of Main Street. In this case, there are two DRM.

Average Monthly Directional Route Miles

If there were FG segments added (service start-ups) or removed (discontinued service) from revenue service during the report year, Internet reporting calculates the average monthly FG DRM over which your transit agency operated service. Average monthly DRM are transferred automatically to the FFA-10 form.

You should report DRM for fixed route services. You do not report data are reported for DR JT, PB, and VP services.

The discussion in this section covers:

- Guideway classification
- MB, CB and RB reporting requirements
- Reporting requirements for non-bus modes.

Guideway Classification

You enter most data for DRM in the Fixed Guideway Segments form (S-20). These data are summarized and then transferred to the S-10 form. FG is reported by rail and non-rail modes. You enter the data in the Fixed Guideway Segments form (S-20) because DRM are used to measure FG. The traditional definition of FG is a separate ROW for the exclusive use of public transportation vehicles. By this definition, all rail modes operate exclusively on FG.

The concept of FG also has been extended to non-rail modes. A TR operates over its own exclusive air space that is similar to and is considered its own FG. By Federal statute, the ROW used by FB also is considered exclusive FG.

You must report very detailed information on the S-20 form for the modes that operate exclusively on FG. However, only the total DRM are transferred to the S-10 form.

The remaining types of fixed route modes — CB, MB, RB and TB — sometimes operate on their own FGs, but often operate in mixed traffic rights-of-way (ROW) with other vehicles. For these two modes, you report and categorize DRM by the type of right-of-way (ROW) in which the mode operates as follows:

- Exclusive rights-of-way (ROW). Roadways reserved at all times for transit use and other HOV such as carpools and VP. Downtown transit malls and bus-only roadways are examples of exclusive ROW.
- Controlled access rights-of-way (ROW). Roadways restricted during selected times of the day (usually commuting hours) and times of the week (usually weekdays) for use by transit vehicles and other HOVs. HOV lanes on freeways that are limited to transit vehicles, carpools, and VP during commuting hours are examples of controlled access ROW.
- Mixed traffic ROW. Conventional streets and roads over which transit vehicles share operating space with cars and trucks. Mixed traffic ROW are the most common ROW used by buses.

Again, for the CB, MB, RB and TB, you report very detailed information on the S-20 form. The total DRM in all three guideway categories for TB are transferred to the S-10 form. However, only the DRM for the exclusive and controlled access ROW are transferred for the CB, MB and RB mode.

The transferred values for DRM describe the service operated by the transit agency. Although related, the transferred data are not necessarily a summary of the DRM that are eligible for funding under the UAF Program. The eligibility for the UAF Program is based on the data reported and summarized in the S-20 form. You should go to the discussion of the S-20 form for more details.

Reporting Requirements

There are no reporting requirements for non-bus modes in the S-10 form. The total DRM are transferred automatically from the data entered in the S-20 form. See the discussion of the S-20 form for more details.

You should report DRM for bus service operated in mixed traffic ROW. Total DRM are transferred from the S-20 form for exclusive and controlled access ROW. See the discussion of the S-20 form for more details.

Line by Line Instructions Service form (S-10)

Completing the Service form (S-10)

You should complete one form for each mode and type of service (TOS).

Form Level Help: You should click on the **Help** tab at the top of the screen for form level help.

Form Note: A form note can be attached to any form. You should use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. You should click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. You should not use the **Form Notes** feature to answer issues generated from this form. From the **Issues** tab, you should use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: You should click on the **Save** button at the bottom of the screen to save the form. You should click on the **Close** button at the bottom of the screen to close the form without saving.

Maximum Service Vehicles

Line 01, column a: Vehicles Operated in Annual Maximum Service (VOMS). **Pre-filled** field based on the data reported on the Identification form (B-10).

- The number of vehicles operated on the maximum day of the year to provide peak period service. For commuter rail (CR), this number includes passenger cars and locomotives.

Line 02, column a: Vehicles Available for Annual Maximum Service.

- Enter the number of vehicles available on the maximum day of the year to provide peak period service (i.e., VOMS) plus spares, out of service vehicles, and vehicles in or awaiting maintenance; and excluding vehicles awaiting sale or emergency contingency fleet). For CR, include passenger cars and locomotives.

Periods of Service

Line 03: Time Service Begins

Use 2400-hour time (e.g., 2:00 PM = 1400). Report the normal periods of service for a continuous day of operation. For example, if AM peak service begins at 4:45 AM and the last service of the day ends at 2:00 AM the following day, report the periods of service for an average weekday schedule as 0445 and 0200.

- Column a: Average Weekday Schedule. Enter the time service begins for an average weekday schedule.
  - Does not apply to demand response-taxi (DT) or vanpool (VP).
  - This is the time vehicles leave the garage or yard to begin the day's service.
- Column b: Average Saturday Schedule. Enter the time service begins for an average Saturday schedule.
  - Does not apply to demand response-taxi (DT) or vanpool (VP).
- Column c: Average Sunday Schedule. Enter the time service begins for an average Sunday schedule.
  - Does not apply to demand response-taxi (DT) or vanpool (VP).
- Column e: Weekday AM Peak. Enter the time AM Peak service begins for an average weekday schedule.
  - Does not apply to aerial tramway (TR), demand response (DR), demand response-taxi (DT), ferryboat (FB), jitney (JT), publico (PB), and vanpool (VP) modes.
- Column f: Weekday Midday. Enter the time midday service begins for average weekday schedule.
  - Does not apply to TR, DR, DT, FB, JT, PB, and VP modes.
- Column g: Weekday PM Peak. Does not apply to TR, DR, DT, FB, JT, PB, and VP modes.
  - Enter the time PM peak service begins for an average weekday schedule.

Line 04: Time Service Ends

Use 2400-hour time (e.g., 2:00 PM = 1400). Report the normal periods of service for a continuous day of operation. For example, if AM Peak service begins at 4:45 AM and the last service of the day ends at 2:00 AM the following day, report the periods of service for an average weekday as 0445 and 0200.

- Column a: Average Weekday Schedule. Enter the time service ends for an average weekday schedule.
  - Does not apply to DT or VP.

  - This is the time vehicles return to the garage or yard to end the day's service.
- Column b: Average Saturday Schedule. Enter the time service ends for an average Saturday.
  - Does not apply to DT or VP
- Column c: Average Sunday Schedule. Enter the time service ends for an average Sunday.
  - Does not apply to DT or VP.
- Column e: Weekday AM Peak. Enter the time AM Peak service ends for an average weekday schedule.
  - Does not apply to TR, DR, DT, FB, JT, PB, and VP modes.
- Column f: Weekday Midday. Enter the time midday service ends for an average weekday schedule.
  - Does not apply to TR, DR, DT, FB, JT, PB, and VP modes.
- Column g: Weekday PM Peak. Enter the time PM peak service ends for an average weekday schedule.
  - Does not apply to TR, DR, DT, FB, JT, PB, and VP modes.

Service Supplied

Line 05: Trains in Operation

Applies to rail modes.

- Column a: Average Weekday Schedule. Enter the number of trains in operation for an average weekday schedule.
- Column b: Average Saturday Schedule. Enter the number of trains in operation for an average Saturday schedule.
- Column c: Average Sunday Schedule. Enter the number of trains in operation for an average Sunday schedule.
- Column e: Weekday AM Peak. Enter the number of trains in operation for AM peak service.
- Column f: Weekday Midday. Enter the number of trains in operation for midday service.
- Column g: Weekday PM Peak. Enter the number of trains in operation for PM peak service.
- Column h: Weekday Other. Enter the number of trains in operation for nighttime service after the PM peak and before the AM peak. This is sometimes referred to as night and owl services.

Line 06: Vehicles / Passenger Cars in Operation

Non-rail modes use vehicles. Rail modes use passenger cars.

Does not apply to DT mode.

- Column a: Average Weekday Schedule. Enter the number of vehicles / passenger cars in operation for an average weekday schedule.
- Column b: Average Saturday Schedule. Enter the number of vehicles / passenger cars in operation for an average Saturday schedule.
- Column c: Average Sunday Schedule. Enter the number vehicles / passenger cars in operation for an average Sunday schedule.
- Column e: Weekday AM Peak. Enter the number of vehicles / passenger cars in operation for AM peak service.
  - Does not apply to TR, DR, FB, JT, PB, and VP modes.
- Column f: Weekday Midday. Enter the number of vehicles / passenger cars in operation for midday service.
  - Does not apply to TR, DR, FB, JT, PB, and VP modes.
- Column g: Weekday PM Peak. Enter the number of vehicles / passenger cars in operation for PM peak service.
  - Does not apply to TR, DR, FB, JT, PB, and VP modes.
- Column h: Weekday Other. Enter the number of vehicles / passenger cars in operation for nighttime service after the PM peak and before the AM peak. This is sometimes referred to as night and owl services.
  - Does not apply to TR, DR, DT, FB, JT, PB, and VP modes.

Line 07: Total Actual Train Miles

Applies to rail modes.

These are all the revenue and deadhead miles that the trains operated for an average weekday, average Saturday and average Sunday schedule.

- Column a: Average Weekday Schedule. Enter the total actual train miles for an average weekday schedule.
- Column b: Average Saturday Schedule. Enter the total actual train miles for an average Saturday schedule.

- Column c: Average Sunday Schedule. Enter the total actual train miles for an average Sunday schedule.
- Column d: Annual Total. Enter the annual total of train miles. Include service operated for one-time or limited events such as day of the game football shuttles, extra holiday shopper service, or a visit to the city by the President of the United States.

Line 08: Total Actual Train Hours

Applies to rail modes.

These are all the revenue and deadhead hours that the trains operated for an average weekday, average Saturday and average Sunday schedule.

- Column a: Average Weekday Schedule. Enter the total actual train hours for an average weekday schedule.
- Column b: Average Saturday Schedule. Enter the total actual train hours for an average Saturday schedule.
- Column c: Average Sunday Schedule. Enter the total actual train hours for an average Sunday schedule.
- Column d: Annual Total. Enter the annual total of train hours. Include service operated for one-time or limited events such as day of the game football shuttles, extra holiday shopper service, or a visit to the city by the President of the United States.

Line 09: Total Actual Train Revenue Miles

Applies to rail modes.

These are all the miles that the trains operated in revenue service for an average weekday, average Saturday and average Sunday schedule.

- Column a: Average Weekday Schedule. Enter the total actual train revenue miles for an average weekday schedule.
- Column b: Average Saturday Schedule. Enter the total actual train revenue miles for an average Saturday schedule.
- Column c: Average Sunday Schedule. Enter the total actual train revenue miles for an average Sunday schedule. Column d: Annual Total. Enter the annual total of train revenue miles. Include service operated for one-time or limited events such as day of the game football shuttles, extra holiday shopper service, or a visit to the city by the President of the United States.

Line 09a – Train Deadhead Miles

- Columns a – d: These are **non-editable auto-calc** fields.

Line 10: Total Actual Train Revenue Hours

Applies to rail modes.

These are all the hours that the trains operated in revenue service for an average weekday, average Saturday and average Sunday schedule.

- Column a: Average Weekday Schedule. Enter the total actual train revenue hours for an average weekday schedule.
- Column b: Average Saturday Schedule. Enter the total actual train revenue hours for an average Saturday schedule.
- Column c: Average Sunday Schedule. Enter the total actual train revenue hours for an average Sunday schedule.
- Column d: Annual Total. Enter the annual total of train revenue hours. Include service operated for one-time or limited events such as day of the game football shuttles, extra holiday shopper service, or a visit to the city by the President of the United States.

Line 11: Total Actual Vehicle / Passenger Car Miles

Non-rail modes use vehicles. Rail modes use passenger cars.

These are all the revenue and deadhead miles that the vehicle / passenger cars operated for an average weekday, average Saturday and average Sunday schedule.

Does not apply to DT mode.

- Column a: Average Weekday Schedule. Enter the total actual vehicle / passenger car miles for an average weekday schedule.
- Column b: Average Saturday Schedule. Rail modes use passenger cars. Enter the total actual vehicle / passenger car miles for an average Saturday schedule.

- Column c: Average Sunday Schedule. Rail modes use passenger cars. Enter the total actual vehicle / passenger car miles for an average Sunday schedule.
- Column d: Annual Total. Enter the annual total of vehicle / passenger car miles. Include service operated for one-time or limited events such as day of the game football shuttles, extra holiday shopper service, or a visit to the city by the President of the United States.
- DR, DT, VP, JT and PB as non-scheduled services do not have extra service.

Line 11a: Train Deadhead Hours

- Columns a – d: These are **non-editable auto-calc** fields.

Line 12: Total Actual Vehicle / Passenger Car Revenue Miles

Non-rail modes use vehicles. Rail modes use passenger cars.

These are all the miles that the vehicle / passenger cars operated in revenue service for an average weekday, average Saturday and average Sunday schedule.

- Column a: Average Weekday Schedule. Enter the total actual vehicle / passenger car revenue miles for an average weekday schedule.
  - Does not apply to DT mode.
- Column b: Average Saturday Schedule. Enter the total actual vehicle / passenger car revenue miles for an average Saturday schedule.
  - Does not apply to DT mode.
- Column c: Average Sunday Schedule. Enter the total actual vehicle / passenger car revenue miles for an average Sunday schedule.
  - Does not apply to DT mode.
- Column d: Annual Total. Enter the annual total of vehicle / passenger car revenue miles. Include service operated for one-time or limited events such as day of the game football shuttles, extra holiday shopper service, or a visit to the city by the President of the United States.
  - DR, DT, VP, JT, and PB as non-scheduled services do not have extra service.
- Column e: Average Weekday AM Peak. Enter the number of Passenger Car Revenue Miles for average weekday AM peak service.
  - Applies to heavy rail (HR), light rail (LR) and commuter rail (CR) only.
- Column f: Average Weekday Midday. Enter the number of Passenger Car Revenue Miles for average weekday midday service.
  - Applies to HR, LR, and CR only.
- Column g: Average Weekday PM Peak. Enter the number of Passenger Car Revenue Miles for average weekday PM peak service.
  - Applies to HR, LR, and CR only.
- Column h: Average Weekday Other. Enter the number of Passenger Car Revenue Miles for average weekday nighttime service after the PM peak and before the AM peak. This is sometimes referred to as night and owl services.
  - Applies to HR, LR, and CR only.

Line 12a: Deadhead Miles / Passenger Car Deadhead Miles

Does not apply to DT mode.

- Columns a – d: These are **non-editable auto-calc** fields.

Line 13: Total Scheduled Vehicle / Passenger Car Revenue Miles

Non-rail modes use vehicles. Rail modes use passenger cars.

These are all the miles that the vehicle / passenger cars were scheduled to operate in revenue service for an average weekday, average Saturday and average Sunday schedule.

- Column a: Average Weekday Schedule. Enter the total scheduled vehicle / passenger car revenue miles for an average weekday schedule.
  - Does not apply to DR, DT, JT, PB, and VP modes.

- Column b: Average Saturday Schedule. Does not apply to DR, JT, PB, and VP modes. Enter the total scheduled vehicle / passenger car revenue miles for an average Saturday schedule.
  - Does not apply to DR, DT, JT, PB, and VP modes.
- Column c: Average Sunday Schedule. Enter the total scheduled vehicle / passenger car revenue miles for an average Sunday schedule.
  - Does not apply to DR, DT, JT, PB, and VP modes.
- Column d: Annual Total. Enter the annual total of scheduled vehicle / passenger car revenue miles. Equal to the sum of average weekday schedule, Saturday and Sunday scheduled service multiplied by the respective days operated on line 21.
  - In the cell to the right, there is an auto calculation of annualized average daily data computed as the average weekday schedule, average Saturday schedule and average Sunday schedule data multiplied by the number of days operated for (line 21) weekdays (column a), Saturdays (column b) and Sundays (column c). This is the annual total to enter in column d.
  - Does not apply to DR, DT, JT, PB, and VP modes.

Line 14: Total Actual Vehicle / Passenger Car Hours

Does not apply to DT mode.

Non-rail modes use vehicles. Rail modes use passenger cars.

These are all the revenue and deadhead hours that the trains operated for an average weekday, average Saturday and average Sunday schedule.

- Column a: Average Weekday Schedule. Enter total actual vehicle / passenger car hours for an average weekday schedule.
- Column b: Average Saturday Schedule. Enter total actual vehicle / passenger car hours for an average Saturday schedule.
- Column c: Average Sunday Schedule. Enter total actual vehicle / passenger car hours for an average Sunday schedule.
- Column d: Annual Total. Enter the annual total of vehicle / passenger car hours. Include service operated for one-time or limited events such as day of the game football shuttles, extra holiday shopper service, or a visit to the city by the President of the United States.
  - DR, VP, JT, and PB as non-scheduled services do not have extra service.

Line 15: Total Actual Vehicle / Passenger Car Revenue Hours

Non-rail modes use vehicles.

These are all the hours that vehicle / passenger cars operated in revenue service for an average weekday, average Saturday and average Sunday schedule.

- Column a: Average Weekday Schedule. Enter the total actual vehicle / passenger car revenue hours for an average weekday schedule.
  - Does not apply to DT mode.
- Column b: Average Saturday Schedule. Enter the total actual vehicle / passenger car revenue hours for an average Saturday schedule.
  - Does not apply to DT mode.
- Column c: Average Sunday Schedule. Enter the total actual vehicle / passenger car revenue hours for an average Sunday schedule.
  - Does not apply to DT mode.
- Column d: Annual Total. Rail modes use passenger cars. Enter the annual total of actual vehicle / passenger car revenue hours. Include service operated for one-time or limited events such as day of the game football shuttles, extra holiday shopper service, or a visit to the city by the President of the United States.
  - DR, DT, VP, JT, and PB as non-scheduled services do not have extra service.

Line 15a: Deadhead Hours / Passenger Car Deadhead Hours

Does not apply to DT mode.

- Columns a – d: These are **non-editable auto-calc** fields.

Line 16, column d: Charter Service Hours Annual Total. Enter annual charter service hours only if the vehicle is used exclusively for service not available to the general public.

- Applies only to non-rail modes.
- Do not enter charter service hours as vehicle hours or vehicle revenue hours (VRH).

Line 17, column d: School Bus Hours Annual Total. Enter annual school bus hours only if the vehicle is used exclusively to carry school passengers to and from their schools.

- Applies only to non-rail modes.
- Do not include school tripper service. Do not enter school bus hours as vehicle hours or vehicle revenue hours (VRH) above.

Service Consumed

Line 18: Unlinked Passenger Trips (UPT)

Count passengers each time they board a vehicle.

This is not the same as tickets / tokens sold as each unlinked passenger trip (UPT) is counted even if there was a transfer fare paid.

- Column a: Average Weekday Schedule. Enter the total passenger boardings for an average weekday schedule.
  - Does not apply to DT mode.
- Column b: Average Saturday Schedule. Enter the total passenger boardings for an average Saturday schedule.
  - Does not apply to DT mode.
- Column c: Average Sunday Schedule. Enter the total passenger boardings for an average Sunday schedule.
  - Does not apply to DT mode.
- Column d: Annual Total. Enter the annual total of all UPT. Include service operated for one-time or limited events such as day of the game football shuttles, extra holiday shopper service, or a visit to the city by the President of the United States.
  - DR, DT, VP, JT, and PB as non-scheduled services do not have extra service.
- Column e: Weekday AM Peak. Enter the total UPT attributable to service on an average weekday schedule AM Peak.
  - Applies to HR, LR and CR only.
- Column f: Weekday Midday. Enter the total UPT attributable to service on an average weekday schedule Midday.
  - Applies to HR, LR and CR only.
- Column g: Weekday PM Peak. Enter the total UPT attributable to service on an average weekday schedule PM Peak.
  - Applies to HR, LR and CR only.
- Column h: Weekday Other. Enter the total UPT attributable to service for nighttime service after the PM Peak service and before the AM Peak service. This is sometimes referred to as night and owl services.
  - Applies to HR, LR and CR only.

Line 19, column d: Annual Total: Americans with Disabilities Act of 1990 (ADA) UPT Annual Total. Enter the number of UPT for complementary paratransit trips under the Americans with Disabilities Act of 1990 (ADA) requirements.

- Applies to DR and DT modes only.

Line 19a, column d: Annual Total: Sponsored Service Unlinked Passenger Trips (UPT) Annual Total. Enter the number of UPT for sponsored trips. These trips are paid in whole or part by a third party who, in many cases, handled all or part of the trip arrangements.

- Applies to DR and DT modes only.

Line 20: Passenger Miles Traveled (PMT)

Derive passenger miles traveled from sampling, 100 percent counts or estimate for intermediate years (non-mandatory sampling year).

- Column a: Average Weekday Schedule. Enter the total passenger miles traveled (PMT) attributable to service on an average weekday schedule.
  - Does not apply to DT mode.
- Column b: Average Saturday Schedule. Enter the total PMT attributable to service on an average Saturday.

  - Does not apply to DT mode.
- Column c: Average Sunday Schedule. Enter the total PMT attributable to service on an Average Sunday.
  - Does not apply to DT mode.
- Column d: Annual Total. Enter the annual total number of PMT. Include service operated for one-time or limited events such as day of the game football shuttles, extra holiday shopper service, or a visit to the city by the President of the United States.
  - DR, DT, VP, JT and PB as non-scheduled services do not have extra service.

Service Operated (Days)

Line 21: Days Operated

- Column a: Weekday Schedule. Enter the annual number of weekdays that service was operated for your transit agency (only service included in your report).
  - Does not apply to DT mode.
- Column b: Saturday Schedule. Enter the annual number of Saturdays that service operated for your transit agency (only service included in your report).
  - Does not apply to DT mode.
- Column c: Sunday Schedule. Enter the annual number of Sundays that service was operated for your transit agency (only service included in your report).
  - Does not apply to DT mode.
- Column d: Annual Total. This is an **auto-calculated** field and cannot be edited, review for accuracy. Equal to the sum of days operated on weekday, Saturday, and Sunday schedules.
  - For DT mode, enter the days operated. Throughout the year.

Line 22: Days Not Operated Due to Strikes

- Column a: Weekday Schedule. Enter the annual number of weekdays that service was not operated due to strikes.
- Column b: Saturday Schedule. Enter the annual number of Saturdays that service was not operated due to strikes.
- Column c: Sunday Schedule. Enter the annual number of Sundays that service was not operated due to strikes.
- Column d: Annual Total. This is an **auto-calculated** field and cannot be edited, review for accuracy. Equal to the sum of days not operated due to strikes on weekday, Saturday, and Sunday schedules.
  - Describe the Days Not Operated Due to Strikes in the – Other description field.
  - For DT mode, enter the days not operated due to strikes throughout the year.

Line 23: Days Not Operated Due to Officially Declared Emergencies

A person in authority (usually the mayor, county head or governor) must officially declare an emergency.

- Column a: Weekday Schedule. Enter the annual number of weekdays that service was not operated due to officially declared emergencies.
  - Does not apply to DT mode.
- Column b: Saturday Schedule. Enter the annual number of Saturdays that service was not operated due to officially declared emergencies.
  - Does not apply to DT mode.
- Column c: Sunday Schedule. Enter the annual number of Sundays that service was not operated due to officially declared emergencies.
  - Does not apply to DT mode.
- Column d: Annual Total. This is an **auto-calculated** field and cannot be edited, review for accuracy. Use the Add Form Note link at the top of the form to enter your note on the notes screen. Equal to the sum of not operated due to officially declared emergencies on weekday, Saturday, and Sunday schedules.
  - Describe the Days Not Operated Due to Officially Declared Emergencies in the – Other description field.
  - For DT mode, enter the days not operated due to strikes throughout the year.

Directional Route Miles

Line 24, column a: Exclusive Right-of-Way (ROW). This is a **non-editable** field: The number of route miles, to the nearest 10th of a mile, on roadway or other transit right-of-way (ROW) reserved at all times of the day, over which transit vehicles travel in each direction while in revenue service. Directional route miles (DRM) are measured on the last day of the fiscal year.

- Applicable only to MB and TB modes
- Data transfer automatically from the S-20 form.

Line 25, column a: Controlled Access ROW. This is a **non-editable** field: The number of route miles, to the nearest 10th of a mile, on roadway or other transit right-of-way reserved for a portion of the day, over which transit vehicles travel in each direction while in revenue service. DRM are measured on the last day of the fiscal year.

- Applicable only to CB, MB, RB and TB modes
- Data transfer automatically from the S-20 form.

Line 26, column a: Mixed Traffic ROW. Enter the number of route miles to the nearest 10th of a mile, on roadway not reserved during any part of a day (transit vehicles travel with other vehicular traffic in same ROW), over which transit vehicles travel in each direction while in revenue service. DRM are measured on the last day of the fiscal year.

- Applicable only to CB, MB, RB and TB modes.
- Data transfer automatically from the S-20 form for TB mode.
- For CB, MB and RB mode, enter the mixed traffic ROW DRM.

Line 27, column a: Total. This is a **non-editable - auto-calculated** field. The total DRM for rail, FB and TR modes. Note that these modes are considered exclusive right-of-way (ROW). The total DRM over exclusive, controlled access and mixed traffic right-of-way for CB, MB, RB and TB modes.

- Data transfer automatically from the S-20 form for rail, FB and TR modes.

Fixed Guideway Segments form (S-20)

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Form Name: Fixed Guideway Segments (S-20) **Mode:** MB **Service:** PT — Close Form

Line No.	a Segment Code	Status	b UZA	c Segment Name	d Begins at	e Ends at	f Length (to .01)	g One/Two Way	h Segment Type	i Peak LOS	j Safe Oper.	k Hrs. Proh	l Enf. Proh	m Original Date of Revenue Service Date (MM/DD/YYYY)	n Agency Revenue Service Start Date (MM/DD/YYYY)	o Out of Revenue Service Date (MM/DD/YYYY)	p Months Operated	q Type of Service Claimed	r NTD Agency Claiming Segment
1	71926	XST LD N																	

Lines 1 - 1 of 1

Directional Route Miles

All LOS	Non-UZA	UZA 7	UZA 34	UZA 74	UZA 234	Total
01 Total controlled access right-of-way (ROW) @FYE						
02 Average controlled access right-of-way (ROW)						
03 Total exclusive right-of-way (ROW) @FYE						
04 Average exclusive right-of-way (ROW)						
05 Total controlled and exclusive right-of-way (ROW) @FYE						
06 Average controlled and exclusive right-of-way (ROW)						
LOS D,E,F						
07 Total controlled access right-of-way (ROW) @FYE						
08 Average controlled access right-of-way (ROW)						
09 Total exclusive right-of-way (ROW) @FYE						
10 Average exclusive right-of-way (ROW)						
11 Total controlled and exclusive right-of-way (ROW) @FYE						
12 Average controlled and exclusive right-of-way (ROW)						
13 Total average controlled and exclusive right-of-way (ROW) for funding						
LOS D,E,F for segments >7 year @ Federal FYE						
14 Total controlled access right-of-way (ROW)						
15 Total exclusive right-of-way (ROW)						
16 Total controlled and exclusive right-of-way (ROW)						
17 Total controlled and exclusive right-of-way (ROW) for funding						

Legend

S.No.	Status Code	Status Description	How to interpret
1	XST	Existing	Segment brought forward from last year
2	NEW	New	New segment, never existed in the system
3	SPT	Split	Segment split from other segment
4	AD	Added	Segment added by agency or NTD
5	LD	Loaded	Segment loaded by the system
6	Y	Modified	Segment modified atleast once by the NTD user
7	N	Never Modified	Segment never updated by the NTD user

Close | Print

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Form Name: Fixed Guideway Segments (S-20) **Mode:** MB **Service:** DO Close Form

a	b	c	d	e	f	g	h	i	j	k	l	m	n	o	p	q	r
Line No.	Segment Code	Status	UZA	Segment Name	Begins at	Ends at	Length (to .01)	One/Two Way	*Segment Type*	*Peak LOS*	Safe Oper.	Hrs. Proh	Enf. Proh	Original Date of Revenue Service Date (MM/DD/YYYY)	Agency Revenue Service Start Date (MM/DD/YYYY)	Out of Revenue Service Date (MM/DD/YYYY)	Months Operated	Type of Service Claimed	NTD Agency Claiming Segment
1	71852	XST LD N																	

Directional Route Miles

All LOS	Non-UZA	UZA 14	Total
01 Total controlled access right-of-way (ROW) @FYE			
02 Average controlled access right-of-way (ROW)			
03 Total exclusive right-of-way (ROW) @FYE			
04 Average exclusive right-of-way (ROW)			
05 Total controlled and exclusive right-of-way (ROW) @FYE			
06 Average controlled and exclusive right-of-way (ROW)			
LOS D,E,F			
07 Total controlled access right-of-way (ROW) @FYE			
08 Average controlled access right-of-way (ROW)			
09 Total exclusive right-of-way (ROW) @FYE			
10 Average exclusive right-of-way (ROW)			
11 Total controlled and exclusive right-of-way (ROW) @FYE			
12 Average controlled and exclusive right-of-way (ROW)			
13 Total average controlled and exclusive right-of-way (ROW) for funding			
LOS D,E,F for segments >7 year @ Federal FYE			
14 Total controlled access right-of-way (ROW)			
15 Total exclusive right-of-way (ROW)			
16 Total controlled and exclusive right-of-way (ROW)			
17 Total controlled and exclusive right-of-way (ROW) for funding			

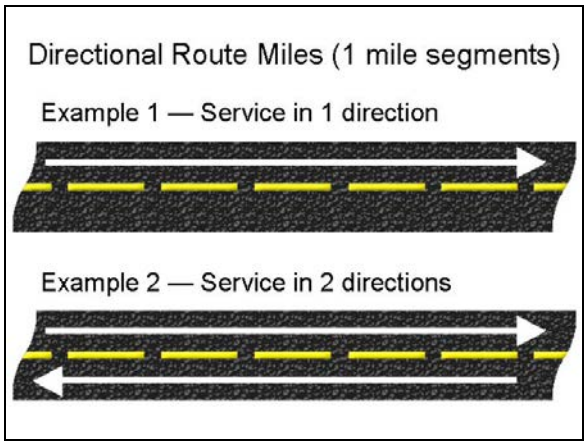
Legend

S.No.	Status Code	Status Description	How to interpret
1	XST	Existing	Segment brought forward from last year
2	NEW	New	New segment, never existed in the system
3	SPT	Split	Segment split from other segment
4	AD	Added	Segment added by agency or NTD
5	LD	Loaded	Segment loaded by the system
6	Y	Modified	Segment modified atleast once by the NTD user
7	N	Never Modified	Segment never updated by the NTD user

Close Print

Overview

The Fixed Guideway Segments form (S-20) form provides an inventory of fixed guideway (FG) facilities for their location, age, operating and physical characteristics. The form summarizes DRM for service operated over segments of the FG facility. Once established, these segments typically remain unchanged in subsequent reports, but each year you should review the entered data primarily for name changes and service characteristics.



Reporting Requirements and Thresholds

All transit agencies operating over FG must complete this form. Data are reported by mode and type of service (TOS) for each mode operating over FG.

What Has Changed from Prior Year

There are no changes for the 2011 report year.

Approach

The S-20 form is used to identify each segment of transit operations over FG, including high occupancy vehicle (HOV) facilities.

There are three S-20 forms tailored for:

1. Bus (MB), Commuter Bus (CB) and Bus Rapid Transit (RB)
2. Trolleybus (TB)
3. Rail, ferryboat (FB) and aerial tramway (TR).

Internet reporting summarizes directional route miles (DRM) on the S-20 form and automatically transfers relevant data to the S-10 form and Federal Funding Allocation Statistics form (FFA-10).

The reporting of FG segments requires an understanding of:

- Guideway classification
- DRM
- Multiple users and modes
- Modifying, adding and deleting FG segments
- High Occupancy /Toll (HO/T) Lanes.

Guideway Classification

You report FG for all rail modes and selected non-rail modes. The modes vary by the amount of FG you report:

- All rail modes operate exclusively on FG.
- Aerial tramway (TR) operates exclusively on FG
- The entire ROW used by TB and FB is defined by federal statute as FG for funding eligibility.
- The CB and MB modes operates on FG only if it operates over exclusive or controlled access ROW.
- Bus Rapid Transit (RB) will always operate on some FG.
- The remaining non-rail modes always operate on non-fixed-guideway (NFG).

Directional Route Miles (DRM)

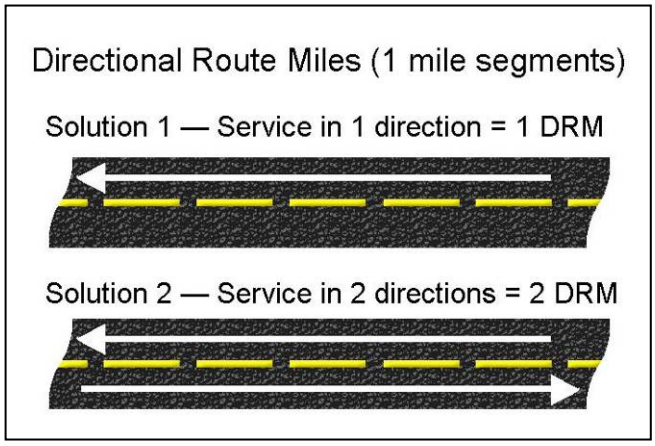
DRM are a measure of the service provided by a transit agency. DRM do not include staging or storage areas at the beginning or end of a route. You should measure DRM using the routes normally followed. You should not count mileage for temporary deviations (e.g., detours).

Internet reporting automatically calculates the fixed guideway directional route miles (FG DRM) using the data reported for each FG segment. FG DRM are transferred automatically to the S-10 form and the Federal Funding Allocation Statistics form (FFA-10).

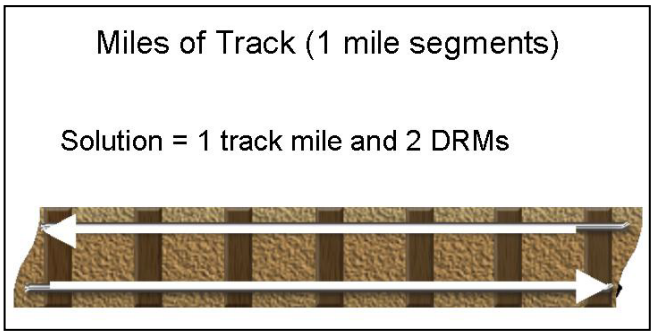
Examples 1 and 2 illustrate reporting of DRM for MB mode for different operations. The graphic illustrates the difference between service operated in one direction only and service operated in both directions.

Solution 1: Two MB routes operate in only one direction over a one-mile segment of Main Street. In this case, there is one DRM.

Solution 2: Two MB routes operate in both directions over the one-mile segment of Main Street. In this case, there are two DRM.



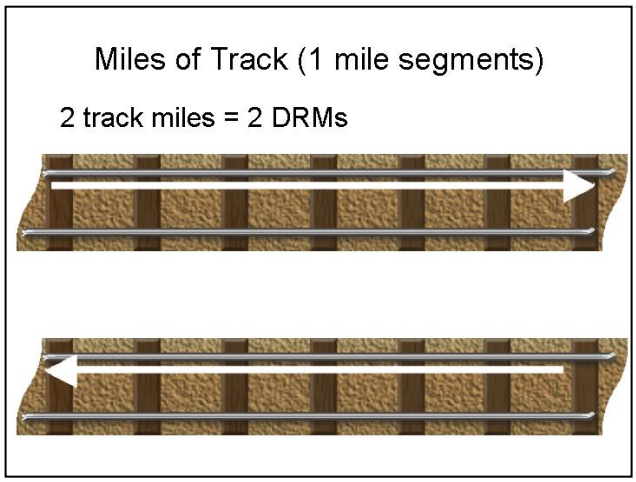
The graphic below illustrates reporting of DRM for different rail operations.



Trains operate in both directions over a one-mile segment of track. In this case, one mile of track equals two DRM.

In the second graphic, trains operate in only one direction over two parallel tracks.

In this case, a one-mile segment equals two DRM.



Average Monthly Directional Route Miles

If there were FG segments added (service start-ups) or removed (discontinued service) from revenue service during the report year, Internet reporting calculates the average monthly FG DRM over which your transit agency operated service. Average monthly DRM are transferred automatically to the FFA-10 form.

Reporting Segments for Multiple Users and Modes

You must report all segments on which your transit agency operated a mode either directly (DO) or through a purchased transportation (PT) agreement. It is possible that your transit agency operated different modes or TOS on the same segment. In these situations, you should follow these rules:

- Report all segments for each mode, even if your transit agency operated more than one mode over some or all of the same segments.
- If DO and PT of the same mode operate on a segment, report the segment on both the DO and PT forms.

  Note that this form is an inventory of fixed guideway operation by mode and type of service. You should refer to the Type of Service Claimed section of the detailed instructions for information on funding for shared segments.

- If multiple sellers of service of the same mode in your report operate on common segments, report the segments only once on the S-20 form for PT.
- If multiple transit agencies operate on a segment, report the segment on the fixed guideway form for each agency. Refer to the NTD Agency Claiming Segment section of the detailed instructions for information on funding for segments used by multiple transit agencies.

Modifying, Adding and Deleting FG segments

With limited exceptions, you cannot modify or add segments without FTA approval. You must submit a request for approval using the **New Fixed Guideway Segment Request** selection under the **Add Correspondence** button of the **e-File** tab.

The process for deleting segments is similar. If a segment has been reported in error, you must contact NTD staff for FTA approval to delete segments. However, no FTA approval is required if you stopped operating service on a segment in which case you enter the out-of-revenue service date on the form.

You can find more detailed information on modifying, adding and deleting FG segments at the end of the detailed instructions.

High Occupancy / Toll (HO/T) Lanes

Use and Operation of HOV Facilities by HO/T Vehicles

HO/T toll lanes allow single occupancy vehicles (SOVs) to use high occupancy vehicle (HOV) facilities by paying a toll. These are vehicles that are not otherwise exempt to use the HOV facility (e.g., energy efficient vehicles) if the vehicle pays a toll. If a transit agency has stricter requirements for HOV facilities than the prohibition of SOVs, then those requirements apply to the HO/T lane.

A State agency with jurisdiction over the operation of a HOV facility must establish occupancy requirements for HOV lanes and for any exemptions. The State agency that chooses to allow exceptions to HOV requirements must certify to the US Secretary of Transportation that they have established a program to monitor, assess, and report on the operation of the facility and the impact of high occupancy / toll vehicles and other low emission and energy efficient vehicles. An adequate enforcement program is also required, and provision made for limiting or discontinuing the exemptions if the facility becomes seriously degraded.

Minimum Speed Requirements on New HOV and HO/T lanes – Applies to Bus Only

SAFETEA-LU added provisions to the requirements for new HOV lanes and HO/T lanes (23 U.S.C Section 166). These new provisions included the requirements that the State continuously monitor the performance of HOV and HO/T lanes, including average speed. For example, the State would establish a minimum average speed floor (usually around 45 miles per hour). As noted in FTA's Final Rule (Federal Register, vol. 72, No. 7, Jan. 11, 2007, p. 1366), if average speeds were lower than the State standard, this could constitute "degradation" of HOV or HOT facility performance requirements, making them ineligible for funding.

For transit, to be eligible for funding, HOV and HO/T fixed-guideway service was always intended to function like rail fixed-guideway service, with "free flow" (23 U.S.C 166(d)) and a clear right of way. It is the view of Congress and FTA that vehicles on HOV and HO/T lanes, including transit buses and carpools, must be moving for the fixed-guideway segment to be effective "in reducing congestion and improving mobility," and to be a worthwhile investment for public transit. Specifically, a minimum performance speed on HOV/HO/T lanes provides the required "service advantage" for transit buses relative to regular traffic in the corridor. If new HOV lanes or HO/T lanes do not comply with these new SAFETEA-LU requirements, and there is an unacceptable "degradation" in average speed, they will not be eligible as fixed-guideway segments in the urban formula apportionment or for fixed-guideway modernization funding.

These provisions and clarifications also require that for excess toll revenues, priority consideration is to be given to projects for developing alternatives to single occupancy vehicle travel and for improving highway safety.

If you are reporting HO/T lanes, you must provide a copy of the State's certification to the US Secretary of Transportation.

Detailed Instructions

The following detailed instructions are presented as follows:

- Required data fields
- Directional route miles summary
- Modifying, adding, or deleting fixed guideway segments.

Required Data Fields

This section provides detailed instructions of data items you must report for the three FG segment forms:

1. CB, MB and RB
2. TB
3. Rail, FB and TR.

Internet reporting pre-fills the S-20 form with data from the prior year NTD submission. You may edit these data, add new segment, or delete existing segments, but only after receiving FTA approval. You can find more detailed information on modifying, adding and deleting FG segments at the end of the detailed instructions.

Segment Code – Applies to all Modes

This is a preset code created for NTD to assist in ongoing identification of FG segments. You may not edit these codes.

Urbanized Area – Applies to all Modes

The UZA number is pre-filled with data from the prior year NTD submission.

When adding a new segment, you should select the UZA where the segment is geographically located from the **UZA** drop-down menu. The **UZA** drop-down menu incorporates all UZAs and other than urbanized areas (non-UZAs) identified on the Identification form (B-10).

Segment Name – Applies to all Modes

The segment name is pre-filled with data from the previous NTD report year submission. You cannot edit the name.

When adding a new segment, you should report the name of the segment. You should provide enough detail to identify the segment and its location. You should use route or line name, or the roadways where the facilities are located, to identify segments. Typically, this is a street name (e.g., Main Street) or highway number (e.g., I – 5) for MB and TB modes.

Begins At – Applies to all Modes

The location where the segment begins is pre-filled with data from the previous NTD report year submission. You cannot edit this field.

When adding a new segment, you should report the point at which the segment begins in sufficient detail that it can be uniquely identified.

You should use readily identifiable locations to describe segment endpoints. You should not use abbreviations in these endpoint descriptions because they need to be easily identifiable on maps, timetables and other materials during the validation process. Typically, an endpoint is an intersecting street or milepost marker for bus CB, MB, RB and TB modes.

Ends At – Applies to all Modes

The location where the segment ends is pre-filled with data from the previous NTD report year submission. You cannot edit this field.

When adding a new segment, you should report the point at which the segment ends in sufficient detail that it can be uniquely identified.

You should use readily identifiable locations to describe segment endpoints. You should not use abbreviations in these endpoint descriptions because they need to be easily identifiable on maps, timetables and other materials during the validation process. Typically, an endpoint is an intersecting street or milepost marker for CB, MB, RB and TB modes.

Length – Applies to all Modes

The length of the segment is pre-filled with data from the previous NTD report year submission. You cannot edit this field.

When adding a new segment, you should report the length of the segment to the nearest hundredth of a mile. Reporting the segment length to the nearest hundredth of a mile provides the accuracy of the directional route miles to the nearest tenth for the Federal funding allocations. Any segment for CB and MB modes that is less than .25 miles will not be considered as FG unless it is running on a bridge, in a tunnel or connect with a transit terminal. In general, you must justify the highway ramps, meter bypasses, and special turning facilities less than .25 miles and obtain approved by FTA before it will be included as a FG segment.

One-Way / Two-Way – Applies to all Modes

A segment is one-way if travel always occurs in the same direction regardless of the time of day. A segment is two-way if travel occurs in both directions during the same period of time, or if travel is inbound during the AM peak and outbound during the PM peak.

The number of directions in which vehicles may travel on the segment is pre-filled with data from the previous NTD report year submission.

When adding a new segment or modifying data for an existing segment; you must select the number of directions in which vehicles may travel (one-way or two-way) on the segment from the **One-Way / Two-Way** drop-down menu.

One-Way / Two-Way menu selections:

1. One-way
2. Two-way

Segment Type – Applies to Bus Only

The segment type refers to the physical construction of the segment and whether it is used as a HO/T lane. The segment type is pre-filled with data from the previous NTD report year submission. You cannot edit this field.

When adding a new segment, you must select the segment type from the **Segment Type** drop-down menu.

Segment Type menu selections:

A. Priority lane on a multilane highway
B. Exclusive lane parallel to a multilane highway, physically separated from general traffic lanes
C. Stand-alone high occupancy roadway, no lanes open to general traffic
D. Exclusive access / egress lane to or from these lanes to a terminal facility
E. Priority lane on a multilane highway used as a HO/T lane
F. Exclusive lane parallel to multilane highway, physically separated from general traffic lanes used as a HO/T lane
G. Stand-alone high occupancy roadway, used as a HO/T lane
H. Exclusive access / egress lane to or from these lanes to a terminal facility used as a HO/T lane

A. Priority lane on a multilane highway

B. Exclusive lane parallel to a multilane highway, physically separated from general traffic lanes

C. Stand-alone high occupancy roadway, no lanes open to general traffic

Peak Level of Service – Applies to Bus Only

Peak LOS is based on traffic conditions as defined in the Highway Capacity Manual. LOS is a measure of the ease with which traffic moves on a roadway. There are six levels ranging from free flow conditions (A) to gridlock (F).

You must report the LOS for the lanes next to the CB, MB, RB FG segment or in the travel corridor. Specifically, you must report the peak period LOS for:

- General traffic lanes for priority lanes on a multilane highway, or
- General traffic lanes for exclusive lanes parallel to a multilane highway, but physically separated from the general traffic lanes, or
- Corridor served by a stand-alone high occupancy roadway of which no lane is open to general traffic.

Peak LOS is pre-filled with data from the previous NTD report year submission. You cannot edit this field.

When adding a new segment, you should select the peak period LOS ranging from A (best) to F (worst) traffic conditions from the **Peak Level of Service** drop-down menu. You should note that segments with peak level of service A, B or C are not eligible for FTA Federal formula allocations for funding because these segments are not defined as serving congested travel corridors.

Peak Level of Service menu selections:

A. Indicates a relatively free flow of traffic, with little or no limitation on vehicle movement or speed.

B. Describes a steady flow of traffic, with only slight delays in vehicle movement and speed. All queues clear in a single traffic signal cycle.

C. Denotes a reasonably steady, high volume flow of traffic, with some limitations on movement and speed, and occasional backups on critical approaches.

D. Designates the level where traffic nears an unstable flow. Intersections still function, but short queues develop and cars may have to wait through one cycle during short peaks.

E. Represents traffic characterized by slow movement and frequent (although momentary) stoppages. This type of congestion is considered severe, but is not uncommon at peak traffic hours, with frequent stopping, long-standing queues, and blocked intersections.

F. Describes unsatisfactory stop-and-go traffic characterized by traffic jams and stoppages of long duration. Vehicles at signalized intersections usually have to wait through one or more signal changes, and upstream intersections may be blocked by the long queues.

Safe Operation – Applies to Bus Only

The safe operation requirements apply to priority lanes (e.g., on freeways / expressways / high-speed facilities) used by CB, MB, RB mode and other HOV; (i.e., vanpools (VP) and carpools), to ensure safe travel. For these lanes, there must be some indication of separation to ensure safe access between free flowing HOV lanes and the congested, unrestricted lanes.

You can find information on signage in the *Manual on Uniform Traffic Control Devices, Millennium Edition*, December 2001, Section 3B.23, and Preferential Lane Longitudinal Markings.

Separation can be accomplished at least two ways:

1. Physical barriers such as cones, concrete dividers, medians
2. Pavement markings such as a double solid wide line, a single solid wide line, a single broken wide line, or a diagonally striped area between lanes.

The graphics below illustrate safe operation for CB and MB FG utilizing double solid line lane striping, traffic pylons, fencing and a concrete barrier.

Safe Operation — High occupancy vehicles (HOV) lanes separated from general traffic lanes by double solid lines.

Safe Operation — High occupancy vehicles (HOV) lanes separated from general traffic lanes by pylons.

Safe Operation — High occupancy vehicles (HOV) lanes separated by fencing.

Safe Operation — High occupancy vehicles (HOV) lanes separated from general traffic lanes by concrete barrier.

You cannot meet the safe operation requirement solely by using roadside or overhead signs, or with only a diamond symbol in the lane. to indicate high occupancy vehicle (HOV) lanes

If a freeway facility does not meet the safe operation requirements, it is not fixed guideway (NFG) for NTD reporting and you should not report the segment.

Lanes restricted to CB, MB, RB mode qualify as safely operated.

Safe operation is pre-filled with data from the previous NTD report year submission. You cannot edit this field.

When adding a new segment you must select whether or not safe operation requirements are met from the **Safe Operation** drop-down menu. For all other segments (non-freeways), select yes.

Safe Operation menu selections:

1. Yes, if high occupancy vehicle (HOV) lanes on freeways meet the safe operation requirements.
2. No, if high occupancy vehicle (HOV) lanes on freeways do not meet the safe operation requirements.

Hours Prohibited – Applies to Bus and Trolleybus

The number of hours per week during which SOVs are legally prohibited from using any portion of the segment is pre-filled with data from the previous NTD report year submission. You cannot edit this field.

If the prohibition is for all hours of the week, then the segment is exclusive right-of-way (ROW).

If the prohibition is for only some hours of the week, then the segment is controlled access right-of-way (ROW).

When adding a new segment, you must report the number of hours per week during which SOVs are legally prohibited from using any portion of the segment. If your transit agency has stricter requirements for HOV facilities than the prohibition of

SOVs, such as three or more persons per vehicle, then those requirements must also apply to the HO/T lane, i.e., one and two-person vehicles would pay tolls.

Enforced / Prohibited – Applies to Bus Only

The number of hours per week during which officers of the law enforce the prohibition is pre-filled with data from the previous NTD report year submission. You cannot edit this field. There must be a level of enforcement sufficient to ensure that 95 percent of the vehicles using the FG segment are eligible to use it.

When adding a new segment, you must report the number of hours per week during which officers of the law enforce the prohibition throughout the segment.

Original Date of Revenue Service – Applies to all Modes

For existing segments, the original date of revenue service is pre-filled with data from the previous NTD report year submission. You cannot edit this field.

For new segments, this is the opening date of revenue service on this segment by any transit agency, even though your transit agency may not have been the original operator. If you are the first transit agency to operate on a new segment, the original date of revenue service will be the same as your agency revenue service start date.

Agency Revenue Service Start Date – Applies to all Modes

The agency revenue service start date is the date that your transit agency begins operating revenue service on a new or preexisting segment. Internet reporting automatically determines and enters the number of months operated (Also see Months Operated below). You cannot edit this field for preexisting segments.

Out of Revenue Service Date – Applies to all Modes

If your transit agency stopped operating transit service on the segment during the year, you should report the last date of revenue service. Other reporters may continue to operate on this segment.

If a segment is temporarily out of service for rehabilitation or reconstruction for less than 12 months, you should not enter an Out of Revenue Service date. If a segment is out of service for rehabilitation or reconstruction for more than 12 months, or for some other temporary stoppage of service, you should contact your NTD analyst. FTA will make a determination on how this DRMs should be reported.

Internet reporting automatically determines and enters the number of months operated (Also see Months Operated below).

Months Operated – Applies to all Modes

The number of months of operation for pre-filled segments defaults to 12. For new segments or segments taken out of revenue service, Internet reporting automatically determines and enters the number of months operated using the agency revenue service start date and out of revenue service date.

Internet reporting will round the number of months of operation to a whole number, reporting a full month for revenue service that begins between the first and 14th of the month; revenue service that begins from the 15th through the end of the month is not counted. If revenue service began in the last two weeks of your transit agency's fiscal year, Internet reporting will indicate 0 months.

Type of Service Claimed – Applies to all Modes

This field applies only to transit agencies which operate both DO and PT for the same mode. If DO and PT service for the same mode operate on the same segment, you should report the segment on both the DO and PT forms. However, you can only claim the segment once for funding purposes. When adding a new segment, you should use the **Type of Service Claimed** drop-down menu to select DO or PT to indicate the TOS for which the segment is claimed on the FFA-10 form.

Type of Service Claimed menu selection:

1. Directly Operated (DO)
2. Purchased Transportation (PT)

NTD Agency Claiming Segment – Applies to all Modes

The NTD Agency Claiming Segment is pre-filled with data from the previous NTD report year submission. You cannot edit this field.

When adding a new segment, from the **NTD Agency Claiming Segment** drop-down menu, you should select the NTD transit agency identification number for the transit agency claiming the segment for funding purposes on the FFA-10 form. Only one transit agency can claim the segment. However, all transit agencies must report the segments over which they operated transit services during the report year.

The **Drop-Down** menu will be pre-filled with all of the NTD reporting agencies located within the UZAs and other than urbanized areas reported on the Identification form (B-10).

Modify / Delete Segment Data – Applies to all Modes

Internet reporting pre-fills the S-20 form with data from the prior year NTD submission. Some pre-filled data fields are not editable.

You may modify selected data for a segment. You cannot delete pre-existing segments from prior report years. Transit agencies can only delete segments during the Working Data stage that they incorrectly added for the current report year.

If your transit agency no longer operated service on a segment that your transit agency reported in the prior report year, you should enter the date that transit service was terminated for this mode and TOS under Out of Revenue Service Date. If service ended in the prior report year, you should enter that date. If service was last operated on the last day of the prior report year, you should enter the date for the first day of the current report year.

Directional Route Miles Summaries

These three summaries are tailored for:

1. Commuter Bus (CB), Bus (MB) and Bus Rapid Transit (RB)
2. Trolleybus (TB)
3. Rail, ferryboat (FB) and aerial tramway (TR).

Bus

Internet reporting automatically calculates the number of DRM by UZA, non-UZA and total for all approved segments, as follows:

All levels of service:

- Total controlled access right-of-way (ROW) @ fiscal year end (FYE)
- Average controlled access ROW
- Total exclusive right-of-way (ROW) @ FYE
- Average exclusive ROW
- Total controlled and exclusive ROW @ FYE
- Average controlled and exclusive ROW.

Levels of service (LOS) D, E, and F:

- Total controlled access ROW @ FYE
- Average controlled access right-of-way @ (ROW)
- Total exclusive ROW @ FYE
- Average exclusive ROW
- Total controlled and exclusive ROW @ FYE
- Average controlled and exclusive ROW
- Total average controlled and exclusive ROW for funding.

Levels of service (LOS) D, E, F for segments ≥ seven years @ Federal fiscal year end (FFYE):

- Total controlled access ROW
- Total exclusive ROW
- Total controlled and exclusive ROW
- Total controlled and exclusive ROW for funding.

All segments ≥ seven years @ FFYE are highlighted in a separate color.

Internet reporting automatically transfers the data to the Service form (S-10):

- Total controlled access ROW @ FYE is transferred to line 25
- Total exclusive ROW @ FYE is transferred to line 24.

Internet reporting automatically transfers the data to the Federal Funding Allocation Statistics form (FFA-10):

- Total average controlled and exclusive ROW for funding is transferred to line 08
- Total controlled and exclusive ROW for funding for segments ≥ seven years @ FFYE for levels of service (LOS) D, E, and F is transferred to line 16.

Trolleybus

Internet reporting automatically calculates the number of directional route miles (DRM) by UZA, non-UZA and total for all approved segments, as follows:

All segments:

- Total mixed traffic right-of-way (ROW) @ fiscal year end (FYE)
- Average controlled ROW
- Total exclusive ROW @ FYE
- Average exclusive ROW

- Total mixed traffic ROW @ FYE
- Average mixed traffic ROW
- Average controlled, exclusive, and mixed traffic ROW
- Average controlled, exclusive, and mixed traffic ROW for funding
- Total controlled, exclusive, and mixed traffic ROW @ FYE.

Segments ≥ seven years @ Federal fiscal year end (FFYE):

- Total controlled access ROW
- Total exclusive ROW
- Total mixed traffic ROW
- Total controlled, exclusive, and mixed traffic ROW
- Total controlled, exclusive, and mixed traffic ROW for funding.

All segments ≥ seven years @ Federal fiscal year end (FFYE) are highlighted in a separate color.

Internet reporting automatically transfers the data to the Service form (S-10):

- Total controlled access ROW @ FYE is transferred to line 25
- Total exclusive ROW @ FYE is transferred to line 24
- Total mixed traffic ROW @ FYE is transferred to line 26.

Internet reporting automatically transfers the data to the FFA-10 form:

- Average controlled, exclusive, and mixed traffic ROW for funding is transferred to line 06
- Total controlled, exclusive, and mixed traffic ROW for segments ≥ seven years @ FFYE for funding is transferred to line 14.

Rail, Ferryboat and Aerial Tramway

Internet reporting automatically calculates the number of directional route miles (DRM) by urbanized area (UZA), other than urbanized area (non-UZA) and total for all approved segments, as follows:

All Segments:

- Total for all segments @ fiscal year end (FYE)
- Average monthly for all segments
- Average monthly for all segments for funding.

All segments ≥ seven years @ Federal fiscal year end (FFYE):

- Total for all segments ≥ seven years
- Total for all segments ≥ seven years for funding.

All segments ≥ seven years @ FFYE are highlighted in a separate color.

Internet reporting automatically transfers the data to the Service form (S-10):

- Total for all segments @ fiscal year end (FYE) is transferred to line 27.

Internet reporting automatically transfers the data to the Federal Funding Allocation Statistics form (FFA-10):

- Average for all segments for funding is transferred to line 08
- Total for all segments ≥ seven years @ Federal fiscal year end (FFYE) for funding is transferred to line 16.

Modifying, Adding and Deleting FG segments

With limited exceptions, you cannot modify or add segments without FTA approval. You must submit a request for approval using the **New Fixed Guideway Segment Request** selection under the **Add Correspondence** button of the **e-File** tab. The process for deleting segments is similar. This section outlines the process for making changes and for obtaining FTA approval.

Modify Existing Segment Data

Internet reporting pre-fills the S-20 form with data from the prior year NTD submission. Transit agencies can modify data for existing FG segments. You should not remove a segment from revenue service and create a new segment in order to update a data field.

You can edit the following data fields for existing segments without prior NTD approval:

- One-way / Two-way — this is a service characteristic of how transit services operate over the segment, either one-way or two-way operations. This generally does not change.
- Out of Revenue Service Date – this is the date that your transit agency stopped operating transit service on the segment. This field should only be completed if the service is discontinued. Do not include temporary reconstructions. Add a Form Note describing any temporary segment closures.

Without FTA approval, you cannot change the following data fields for existing segments:

- Urbanized area (UZA) — UZAs are based on the 2000 U.S. census. Boundaries should not change unless the U.S. Bureau of the Census changes them. Therefore, segments should not change UZA location.
- Segment Name — the name of the segment using conventional standards that makes the segment readily identifiable. Segment names do not usually change.
- Begins At and Ends At — the beginning and ending points of the segment. Beginning and ending points do not change. If service is discontinued on a portion of the segment or the segment is extended, you should add new segments (See discussion below).
- Length — the physical length of the segment reported to the nearest hundredth of a mile. Length should not change unless the segment was incorrectly measured or in the wrong location (UZA) in the prior report year.
- Segment Type (Bus (MB) and Commuter Bus (CB) FG only) — there are eight categories describing the physical construction of the segment. This should not change unless the segment was reconstructed and its category has changed or high occupancy / toll (HO/T) lane operation is allowed.
- Peak Level of Service (LOS) (CB, MB, RB FG only) — peak level of service (LOS) is periodically updated by state and local highway agencies. You should check for updates to LOS information.
- Safe Operation (CB, MB, RB FG only) — this usually does not change, but you should review.
- Hours Prohibited (CB, MB, RB and trolleybus (TB) FG only) — this usually does not change, but you should review.
- Enforcement Hours (CB, MB, RB FG only) — this usually does not change, but you should review.
- Original Date of Revenue Service — the date that public transit service was first operated on the segment by any transit agency. This date should not change.
- Agency Revenue Service Start Date — the date that your transit agency started operating revenue service.
- Out of Revenue Service Date — if your transit agency stopped operating transit service on the segment during the year, you should report the last date of revenue service. Other transit agencies may continue to operate on this segment.
- Months Operated – the number of months during the year that your transit agency operated on the segment. Unless your transit agency began or ended service on the segment during the year, this should be 12 months.
- TOS Claimed – this only applies if your transit agency operated both DO and PT services for the same mode on the same segment in their NTD Annual report. If a segment is added to both TOS you must identify the segment on both S-20 form as either PT or DO. If during a prior year NTD Annual report both PT and DO were operated and only one TOS is operated in the current year, you may need to correct the TOS claimed.
- NTD Agency Claiming Segment — this usually does not change unless agreed to by all the transit agencies operating service over the segment.

You may request changes be made to the restricted data fields listed above which will be considered on a case-by-case basis. Requested changes do not take effect until after the FTA approval process is complete and the S-20 form has been saved. You should make these requests using the New Fixed Guideway Segment Request selection under the Add Correspondence button of the **e-File** tab. **The requests for data field changes, including supporting documentation, must be received at least 60 calendar days prior to the report due date**. You should refer to the NTD Annual Reporting Timelines exhibit under When to Report in the Introduction section to determine due dates.

The requests for data field changes should:

- Identify the FG segment-by-segment code and segment name.
- Describe fully the requested changes. This description should provide the existing and requested values for each change in a data field.
- Detail the reason for each change. Most reasons are straightforward because there have been changes in the physical environment or changes in the services operated. However, some reasons may be based on corrections to data submitted in the prior year's report. If a correction is requested, you must provide detailed support for the correction and an explanation for why you submitted incorrect data in the prior year's report.
- If length is changed, you must mail detailed maps depicting exact measurement to your NTD transit analyst at least 60 calendar days prior to the report due date.

When a data change request is approved, you must save the S-20 form. The form will then update to include the approved changes in the summary of DRM and the updated data will be transferred to other forms.

Add Pre-Existing and New Segment Data

You may add a segment that has been reported to the NTD in a prior report or may add a new segment by clicking on the **Add Segment** button on the form. A **Drop-Down** menu provides a list of previously reported segments by urbanized area (UZA) as well as a **Create New Segment** button. The following rules apply:

- If your transit agency is operating on an existing segment for the first time, you should select the segment from the list. This is a listing of all existing FG segments in your area. You should add your agency's revenue service start date in the applicable field.
- If your transit agency operates service on only a portion of a pre-existing segment, you should use the **Create New Segment** button. You should report the same original date of revenue service. The segment code will appear as New under Proposed New Segments. NTD staff will reassign a segment code based on the pre-existing segment at the end of the validation process for all reporters. Also, in your request for FG changes you must identify the portions of the segment on which your transit agency operates.
- If your transit agency operates on a segment not in the list, you should use the **Create New Segment** button. The segment code will appear under **Proposed New Segments**. You should complete all data fields and report the original date of revenue service and the agency revenue service start date. These should be the same and should be a date sometime during the current report year.

Once the segments have been proposed, you will be reminded upon saving this form to go to the **e-File** tab and submit your request for Fixed Guideway (FG) Changes. **The requests for data field changes, including supporting documentation, must be received at least 60 calendar days prior to the report due date**. You should refer to the NTD Annual Reporting Timelines exhibit under When to Report in the Introduction section to determine due dates.

When you request new segments you must send detailed supporting documentation to the NTD project site:

- Maps which clearly identify each:
  - Segment beginning and ending point, mile post markings preferred
  - Segment length to the nearest hundredth of a mile, and other supporting documentation of the measurement.
- Proof of when the segment went into revenue service so that the agency revenue service start date can be verified.

You must submit requests for new segments at least 60 calendar days prior to the report due date.

For apportionment purposes, the 7-year age requirement for fixed guideway segments is based on the report year when the segment is first reported by any NTD transit agency. This pertains to segments reported for the first time in the current report year. Even if you can document a revenue service start date prior to the current NTD report year, FTA will only consider segments continuously reported to NTD.

Segments will not be included into the calculations until FTA approves the segments and you save the S-20 form again. Once you save the S-20, the total will re-calculate and the data will transfer to the S-10 and the FFA-10 forms.

Delete Segment Data

If you requested a segment in error or if you reported a segment in error, you must contact NTD staff for FTA approval to delete segments. Once these segments have FTA approval to be deleted, you should save the S-20 form and the total will re-calculate and the revised data will transfer to the S-10 and FFA-10.

If your transit agency no longer operated service on a segment that you reported in the prior report year, you should enter under Out of Revenue Service Date, the date that your transit agency terminated transit service was for this mode and TOS. If service ended in the prior report year, you should enter that date. If service was last operated on the last day of the prior report year, you should enter the date for the first day of the current report year.

Line by Line Instructions Fixed Guideway Segments form (S-20) – Bus

Completing the S-20 form Bus

From the Forms Summary Screen, you should click on the **Fixed Guideway Segments form (S-20)** link for the mode and type of service (TOS) to open the S-20 form.

The S-20 form is pre-filled with segment descriptions from the prior year NTD report submission. You may add additional segments by using the **Add Segment** and **Create New Segment** buttons. Segments submitted under the **Create New Segment** button must receive FTA approval before they are added into calculations on the form.

Form Level Help: You should click on the Help tab at the top of the screen for form level help.

Form Note: A form note can be attached to any form. You should use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. You should click on the **Add Form Note** link at the top of the screen and enter your note on the Notes screen. You can review and / or edit a form note from the **Notes** tab. You should not use the Form Notes feature to answer issues generated from this form. From the **Issues** tab you should use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: You should click on the **Save** button at the bottom of the screen to save the form. Click on the **Close** button at the bottom of the screen to close the form without saving.

.25 Miles or Less Segments

For CB and MB mode, transit agencies must comply with FTA requirements regarding FG segments that are either .25 miles or less in length or also used by toll-paying single occupancy vehicles (SOVs) on an incidental basis.

You must justify FG segments for CB and MB mode that are less than or equal .25 miles unless they are operating on a bridge, in a tunnel or connect with a transit terminal. Follow instructions under the length field.

Column a: Segment Code. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited. These pre-filled codes are for NTD internal use only.

- New segments: This field appears as New. A segment code will be assigned at the end of the validation process.

Column b: Urbanized Area (UZA). This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- New segments: From the drop-down menu, select the number of the urbanized area (UZA) in which the segment is geographically located or select other than urbanized area (non-UZA) if the segment is not geographically located in UZA. Segments should not cross UZA boundaries.

Column c: Segment Name. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- New segments: Enter the name of the segment. Provide enough detail to identify the segment and its location. Use route or line name, or the roadways where the facilities are located, to identify segments.

Column d: Begins At. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited. New segments: Enter the point at which the segment begins, in sufficient detail that it can be uniquely identified. Use readily identifiable locations (e.g., intersections and mileposts) to describe segment endpoints. Do not use abbreviations in these endpoint descriptions because they need to be easily identifiable on maps, timetables and other materials during the validation process.

Column e: Ends At. This field is Pre-filled with data for pre-existing segments from the prior year and cannot be edited.

- New segments: Enter the point at which the segment ends, in sufficient detail that it can be uniquely identified. Use readily identifiable locations (e.g., intersections and mileposts) to describe segment endpoints. Do not use abbreviations in these endpoint descriptions because they need to be easily identifiable on maps, timetables and other materials during the validation process.

Column f: Length. This field is Pre-filled with data for pre-existing segments from the prior year and cannot be edited.

- New segments: Enter the segment length to the nearest hundredth of a mile. Reporting the segment length to the nearest hundredth of a mile provides the accuracy of the directional route miles to the nearest tenth for the Federal funding allocations.

Column g: One / Two-way. This field is **pre-filled** with data for pre-existing segments from the prior year. Click on the **Modify** button to make revisions.

- For pre-existing and new segments: From the drop-down menu, select the number of directions in which vehicles may travel (one-way or two-way).

Column h: Segment Type. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- New segments: From the drop-down menu, select the type of physical construction (segment type):
  - Priority lane on a multilane highway
  - Exclusive lane parallel to a multilane highway, physically separated from general traffic lanes
  - Stand-alone high occupancy (HOV) roadway, no lanes open to general traffic
  - Exclusive access / egress lane to or from these lanes to a terminal facility
  - Priority lane on a multilane highway used as a high occupancy toll (HO/T) lane
  - Exclusive lane parallel to multilane highway, physically separated from general traffic lanes used as a HO/T lane
  - Stand-alone HOV roadway, used as a HO/T lane
  - Exclusive access / egress lane to or from these lanes to a terminal facility used as a HO/T lane.

Column i: Peak Level of Service (LOS). This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- New segments: From the drop-down menu, select the peak period level of service (LOS) ranging from A (best) to F (worst) traffic conditions as defined in the Highway Capacity Manual. In reporting LOS, this is the traffic condition on the lanes next to the CB, MB or RB fixed guideway (FG) segment or in the travel corridor. The peak period LOS should be reported for the:
  - General traffic lanes for priority lanes on a multilane highway, or
  - General traffic lanes for exclusive lanes parallel to a multilane highway, but physically separated from the general traffic lanes, or
  - Corridor served by a stand-alone HOV roadway of which no lane is open to general traffic.

    The levels of service are:

    A. Indicates a relatively free flow of traffic, with little or no limitation on vehicle movement or speed.

    B. Describes a steady flow of traffic, with only slight delays in vehicle movement and speed. All queues clear in a single traffic signal cycle.

    C. Denotes a reasonably steady, high volume flow of traffic, with some limitations on movement and speed, and occasional backups on critical approaches.

    D. Designates the level where traffic nears an unstable flow. Intersections still function, but short queues develop and cars may have to wait through one cycle during short peaks.

    E. Represents traffic characterized by slow movement and frequent (although momentary) stoppages. This type of congestion is considered severe, but is not uncommon at peak traffic hours, with frequent stopping, long standing queues, and blocked intersections.

    F. Describes unsatisfactory stop-and-go traffic characterized by traffic jams and stoppages of long duration. Vehicles at signalized intersections usually have to wait through one or more signal changes, and upstream intersections may be blocked by the long queues.

Column j: Safe Operation. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- For new segments: From the drop-down menu, select whether or not safe operation requirements are met, as follows:
  - Select yes if HOV lanes on freeways meet the safe operation requirements.
  - Select no if HOV lanes on freeways do not meet the safe operation requirements.
  - For all other segments (non-freeways), select yes.
  - The safe operation requirements apply to priority lanes on freeways used by CB and MB mode and other HOVs, such as vanpools (VP) and carpools, to ensure safe travel. For these lanes there must be some indication of separation to ensure safe access between free flowing high occupancy vehicle lanes and the congested, unrestricted lanes. Separation can be physical barriers or lane division markings, but not diamond markings, overhead signs or roadside signs. Lanes restricted to CB, MB and RB mode qualify as safely operated.

Column k: Hours Prohibited. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- For new segments: Enter the number of hours per week during which single occupancy vehicles (SOVs) are legally prohibited from using any portion of the segment. If the prohibition is for all hours of the week, then the segment is exclusive right-of-way (ROW). If the prohibition is for only some hours of the week, then the segment is controlled access right-of-way (ROW). If your transit agency has stricter requirements for high occupancy vehicle (HOV) facilities

than the prohibition of single occupancy vehicles (SOVs), for example, three or more persons per vehicle, then those requirements apply to the high occupancy toll (HO/T) lane, (i.e., one and two-person vehicles would pay tolls).

Column l: Enforced / Prohibited. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- For new segments: Enter the number of hours per week during which officers of the law enforce the prohibition, throughout the segment. There must be a level of enforcement sufficient to ensure that 95 percent of the vehicles using the fixed guideway (FG) segment are eligible to use it.

Column m: Original Date of Revenue Service. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- For new segments: Enter the opening date of revenue service on this segment by any transit operator, even though your transit agency may not have been the original operator. If you are the first transit agency to operate on a new segment, the original date of revenue service will be the same as the agency revenue service start date.

Column n: Agency Revenue Service Start Date. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- For new segments: Enter the date that your transit agency started operating revenue service. Internet reporting automatically determines and enters the number of months operated.

Column o: Out of Revenue Service Date. Pre-existing segments: Click on the **Modify** button to make revisions.

- Enter the last date of revenue service if your transit agency stopped operating transit service on the segment during the year. Other reporters may continue to operate on this segment. If a segment is temporarily out of service for rehabilitation or reconstruction for less than 12 months, do not enter an out of revenue service date. FTA allows the months operated as 12. If a segment is out of service for rehabilitation or reconstruction for more than 12 months, or for some other temporary stoppage of service, contact your NTD analyst. FTA will make a determination on to report the segment.

Column p: Months Operated. This field cannot be edited.

- For new segments: Internet reporting automatically determines and enters the number of months operated using the agency revenue service start date. Internet reporting will round the number of months of operation to a whole number, reporting a full month for revenue service that begins between the first and 14th of the month; revenue service that begins from the 15th through the end of the month is not counted. If revenue service began in the last two weeks of your transit agency's fiscal year, Internet reporting will indicate 0 months.
- Pre-existing segments:
  - If you did not enter an out of revenue service date, Internet Reporting automatically enters 12 months.
  - If a segment is temporarily out of service for rehabilitation or reconstruction for less than 12 months, the months operated will indicate 12..
  - If a segment is out of service for rehabilitation or reconstruction for more than 12 months, contact your NTD analyst. FTA will make a determination on how to report the segment.

Column q: Type of service (TOS) Claimed. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- For new segments: Enter the TOS claimed for the segment's DRM on the Federal Funding Allocation Statistics form (FFA-10) — DO or PT service — if the same mode operates on the same segment for both the DO and PT service, report the segment on both the DO and PT forms.

Column r: NTD Agency Claiming Segment. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- For new segments: Enter the NTD ID for the transit agency claiming the segment's DRM on the Federal Funding Allocation Statistics form (FFA-10).

Directional Route Miles Summary — All Levels of Service (LOS)

Line 01: Total Controlled Access Right-of-Way (ROW) @ Fiscal Year End (FYE). This is an **auto-calculated** field and cannot be edited, review for accuracy.

- The total number of DRM for all segments on controlled access right-of-way by UZA, non-UZA and total. Internet reporting automatically transfers the total (all UZA and non- UZA) data to the S-10 form, line 25.

Line 02: Average Controlled Access ROW. This is an **auto-calculated** field and cannot be edited, review for accuracy.

- The average number of DRM for all segments on controlled access ROW by UZA, non-UZA and total over the course of the report year.

Line 03: Total Exclusive ROW @ FYE. This is an **auto-calculated** field and cannot be edited, review for accuracy.

- The total number of DRM for all segments on exclusive ROW by UZA, non-UZA and total. Internet reporting automatically transfers the total (all UZA and non UZA) data to the Service form (S-10), line 24.

Line 04: Average Exclusive ROW. This is an **auto-calculated** field and cannot be edited, review for accuracy.

- The average number of DRM for all segments on exclusive ROW by UZA, non-UZA and total over the course of the report year.

Line 05: Total Controlled and Exclusive ROW @ FYE. This is an **auto-calculated** field and cannot be edited, review for accuracy.

- The total number of DRM for all segments on controlled and exclusive ROW by UZA, non-UZA, and total.

Line 06: Average Controlled and Exclusive ROW. This is an **auto-calculated** field and cannot be edited, review for accuracy.

- The average number of DRM for all segments on controlled and exclusive ROW by UZA, non-UZA, and total over the course of the report year.

Levels of Service Levels (LOS) D, E, and F

Line 07: Total Controlled Access ROW @ FYE. This is an **auto-calculated** field and cannot be edited, review for accuracy.

- The total number of DRM on controlled access ROW for segments with peak LOS D, E, and F by UZA, non-UZA and total.

Line 08: Average Controlled Access ROW. This is an **auto-calculated** field and cannot be edited, review for accuracy.

- The average number of DRM on controlled access ROW for segments with peak LOS D, E, and F by UZA, non-UZA and total over the course of the report year.

Line 09: Total Exclusive ROW @ FYE. This is an auto-calculated field and cannot be edited, review for accuracy. The total number of DRM on exclusive ROW for segments with peak LOS D, E, and F by UZA, non-UZA and total.

Line 10: Average Exclusive ROW. This is an **auto-calculated** field and cannot be edited, review for accuracy.

- The average number of DRM on exclusive ROW for segments with peak LOS D, E, and F by UZA, non-UZA and total over the course of the report year.

Line 11: Total Controlled and Exclusive ROW @ FYE. This is an **auto-calculated** field and cannot be edited, review for accuracy.

- The total number of DRM on controlled and exclusive ROW for segments with peak LOS D, E, and F by UZA, non-UZA and total.

Line 12: Average Controlled and Exclusive ROW. This is an **auto-calculated** field and cannot be edited, review for accuracy. Internet reporting automatically transfers the total (UZA and non-UZA) data to the Federal Funding Allocation Statistics form (FFA-10) below line 08. VRM, passenger miles traveled (PMT) and operating expenses (OE) for all eligible directional route miles can be claimed under FG on the Federal Funding Allocation Statistics form (FFA-10), lines 10 through 12. These data are used in determining eligible segments for the Urbanized Area Formula Program (UAF).

- The average number of DRM on controlled and exclusive ROW for segments with peak levels of service (LOS) D, E, and F by UZA, non-UZA and total over the course of the report year.

Line 13: Total Average Controlled and Exclusive ROW for Funding. This is an **auto-calculated** field and cannot be edited, review for accuracy. Internet reporting automatically transfers the total (UZA and non-UZA) data to the FFA-10 form, line 08.These are the eligible DRM used for the Urbanized Area Formula Program (UAF).

- The average number of DRM on controlled and exclusive ROW for segments with peak LOS D, E, and F claimed by the reporting agency for funding, by UZA, non-UZA and total.

Levels of Service (LOS) D, E, and F for Segments > Seven Years @ Federal Fiscal Year End (FFYE)

Line 14: Total Controlled Access ROW. This is an **auto-calculated** field and cannot be edited, review for accuracy.

- The sum of DRM > seven years on controlled access ROW for segments with peak LOS D, E, and F by UZA, non-UZA, and total.

Line 15: Total Exclusive ROW. This is an **auto-calculated** field and cannot be edited, review for accuracy.

- The sum of DRM > seven years on exclusive ROW for segments with peak LOS D, E, and F by UZA, non-UZA, and total.

Line 16: Total Controlled and Exclusive ROW. This is an **auto-calculated** field and cannot be edited, review for accuracy. Internet reporting automatically transfers the total (UZA and non-UZA) data to the Federal Funding Allocation Statistics form

(FFA-10) below line 16. VRM for all eligible directional route miles can be claimed under FG on the Federal Funding Allocation Statistics form (FFA-10), line 17.

- The total number of DRM > seven years on controlled and exclusive ROW for segments with peak LOS D, E, and F by UZA, non-UZA, and total. These data are used in determining eligible segments for the Fixed Guideway Modernization Program.

Line 17: Total Controlled and Exclusive Right-of-Way (ROW) for Funding. This is an **auto-calculated** field and cannot be edited, review for accuracy. Internet reporting automatically transfers the total (all UZA and non-UZA) data to the Federal Funding Allocation Statistics form (FFA-10), line 16. These are the eligible DRM used for the Fixed Guideway Modernization Program.

- The total number of DRM > seven years on controlled and exclusive ROW for segments with peak LOS D, E, and F claimed by the reporting agency for funding, by UZA, non-UZA, and total.

Line by Line Instructions Fixed Guideway Segments form (S-20) – Trolleybus

Completing the S-20 form Trolleybus

From the Forms Summary Screen, you should click on the **Fixed Guideway Segments form (S-20)** link for the mode and type of service (TOS) to open the S-20 form.

The S-20 form is pre-filled with segment descriptions from the prior year NTD report submission. You may add additional segments by using the **Add Segment** and **Create New Segment** buttons. Segments submitted under the **Create New Segment** button must receive FTA approval before they are added into calculations on the form.

Form Level Help: You should click on the **Help** tab at the top of the screen for form level help.

Form Note: A form note can be attached to any form. You should use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. You should click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. You should not use the Form Notes feature to answer issues generated from this form. From the **Issues** tab you should use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: You should click on the **Save** button at the bottom of the screen to save the form. You should click on the **Close** button at the bottom of the screen to close the form without saving.

Column a: Segment Code. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited. These pre-filled codes are for NTD internal use only.

- New segments: This field appears as New. A segment code will be assigned at the end of the validation process.

Column b: Urbanized Area (UZA). This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- New segments: From the drop-down menu, select the number of the urbanized area (UZA) in which the segment is geographically located or select other than urbanized area (non-UZA) if the segment is not geographically located in UZA. Segments should not cross UZA boundaries.

Column c: Segment Name. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- New segments: Enter the name of the segment. Provide enough detail to identify the segment and its location. Use route or line name, or the roadways where the facilities are located, to identify segments.

Column d: Begins At. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- New segments: Enter the point at which the segment begins, in sufficient detail that it can be uniquely identified. Use readily identifiable locations (e.g., intersections and mileposts) to describe segment endpoints. Do not use abbreviations in these endpoint descriptions because they need to be easily identifiable on maps, timetables and other materials during the validation process.

Column e: Ends At. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- New segments: Enter the point at which the segment ends, in sufficient detail that it can be uniquely identified. Use readily identifiable locations (e.g., intersections and mileposts) to describe segment endpoints. Do not use abbreviations in these endpoint descriptions because they need to be easily identifiable on maps, timetables and other materials during the validation process.

Column f: Length. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- New segments: Enter the segment length to the nearest hundredth of a mile. Reporting the segment length to the nearest hundredth of a mile provides the accuracy of the directional route miles to the nearest tenth for the Federal funding allocations.

Column g: One / Two-way. This field is **pre-filled** with data for pre-existing segments from the prior year. Click on the **Modify** button to make revisions.

- For pre-existing and new segments: From the drop-down menu, select the number of directions in which vehicles may travel (one-way or two-way).

Column k: Hours Prohibited. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- For new segments: Enter the number of hours per week during which single occupancy vehicles (SOVs) are legally prohibited from using any portion of the segment. If the prohibition is for all hours of the week, then the segment is exclusive ROW. If the prohibition is for only some hours of the week, then the segment is controlled access ROW. If your transit agency has stricter requirements for HOV facilities than the prohibition of SOVs, for example, three or more

persons per vehicle, then those requirements apply to the HO/T lane, (i.e., one and two-person vehicles would pay tolls).

Column m: Original Date of Revenue Service. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- For new segments: Enter the opening date of revenue service on this segment by any transit operator, even though your transit agency may not have been the original operator. If you are the first transit agency to operate on a new segment, the original date of revenue service will be the same as the agency revenue service start date.

Column n: Agency Revenue Service Start Date. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited. Internet reporting automatically determines and enters the number of months operated.

- For new segments: Enter the date that your transit agency started operating revenue service.

Column o: Out of Revenue Service Date. Pre-existing segments: Click on the **Modify** button to make revisions.

- Enter the last date of revenue service if your transit agency stopped operating transit service on the segment during the year. Other reporters may continue to operate on this segment. If a segment is temporarily out of service for rehabilitation or reconstruction for less than 12 months, do not enter an out of revenue service date. FTA allows the months operated as 12. If a segment is out of service for rehabilitation or reconstruction for more than 12 months, or for some other temporary stoppage of service, contact your NTD analyst. FTA will make a determination on to report the segment.

Column p: Months Operated. This field cannot be edited.

- For new segments: Internet reporting automatically determines and enters the number of months operated using the agency revenue service start date. Internet reporting will round the number of months of operation to a whole number, reporting a full month for revenue service that begins between the first and 14th of the month; revenue service that begins from the 15th through the end of the month is not counted. If revenue service began in the last two weeks of your transit agency's fiscal year, Internet reporting will indicate 0 months.
- Pre-existing segments:
  - If you did not enter an out of revenue service date, Internet Reporting automatically enters 12 months.
  - If a segment is temporarily out of service for rehabilitation or reconstruction for less than 12 months, the months operated will indicate 12..
  - If a segment is out of service for rehabilitation or reconstruction for more than 12 months, contact your NTD analyst. FTA will make a determination on how to report the segment.

Column q: TOS Claimed. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- For new segments: Enter the TOS claimed for the segment's DRM on the FFA-10 form — (DO or PT) service — if the same mode operates on the same segment for both the DO and PT service, report the segment on both the directly operated DO and PT forms.

Column r: NTD Agency Claiming Segment. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- For new segments: Enter the NTD ID for the transit agency claiming the segment's DRM on the FFA-10 form.

Directional Route Miles Summary

Line 01: Total Controlled Access Right-of-Way (ROW) @ Fiscal Year End (FYE). This is an **auto-calculated** field and cannot be edited, review for accuracy. Internet reporting automatically transfers the total (all UZA and non- UZA) data to the Service form (S-10), line 25.

- The total number of DRMs for all segments on controlled access ROW by UZA, non-UZA and total.

Line 02: Average Controlled Access ROW. This is an **auto-calculated** field and cannot be edited, review for accuracy.

- The average number of DRM for all segments on controlled access ROW by UZA, non-UZA and total over the course of the report year.

Line 03: Total Exclusive ROW @ FYE. This is an **auto-calculated** field and cannot be edited, review for accuracy. Internet reporting automatically transfers the total (all UZA and non UZA) data to the Service form (S-10), line 24.

- The total number of DRM for all segments on exclusive ROW by UZA, non-UZA and total.

Line 04: Average Exclusive ROW. This is an **auto-calculated** field and cannot be edited, review for accuracy.

- The average number of DRM for all segments on exclusive ROW by UZA, non-UZA and total over the course of the report year.

Line 05: Total Mixed Traffic ROW @ FYE. This is an **auto-calculated** field and cannot be edited, review for accuracy. Internet reporting automatically transfers the total (all UZA and non UZA) data to the Service form (S-10), line 26.

- The total number of DRM for all segments on mixed traffic ROW by UZA, non-UZA, and total.

Line 06: Average Mixed Traffic ROW. This is an **auto-calculated** field and cannot be edited, review for accuracy.

- The average number of DRM for all segments on mixed traffic ROW by UZA, non-UZA, and total over the course of the report year.

Line 07: Total Average Controlled, Exclusive and Mixed Traffic ROW. This is an **auto-calculated** field and cannot be edited, review for accuracy. Internet reporting automatically transfers the total (UZA and non-UZA) data to the FFA-10 form below line 08. Vehicle revenue miles (VRM), passenger miles traveled (PMT) and operating expenses (OE) for all eligible directional route miles can be claimed under fixed guideway (FG) on the FFA-10 form, lines 10 through 12.

- The total average number of DRM on controlled, exclusive and mixed traffic ROW for all segments by UZA, non-UZA and total over the course of the report year. These data are used in determining eligible segments for the Urbanized Area Formula Program (UAF).

Line 08: Total Average Controlled, Exclusive and Mixed Traffic ROW for Funding. This is an **auto-calculated** field and cannot be edited, review for accuracy. Internet reporting automatically transfers the total (all UZA and non-UZA) data to the FFA-10 form, line 08. These are the eligible DRM used for the UAF Program.

- The average number of DRM on controlled access, exclusive, and mixed traffic ROW for all segments claimed by the reporting agency for funding by UZA, non-UZA and total over the course of the report year.

Line 09: Total Controlled, Exclusive and Mixed Traffic ROW @ FYE. This is an **auto-calculated** field and cannot be edited, review for accuracy.

- The total number of DRM on controlled access, exclusive, and mixed traffic ROW for all segments by UZA, non-UZA and total.

All Segments ≥ Seven Years @ Federal Fiscal Year End (FFYE)

Line 10: Total Controlled Access ROW. This is an **auto-calculated** field and cannot be edited, review for accuracy.

- The number of DRM on controlled access ROW for segments ≥ seven years by UZA, non-UZA, and total.

Line 11: Total Exclusive ROW. This is an **auto-calculated** field and cannot be edited, review for accuracy.

- The number of DRM on exclusive ROW for segments ≥ seven years by UZA, non-UZA, and total.

Line 12: Total Mixed Traffic ROW. This is an **auto-calculated** field and cannot be edited, review for accuracy.

- The number of DRM on mixed traffic ROW for segments ≥ seven years by UZA, non-UZA, and total.

Line 13: Total Controlled, Exclusive and Mixed Traffic ROW. This is an **auto-calculated** field and cannot be edited, review for accuracy. Internet reporting automatically transfers the total (UZA and non-UZA) data to the Federal Funding Allocation Statistics form (FFA-10) below line 16. VRM for all eligible directional route miles can be claimed under FG on the FFA-10 form, line 17.

- The total number of DRM on controlled access, exclusive and mixed traffic ROW for segments ≥ seven years by UZA, non-UZA, and total. These data are used in determining eligible segments for the UAF Program.

Line 14: Total Controlled, Exclusive and Mixed Traffic ROW for Funding. This is an **auto-calculated** field and cannot be edited, review for accuracy. Internet reporting automatically transfers the total (all UZA and non-UZA) data to the FFA-10 form, line 16. These are the eligible DRM used for the Fixed Guideway Modernization Program.

- The total number of DRM on controlled access, exclusive and mixed traffic ROW for segments ≥ seven years claimed by the reporting agency for funding, by UZA, non-UZA, and total.

Line by Line Instructions Fixed Guideway Segments form (S-20) – Rail, Ferryboat, Aerial Tramway

Completing the S-20 form Rail, Ferryboat, Aerial Tramway

From the **Forms Summary** screen, you should click on the **Fixed Guideway Segments form (S-20)** link for the mode and type of service (TOS) to open the S-20 form.

The Fixed Guideway Segments form (S-20) is pre-filled with segment descriptions from the prior year NTD report submission. You may add additional segments by using the **Add Segment** and **Create New Segment** buttons. Segments submitted under the **Create New Segment** button must receive FTA approval before they are added into calculations on the form.

Form Level Help: You should click on the **Help** tab at the top of the screen for form level help.

Form Note: A form note can be attached to any form. You should use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. You should click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. You should not use the Form Notes feature to answer issues generated from this form. From the **Issues** tab you should use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: You should click on the **Save** button at the bottom of the screen to save the form. You should click on the **Close** button at the bottom of the screen to close the form without saving.

Special Note Regarding Ferryboat (FB) DRM

FB directional route miles (DRM) are based on the most direct route between terminals over navigable water in statute miles. This route may not be the length of the actual path followed. If there are several terminals connected by multiple routes, you should measure the DRM as the minimum path connecting all the terminals.

Column a: Segment Code. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited. These pre-filled codes are for NTD internal use only.

- New segments: This field appears as New. A segment code will be assigned at the end of the validation process.

Column b: Urbanized Area (UZA). This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- New segments: From the drop-down menu, select the number of the UZA in which the segment is geographically located or select non-UZA if the segment is not geographically located in UZA. A segment should not be entered as in an UZA and also in a non-UZA Segments should not cross UZA boundaries.

Column c: Segment Name. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- New segments: Enter the name of the segment. Provide enough detail to identify the segment and its location. Use route or line name, or the roadways where the facilities are located, to identify segments.

Column d: Begins At. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- New segments: Enter the point at which the segment begins, in sufficient detail that it can be uniquely identified. Use readily identifiable locations (e.g., intersections and mileposts) to describe segment endpoints. Do not use abbreviations in these endpoint descriptions because they need to be easily identifiable on maps, timetables and other materials during the validation process.

Column e: Ends At. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- New segments: Enter the point at which the segment ends, in sufficient detail that it can be uniquely identified. Use readily identifiable locations (e.g., intersections and mileposts) to describe segment endpoints. Do not use abbreviations in these endpoint descriptions because they need to be easily identifiable on maps, timetables and other materials during the validation process.

Column f: Length. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- New segments: Enter the segment length to the nearest hundredth of a mile. Reporting the segment length to the nearest hundredth of a mile provides the accuracy of the directional route miles to the nearest tenth for the Federal funding allocations.

Column g: One / Two-way. This field is **pre-filled** with data for pre-existing segments from the prior year. Click on the **Modify** button to make revisions.

- For pre-existing and new segments: From the drop-down menu, select the number of directions in which vehicles may travel (one-way or two-way).

Column m: Original Date of Revenue Service. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- For new segments: Enter the opening date of revenue service on this segment by any transit operator, even though your transit agency may not have been the original operator. If you are the first transit agency to operate on a new segment, the original date of revenue service will be the same as the agency revenue service start date.

Column n: Agency Revenue Service Start Date. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- For new segments: Enter the date that your transit agency started operating revenue service. Internet reporting automatically determines and enters the number of months operated.

Column o: Out of Revenue Service Date. Pre-existing segments: Click on the **Modify** button to make revisions.

- Enter the last date of revenue service if your transit agency stopped operating transit service on the segment during the year. Other reporters may continue to operate on this segment. If a segment is temporarily out of service for rehabilitation or reconstruction for less than 12 months, do not enter an out of revenue service date. FTA allows the months operated as 12. If a segment is out of service for rehabilitation or reconstruction for more than 12 months, or for some other temporary stoppage of service, contact your NTD analyst. FTA will make a determination on to report the segment.

Column p: Months Operated. This field cannot be edited.

- For new segments: Internet reporting automatically determines and enters the number of months operated using the agency revenue service start date. Internet reporting will round the number of months of operation to a whole number, reporting a full month for revenue service that begins between the first and 14th of the month; revenue service that begins from the 15th through the end of the month is not counted. If revenue service began in the last two weeks of your transit agency's fiscal year, Internet reporting will indicate 0 months.
- Pre-existing segments:
  - If you did not enter an out of revenue service date, Internet Reporting automatically enters 12 months.
  - If a segment is temporarily out of service for rehabilitation or reconstruction for less than 12 months, the months operated will indicate 12.
  - If a segment is out of service for rehabilitation or reconstruction for more than 12 months, contact your NTD analyst.. FTA will make a determination on how to report the segment.

Column q: Type of service (TOS) Claimed. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- For new segments: Enter the TOS claimed for the segment's DRM on the FFA-10 form — DO or PT service — if the same mode operates on the same segment for both the DO and PT service, report the segment on both the DO and PT forms.

Column r: NTD Agency Claiming Segment. This field is **pre-filled** with data for pre-existing segments from the prior year and cannot be edited.

- For new segments: Enter the NTD ID for the transit agency claiming the segment's DRM on the FFA-10 form.

Directional Route Miles Summary

Line 01: Total for All Segments @ Fiscal Year End (FYE). This is an **auto-calculated** field and cannot be edited, review for accuracy. Internet reporting automatically transfers the total (all UZAs and non-UZAs) data to the S-10 form, line 27.

- The number of DRM for all segments by UZA, non-UZA and total.

Line 02: Average Monthly for All Segments. This is an **auto-calculated** field and cannot be edited, review for accuracy.

- The average number of DRM for all segments by UZA, non-UZA and total over the course of the report year.

Line 03: Average Monthly for All Segments for Funding. This is an **auto-calculated** field and cannot be edited, review for accuracy. Internet reporting automatically transfers the total data (all UZAs and non-UZAs) to the FFA-10 form, line 08. These are the eligible DRM used for the UAF Program.

- The average number of DRM for all segments by UZA, non-UZA and total for the segments claimed by the reporting agency for funding over the course of the reporting year.

All Segments ≥ Seven Years @ Federal Fiscal Year End (FFYE)

Line 04: Total for Segments ≥ Seven Years. This is an **auto-calculated** field and cannot be edited, review for accuracy. These data are used in determining eligible segments for the Fixed Guideway Modernization Program. Vehicle revenue miles (VRM) can be claimed under fixed guideway (FG) on the FFA-10 form, line 17.

- The number of DRM at least seven years old by UZA, non-UZA and total.

Line 05: Total for Segments ≥ Seven Years for Funding. This is an **auto-calculated** field and cannot be edited, review for accuracy. Internet reporting automatically transfers the total (all UZAs and non-UZAs) data to the FFA-10 form, line 16. These are the eligible DRM used for the Fixed Guideway Modernization Program.

- The number of DRM at least seven years old by UZA, non-UZA and total for the segments claimed by the reporting agency for funding.

Resource Module

The Resource Module contains three forms:

1. Employees form (R-10)
2. Maintenance Performance form (R-20)
3. Energy Consumption form (R-30).

Employees form (R-10)

The R-10 form collects data on the number of transit agency employees (person count) and their total work hours. Data are reported by mode for directly operated (DO) service only. The employee data are reported for operating labor (which is reported on the Operating Expenses form (F-30) by function) and for total capital labor.

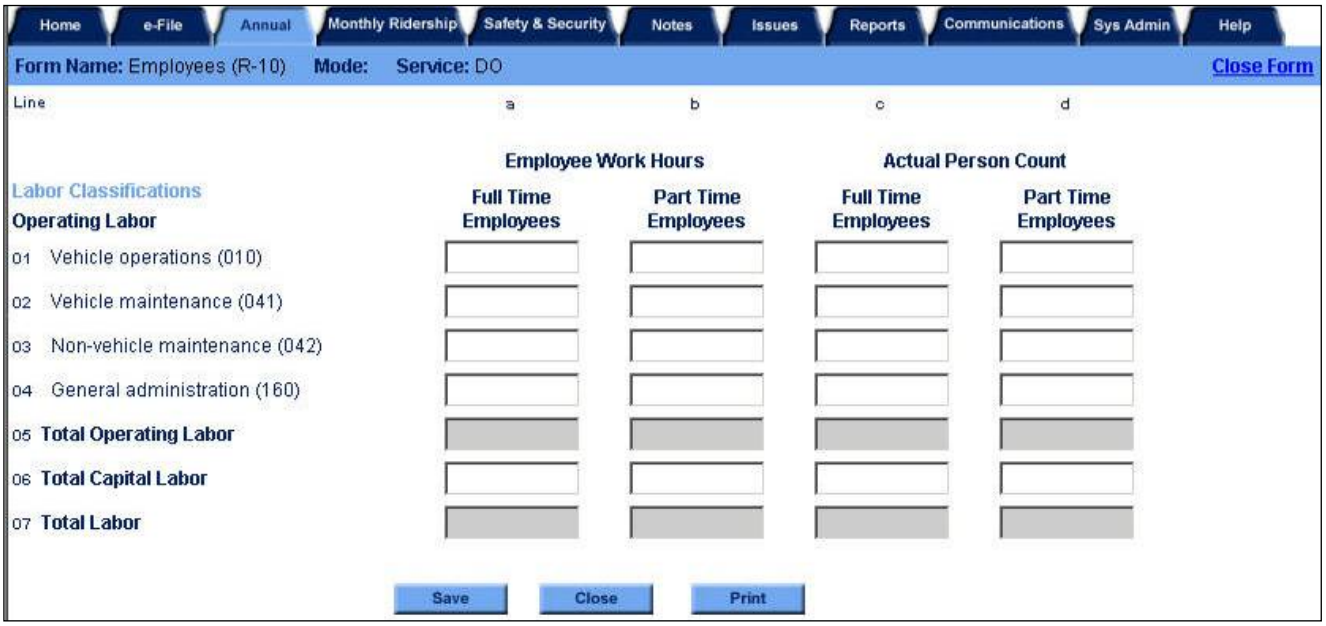
Maintenance Performance form (R-20)

The R-20 form collects data on revenue vehicle system failures. Data are reported on one form for all DO and purchased transportation (PT) modes, except for demand response-taxi mode.

Energy Consumption form (R-30)

The R-30 form collects data on revenue vehicle fuel consumption. Data are reported on one form for all DO and PT rail modes and one form for all DO and PT non-rail modes, except for demand response-taxi mode.

Employees form (R-10)



Overview

The Employees form (R-10) collects data on the number of transit agency employees (person count) and their total work hours by labor category.

Reporting Requirements and Thresholds

This form is required for directly operated (DO) service only. Complete one form for each DO mode.

What Has Changed from Prior Year

There are no changes to the R-10 form for the 2011 report year.

Approach

The data on this form pertain only to transit agency employees that work on DO modes. Two data items are reported — hours worked by employees and the number of employees (person count). The data items are reported by labor classification — operating and capital — and type of employee — full time and part time.

In order to complete the form it is necessary to understand:

- Who are employees of the transit agency
- How should the employees be categorized
- How to count employee work hours and employees.

Employees

An employee is defined in NTD reporting as someone whose salary cost is reported in expense object class (501) labor on the F-30 form. Typically this means that the transit agency writes the payroll checks for the employee and provides an Internal Revenue Service Form W-2: Wage and Tax Statement for the employee.

Transit agencies may have two different types of employees — full time and part time employees. The NTD requires employee data to be categorized and reported by full time and part time employees according to the definitions used by your transit agency. Generally, your agency's human resources department uses these definitions to classify each employee as either full or part time.

Full time employees usually must work a minimum number of hours, such as at least 30 hours per week or 1,000 hours per year. Full time employees also usually receive a full benefits package.

Part time employees work less than the minimum number of hours required for full time employees, and usually receive no benefits or sometimes prorated benefits. Often, part time employees are paid at a lower pay rate than full time employees.

Full time employees working part of their time in a function or mode are not part time employees.

For example, a full time mechanic may repair bus (MB) and demand response (DR) vehicles and should be considered as a full time employee on both the MB and DR R-10 forms.

Sometimes, transit agencies also classify employees as either permanent or temporary. These classifications should not be considered when reporting data for the R-10 form since both types of employees can be either full time or part time.

Permanent employees normally have job security rights and benefits, either full or prorated. Permanent employees may be either full or part time employees.

Temporary employees work for only a specified period of time until a work task is completed. Temporary employees usually do not have any job security rights and receive no benefits or sometimes prorated benefits. Temporary employees may be either full or part time employees.

Persons employed through a temporary employment agency are not temporary employees of the transit agency. This is because their salary costs are not reported in expense object class (501) labor, but instead in expense object class (503) services on the F-30. Furthermore, the temporary employment agency, not the transit agency, writes payroll checks for the employees and provides the Internal Revenue Service Forms W-2: Wage and Tax Statement for the employees.

Exhibit 19 — Guidelines for Determining Whether an Individual is an Employee

The following individuals are employees under NTD reporting:

- An individual who has worked his / her scheduled assignment
- An individual on extended sick leave
- An individual temporarily disabled and assigned to another position
- An individual who has left the transit agency through separation or retirement and whose position has not been refilled but continues to receive a paycheck from the transit agency.
- An individual on a paid leave of absence
- An individual on an unpaid leave of absence of a prolonged duration, as long as he is retained on the benefits program and retains his job security rights.

The following individuals are not employees under NTD reporting:

- An individual working temporarily on a service contract (expense object class (503) services)
- An individual of a company who has a contract with the transit agency to perform specific services (e.g., management services, clerical)
- An individual under contract to another company but working on the transit agency's premises (e.g., temporary clerical services)
- An individual of an agency who has a contract to perform specific services to the transit agency (e.g., data collection contractor staff).

Employee Work Hours and Counts

Employee work hours and the actual person count of employees are collected for different time periods. The employee work hours cover all work performed during the report year. Employee work hours are determined from payroll records. The actual person count of employees is determined at the end of the report year.

Employee work hours are the total hours worked by transit agency employees during the report year. Employees may have been hired during the year, or may have left before the end of the report year. Regardless of when employees begin or leave their jobs, the work hours performed during the reporting period are reported on this form.

Work hours are not equivalent to and typically are less than total hours paid to transit employees. Work hours might be considered "duty hours" — hours during which employees are performing work for the transit agency. Work hours do not include hours related to fringe benefits, such as holiday time and sick leave.

A full time employee is paid approximately 2,080 total hours in a report year (40 hours per week x 52 weeks / year). Work hours may be 1,700 to 1,800 of the 2,080 hours with the balance of the hours being paid for fringe benefits such as holiday and sick leave. It is highly unusual for full time employees to have average paid work hours that are equal to or greater than 2,080 hours.

The actual person count of employees is determined at the end of the report year. Normally, it is the number of employees who are working at the end of the fiscal year, but there may be unique situations such as employees on a paid leave of absence or employees who have left the agency through retirement or separation. See the guidelines above for who should or should not be counted as an employee.

Since employee work hours and the actual person count of employees are collected for different time periods, the relationships between the two statistics must be interpreted with care. High numbers of employees working at the end of the fiscal year relative to the average staffing levels over the fiscal year may suggest low hours worked per employee. Conversely, low numbers of employees at the end of the fiscal year may suggest high hours worked per employee. In most cases, the average number of work hours per full time employee is less than 2,080 hours, and typically is in the range of 1,700 to 1,800 work hours.

Relationship of Employees to Other NTD Forms

This form has key reporting relationships with the following one NTD reporting form:

1. **Operating Expenses form (F-30) –** The work hours reported by operating labor classification on the R-10 form should be consistent with the labor expenses reported by function on the F-30 form. If work hours are reported in a specific operating labor classification (e.g., vehicle maintenance), then there should be corresponding labor expenses reported for the same function in object class (501) labor on the F-30 form. Conversely, if labor expenses are reported in a specific function (e.g., non-vehicle maintenance) object class (501) labor on the F-30, then there should be corresponding work hours reported for the same operating labor classification on the R-10 form.

Detailed Instructions

Report employee work hours and counts by labor classification: operating labor and capital labor.

Labor Classification

Operating Labor

Operating labor are the personnel necessary to carry out the day-to-day requirements for providing transit service. Operating labor is reported by the four functions on the F-30 form — vehicle operations (010), vehicle maintenance (041), non-vehicle maintenance (042), and general administration (160).

The Uniform System of Accounts (USOA) has defined the work activities performed by employees in each function. The following exhibit summarizes the USOA work activities for operating labor by function.

Exhibit 20 — Employee Operating Labor Classifications — Chapter 6 of Uniform System of Accounts

Vehicle Operations Labor (line 01)

010 Vehicle Operations

010 — Transportation administration and support

011 — Transportation administration and support. Transportation managers, superintendents, port captains, terminal managers, supervisors and others engaged in administering transportation service at the system division and station levels; secretaries, stenographers and clerks supporting supervision of transportation activities; driver training instructors, students and service inspectors.

012 — Revenue vehicle movement control. System, division, and station managers and supervisors engaged in controlling dispatch, movement and return of revenue vehicles; secretaries and clerks supporting the supervision of vehicle movement control; road supervisors, dispatchers, stop and zone representatives, starters, timekeepers and employees engaged in furnishing supplies to vehicle operators; radio and telephone communication operators monitoring and controlling vehicle movement at communication centers.

021 — Scheduling of transportation operations. Traffic managers, superintendents, department heads and supervisors engaged in supervising the preparation of schedules for transportation operations; secretaries, stenographers and clerk-typists supporting the supervision of scheduling activities; schedule analysts, makers, checkers, statistical clerks; design, layout and reproduction people engaged in producing finished schedules.

151 — Ticketing and fare collection. Managers, treasurers, cashiers, department heads and supervisors engaged in supervising ticketing and fare collection activities; secretaries and clerk-typists supporting supervision; agents distributing, selling and collecting fares; printers and other machine operators producing tickets, tokens; people controlling and servicing sales outlets; vault pullers, sorters, money counters and cash clerks, security guards for vehicles and at collection and counting area; vehicle drivers transporting money to counting facilities and banks; accounting and control clerks auditing and monitoring fare sales, collection and counting activities; fare registration reconciliation clerks.

161 — System security. Security managers and supervisors engaged in supervising system-wide security; secretaries and clerks supporting security supervision; police officers, special agents, patrol staff, inspectors and others engaged in providing overall security.

030 — Revenue vehicle operation. Platform and travel pay of scheduled line, unscheduled line, charter and contract service revenue vehicle operators, conductors, collectors and other operating crew members working aboard transit vehicles; pay of ferryboat deck crews (e.g., captain, chief officers, mates, pilots).

Vehicle Maintenance Labor (line 02)

041 Vehicle Maintenance

041 — Maintenance administration — vehicles. Maintenance managers, port engineers, superintendents, supervisors and non-working lead workers engaged in directing and supervising maintenance and repairs to vehicles; secretaries and clerk-typists supporting the administration of maintenance activities; garage and shop clerks, timekeepers and other clerical people engaged in scheduling and recording vehicle maintenance activities, vehicle maintenance training instructors and students; engineers and other technicians engaged in vehicle maintenance activities.

051 — Servicing revenue vehicles. Service managers, supervisors and lead workers engaged in overseeing the preparation of revenue vehicles for service (excluding repair work); cleaners, washers, fuelers, oilers and hostlers; secretaries and clerks supporting vehicle servicing activities.

061 — Inspection and maintenance of revenue vehicles. Working supervisors, lead workers, inspectors, service personnel, apprentices, greasers, mechanics, welders, major component repair staff, electricians, bench hands, machinists, coil winders, sheet metal workers, sanders, painters, body workers, upholsterers, glass installers, carpenters, blacksmiths and others engaged in repair, maintenance and inspection activities for revenue vehicles.

062 — Accident repairs of revenue vehicles. All direct and indirect maintenance and administrative labor actually expended on or allocated to the repair of accident damage on revenue vehicles.

071 — Vandalism repairs of revenue vehicles. All direct and indirect maintenance and administrative labor actually expended on or allocated to the repair of vandalism damage on revenue vehicles.

081 — Servicing and fuel of service vehicles. Service managers, supervisors, and lead workers engaged in overseeing the preparation of service vehicles for operation (excluding repair work); cleaners, washers, fuelers, oilers and hostlers; secretaries and clerks supporting servicing activities for service vehicles.

091 — Inspection and maintenance of service vehicles. Working supervisors, lead workers, inspectors, service staff, greasers, mechanics, apprentices, welders, major component repair staff, electricians, bench hands, machinists, coil winders, sheet metal workers, sanders, painters, body workers, upholsters, glass installers, carpenters, blacksmiths, and others engaged in garage and shop repair and maintenance activities for service vehicles.

Non-Vehicle Maintenance Labor (line 03)

042 Non-Vehicle Maintenance

042 — Maintenance administration — facilites (non-vehicles). Maintenance managers, superintendents, supervisors and non-working lead workers engaged in directing and supervising maintenance and repairs to transit way and structures and to other buildings, grounds and equipment; secretaries and clerk typists supporting the administration of maintenance

Exhibit 20 — Employee Operating Labor Classifications — Chapter 6 of Uniform System of Accounts

activities; clerks, timekeepers and other clerical people engaged in scheduling and recording maintenance activities; maintenance training instructors and students; engineers and other technicians engaged in transit way and structures and in other buildings, grounds and equipment maintenance activities.

101 — Maintenance of vehicle movement control systems. Working supervisors, lead workers, electronics technicians, radio and telephone repair staff and others engaged in the repair and maintenance of vehicle movement control equipment.

111 — Maintenance of fare collection and counting equipment. Working supervisors, lead workers, mechanics, cleaners, service staff, and others engaged in the repair and maintenance of fare collection and counting equipment.

121 — Maintenance of roadway and track. Working supervisors, lead workers, inspectors, repair crewmembers, and others engaged in the repair and maintenance of roadway and track (e.g., sanding, removing snow, sweeping, scraping).

122 — Maintenance of structure, tunnels and subways. Working supervisors, lead workers, inspectors, repair crew members, carpenters, custodians, painters, and others engaged in the repair and maintenance of transit way structures, tunnels, bridges and subways.

123 — Maintenance of passenger stations. Working supervisors, lead workers, inspectors, mechanics, service staff, carpenters, plumbers, electricians, custodians, painters, janitors, utility workers, groundskeepers, and others engaged in the repair and maintenance of passenger station buildings, grounds and equipment.

124 — Maintenance of operating station buildings, grounds and equipment. Working supervisors, lead workers, inspectors, mechanics, service staff, carpenters, plumbers, electricians, custodians, painters, janitors, utility workers, groundskeepers and others engaged in the repair and maintenance of operation station buildings, grounds and equipment.

125 — Maintenance of garage and shop buildings, grounds and equipment. Working supervisors, lead workers, inspectors, mechanics, service staff, carpenters, plumbers, electricians, custodians, painters, janitors, utility workers, groundskeepers, and others engaged in the repair and maintenance of garage and shop buildings, grounds and equipment.

126 — Maintenance of communication system. Working supervisors, lead workers, electricians, service staff, cleaners, electronics technicians, mechanics, utility workers, inspectors, and others engaged in the repair and maintenance of general communication equipment.

127 — Maintenance of general administration buildings, grounds and equipment. Working supervisors, lead workers, inspectors, mechanics, service staff, carpenters, plumbers, electricians, custodians, painters, janitors, utility workers, groundskeepers, and others engaged in the repair and maintenance of general administration buildings, grounds and equipment.

128 — Accident repairs of buildings, grounds and equipment. All direct and indirect maintenance and administrative labor actually expended on or allocated to the repair of accident damage on buildings, grounds and equipment.

131 — Vandalism repairs of buildings, grounds and equipment. All direct and indirect maintenance and administrative labor actually expended on or allocated to the repair of vandalism damage on buildings, grounds and equipment.

141 — Operation and maintenance of electric power facilities. Managers, supervisors, lead workers, operators, monitors, clerks and others directly engaged in the generation and distribution of electric power: working supervisors, lead workers, inspectors, mechanics, carpenters, plumbers, electricians, custodians, painters, janitors, utility workers, service staff, and others engaged in the repair and maintenance of electric power generation and distribution facilities.

General Administration Labor (line 04)

160 General Administration

165 — Injuries and damages. Managers, department heads and supervisors engaged in supervising injuries and damages activities; secretaries and clerks supporting administration and supervision; negotiators, lawyers, claims adjusters, investigators, special agents and photographers; statisticians and clerks accumulating and maintaining claims and accident data.

166 — Safety. Managers, directors, and department heads engaged in directing, conducting, and supervising a system safety program; secretaries and clerks supporting safety activities; safety instructors, statisticians, and others engaged in implementing system safety policies and procedures.

167 — Personnel administration. Managers, directors, supervisors, and department heads engaged in administering and supervising personnel activities; secretaries and clerk typists supporting personnel administration; recruiters, interviewers, testers, counselors, reviewers and examiners; employee welfare representatives, analysts, technicians and clerks; medical directors, nurses and first-aid assistants; job and performance evaluation analysts, orientation and training instructors, employment history record clerks, labor relations researchers, negotiators and grievance administrators.

168 — General legal services. Managers, directors and department heads engaged in administering and supervising general legal activities; secretaries and clerks supporting administration and supervision; attorneys, regulatory specialists, researchers, legal clerks and others providing general legal services to the transit agency.

169 — General insurance. Managers, supervisors, and department heads engaged in administering and supervising a general insurance program; secretaries and clerk typists supporting general insurance administration; claims adjusters, investigators, researchers, special agents, statisticians and clerks accumulating and maintaining claims and other general insurance information.

170 — Data processing. Managers, supervisors and department heads engaged in supervising data processing activities; secretaries and clerk-typists supporting data processing supervision; operators of computers, bookkeeping and accounting machines, unit record and other data processing equipment; data entry operators and verifiers; system analysts and programmers; data processing input and output control clerks; service staff and other repair people responsible for

Exhibit 20 — Employee Operating Labor Classifications — Chapter 6 of Uniform System of Accounts

maintaining data processing equipment.

171 — Finance and accounting. Comptroller, treasurer, supervisors, chief accountants and department heads engaged in supervising finance and accounting activities; secretaries and clerk-typists supporting finance and accounting administration; accountants, bookkeepers and accounting clerks; budget analysts, cost accountants and internal auditors; receipts and labor distribution clerks, property and other fixed assets clerks.

172 — Purchasing and stores. Managers, directors, supervisors and department heads engaged in administering and supervising purchasing and stores activities; secretaries and clerk-typists supporting purchasing and stores administration; purchasing agents, buyers and specification analysts, storekeepers, stock clerks, shipping and receiving clerks, material handlers and deliverers; price, order and inventory control clerks.

173 — General engineering. Managers, chief engineers, supervisors, and department heads engaged in directing and supervising general engineering activities; secretaries and clerk typists supporting administration of general engineering; engineers, specification analysts, researchers and drafters.

174 — Real estate management. Managers, directors and department heads engaged in managing transit real estate; secretaries and clerical staff supporting administration of real estate activities.

175 — Office management and services. Office managers, supervisors and department heads engaged in supervising office management and services activities; secretaries and clerk-typists supporting administration of office management and services; main receptionists, switchboard operators, messengers, librarians, central file clerks, and mail room workers; printing shop operators and clerks; in-house newspaper writers and publishers; cafeteria and custodial employees.

176 — General management. Directors, general manager, assistant general manager, marine superintendent and operations manager (responsible for maintenance and transportation); administrative analysts, assistants and staff, special projects manager and staff; secretaries and other clerical staff supporting general management activities.

177 — Planning. Directors, managers, supervisors and department heads engaged in directing and supervising planning activities; secretaries and clerks supporting supervision activities; transit analysts and planners; design, layout and graphics specialists.

145 — Preliminary transit system development. All direct and indirect labor actually expended on or allocated to the preliminary development of a transit agency.

162 — Customer services. Managers, department heads and supervisors engaged in supervising customer service activities; charter service managers, sales personnel and staff workers; people operating route information booths and stands; telephone information operators and clerks; employees staffing a lost and found department; people engaged in designing, producing and distributing system maps and timetables.

163 — Promotion. Marketing and advertising managers, public information directors and other supervisors and department heads engaged in directing and supervising promotion activities; secretaries and clerks supporting supervision of promotion; design and layout artists, news writers and editors, mass media and public relations representatives; printers and machine operators producing promotional material.

164 — Market research. Directors, managers, supervisors and department heads engaged in directing and supervising transit market research activities; secretaries and clerks supporting supervision activities; customer and market researchers.

Capital Labor

Capital labor is the personnel involved in the purchase of equipment (e.g., buses, shelters) and construction of facilities (e.g., garages, guideway, stations). The work activities for capital labor are related to design and engineering, purchase, land acquisition / relocation, construction, rehabilitation, and management of capital grants and projects.

Employee Work Hours and Counts

You should report the number of employee work hours and actual person counts of employees, full time and part time.

Employee Work Hours

You should report work hours for all the hours worked by transit agency employees during the report year, even if they are not employees at the end of the report year.

Actual Person Count

You should report actual person counts based on approved and filled positions at the end of the report year.

You should prorate work hours and person counts among labor classifications and modes if an employee works for more than any one of the following:

- Function
- Mode
- Type of service (TOS).

You should report actual person counts to one decimal place. Employee counts are not required to add up to a whole number.

You should report only the hours and actual person counts of employees for directly operated (DO) modes. You should exclude the hours worked on behalf of purchased transportation (PT) agreements.

The example below describes how to report information for an employee working on more than one mode and TOS.

Note: Mode DR/DO, the employee works 50 % of their time on this mode. DR/PT the employee works 30% of their time and MB-PT the employee works 20% off their time. Purchased transportation is not reported however, so in this case, the agency would only report half an employee (.5), on line 2, column c, and that person's hours worked for the reportable mode only, in this case 800 hours.

Example 25 – Work Hours and Prorated Person Hours

Example: A transit agency has a full time employee who performs vehicle maintenance on both directly operated (DO) and purchased transportation (PT) services. How should the employee and his work hours be reported?

Mode	Type of Service	Full Time Employee Work Hours
Demand response (DR)	DO	800
DR	PT	600
Bus (MB)	PT	400
	Total	**1,800**

Solution: Prorate the employee using the number of hours worked.

Mode	Type of Service	Full Time Employee Work Hours	Calculation of Employee	Full Time Employee
DR	DO	800 line 02, column a	800 / 1,800	.5 line 02, column c
DR	PT	600 not reported	600 / 1,800	.3 not reported
MB	PT	400 not reported	400 / 1,800	.2 not reported
	Total		**1,800**	**1.0**

Line by Line Instructions Employees form (R-10)

Completing the Employees form (R-10)

You should complete one form for each DO mode.

Form Level Help: You should click on the **Help** tab at the top of the screen for form level help.

Form Notes: A form note can be attached to any form. You should use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. You should click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. You should not use the **Form Notes** feature to answer issues generated from this form. From the **Issues** tab You should use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: You should click on the **Save** button at the bottom of the screen to save the form. You should click on the **Close** button at the bottom of the screen to close the form without saving.

Labor Classifications

Operating Labor

Line 01: Vehicles Operations (010)

- Column a: Employee Work Hours for Full Time Employees. Enter the number of full time employee work hours for vehicle operations, including transportation administration and support, revenue vehicle operation, ticketing and fare collection, and system security. These are all the hours worked by full time employees during the report year, even if they are not employees of the transit agency at the end of the report year.
- Column b: Employee Work Hours for Part Time Employees. Enter the number of part time employee work hours for vehicle operations, including transportation administration and support, revenue vehicle operation, ticketing and fare collection, and system security. These are all the hours worked by part time employees during the report year, even if they are not employees of the transit agency at the end of the report year.
- Column c: Actual Person Count for Full Time Employees. Enter the actual person count of full time employees performing vehicle operations, including transportation administration and support, revenue vehicle operation, ticketing and fare collection, and system security. These are all the full time personnel holding approved and filled positions at the end of the report year.
- Column d: Actual Person Count for Part Time Employees. Enter the actual person count of part time employees performing vehicle operations, including transportation administration and support, revenue vehicle operation, ticketing and fare collection, and system security. These are all the part time personnel holding approved and filled positions at the end of the report year.

Line 02: Vehicle Maintenance (041)

- Column a: Employee Work Hours for Full Time Employees. Enter the number of full time employee work hours directing, supervising and / or performing inspection and vehicle maintenance activities, repairs, and servicing (cleaning, sweeping, washing, fueling, oiling) of transit vehicles (revenue vehicles and service vehicles). These are all the hours worked by full time employees during the report year, even if they are not employees of the transit agency at the end of the report year.
- Column b: Employee Work Hours for Part Time Employees. Enter the number of part time employee work hours directing, supervising and / or performing inspection and vehicle maintenance activities, repairs and servicing (cleaning, sweeping, washing, fueling, oiling) of transit vehicles (revenue vehicles and service vehicles). These are all the hours worked by part time employees during the report year, even if they are not employees of the transit agency at the end of the report year.
- Column c: Actual Person Count for Full Time Employees. Enter the actual person count of full time employees directing, supervising and / or performing inspection and vehicle maintenance activities, repairs and servicing (cleaning, sweeping, washing, fueling, oiling) of transit vehicles (revenue vehicles and service vehicles). These are all the full time personnel holding approved and filled positions at the end of the report year.
- Column d: Actual Person Count for Part Time Employees. Enter the actual person count of part time employees directing, supervising and / or performing inspection and vehicle maintenance activities, repairs and servicing (cleaning, sweeping, washing, fueling, oiling) of transit vehicles (revenue vehicles and service vehicles). These are all the part time personnel holding approved and filled positions at the end of the report year.

Line 03: Non-Vehicle Maintenance (042)

- Column a: Employee Work Hours for Full Time Employees. Enter the number of full time employee work hours directing, supervising and / or performing non-vehicle maintenance of buildings, grounds, roadways and track, fare collection and

counting equipment, and revenue vehicle movement control systems. These are all the hours worked by full time employees during the report year, even if they are not employees of the transit agency at the end of the report year.

- Column b: Employee Work Hours for Part Time Employees. Enter the number of part time employee work hours directing, supervising and / or performing non-vehicle maintenance of buildings, grounds, roadways and track, fare collection and counting equipment, and revenue vehicle movement control systems. These are all the hours worked by part time employees during the report year, even if they are not employees of the transit agency at the end of the report year.
- Column c: Actual Person Count for Full Time Employees. Enter the actual person count of full time employees directing, supervising and / or performing non-vehicle maintenance of buildings, grounds, roadways and track, fare collection and counting equipment, and revenue vehicle movement control systems. These are all the full time personnel holding approved and filled positions at the end of the report year.
- Column d: Actual Person Count for Part Time Employees. Enter the actual person count of part time employees directing, supervising and / or performing non-vehicle maintenance of buildings, grounds, roadways and track, fare collection and counting equipment, and revenue vehicle movement control systems. These are all the part time personnel holding approved and filled positions at the end of the report year.

Line 04: General Administration (160)

- Column a: Employee Work Hours for Full Time Employees. Enter the number of full time employee work hours performing executive, professional, supervisory and clerical general administrative duties including planning, legal services, data processing, finance and accounting, safety, insurance, general engineering, real estate management, and customer service, promotion and market research. These are all the hours worked by full time employees during the report year, even if they are not employees of the transit agency at the end of the report year.
- Column b: Employee Work Hours for Part Time Employees. Enter the number of part time employee work hours performing executive, professional, supervisory and clerical general administrative duties including planning, legal services, data processing, finance and accounting, safety, insurance, general engineering, real estate management, and customer service, promotion and market research. These are all the hours worked by part time employees during the report year, even if they are employees of the transit agency at the end of the report year.
- Column c: Actual Person Count for Full Time Employees. Enter the actual person count of full time employees performing executive, professional, supervisory and clerical general administrative duties including planning, legal services, data processing, finance and accounting, safety, insurance, general engineering, real estate management, and customer service, promotion and market research. These are all the full time personnel holding approved and filled positions at the end of the report year.
- Column d: Actual Person Count for Part Time Employees. Enter the actual person count of part time employees performing executive, professional, supervisory and clerical general administrative duties including planning, legal services, data processing, finance and accounting, safety, insurance, general engineering, real estate management, and customer service, promotion and market research. These are all the part time personnel holding approved and filled positions at the end of the report year.

Line 05: Total Operating Labor

- Column a: Employee Work Hours for Full Time Employees. This is an **auto-calculated** field and cannot be edited, review for accuracy. The number of full time employee work hours for vehicle operations, vehicle maintenance, non-vehicle maintenance and general administration equal to the sum of lines 01 through 04.
- Column b: Employee Work Hours for Part Time Employees. This is an **auto-calculated** field and cannot be edited, review for accuracy. The number of part time employees, employee work hours for vehicle operations, vehicle maintenance, non-vehicle maintenance and general administration equal to the sum of lines 01 through 04.
- Column c: Actual Person Count for Full Time Employees. This is an **auto-calculated** field and cannot be edited, review for accuracy. The actual person count of full time employees performing vehicle operations, vehicle maintenance, non-vehicle maintenance and general administration equal to the sum of lines 01 through 04.
- Column d: Actual Person Count for Part Time Employees. This is an **auto-calculated** field and cannot be edited, review for accuracy. The actual person count of part time employees performing vehicle operations, vehicle maintenance, non-vehicle maintenance and general administration equal to the sum of lines 01 through 04.

Line 06: Total Capital Labor

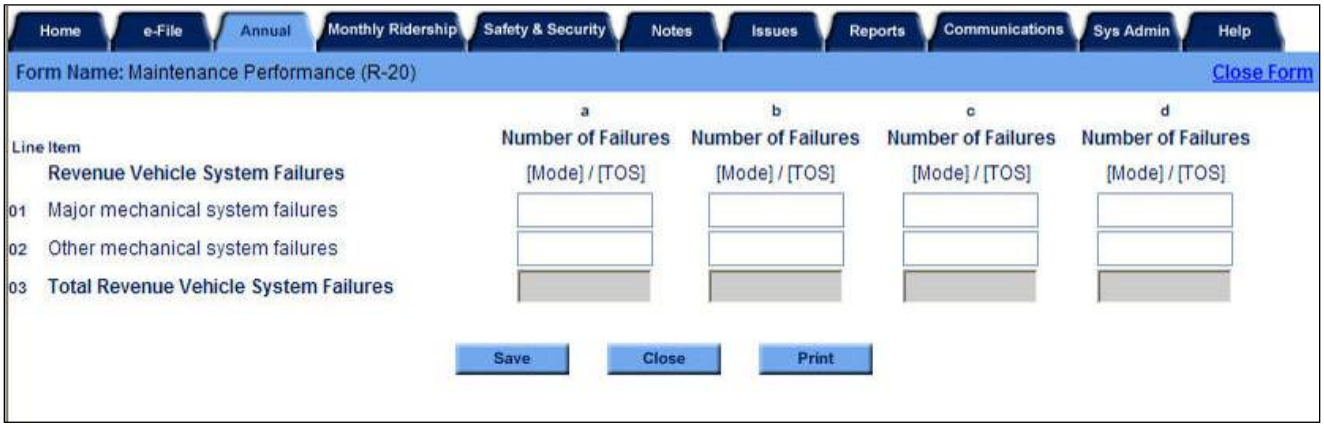
- Column a: Employee Work Hours for Full Time Employees. Enter the number of full time employee work hours involved in purchasing equipment (e.g., buses, shelters) and constructing facilities (e.g., garages, guideway, stations). These are all the hours worked by full time employees during the report year, even if they are not employees of the transit agency at the end of the report year.
- Column b: Employee Work Hours for Part Time Employees. Enter the number of part time employee work hours involved in purchasing equipment (e.g., buses, shelters) and constructing facilities (e.g., garages, guideway, stations). These are all the hours worked by part time employees during the report year, even if they are not employees of the transit agency at the end of the report year.

- Column c: Actual Person Count for Full Time Employees. Enter the actual person count of full time employees involved in purchasing equipment (e.g., buses, shelters) and constructing facilities (e.g., garages, guideway, stations). These are all the full time personnel holding approved and filled positions at the end of the report year.
- Column d: Actual Person Count for Part Time Employees. Enter the actual person count of part time employees involved in purchasing equipment (e.g., buses, shelters) and constructing facilities (e.g., garages, guideway, stations). These are all the part time personnel holding approved and filled positions at the end of the report year.

Line 07: Total Labor

- Column a: Employee Work Hours for Full Time Employees. This is an **auto-calculated** field and cannot be edited, review for accuracy The number of full time employee work hours for operating and capital labor equal to the sum of lines 05 and 06.
- Column b: Employee Work Hours for Part Time Employees. This is an **auto-calculated** field and cannot be edited, review for accuracy The number of part time employee work hours for operating and capital labor equal to the sum of lines 05 and 06.
- Column c: Actual Person Count for Full Time Employees. This is an **auto-calculated** field and cannot be edited, review for accuracy The actual person count of full time employees for operating and capital labor equal to the sum of lines 05 and 06.
- Column d: Actual Person Count for Part Time Employees. This is an **auto-calculated** field and cannot be edited, review for accuracy The actual person count of part time employees for operating and capital labor equal to the sum of lines 05 and 06.

Maintenance Performance form (R-20)



Overview

The Maintenance Performance form (R-20) collects data on revenue vehicle system failures.

Reporting Requirements and Thresholds

This form is required for all directly operated (DO) and purchased transportation (PT) modes except demand response taxi mode (DT/PT). You should complete one form for all modes and types of service.

What Has Changed from Prior Year

There is one change to the R-20 form for the 2011report year:

1. The form now excludes revenue service system failures for taxicab services. The demand response-taxi mode does not appear on the form.

Approach

- You should report only failure data for revenue vehicles. Revenue vehicle system failures are mechanical problems that affect a vehicle as follows:
- The specific vehicle does not complete its scheduled revenue trip, or
- The specific vehicle does not start its next scheduled revenue trip.

The definition of revenue vehicle system failures applies to the performance of a specific vehicle (e.g., bus equipment number 5009). A failure is counted when the specific vehicle (e.g., 5009) fails to complete its scheduled revenue trip or start its next scheduled revenue trip even when another vehicle (e.g., vehicle number 4004) is substituted and no revenue service is lost.

The failures may occur in revenue service including layover / recovery time, or during deadhead (miles and hours). See the Service form (S-10) section of this manual for a detailed discussion of revenue service, layover and deadhead.

Transit agency employees (object class (501) labor) or outside personnel (object class (503) services) may repair the vehicles.

The revenue vehicle system failures are reported in two categories:

1. Major mechanical system failures are those that limit actual vehicle movement or are safety issues, and
2. Other mechanical system failures.

Detailed Instructions

You should report data by mode and type of service.

Failures are classified as either a major or other failure of a part of the revenue vehicle's mechanical systems.

You should report all failures that affect the completion of a scheduled revenue trip or the start of the next scheduled revenue trip, including failures during deadheading and layover.

Major Mechanical System Failures

These are failures of a mechanical element of the revenue vehicle that prevents the vehicle from completing a scheduled revenue trip or from starting the next scheduled revenue trip because actual movement is limited or because of safety concerns. Examples of major bus failures include breakdowns of brakes, doors, engine cooling system, steering and front axle, rear axle and suspension and torque converters.

A number of factors affect the number of major mechanical system failures incurred by a transit agency including local operating conditions, types of vehicles operated, and effectiveness of the maintenance program. However, it is expected that the same types of major mechanical failures will be reported by different agencies. The differences among agencies may be in the numbers reported, not the types of major mechanical failures.

Other Mechanical System Failures

These are failures of some other mechanical element of the revenue vehicle that, because of local agency policy, prevents the revenue vehicle from completing a scheduled revenue trip or from starting the next scheduled revenue trip even though the vehicle is physically able to continue in revenue service. Examples of other bus failures include breakdowns of fareboxes, wheelchair lifts, heating, ventilation and air conditioning (HVAC) systems and other problems not included as a major mechanical systems failure.

Since other mechanical system failures are based on local policies, there will be variation in the types and therefore, the numbers reported by different transit agencies. For example, some agencies in the southern part of the country may continue to operate a bus with a heating system breakdown while agencies in the northern part of the country would replace the bus immediately.

The following example describes how to determine revenue vehicle system failures for reporting.

Example 26 — Revenue Vehicle System Failure Reporting
Example 1: The air conditioning on one of Hamlet Transit Agency's buses (MB/DO) fails while carrying passengers in revenue service. The driver determines that he is unable to repair the problem and calls for a backup because it is a hot day. **Solution:** You should report as other mechanical system failure (line 02, MB). Air conditioning is not considered a major system, because the bus could physically continue in revenue service without working air conditioning.
Example 2: During layover, one of Hamlet Transit Agency's buses (MB/DO) experiences an engine cooling system failure. The vehicle is towed to the garage. Passengers waiting to board during layover wait for the next trip. **Solution:** You should report as a major mechanical systems failure because the bus could not physically operate its next scheduled trip (line 01, MB).
Example 3: The brakes stick on one of Hamlet Transit Agency's buses (MB/DO). The driver radios for help from the mobile repair unit; the unit adjusts the brakes during the scheduled layover for the bus in time for the bus to start its next scheduled trip. **Solution:** You do not report because the bus started its next scheduled trip.
Example 4: The front axle breaks on one of Hamlet Transit Agency's buses (MB/DO) on its scheduled pullout from the garage to the beginning of the bus route. The bus is towed to the garage and a replacement vehicle is sent. **Solution:** You should report as a major mechanical systems failure because the bus could not start its next scheduled trip (line 01, MB).
Example 5: While deadheading back to the dispatching point at the end of the day, an electrical system problem activates the wheelchair lift on one of Hamlet Transit Agency's vans (DR/DO). The lift gets stuck in the extended position and the van has to be towed to the garage. **Solution:** You should not report since the van completed all of its scheduled trips for the day.
Example 6: A substation that provides power to Hamlet Transit Agency's light rail (LR/DO) experiences a temporary failure. Rail service is delayed for ten minutes. Passengers stay on-board and service resumes. **Solution:** You should do not report this incident. There is no mechanical failure of a light rail passenger car.

Line by Line Instructions Maintenance Performance form (R-20)

Completing the Maintenance Performance form (R-20)

You should complete one form for rail modes and non-rail modes by mode and type of service.

Form Level Help: You should click on the **Help** tab at the top of the screen for form level help.

Form Notes: A form note can be attached to any form. You should use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. You should click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. You should not use the Form Notes feature to answer issues generated from this form. From the **Issues** tab You should use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: You should click on the **Save** button at the bottom of the screen to save the form. You should click on the **Close** button at the bottom of the screen to close the form without saving.

Revenue Vehicle System Failures

Line 01: Major Mechanical System Failures. By mode.

- Enter the number of failures of mechanical components of major systems that prevent the specific revenue vehicle from completing a scheduled revenue trip or from starting the next scheduled revenue trip because actual movement is limited or because of safety concerns.

Line 02: Other Mechanical System Failures. By mode.

- Enter the number of failures of mechanical components of major systems that, because of local agency policy, prevent the specific revenue vehicle from completing a scheduled revenue trip or from starting the next scheduled revenue trip even though the vehicle is physically able to continue in revenue service.

Line 03: Total Revenue Vehicle System Failures.

- This is an **auto-calculated** field and cannot be edited, review for accuracy. By mode, the total number of revenue vehicle system failures equal to the sum of lines 01 and 02.

Energy Consumption form (R-30)

Home | e-File | Annual | Monthly Ridership | Safety & Security | Notes | Issues | Reports | Communications | Sys Admin | Search | Summary | Help

Form Name: Energy Consumption Rail (R-30) Close Form

Line	a	b	c
	Total Units Consumed per Mode	Total Units Consumed per Mode	Total Units Consumed per Mode
Energy Type	Mode/TS	Mode/TS	Mode/TS
02 Kilowatt hours of propulsion power (EP)			
03 Gallons of diesel fuel (DF)			
04 Gallons of bio-diesel fuel (BD)			
06 Gallons of liquefied petroleum gas (LPG)(LP)			
07 Gallons of liquefied natural gas (LNG)(LN)			
14 Gallons of other fuel (OR)			

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Form Name: Energy Consumption Non-Rail (R-30) Close Form

Line	a	b	c	d	e
	Total Units Consumed per Mode	Total Units Consumed per Mode	Total Units Consumed per Mode	Total Units Consumed per Mode	Total Units Consumed per Mode
Energy Type	DR / PT	MB / DO	MB / PT	TB / DO	VP / DO
01 Kilowatt hours to charge batteries (EB)					
02 Kilowatt hours of propulsion power (EP)					
3 Gallons of diesel fuel (DF)					
04 Gallons of bio-diesel (BD)					
05 Gallons of gasoline (GA)					
06 Gallons of liquefied petroleum gas (LPG)(LP)					
07 Gallons of liquefied natural gas (LNG)(LN)					
08 Gallons of methanol (MT)					
09 Gallons of ethanol (ET)					
10 Gallons of compressed natural gas (CNG)(CN)					
11 Gallons of bunker fuel (BF)					
12 Gallons of kerosene (KE)					
13 Gallons of grain additive fuel (GR)					
14 Gallons of other fuel (OR)					

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Overview

The Energy Consumption form (R-30) collects data on the fuels consumed by revenue vehicles. These are the fuels used to propel the revenue vehicle.

Reporting Requirements and Thresholds

This form is required for all directly operated (DO) and purchased transportation (PT) modes. You should complete one form for all modes and types of service.

What Has Changed from Prior Year

There are two changes to the R-30 form for the 2011 report year:

1. Rail modes now include bio-diesel fuel (BD)
2. Non-rail modes now exclude fuel consumption data for taxicab services. The demand response-taxi mode does not appear on the form.

Approach

Only the fuel used to propel revenue vehicles is reported. Lubricants are not reported.

Relationship of Energy Consumption to Other NTD Forms

This form has key reporting relationships with the following two NTD reporting forms:

Revenue Vehicle Inventory form (A-30). The fuel types for which fuel consumption is reported on the R-30 form should be consistent — one-to-one matching — with the fuel types reported on the A-30 form. The only exceptions to this reporting relationship are when the vehicles have been added or retired from the vehicle inventory during the report year since the R-30 form shows fuel consumption for the entire report year while the A-30 form shows the vehicle inventory on the last day of the report year; or there are dual fuel vehicles since the R-30 form shows each of the fuels consumed while the A-30 show a dual fuel (DU) fuel type.

A new category of fuel type is now included on the A-30 form for hybrid vehicles. Since it is difficult to measure the secondary power if it is generated as part of the vehicle design, you should report only the primary fuel source, such as gasoline or diesel that is used to produce electrical power to help propel the vehicle. If the “hybrid” vehicle uses batteries charged externally, then you should continue to report on the A-30 form the vehicle as a dual fuel for fuel type, with fuel consumed in each category on the R-30 form, for example, kilowatt hours to charge batteries and gallons of diesel.

3. **Operating Expenses form (F-30).** Energy consumption data reported on the R-30 form should correspond to the operating expenses for fuel and lubricants for revenue vehicles reported on the F-30 form. In the NTD reporting system, one of the measures looks at cost per gallon or per kilowatt-hour of fuel consumed. The expense reported for fuel and lubricants (object class (504.01)) for vehicle operations (010) on the F-30 form is used to approximate the actual cost per gallon or kilowatt-hour for revenue vehicles. Even though the expenses include lubricants, lubricants usually are a small part of the total expenses and, therefore, the approximation is a reasonable approach.

Detailed Instructions

You are required to report energy consumption in kilowatt-hours, gallons, or gallon equivalents.

There are two versions of the form that you may complete that based the modes and types of service operated by your agency:

1. All rail modes
2. All non-rail modes

The rail form has fewer selections of fuel types than the non-rail form.

Rail Modes

The reporting for rail modes is very straight forward. The reporting is done by energy type.

Energy Type

You should report the following types of energy consumed for rail modes:

- Kilowatt hours of propulsion power (EP)

- Gallons of diesel fuel (DF)
- Gallons of bio-diesel (BD)
- Gallons of liquefied petroleum gas (LPG) (LP)
- Gallons of liquefied natural gas (LNG) (LN)
- Gallons of other fuel (OR).

If none of the energy choices fits, you should select gallons of other fuel (OR). Internet reporting will display a box for you to describe the other fuel (OR) consumed.

You should report fuel mixtures by the amount of fuel consumed in each category.

Non-Rail Modes

The reporting for non-rail modes is done by energy types, but also may involve considerations related to hybrid vehicles and CNG conversion.

Energy Type

You should report the following types of energy consumed for non-rail modes:

- Kilowatt hours of propulsion power (EP)
- Kilowatt hours to charge batteries (EB)
- Gallons of diesel fuel (DF)
- Gallons of bio-diesel (BD)
- Gallons of gasoline (GA)
- Gallons of liquefied petroleum gas (LPG) (LP)
- Gallons of liquefied natural gas (LNG) (LN)
- Gallons of methanol (MT)
- Gallons of ethanol (ET)
- Gallons of compressed natural gas (CNG) (CN)
- Gallons of bunker fuel (low grade of diesel fuel often used in ferryboat operations) (BF)
- Gallons of kerosene (KE)
- Gallons of grain additive fuel (typical in Midwestern parts of the U.S.) (GR)
- Gallons of other fuel (OR).

If none of the energy choices fits, you should select gallons of other fuel (OR). Internet reporting will display a box for you to describe the other fuel (OR) consumed.

You should report fuel mixtures by the amount of fuel consumed in each category.

Hybrid Vehicles

Since it is difficult to measure the secondary power if it is generated as part of the vehicle design, you should report only the primary fuel source, such as gasoline or diesel that is used to produce electrical power to help propel the vehicle. If the “hybrid” vehicle uses batteries charged externally, then You should continue to report on the A-30 the vehicle as a dual fuel for fuel type, with fuel consumed in each category on the R-30, for example, kilowatt hours to charge batteries and gallons of diesel.

CNG Conversion

You should report compressed natural gas (CNG) in gallon equivalents of either gasoline or diesel fuel. If possible, you should contact the supplier for the correct conversion factors. If you cannot obtain the conversion factor from the supplier, you should use the conversion factors in the exhibit below. On the actual form in Internet reporting, a link is provided to the **Conversion Table**.

In order to apply the factors, you should determine what type of fuel the revenue vehicle would have likely used if it were not powered by CNG. Several examples of applying this reporting guideline are provided in Example 26.

Exhibit 21 — Compressed Natural Gas Conversion Factors

1 Therm = 100,000 BTUs
Gallon equivalents of diesel (#2 grade) = Number of BTUs / 138,000
Gallon equivalents of gasoline = Number of BTUs / 114,000
Gallon equivalent of gasoline = 5.66 pounds
Gallon equivalent of diesel (#2 grade) = 5.42 pounds

Example 27 – Compressed Natural Gas Conversion

Example 1: Compressed natural gas (CNG) therm conversion to equivalent gallons of diesel (DF).
A transit agency has one small bus for demand response service that uses CNG fuel. It buys 5,000 therms of CNG.
Solution: The transit agency decides that the most likely fuel if not CNG would have been DF.
5,000 therms × 100,000 BTU / 138,000 = **3,623 equivalent gallons of diesel (DF)**

Example 2: CNG therm conversion to equivalent gallons of gasoline (GA).
A transit agency has one eight-passenger van for demand response (DR) service that uses CNG fuel. It buys 4,500 therms of CNG.
Solution: The transit agency decides that the most likely fuel if not CNG would have been gasoline (GA).
4,500 therms × 100,000 BTU / 114,000 = **3,947 equivalent gallons of gasoline (GA)**

Example 3: CNG pound conversion to equivalent gallons of gasoline (GA).
A transit agency has one eight-passenger van for demand response (DR) service that uses CNG fuel. It buys 4,000 pounds of CNG.
Solution: The transit agency decides that the most likely fuel if not CNG would have been gasoline (GA).
600 pounds × 5.66 gallons per pound = **3,396 equivalent gallons of gasoline (GA)**

Line by Line Instructions Energy Consumption form (R-30)

Completing the Energy Consumption form (R-30)

You should complete one form for rail modes and one form for non-rail modes by mode and type of service. The form does not collect fuel consumption data for taxicab services (DT/PT). **Form Level Help**: You should click on the **Help** tab at the top of the screen for form level help.

Form Notes: A form note can be attached to any form. You should use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. You should click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. You should not use the Form Notes feature to answer issues generated from this form. From the **Issues** tab you should use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: You should click on the **Save** button at the bottom of the screen to save the form. You should click on the **Close** button at the bottom of the screen to close the form without saving.

Energy Type – By Mode for all lines.

Line 01: Kilowatt Hours to Charge Batteries (EB).

- Enter the number of kilowatt hours to charge EB for electric revenue vehicles for all non-rail modes.

Line 02: Kilowatt Hours of Propulsion Power (EP).

- Enter the number of kilowatt hours of EP consumed by the revenue vehicles for all rail and trolleybus (TB) modes and battery-powered vehicles.

Line 03: Gallons of Diesel Fuel (DF).

- Enter the number of gallons of DF consumed by the revenue vehicles for all rail and non-rail modes.

Line 04: Gallons of Bio-Diesel (BD).

- Enter the number of gallons of BD consumed by the revenue vehicles all for non-rail modes.

Line 05: Gallons of Gasoline (GA).

- Enter the number of gallons of GA consumed by the revenue vehicles for all non-rail modes.

Line 06: Gallons of Liquefied Petroleum Gas (LPG) (LP).

- Enter the number of gallons of LPG consumed by the revenue vehicles for all rail and non-rail modes.

Line 07: Gallons of Liquefied Natural Gas (LNG) (LN).

- Enter the number of gallons of LNG consumed by the revenue vehicles for all rail and non-rail modes.

Line 08: Gallons of Methanol (MT).

- Enter the number of gallons of MT consumed by the revenue vehicles for all non-rail modes.

Line 09: Gallons of Ethanol (ET).

- Enter the number of gallons of ET consumed by the revenue vehicles for all non-rail modes.

Line 10: Gallons of Compressed Natural Gas (CNG) (CN).

- Enter the number of equivalent gallons (gasoline or diesel fuel) of CNG consumed by the revenue vehicles for all non-rail modes. If possible, contact the supplier for the correct conversion factors. If you cannot obtain the conversion factor from the supplier, click the **text** link to view a CNG conversion table for equivalent gallons.

Line 11: Gallons of Bunker Fuel (BF).

- Enter the number of gallons of BF (low grade of diesel fuel often used in ferryboat operations) consumed by the revenue vehicles for all non-rail modes.

Line 12: Gallons of Kerosene (KE).

- Enter the number of gallons of KE consumed by the revenue vehicles for all non-rail modes.

Line 13: Gallons of Grain Additive Fuel (GR).

- Enter the number of gallons of GR consumed by the revenue vehicles for all non-rail modes.

Line 14: Gallons of Other Fuel (OR).

- Enter the number of gallons of any OR fuel consumed by the revenue vehicles for all rail and non-rail modes. Gallons of OR fuel – If none of the energy choices fit select gallons of OR fuel. Internet reporting will display a box for you to describe the OR fuel consumed.

Federal Funding Allocation Statistics Module

The Federal Funding Allocation Statistics Module contains one form.

1. Federal Funding Allocation Statistics form (FFA-10).

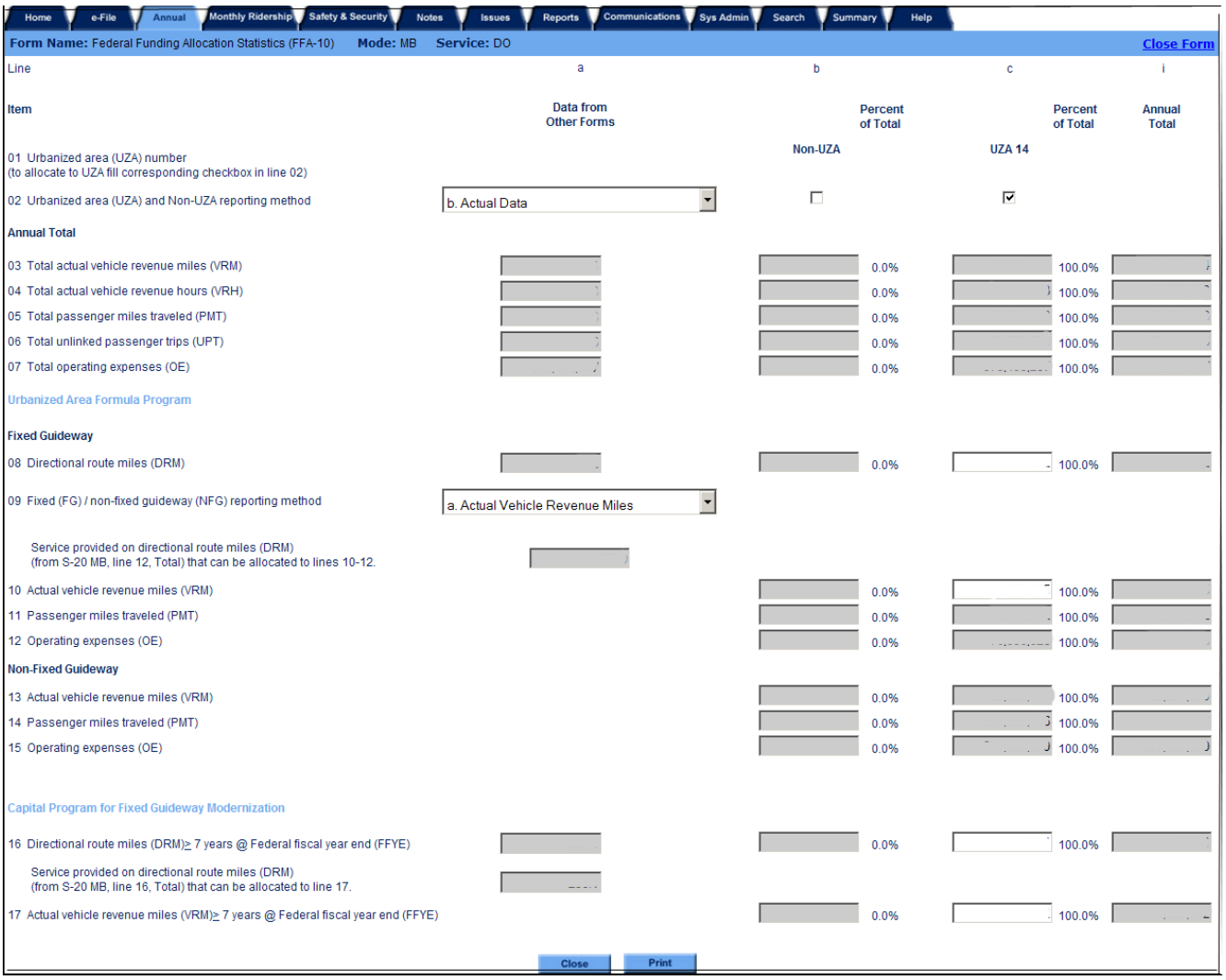
Federal Funding Allocation Statistics form (FFA-10)

The purpose of the FFA-10 form is to summarize data used in apportioning funds for the Federal Transit Administration's (FTA) Urbanized Area Formula Program (§5307) and the Capital Program for Fixed Guideway Modernization (§5309 in part).

This form is required from transit agencies in or serving urbanized areas (UZAs) using 2010 U.S. Bureau of the Census information. However, the Census bureau will not release the new UZA definitions until the spring of 2012, followed by release of the detailed UZA boundary maps. Therefore, transit agencies will submit NTD reports according to the regular deadlines, but without FFA-10 forms. Upon release of the Census UZA maps, FTA will notify all urbanized area NTD reporters to logon to the NTD Online Reporting System and resubmit their Basic Information form (B–10) identifying the 2010 UZAs in the service area, and to submit FFA–10 forms reflecting the new UZA definitions.

Transit agencies complete separate forms for directly operated (DO) and for purchased transportation (PT) services by mode.

Federal Funding Allocation Statistics form (FFA-10)



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Form Name: Federal Funding Allocation Statistics (FFA-10) **Mode:** TB **Service:** DO — Close Form

Line	a	b		c		i
Item	**Data from Other Forms**		**Percent of Total**		**Percent of Total**	**Annual Total**
01 Urbanized area (UZA) number (to allocate to UZA fill corresponding checkbox in line 02)		**Non-UZA**		**UZA 14**		
02 Urbanized area (UZA) and Non-UZA reporting method	b. Actual Data	☐		☑		
Annual Total						
04 Total actual vehicle revenue hours (VRH)			0.0%		100.0%	
06 Total unlinked passenger trips (UPT)			0.0%		100.0%	
Urbanized Area Formula Program						
Fixed Guideway						
08 Directional route miles (DRM)			0.0%		100.0%	
Service provided on directional route miles (DRM) (from S-20 TB, line 08, Total) that can be allocated to lines 10-12.						
10 Actual vehicle revenue miles (VRM)			0.0%		100.0%	
11 Passenger miles traveled (PMT)			0.0%		100.0%	
12 Operating expenses (OE)			0.0%		100.0%	
Capital Program for Fixed Guideway Modernization						
16 Directional route miles (DRM)≥ 7 years @ Federal fiscal year end (FFYE)			0.0%		100.0%	
Service provided on directional route miles (DRM) (from S-20 MB, line 13, Total) that can be allocated to line 17.						
17 Actual vehicle revenue miles (VRM)≥ 7 years @ Federal fiscal year end (FFYE)			0.0%		100.0%	

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Form Name: Federal Funding Allocation Statistics (FFA-10) **Mode:** VP **Service:** DO — Close Form

Line	a	b		i
Item	**Data from Other Forms**		**Percent of Total**	**Annual Total**
01 Urbanized area (UZA) number (to allocate to UZA fill corresponding checkbox in line 02)		**UZA 11**		
02 Urbanized area (UZA) and Non-UZA reporting method	b. Actual Data	☑		
Annual Total				
04 Total actual vehicle revenue hours (VRH)			100.0%	
06 Total unlinked passenger trips (UPT)			100.0%	
Urbanized Area Formula Program				
Non-Fixed Guideway				
13 Actual vehicle revenue miles (VRM)			100.0%	
14 Passenger miles traveled (PMT)			100.0%	
15 Operating expenses (OE)			100.0%	

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Overview

The FTA uses the statistics from the Federal Funding Allocation Statistics form (FFA-10) to allocate funds for two programs:

1. Urbanized Area Formula Program (§5307)
2. Capital Program for Fixed Guideway Modernization (§5309 in part).

Urbanized Area Formula Program

The FTA UAF (§5307 of the Federal Transit Act) is a formula program for capital projects, planning activities, and under limited circumstances, operating expenses (OE).

The UAFP apportionment for all urbanized areas uses population, population density, and statistical data from the NTD. Specifically, the information from the NTD is the basis for the following apportionment factors for urbanized areas over 200,000 in population:

- Actual vehicle revenue miles (VRM)
- Fixed guideway directional route miles (FG DRM)
- Passenger miles traveled (PMT) multiplied by PMT per operating expenses (OE)
- Whether the service is fixed guideway service or non-fixed guideway service.

For urbanized areas with fewer than 200,000 population, the UAFP apportionment uses population and population density, as well as factors under the Small Transit Intensive Cities (STIC) formula. The STIC formula apportions funds to urbanized areas with fewer than 200,000 population that meet or exceed the average level of service for all UZAs with populations between 200,000 and 1,000,000 based on one or more of six factors:

1. Passenger miles traveled per vehicle revenue mile
2. Passenger miles traveled per vehicle revenue hour (VRH)
3. Vehicle revenue miles per capita
4. Vehicle revenue hours per capita
5. Passenger miles traveled per capita, and
6. Unlinked passenger trips (UPT) per capita.

Transit agencies report these data items on the FFA-10 form. For a discussion of these data items, see the Service Module forms (S-10 and S-20) and Operating Expenses form (F-30).

The UAF contains separate funding tiers for FG and non-fixed guideway (NFG) modes. Fixed guideway modes fall into three categories:

- Modes that utilize a separate right-of-way (ROW) — aerial tramway (TR) or rails for the exclusive use of public transportation service, (i.e., Alaska railroad (AR), cable car (CC), commuter rail (CR), heavy rail (HR), inclined plane (IP), light rail (LR), monorail/automated guideway (MG), streetcar (SR) and hybrid rail (YR)).
- Modes that utilize a ROW usable by other forms of transportation, but by statute are designated as FG, (i.e., trolleybus (TB) and ferryboat (FB)).
- Bus (MB, bus rapid transit (RB) and commuter bus (CB) modes (by definition) for buses operating on controlled access or exclusive ROW.

A threshold level of at least one mile of FG in an UZA is required to receive FG tier funds.

Capital Program for Fixed Guideway Modernization

The FTA Capital Program for Fixed Guideway Modernization (§5309 in part of the Federal Transit Act) is a discretionary program that provides capital assistance for three primary types of projects:

1. New and replacement buses and facilities
2. Modernization of existing FG systems
3. New FG systems.

The Fixed Guideway Modernization apportionment is only for UZAs with 200,000 or more population. The formula apportions funds for qualifying fixed guideway (FG) segments using fixed guideway directional route miles (DRM) and the actual vehicle revenue miles (VRM) operated over the DRM. Fixed guideway segments qualify for the apportionment based on the following factors:

- The FG segments qualify for the UAFP apportionment
- The FG segments are in continuous transit operation for at least seven Federal fiscal years
- A threshold level of at least one mile of qualified FG DRM in the UZA.

There are two key aspects to continuous transit operations:

1. FTA reviews previous NTD reports to assess continuous transit operations. To qualify, the NTD must contain data for a FG segment for the last six report years. Even if a transit agency can document an earlier revenue service start date for the segment, FTA will only consider segments continuously reported to the NTD.
2. Continuous transit operations cover all transit agencies operating on a segment. For example, if another transit agency reported service on a FG segment for the last six NTD Report Years, then your service on the segment will also qualify for the Fixed Guideway Modernization apportionment, even if this is your first year operating on the segment.

Reporting Requirements and Thresholds

All transit agencies must complete this form. Complete one form for each mode and type of service (TOS).

What Has Changed from Prior Year

There are three changes for the 2011 report year:

1. There are new serve rules for allocation of data among multiple UZA and nonurbanized areas (non-UZA).
2. Allocation methodologies among multiple UZAs and non-UZAs and for allocation between modes that are both FG and NFG now include an “other” category for the reporter to document any reasonable methodology.
3. FFA-10 forms use 2010 Census UZA and Non-UZA information. However, the Census bureau will not release the new UZA definitions until the spring of 2012, followed by release of the detailed UZA boundary maps. Therefore, transit agencies will submit NTD reports according to the regular deadlines, but without FFA-10 forms. Upon release of the Census UZA maps, FTA will notify all urbanized area NTD reporters to logon to the NTD Online Reporting System and resubmit their Basic Information form (B–10) identifying the 2010 UZAs in the service area, and to submit FFA–10 forms reflecting the new UZA definitions.

Approach

There are two items that determine how to complete the FFA-10 form:

1. Mode of service
2. Census UZAs and non-UZA served by transit.

Mode of Service

The FFA-10 form has four versions for the following groups of modes:

1. Bus (MB), bus rapid transit (RB) and commuter bus (CB) service operating on fixed guideway
2. Trolleybus (TB) mode
3. Rail, ferryboat (FB) and aerial tramway (TR) modes
4. MB, and CB service not operating on fixed guideway and other non-fixed guideway modes—demand response (DR), demand response- taxi (DT), jitney (JT), publico (PB) and vanpool (VP).

The four versions of the form function in the same way.

The FFA-10 form uses data reported on other NTD forms to develop the statistics used in the allocations of the UAF Program and in Capital Program for Fixed Guideway Modernization funding. Internet reporting automatically transfers the eligible annual total data from other forms. Therefore, you must complete the source forms before completing this form. In addition, if you change data on the source forms, you must edit any data you entered on the FFA-10 form — there are no

automatic re-calculations of UZA and non-UZA area statistics or bus, bus rapid transit and commuter bus FG and NFG statistics.

The exhibit below lists the source forms and data items.

Exhibit 22 — Federal Funding Allocation Statistics Form Corresponding Data

Data Item	Source Forms
UZA number, non-UZA	B-10 Item 5
VRM	S-10 line 12, column d
VRH	S-10 line 15, column d
UPT	S-10 line 18, column d
PMT	S-10 line 20, column d
OE	DO Modes – F-30 line 15, column e PT Modes – F-30 line 15, column e minus line 12, column e minus B-30, item 8, Other costs incurred by buyer or sellers filing a separate NTD Annual report.
FG DRM	S-20 Rail, FB and TR modes, line 03 MB, RB and CB modes, line 13 TB mode, line 08
FG DRM ≥ seven FFYs old	S-20 Rail, FB and TR modes, line 05 CB, RB and MB modes, line 17 TB mode, line 14
VRM ≥ seven FFYs old	Subset of VRM on S-10 line 12, column d, operated on FG segments

Census UZAs and Non-UZAs Served by Transit

Transit agencies determine their service areas based on access to transit (see Basic Information form (B-10). As a result, the geographic service area is not usually consistent with either political or Census-designated boundaries. To complete the FFA-10, you must follow the new rules governing allocation of transit service that connects one or more UZAs or Non-UZAs with one or more UZAs.

See detailed description of new rules under Detailed Instructions.

Detailed Instructions

There are five situations that can occur and dictate how transit agencies complete the FFA-10 form:

1. You serve only one UZA.
2. You serve a non-UZA or more than one UZA. You may have to report its annual statistics among areas since the apportionments are made by UZA.
3. You operate MB, RB or CB FG service. You must report annual statistics for FG and NFG since the apportionments are made by FG and NFG modes.
4. You are one of several transit agencies that operate over the same FG segments. You must coordinate with the other transit agencies to decide which transit agency will report DRM for the shared segments since the apportionment process recognizes only once the shared segments regardless of how many transit agencies operate on the shared segments.
5. You operate a FG mode and some of the guideway is at least seven Federal fiscal years old. You must enter the VRM operated for the guideway at least seven Federal fiscal years old.

The following sections describe the reporting requirements for these five situations.

Urbanized Area Number

UZA numbers are transferred automatically from the Identification form (B-10).
The following rules apply:

- If you serve only one UZA and do not operate on fixed guideway, check the box under the UZA number, select an allocation method on line 02, save and exit the form. Internet reporting automatically completes the statistics for the UZA.
- If you serve only one UZA and operate on fixed guideway, check the box under the UZA number and report VRM for the Capital Program for Fixed Guideway Modernization. See the Capital Program for Fixed Guideway Modes instructions below.
- If you serve multiple UZAs and non-UZAs, select a UZA and non-UZA reporting method for reporting the statistics used in the funding allocations.
- If you serve multiple UZAs and non-UZAs and operate over both fixed and non-fixed guideway for bus (MB), bus rapid transit (RB) or commuter (CB) modes, you must report statistics in the areas served first, and then select a fixed / non-fixed guideway reporting method to report the statistics used in the funding allocations for fixed and for non-fixed guideway.

For this form, the number of UZAs and non-UZAs served may be fewer than those reported for the service area on the B-10 form under item 5, demographic information. The demographic information is reported based on physical location of services, which, for apportionment purposes, may be different from the UZAs and non-UZAs served. Also, the UZAs and non-UZAs reported for the service area on the B-10 form show the service areas served by all modes and TOS operated which may be greater than the areas served by a specific mode and TOS.

Urbanized Area and Other than Urbanized Area Reporting Method

You must follow the reporting rules when you provide transit service in multiple UZAs or UZAs and non-UZAs (see Reporting Rules below). There are three methods permitted for reporting statistics among UZAs and non-UZAs.

1. Actual Data is a direct measurement (or recording) of the actual data
2. VRM (passenger car revenue miles for rail modes) is a direct measurement of the actual vehicle revenue miles and is used as the factor to allocate VRH (passenger car revenue hours for rail modes), PMT, UPT and OE among the areas.
3. Other methodology. Use the **e-file** tab to describe the other methodology and show your calculations.

If your service is not entirely contained within or serving one UZA, select the reporting method you will be using for allocating your data across UZAs and non-UZAs in your service area. If you can report actual data for each UZA and any non-UZAs in your service area, select **Actual Data** from the **UZA and Non-UZA Reporting Method** drop-down menu.

UZA and Non-UZA Reporting Method menu selections:

a. Actual Vehicle Revenue Miles (VRM)

b. Actual Data

c. Other Methodology

Otherwise, select Other methodology from the drop-down menu. Select the box below each of the UZAs and any non-UZAs to which you will be allocating your service data. Next, if you use VRM method, report your total actual VRM to each of the selected areas and any fixed guideway directional route miles. Internet reporting will then allocate the rest of your service data based on the proportions of your VRM in each area. If you use another method, select Other methodology. Attach in the **e-file** tab a description of the methodology. Include the calculations for the data statistics you report for each UZA and non-UZA.

If you used the actual data or other method of reporting, i.e., you directly entered actual data make sure that the annual total column equals the data statistics automatically transferred from other forms—actual vehicle revenue miles, actual vehicle revenue hours, passenger miles traveled, unlinked passenger trips, operating expenses and fixed guideway directional route miles.

Reporting Rules for More than One Urbanized Area and Other than Urbanized Areas

Areas are classified by the U.S. Census designations of:

- UZA with 200,000 or more population (large UZA)
- UZA with fewer than 200,000 population (small UZA)
- Non-UZA (i.e., fewer than 50,000 population)

Under the revised rules, the transit agency determines which UZA or non-UZA that its routes. The transit agency may then:

- Allocate all the data statistics to the UZAs or non-UZAs primarily served

  or
- Allocate the data statistics proportionally to the UZAs and non-UZAs served using a reasonable and consistent methodology.

This rule applies to transit service that connects:

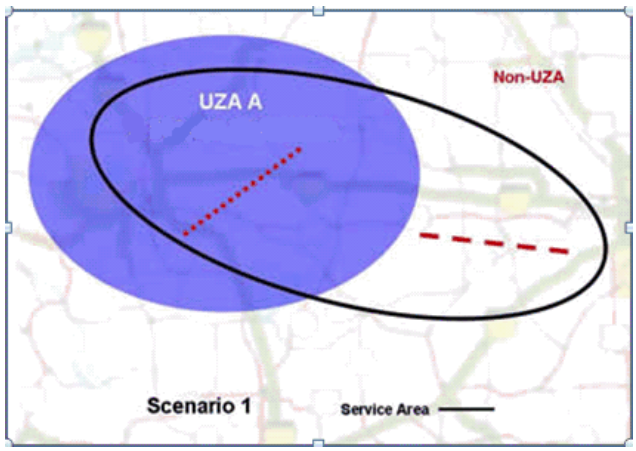
- Two or more large UZAs
- Two or more small UZAs
- Any combination of small and large UZAs, as long as they do not benefit from both FTA Section 5307 and 5311 operating assistance
- One or more large or small UZAs to non-UZAs, as long as no FTA Section 5311 funds benefit the service.

There are two exceptions to the primarily served criterion, each involving FTA Section 5311 funds (operating or capital) and benefiting the service:

1. You must report entirely to non-UZAs (UZA 0) any transit service that benefits from grants provided by FTA's Section 5311.
2. You must allocate service that connects non-UZAs and UZAs (large or small) if the service benefits from both FTA Sections 5307 and 5311 operating assistance. You must use the UZA proportion of operating expenses funded by FTA Section 5307 program (including local matching funds), to allocate the statistics to the UZAs.

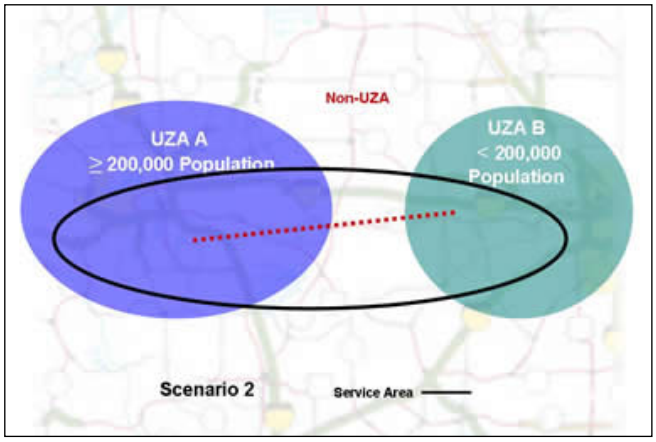
For either of these two exceptions, select Other methodology from the UZA and Non-UZA Reporting Method menu. Attach in the e-file tab a description of the methodology. Include the calculations for the data statistics you report for each UZA and non-UZA.

The areas where a vehicle trip starts and ends, and the size of the area help determine service location under the new serve rule requirements, as follows:



Scenario 1: Both ends of a vehicle trip are contained entirely within an area, either UZA A (any size) or the non-UZA.

Solution 1: All statistics for the formula allocations are reported in UZA A, or the non-UZA, where the service is located.



Scenario 2: One end of the vehicle trip is in a small UZA B with fewer than 200,000 populations and the other trip end is in a large UZA A with 200,000 or more population.

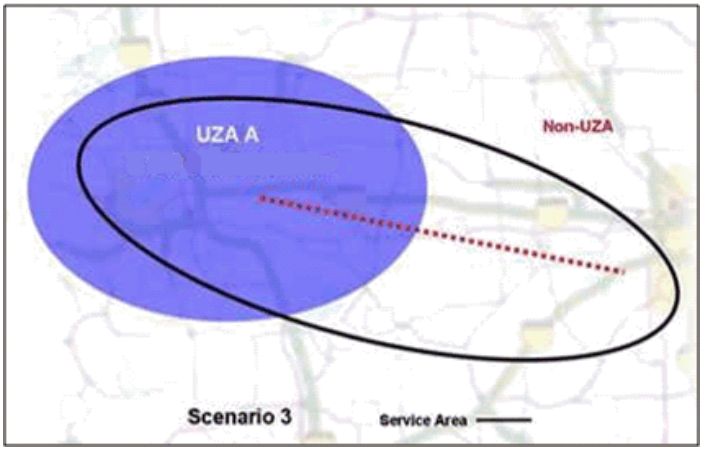
Solution 2:

a) FTA Sections 5307 or No 5311 Operating Assistance funds the service.

The transit agency determines whether UZA A or UZA B is primarily served. You may report all statistics for the formula allocations in the UZA primarily served or allocate statistics between the two UZAs or among the two UZAs and the non-UZA.

b) FTA Sections 5307 and 5311 Operating Assistance funds for the service.

The transit agency must allocate statistics to the UZAs based on the proportion of FTA Section 5307 operating assistance. For example, if FTA .Section 5307 operating assistance, plus the local match, for UZA B funded 35% of the operating expenses for the service, then allocate 35% of all statistics to UZA B.



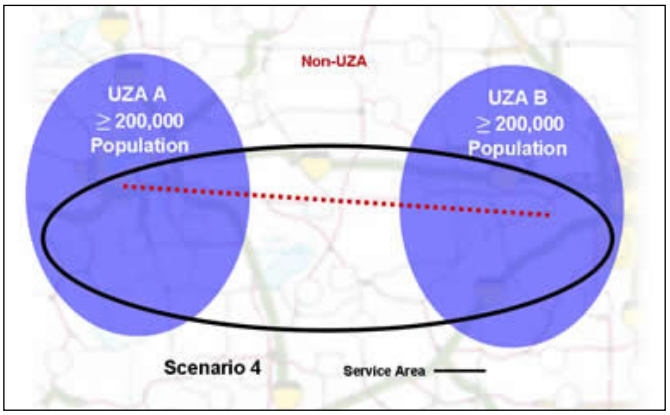
Scenario 3: One end of the vehicle trip is in a non-UZA and the other trip end is in UZA A (any size). The transit agency uses FTA Section 5311 funds for the service, and does not use Section 5307 operating assistance for the service.

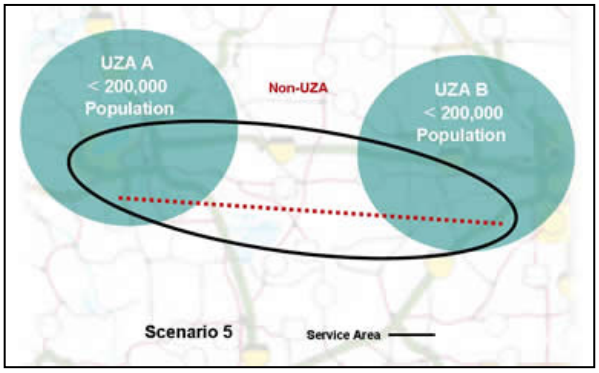
Solution 3: You must report all statistics in the non-UZA.

Scenario 4: One vehicle trip end is in UZA A and the other trip end is in UZA B, both with 200,000 or more population, and passing through a non-UZA.

Solution 4: The transit agency determines whether UZA A or UZA B is primarily served. You may report all statistics for the formula allocations in the UZA primarily served or allocate statistics between the two UZAs.

Generally, UZAs with 200,000 or more population are not eligible for operating assistance under FTA Section 5307. If the transit service uses operating assistance, then you must allocate statistics as described in Scenario 2.





Scenario 5: One vehicle trip end is in UZA A and the other trip end is in UZA B, both with fewer than 200,000 population, and passing through a non-UZA.

Solution 5:

a) No FTA Section 5307 or 5311 Operating Assistance funds for the service.

The transit agency determines whether UZA A or UZA B is primarily served. You may report all statistics for the formula allocations in the UZA primarily served or allocate statistics between the two UZAs.

b) FTA Operating Assistance funds in UZA A and UZA B and no FTA Section 5311 for the service.

The transit agency must allocate statistics to the UZAs based on the proportion of operating assistance. For example, if FTA Section 5307 operating assistance for UZA A funded 35% and for UZA B 40% of the operating expenses for the service, then allocate at least 35% of all statistics to UZA A and 40% to UZA B. The statistics for the non-UZA can be reported in either UZA A or UZA B or divided between the two UZAs.

Bus, Bus Rapid Transit and Commuter Bus Fixed Guideway Operations

For bus, (MB), bus rapid transit (RB) and commuter bus (CB) modes, most transit agencies operate in mixed traffic right-of-way (ROW). However, they may also operate on exclusive right-of-way (ROW) or controlled access right-of-way (ROW); this is classified as operating on FG.

If you identified FG segments that met the eligibility criteria for funding, then your transit agency should report statistics for FG and NFG operations. Funding eligibility is based on the following criteria:

- Only segments on controlled access ROW or exclusive ROW
- Those segments must serve travel corridors with unfavorable levels of service (LOS) (D, E or F)
- Travel on those segments must have restricted hours during which single occupancy vehicles (SOVs) are legally prohibited and are enforced from using any segment portion or meet the high occupancy / toll (HO/T) lane requirements.
- If your transit agency has stricter requirements for high occupancy vehicle (HOV) facilities than the prohibition of SOVs, i.e., three or more persons per vehicle, then those requirements apply to the HO/T lane, i.e., one and two-person vehicles would pay tolls.
- Segments on high-speed facilities (expressways) shared with vanpools (VP) or carpools must be safely operated.

Even though another transit agency is designated as the agency reporting the FG DRM on the FFA-10 form, each agency that operates service over the FG DRM should report the VRM, PMT and OE on the FFA-10 form.

See the Fixed Guideway Segments form (S-20) for a discussion of how FG DRM is determined for funding eligibility.

Reporting Bus, Bus Rapid Transit and Commuter Bus Statistics for Fixed and for Non-Fixed Guideway

It is not mandatory to report MB, (RB) and (CB) statistics separately for FG and NFG operations. Transit agencies may report all statistics as non-fixed guideway.
Reporting fixed and non-fixed guideway statistics follows the same concepts used for reporting statistics among multiple urbanized areas and other than urbanized areas served. The following three steps should be followed:

1. First, if there is service to more than one UZA and / or service to a non-UZA, report statistics among UZAs and non-UZAs before reporting statistics for fixed and non-fixed guideway. See the above section on Reporting Statistics among UZAs and non-UZAs.
2. Second, by area, use one of the three methodologies to allocate data statistics between fixed and non-fixed guideway.
3. Third, for the Capital Program for Fixed Guideway Modernization, directly enter the portion of the actual vehicle revenue miles reported for the Urbanized Area Formula Program that operate on the directional route miles greater than or equal to seven Federal fiscal years old.

There is no automatic data entry or reporting methodology for this part of the form: Use your schedules and internal records to determine VRM.

The following example illustrates reporting bus statistics for FG and for NFG operations.

Example 28 — Reporting Bus Statistics for Fixed and for Non-Fixed Guideway

Example: An agency operates bus (MB) service in one UZA greater than or equal to 200,000 population and provided 3,000,000 PMT at a cost of $1,500,000. The agency operates 675,000 VRM on 425 DRM in mixed traffic ROW and 75,000 VRM on an exclusive bus lane of 75 FG DRM. How would the agency report MB statistics for FG and for NFG using VRM?

Solution: Select the vehicle revenue mile reporting methodology on line 07. Enter 75,000 actual vehicle revenue miles on FG (line 8) and 675,000 on NFG (line 11). Internet reporting automatically calculates the proportion of VRM of FG and NFG to the total VRM of service and multiplies the rate to PMT and OE:

FG proportion	75,000 / (75,000 + 675,000) = 75,000 / 750,000 =	0.1
NFG proportion	675,000 / (75,000 + 675,000) = 675,000 / 750,000 =	0.9

Multiply the proportion times the number of PMT and OE:

FG PMT	0.1 x 3,000,000 =	300,000
FG OE	0.1 x $1,500,000 =	$150,000
NFG PMT	0.9 x 3,000,000 =	2,700,000
NFG OE	0.9 x $1,500,000 =	$1,350,000

Multiple Operators or Types of Service on the Same Fixed Guideway

By mode, there may be multiple NTD reporters using a segment or one reporter may have both DO and PT services on the segment. Transit agencies should report all the VRM, VRH, PMT, UPT and OE for the service operated over the FG segments.

However, by mode, DRM for a FG segment can only be used once in the apportionment of Federal funds. Therefore, the DRM must only be reported once by any transit agency on the FFA-10 form when the segment is served by multiple operators or service types for the same mode. It is a local decision which operator reports the DRM for segments served by multiple operators or service types. NTD only is concerned that this reporting is consistent from year-to-year and that the reporting is accurate.

Transit agencies may also operate different modes over the same FG. In this situation, the FG DRM are reported and claimed for funding for each mode operated.

The S-20 form includes identification of the transit agency, mode and TOS for allocation of funds using the statistics on the FFA-10 form. Only the DRM for those segments identified on the S-20 form claimed for funding by your transit agency are transferred to the FFA-10 form.

Fixed Guideway Segments at least Seven Federal Fiscal Years Old

For the Capital Program for Fixed Guideway Modernization, directly enter the portion of the actual vehicle revenue miles reported for the UAF Program that operate on the directional route miles greater than or equal to seven Federal fiscal years old. There is no automatic data entry or reporting methodology for this part of the form: Use your schedules and internal records to determine VRM.

Line by Line Instructions Federal Funding Allocation Statistics form (FFA-10)

Completing the Federal Funding Allocation Statistics form (FFA-10)

This form is for all transit agencies that serve a UZA as designated by the U. S. Bureau of the Census.

Complete one form for each directly operated (DO) mode and for each purchased transportation (PT) mode.

Complete the Contractual Relationship form (B-30) for any PT service, and the Operating Expenses form (F-30), Service form (S-10), and Fixed Guideway Segments form (S-20) for each mode and type of service (TOS) prior to completing the FFA-10 form. In addition, if you change data on the source forms, you must edit any data you entered on the FFA-10 form — there are no automatic re-calculations of UZA and non-UZA area statistics or bus, bus rapid transit and commuter bus fixed (FG) and non-fixed guideway (NFG) statistics.

Form Level Help: Click on the **Help** tab at the top of the screen for form level help.
Form Note: A form note can be attached to any form. Use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. Click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. Do not use the Form Notes feature to answer issues generated from this form. From the **Issues** tab use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: Click on the **Save** button prior to exiting the form and continuing with the report. Click on the **Close** button at the bottom of the screen to close the form without saving.

- Line 01, columns b - y: UZA Number. This field is **pre-filled** with data from the Identification form (B-10) and cannot be edited. This field contains the UZA and non-UZA numbers for your service area. For apportionment purposes, if your transit agency serves multiple UZAs or non-UZAs you may not have statistics reported in all the UZAs or non-UZAs based on the serve rules for allocation of the formula data statistics.

Line 02: UZA Reporting Method. From the drop-down menu, select the methodology used for reporting vehicle revenue hours (VRH), passenger miles traveled (PMT), unlinked passenger trips (UPT) and operating expenses (OE) between UZAs. If the service is operated in more than one UZA, enter the statistics for each UZA.

- Check the check-box(es) for each UZA and non-UZA to which the methodology should be applied.

Annual Total

Line 03: Total VRM: This applies only to bus, bus rapid transit and commuter bus modes.

- Column a: Data from Other Forms. This field is **pre-filled** with data from the S-10 form and cannot be edited. This field displays the total annual VRM for your entire service area for both FG and NFG guideway operations.
- Columns b – y: By UZA. Enter VRM for each UZA and non-UZA.
- Column z: Annual Total. This is an **auto-calculated** field and cannot be edited. This field displays the sum of VRM from the UZA and non-UZA columns. Annual total data must equal data from other forms, column a.

Line 04: Total VRH

- Column a: Data from Other Forms. This field is **pre-filled** with data from the S-10 and cannot be edited. This field displays the total actual vehicle revenue hours for your entire service area for both FG and NFG operations.
- Columns b – y: By UZA. Enter vehicle revenue hours for each UZA. Column z: Annual Total. This is an **auto-calculated** field and cannot be edited. This field displays the sum of vehicle revenue hours from the UZA and non-UZA columns. Annual total data must equal data from other forms, column a.

Line 05: Total PMT: This applies only to MB mode.

- Column a: Data from Other Forms. This field is **pre-filled** with data from the S-10 form and cannot be edited. This field displays the total annual passenger miles traveled for your entire service area for both FG and NFG operations.
- Columns b – y: By UZA. Enter passenger miles traveled for each UZA.
- Column z: Annual Total. This is an **auto-calculated** field and cannot be edited. This field displays the sum of passenger miles traveled from the UZA and non-UZA columns. Annual total data must equal data from other forms, column a.

Line 06: Total UPT

- Column a: Data from Other Forms. This field is **pre-filled** with data from the S-10 form and cannot be edited. This field displays the total unlinked passenger trips for your entire service area for both fixed and non-fixed guideway operations.
- Columns b – y: By UZA. Enter unlinked passenger trips for each UZA.
- Column z: Annual Total. This is an **auto-calculated** field and cannot be edited. This field displays the sum of unlinked passenger trips from the UZA and non-UZA columns. Annual total data must equal data from other forms, column a.

Line 07: Total OE: This applies only to bus, bus rapid transit and commuter bus modes.

- Column a: Data from Other Forms. This field is **pre-filled** with data from the F-30 form and cannot be edited. This field displays the total annual operating expenses for your entire service area for both fixed and non-fixed guideway operations.
- Columns b – y: By UZA. Enter operating expenses for each UZA.
- Column z: Annual Total. This is an **auto-calculated** field and cannot be edited. This field displays the sum of operating expenses from the UZA and non-UZA columns. Annual total data must equal data from other forms, column a.

Urbanized Area Formula Program

Fixed Guideway

Fixed guideway is not applicable for demand response (DR), demand response taxi (DT), jitney (JT), publico (PB) and vanpool (VP) modes.
Line 08: DRM

- Column a: Data from Other Forms. This field is **pre-filled** with data from the S-20 form and cannot be edited. This field displays the total directional route miles (DRM) for your entire service area eligible for the Urbanized Area Formula Program (UAF) apportionment.
- Columns b – y: By UZA. Enter fixed guideway directional route miles (FG DRM) for each UZA.
- Column z: Annual Total. This is an **auto-calculated** field and cannot be edited. This field displays the sum of FG DRM from the UZA and non-UZA columns. Annual total data must equal data from other forms, column a.

Line 09: Fixed / Non-Fixed Guideway Reporting Method. It is not mandatory for your transit agency to report separate statistics for bus (MB), bus rapid transit (RB) or commuter bus (CB) FG and NFG. Internet reporting automatically assigns the statistics (VRM, PMT, and OE) to NFG. If you choose to report statistics, select the fixed / non-fixed guideway reporting methodology from the drop-down menu. Applicable only for bus, bus rapid transit and commuter bus modes.
Line 10: VRM

- Column a: Data from Other Forms. This field is **pre-filled** with data from the S-10 form and cannot be edited. This field displays the total annual actual vehicle revenue miles for your entire service area for fixed guideway operations. Not applicable to bus, bus rapid transit or commuter bus modes; only totals appear for data from other forms across fixed and non-fixed guideway operations (line 03).
- Columns b – y: By UZA. Enter actual vehicle revenue miles for each UZA for service operated on FG DRM that are reported on the S-20 form for:
  - All rail, FB and TR modes — line 02
  - MB, RB and CB modes — line 12
  - TB mode — line 07.
  - Remember that even though directional route miles on fixed guideway can only be reported once for funding, you can report actual vehicle revenue miles, passenger miles traveled and operating expenses for service operated on the fixed guideway directional route mile using the line numbers cited above.
- Column z: Annual Total. This is an **auto-calculated** field and cannot be edited. This field displays the sum of actual vehicle revenue miles from the UZA and non-UZA columns. For all fixed guideway modes except bus, bus rapid transit and commuter bus annual total data must equal data from other forms, column a. Only totals only appear for data from other forms across fixed and non-fixed guideway operations (line 03).

Line 11: PMT

- Column a: Data from Other Forms. This field is **pre-filled** with data from the S-10 form and cannot be edited. This field displays the total passenger miles traveled for your entire service area for FG operations. Not applicable to bus, bus rapid transit and commuter bus modes; only totals appear for data from other forms across fixed and non-fixed guideway operations (line 05).
- Columns b – y: By UZA. Enter passenger miles traveled for each UZA.
  - Remember that even though directional route miles on fixed guideway can only be reported once for funding, you can report actual vehicle revenue miles, passenger miles traveled and operating expenses for service operated on the FG DRM. The S-20 form summarizes the DRM over which the actual vehicle revenue miles, passenger miles traveled and operating expenses operated on the fixed guideway can be reported on the FFA-10 form as follows:
  - All rail, FB and TR modes — line 02
  - MB, RB and CB modes — line 12
  - TB mode — line 07.

- Column z: Annual Total. This is an **auto-calculated** field and cannot be edited. This field displays the sum of passenger miles traveled from the UZA and non-UZA columns. Make sure that the annual total equals the passenger miles traveled automatically transferred from other forms (column a) for fixed guideway modes except bus, bus rapid transit and commuter bus modes. Only totals appear for data from other forms across fixed and non-fixed guideway operations (line 05).

Line 12: OE

- Column a: Data from Other Forms. This field is **pre-filled** with data from the F-30 form and B-30 form, and cannot be edited. This field displays the total operating expenses for your entire service area for fixed guideway operations. Not applicable to bus, bus rapid transit or commuter bus modes; only totals appear for data from other forms across fixed and non-fixed guideway operations (line 07).
- Columns b – y: By UZA. Enter OE for each UZA. If a UZA uses the VRM or operating assistance reporting methodology, this field will be **automatically calculated**.
  - Remember that even though directional route miles on fixed guideway can only be reported once for funding, you can report actual vehicle revenue miles, passenger miles traveled and operating expenses for service operated on the fixed guideway directional route miles. The S-20 form summarizes the directional route miles over which the actual vehicle revenue miles, passenger miles traveled and operating expenses operated on the fixed guideway can be reported on the FFA-10 form as follows:
  - All rail, FB and TR modes — line 02
  - MB, RB and CB modes — line 12
  - TB mode — line 07.
- Column z: Annual Total. This is an **auto-calculated** field and cannot be edited. This field displays the sum of operating expenses from the UZA and non-UZA columns. Make sure that the annual total equals the operating expenses automatically transferred from other forms (column a) for fixed guideway modes except MB, RB and CB. Only totals appear for data from other forms across fixed and non-fixed guideway operations (line 07).

Non-Fixed Guideway

Line 13: VRM

- Column a: Data from Other Forms. This field is **pre-filled** with data from the S-10 form and cannot be edited. This field displays the total annual VRM for your entire service area for NFG operations. Not applicable to FG modes or MB, RB and CB modes with reporting of statistics in FG and NFG operations; only totals appear for data from other forms across FG and NFG operations (line 03).
- Columns b – y: By UZA. Enter actual vehicle revenue miles for each UZA. Not applicable to fixed guideway modes or bus, bus rapid transit and commuter bus modes with reporting of statistics in fixed and non-fixed guideway operations. For bus, bus rapid transit and commuter bus modes with reporting of statistics in non-fixed guideway operations, this field will be **automatically calculated** as line 03 minus line 10.
- Column z: Annual Total. This is an **auto-calculated** field and cannot be edited. This field displays the sum of actual vehicle revenue miles from the UZA and non-UZA columns. Annual total data must equal data from other forms (column a) for non-fixed guideway modes. If you have reported bus, rapid transit or commuter bus statistics in both fixed and non-fixed guideway operations, totals only appear for data from other forms across fixed and non-fixed guideway operations on line 03.

Line 14: PMT

- Column a: Data from Other Forms. This field is **pre-filled** with data from the S-10 form and cannot be edited. This field displays the total annual actual passenger miles traveled for your entire service area for non-fixed guideway operations. Not applicable to fixed guideway modes or bus, bus rapid transit and commuter bus modes with reporting of statistics in fixed and non-fixed guideway operations; only totals appear for data from other forms across fixed and non-fixed guideway operations (line 04).
- Columns b – y: By UZA. Enter PMT for each UZA. If a UZA uses the actual vehicle revenue miles or operating assistance reporting methodology, this field will be **automatically calculated**. Not applicable to fixed guideway modes or bus, rapid transit and commuter bus modes with reporting of statistics in FG and NFG operations. For MB, RB and CB modes with reporting of statistics in NFG operations, this field will be **automatically calculated** as line 05 minus line 11.
- Column z: Annual Total. This is an **auto-calculated** field and cannot be edited. This field displays the sum of passenger miles traveled from the UZA and non-UZA columns. Annual total data must equal data from other forms (column a) for non-fixed guideway modes. If you have reported bus, bus rapid transit or commuter bus statistics in both fixed and non-fixed guideway operations, totals only appear for data from other forms across fixed and non-fixed guideway operations on line 05.

Line 15: OE

- Column a: Data from Other Forms. This field is **pre-filled** with data from the S-10 form and cannot be edited. This field displays the total annual operating expenses for your entire service area for non-fixed guideway operations. Not applicable to fixed guideway modes or bus, bus rapid transit and commuter bus modes with reporting of statistics in fixed and non-fixed guideway operations; only totals appear for data from other forms across fixed and non-fixed guideway operations (line 07).
- Columns b – y: By UZA. Enter operating expenses for each UZA. If a UZA uses the actual vehicle revenue miles or operating assistance reporting methodology, this field will be **automatically calculated**. Not applicable to fixed guideway modes or bus, bus rapid transit and commuter bus modes with reporting of statistics in FG and NFG operations. For MB, RB and CB modes with reporting of statistics in NFG operations, this field will be **automatically calculated** as line 07 minus line 12.
- Column z: Annual Total. This is an **auto-calculated** field and cannot be edited. This field displays the sum of operating expenses from the UZA and non-UZA columns. Annual total data must equal data from other forms (column a) for non-fixed guideway modes. If you have reported bus, bus rapid transit or commuter bus statistics in both fixed and non-fixed guideway operations, totals only appear for data from other forms across FG and NFG operations on line 07.

Capital Program for Fixed Guideway Modernization

Line 16: DRM ≥ Seven Years @ Federal Fiscal Year End (FFYE)

- Column a: Data from Other Forms. This field is **pre-filled** with data from the S-20 form and cannot be edited. This field displays the total DRM for your entire service area for FG in operation at least seven Federal fiscal years eligible for the Fixed Guideway Modernization Program apportionment. Service must have started on or before September 30, 2005.
- Columns b – y: By UZA. Enter directional route miles for FG in operation at least seven Federal fiscal years for each UZA. This number should be less than or equal to the directional route miles reported under the UAF Program on line 08.
- Column z: Annual Total. This is an **auto-calculated** field and cannot be edited. This field displays the sum of FG DRM from the UZA and non-UZA columns. Annual total data must equal data from other forms, column a.

Line 17: VRM ≥ Seven Years @ FFYE

- Columns b – y: By UZA. Enter the number of actual VRM operated over the DRM for FG in operation at least seven FFYs, by UZA. These should be less than or equal to the actual VRM reported under the UAF on line 10. There is no automatic data entry or reporting methodology. Determine actual VRM from your schedules and other internal records. Remember that even though DRM on FG can only be reported once for funding, you can report actual VRM for service operated on the FG-DRM. The S-20 summarizes the DRM over which the actual VRM operated on the FG can be reported on the FFA-10 form as follows:
  - All rail, FB and TR modes — line 04
  - MB, RB and CB modes — line 16
  - TB mode — line 13.
- Column z: Annual Total. This is an **auto-calculated** field and cannot be edited. This field displays the sum of actual VRM from the UZA and non-UZA columns. This number should be less than or equal to the total number of actual VRM reported under the UAF Program on line 08.

Declarations Module

This module contains three declarations:

1. Chief Executive Officer (CEO) Certification
2. Independent Auditor Statement for Financial Data (IAS–FD)
3. Independent Auditor Statement for Federal Funding Allocation Data (IAS–FFA).

Declarations

The National Transit Database (NTD) program was created to provide a comprehensive public transit database. To meet a high standard of data quality, the Federal Transit Administration (FTA) requires each transit agency to complete declarations stating the validity of the data being reported.

Reporting Requirements and Thresholds

All required declarations must be completed with the original NTD report submission. A transit agency must file a complete NTD Annual report by the report due date. You should refer to the NTD Annual Reporting Timelines exhibit under When to Report in the Introduction section to determine dates.

Requirements for submission of the declarations are as follows:

- The CEO Certification form (D-10) is submitted with the other NTD reporting forms.
- The IAS – FD must be sent via the **e-File**. The scanned document must display the letterhead, signature and date signed.
- The IAS – FFA is not submitted but must be kept on file at the transit agency for FTA's Triennial Review. If there are compelling circumstances why the Statement cannot be completed on time, the NTD Annual report must be filed by the due date and the chief executive officer (CEO) must indicate in Part 4d of the D-10 the reason why the Statement is late and when it will be completed. The IAS–FFA should be completed no later than the last date to receive report revisions, or your agency may be **Closed Out Failure to Report**. As this audit statement is a requirement for reporting, failure to complete the IAS–FFA data in a timely manner may result in the agency not qualifying for apportionment.

For further information, you should refer to **e-File**: Sending Declarations, Waivers, and General Correspondence to NTD and Viewing Report Submission Stages in the Internet Reporting section of this manual.

The exhibit below is a summary of required declarations describing who must make the declaration and follow-up actions.

Exhibit 23 — Annual Declaration Requirements		
Declaration	**Performed By**	**Reporter Actions Required**
Chief Executive Officer (CEO) Certification	Chief Executive Officer	Annual requirement – D-10 form
Independent Auditor Statement for Financial Data (IAS – FD)	Independent Auditor	Review to confirm use of accrual accounting and Uniform System of Accounts (USOA), or a directly translatable method. Approval is granted in writing from FTA. Thereafter, the CEO annually certifies financial data in the CEO Certification. It is valid until the accounting method changes or significant issues arise. The scanned copy of the IAS – FD is submitted via the e-File.
Independent Auditor Statement for Federal Funding Allocation Data (IAS–FFA)	Independent Auditor	Annual requirement for agencies in urbanized areas (UZAs) ≥ 200,000 population with 100 or more vehicles operated in annual maximum service (VOMS) across all modes and types of service (TOS). The IAS-FFA is retained at the agency for Triennial Review. Reported in part four of the D-10 form, as required.

What Has Changed from Prior Year

- The language for Report Year 2011 on Form D-10, part 4 has been modified. Part 4a of the D-10 Form now states that a review of the Federal funding allocation data (Total Operating Expense data on F-30, line 15, column e, Form S-10, lines 12, 15, 18, 20, column d, Total Actual Vehicle Revenue Mile, Total Actual Vehicle Revenue Hour, Total Unlinked Passenger Trip data and Passenger Mile Traveled data and Fixed Guideway when applicable) for the 2011 report year has been completed and is on file at our transit agency for FTA's Triennial Review

- Sections 5 and 6; the new FTA Approved NTD Sampling Method option has been added.

Chief Executive Officer Certification (D-10) form

Home | e-File | Annual | Monthly Ridership | Safety & Security | Notes | Issues | Reports | Communications | Sys Admin | Help

Form Name: CEO Certification (D-10) — Add Form Note — Close Form

NTD Report Year	2011		
Agency Name	Kanawha Valley Regional Transportation Authority	**NTD ID**	3001
CEO Name	Dennis Dawson	**CEO Title**	General Manager
Certification Completion Date			

I hereby certify the following concerning the financial and non-financial / operating data submitted in the Kanawha Valley Regional Transportation Authority NTD report for its fiscal year ending 6/30/2011.

Part 1 - Overall Data Accuracy

The following statements are true of the overall accuracy of the NTD Annual report:

1. The financial and non-financial operating data in this submission are accurate and truthful records of the financial transactions and operations of the Kanawha Valley Regional Transportation Authority — Yes ○ No ○
2. The financial and non-financial operating data in this submission conform in all material respects with the accounting and definitional requirements of the Federal Transit Administration's (FTA) National Transit Database (NTD) Reporting Manuals and Uniform System of Accounts (USOA). — Yes ○ No ○

Part 3 - Financial Data

Complete 1 and / or 2 below. Paragraphs 3a, 3b or 3c will appear, as applicable

1. Kanawha Valley Regional Transportation Authority has FTA approval of an Independent Auditor Statement for Financial Data for a prior report year and is not submitting a new statement for the current report year — Yes ○ No ○

Part 5 - Passenger Mile Data Collection

Please certify the method used to collect passenger miles data for each mode and type of service:

5a. FTA Circular (select circular 2710.1a or 2710.2a) (estimated data).

5b. 100% count of passenger mile data (actual data).

5c. Alternative sampling procedure determined to meet 95% confidence and ±10% precision levels by a qualified statistician (estimated data).

5d. Collected and estimated using the trip length from the last mandatory year multiplied by the unlinked passenger trip (UPT) number from this year (estimated data). The last mandatory year passenger mile (PM) data were collected and estimated (select from the following):

Using FTA Circular (select circular 2710.1a or 2710.2a) (estimate)

Using a 100% count of passenger mile (PM) data (actual)

Using an alternative sampling procedure determined to meet 95% confidence and ±10% precision levels by a qualified statistician (estimate).

5e. None of the Options Listed

5f. NTD Sampling Method

Directly Operated Service

RB [Make Selection]

Part 6 - Unlinked Passenger Trip Data Collection

Please certify the method used to collect unlinked passenger trip data for each mode and type of :

6a. FTA Circular 2710.1A (estimated data).

6b. 100% count of unlinked passenger trip (UPT) data (actual data).

6c. Alternative sampling procedure determined to meet 95% confidence and ±10% precision levels by a qualified statistician (estimated data).

6d. None of the Options Listed

6e. NTD Sampling Method

Directly Operated Service

RB [Make Selection]

Save | Close | Print

Chief Executive Officer Certification form (D-10)

Overview

Each transit agency is required to submit a CEO Certification with its NTD Annual report. The certification is an NTD form, approved by the transit agency's CEO that endorses and attests to the accuracy of the data submitted in the NTD Annual report. A CEO Certification is not required of transit agencies with a Nine or Fewer Vehicles Waiver, a Planning or Capital Grants Waiver, or a full reporting waiver for the report year.

The D-10 should identify the title of the CEO and be electronically approved. The CEO is the principal executive in charge of, and responsible for, the transit agency.

The following examples illustrate who is a CEO:

- 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 (DR) system executive director
- Whomever the transit agency board designates to be authorized and accountable for the NTD Annual report.

Examples of a CEO for purchased transportation (PT) by a private operator filing a separate report are:

- Senior operations manager (site specific)
- Officers (e.g., the president, vice president or controller at the corporate level would also be acceptable). This includes equivalent positions at operating subsidiaries.

The CEO is required to complete a certification for each NTD report year. The certification must:

- Certify the accuracy of the complete data submitted in the overall report
- Certify specifically the accuracy of the Federal funding allocation data used in the Urbanized Area Formula Program (UAF) and Capital Program for Fixed Guideway Modernization apportionments
- Attest to the independent auditor reviews of both financial data and Federal funding allocation data, if applicable
- Describe the procedures used to estimate or collect actual passenger miles traveled (PMT) data and unlinked passenger trip (UPT) data by mode and type of service (TOS).

Overall Report

The CEO Certification attests that all data contained in the NTD Annual report are accurate and are collected and reported in accordance with NTD definitions.

Federal Funding Allocation Data

If the transit agency is in or serves an UZA with a population of 200,000 or more, the CEO Certification attests that:

- The data items used for the apportionment of UAF Program and Capital Program for Fixed Guideway Modernization funds are accurate, and
- There is documentation of procedures and internal controls to ensure data accuracy.

Independent Auditor Statement for Financial Data (IAS-FD)

The IAS-FD is usually a one-time review that determines if the transit agency's accounting system meets FTA requirements. If a transit agency meets the requirements in the prior year and has not changed its accounting system, FTA waives the requirement for an annual IAS-FD.

The CEO Certification is used to verify whether FTA approved an IAS-FD from a prior report year, whether a waiver was granted not to have an IAS-FD for the current year or whether an IAS-FD was done for the current report year.

This information will be indicated in the D-10 form for the CEO to review and indicate any changes.

It is important to note that “accounting system” refers to the accounting methodology, for example, accrual or cash basis and to the chart of accounts, i.e. the USOA. "Accounting system" does not refer to the hardware or software. Therefore, if the accounting system remains the same, while the hardware or software is upgraded or changed, this does not necessitate a new IAS–FD.

Independent Auditor Statement for Federal Funding Allocation Data (IAS-FFA)

If the transit agency is in or serves a UZA with a population of 200,000 or more and operates 100 or more vehicles operated in annual maximum service (VOMS) across all modes and TOS, the CEO Certification states that the transit agency's IAS–FFA has been completed, along with:

- The name of the auditor and date of the completed Independent Auditor Statement
- Whether there are any negative findings
- If there were any negative findings, how the transit agency addressed the negative findings.

If there are compelling circumstances which prevent the IAS–FFA to be completed on time, the NTD Annual report must be filed by the due date and the CEO must indicate in paragraph 4d of the D-10 the reason why the IAS–FFA is late and when it will be completed. The IAS–FFA is to be completed no later than the last date to receive report revisions for the transit agency’s report due date and filed for FTA’s Triennial Review.

Though not required, FTA strongly encourages each transit agency to attach a copy of their IAS–FFA to the e-File.

Passenger Miles Traveled (PMT) Data

The CEO Certification describes the PMT data collection or estimation procedure for each mode and type of service using one of the following:

- 100-percent PMT count (actual data). If available and reliable, you must report 100 percent counts.
- FTA or alternative sampling method
- NTD Sampling Method
- Intermediate year estimate using mandatory year average trip length.

For PT service, sellers for the same mode may use different data collection or estimation procedures. If this occurs, the CEO Certification for PMT data is for each PT mode by contract.

It is important that the NTD Annual report be consistent in stating how PMT data were derived. The CEO Certification, Independent Auditor Statement for Federal Funding Allocation Data and the Service form (S-10) must indicate the same information regarding PMT data.

Unlinked Passenger Trip (UPT) Data

The CEO Certification describes the UPT data collection or estimation procedure for each mode and type of service using one of the following:

- 100-percent UPT count (actual data). If available and reliable, you must report 100 percent counts.
- FTA or alternative sampling method.
- NTD Sampling Method

For PT service, sellers for the same mode may use different data collection or estimation procedures. If this occurs, the CEO Certification for UPT data is for each PT mode by contract.

It is important that the NTD Annual report be consistent in stating how UPT data were derived. The CEO Certification and the S-10 form must indicate the same information regarding UPT data.

Chief Executive Officer Certification form (D-10)

The form ensures the certification contains the necessary assurances of data accuracy, data recording and retention procedures, and uniform reporting requirements. The certification has six parts:

1. Attests that the data are accurate, truthful and conform in all material respects with the USOA and Reporting Manuals.
2. Attests to each item fixed guideway directional route miles (FG DRM) and age of fixed guideway (FG) segments, actual vehicle revenue miles (VRM), PMT and operating expense (OE) by mode and TOS used in the UAF and Capital

Program for Fixed Guideway Modernization allocations for agencies serving UZAs with 200,000 or more population. The chief executive officer (CEO) verifies data accuracy, collection, supervision and records retention.

3. Attests that the transit agency has / has not received FTA approval of an IAS–FD from a prior report year. If the transit agency does not have approval, the CEO must state the independent auditor's name and the date that the IAS–FD was completed for the current report year. For agencies that have FTA approval, information is customized and pre-filled for each transit agency in Internet Reporting. The customized information includes the type of accounting system, the report year, and the date and auditing firm that reviewed the financial data. In rare cases, FTA may grant a waiver from completing an IAS-FD for the current year and this is also stated in the CEO Certification.
4. Attests that the transit agency does / does not have an IAS–FFA, if applicable. In addition, the CEO must state the auditor's name and the date that the IAS–FFA was completed for the current report year, whether there are any negative findings, and if so, how the transit agency addressed the negative findings. If there are compelling circumstances which prevent the IAS–FFA to be submitted on-time, the NTD Annual report must be filed by the due date and the chief executive officer must indicate in Part 4d of the D-10 form the reason why the IAS–FFA is late and when it will be completed. The IAS–FFA is to be kept on file by the agency for three years after report submission, so that it is available for FTA's Triennial Review.
5. Describes the PMT data (estimate or actual) by mode and TOS.
6. Describes the UPT data (estimate or actual) by mode and TOS.

During the validation process, the CEO or independent auditor, as applicable, should document that they concur with revisions to the transit agency's data, and retain a copy of the revisions in the transit agency's files. The CEO should update the D-10 form with each report revision. The independent auditor does not have to redo the IAS - FFA. **When submitting a revised report, Internet Reporting will prompt you to confirm that the CEO certifies the revisions to the report and, if required, that the independent auditor reviewed and concurred with the revisions.**

Line by Line Instructions CEO Certification form (D-10)

Completing the CEO Certification form (D-10)

Complete one form.

Form Level Help: Click on the **Help** tab at the top of the screen for form level help.

Form Note: A form note can be attached to any form. Use the **Add Form Note** link for relevant information to a specific field, to the entire form or to multiple forms. You should click on the **Add Form Note** link at the top of the screen and enter your note on the **Notes** screen. You can review and / or edit a form note from the **Notes** tab. You should not use the **Form Notes** feature to answer issues generated from this form. Instead, from the **Issues** tab, you should use the **Add Comments** link next to the specific issue.

Saving or Closing the Form: You should click on the **Save** button prior to exiting the form and continuing with the report. You should click on the **Close** button at the bottom of the screen to close the form without saving.

NTD Report Year. This is an **auto-generated** field and cannot be edited, review for accuracy. The field displays the current report year for which the CEO is certifying the NTD data.

Agency Name. This is an **auto-generated** field and cannot be edited, review for accuracy. The field displays the current agency name as stated on the Identification form (B-10).

NTD ID. This is an **auto-generated** field and cannot be edited, review for accuracy. The field displays the NTD identification number assigned by FTA.

CEO Name. Enter the name of the CEO for your transit agency.

CEO Title. Enter the title of the CEO for your agency.

Certification Completion Date. This is an **auto-generated** field and cannot be edited, review for accuracy. This is the most recent save date of the D-10 form.

Line 01: Overall Data Accuracy. If the CEO certifies to the overall accuracy of the data in the NTD report, select “yes”. If “no” is selected for each statement:

- The financial and non-financial operating data in this submission are accurate and truthful records of the financial transactions and operations
- The financial and non-financial operating data in this submission conform in all material respects with the accounting and definitional requirements of FTA Reporting Manuals and the USOA.

Internet Reporting will display a box for you to explain why the CEO will not certify the data. An explanation is required.

Line 02: Part 2 Federal Funding Allocation form (FFA-10) Data for Agencies Serving UZAs over 200,000 Population. If the CEO agrees with each of the following verifications, select “yes” for each mode and TOS. If “no” is selected, Internet Reporting will display a box for you to explain, by mode / type of service and data item (vehicle revenue miles, PMT, operating costs and FG DRM), which of the verifications cannot be met and why. An explanation is required. The CEO is asked to verify the following statements:

- A system is in place for recording these data in accordance with FTA definitions. The system records complete data without systematic errors in data definitions or comprehensive coverage.
- Data gathering is an ongoing effort and is collected on a continuing basis throughout the year.
- Source documents are available to support the reported data and will be maintained for at least three years. The source documents are reviewed and signed by a supervisor, as required.
- A system of internal controls is in place to ensure the accuracy of the data collected and reported to the NTD. Documents are reviewed and signed by a supervisor, as required.
- Data collection methods for these data are those suggested by FTA or equivalent.
- FTA standards for precision and accuracy in these data have been satisfied. The sampling technique for PMT has either been approved by FTA, or has been determined to conform to FTA requirements by a qualified statistician. The approved sampling technique for PMT was followed as documented.
- These data are consistent with prior reporting periods, and other facts known about transit agency operations.

Line 03: Part 3 Financial Data.

Select Yes, No or Waiver as follows:

- 3a and 3b: If FTA approved your IAS-FD for a prior report year and you are not submitting a new IAS-FD, select "yes". If yes, Paragraph 3a or 3b will appear.
- 3a or 3b are **pre-filled** and cannot be edited, review for accuracy. The data provide the
  - Accounting system.
  - Name of the Independent Auditor who performed the financial review,
  - Date of the financial review.
  - Report year for which the financial review was performed.
- 3c: If your transit agency does not have a prior year approval by FTA of your IAS-FD review or the accounting system has changed, or FTA has requested a new IAS-FD, and you are submitting an IAS-FD for the current report year, select "no" and complete 3c.
  - Name of the Independent Auditor who performed the financial review.
  - Date of the financial review.
  - Submit the IAS-FD using the **e-File** tab.
  - Retain a copy of the review in agency files.

Waiver: If your agency does not have a prior year approval of your IAS-FD review and FTA granted a waiver for an IAS-FD review for the current report year, you should select "waiver". If this is done, 3a, 3b, or 3c will not appear.

Line 04: FFA-10 Data for Agencies Serving UZAs over 200,000 Population and Operating 100 or more VOMS.

- 4a: You should indicate whether the auditor review of the FFA-10 data has been completed, by selecting "yes" or "no". If no, go to part 4d. If yes:
  - Name of the Independent Auditor who performed the review.
  - Date of the data review.
  - Retain the review in agency files.
  - Note: Suggested review procedures are provided in this section of this manual.
- 4b: You should indicate whether the auditor had any negative findings as a result of the data review by selecting "yes" or "no".
- 4c: If there were negative findings indicated in 4b, then Internet Reporting will display a box for you to explain each negative finding and how your agency addressed each finding.
- 4d: If the independent auditor has not completed the data review by the report due date, you should provide:
  - Reason why the review was not completed.
  - Anticipated completion date.

Line 05: PMT Data Collection: For each mode / type of service you should describe how PMT data were collected or estimated for the current report year (year is **pre-filled** and cannot be edited) using 5a, 5b, 5c, 5d or 5e. For purchased transportation (PT) or PT reported as directly operated (DO), the contractor name is **auto-filled**. If there are multiple providers and they use different methods, select all that are used. Note that contractors for purchased transportation reported as directly operated applies to only a few reporters. Usually contracted service in an agency's NTD report is reported as purchased transportation type of service.

- 5a: FTA Circular (select circular 2710.1a or 2710.2a) (estimated data)
- 5b: 100% count of PMT data (actual data). If available and reliable, you must report 100 percent counts.
- 5c: Alternative sampling procedure: Note that the procedure must meet 95% confidence and ±10% precision levels as determined by a qualified statistician (estimated data).
- 5d: Collected and estimated using the trip length from the last mandatory year multiplied by the unlinked passenger trip (UPT) number from this year (estimated data). The last mandatory year PMT data were collected and estimated (select from the following) (Internet Reporting will display a box for you to describe):

- Using FTA Circular (select circular 2710.1a or 2710.2a) (estimate)
- Using a 100% count of PMT data (actual)
- Using an alternative sampling procedure determined to meet 95% confidence and ±10% precision levels by a qualified statistician (estimate).
- 5e: None of the options listed. Internet Reporting will display a box for you to describe.
- 5f: NTD Sampling Method

Line 06: Unlinked Passenger Trip Data Collection: For each mode / type of service you should describe how unlinked passenger trips were collected or estimated for the current report year (year is **pre-filled** and cannot be edited) using 6a, 6b, 6c or 6d. For purchased transportation or purchased transportation reported as directly operated the contractor name is **auto-filled**. If there are multiple providers and they use different methods, you should select all that are used. Note that contractors for purchased transportation reported as directly operated applies to only a few reporters. Usually contracted service in an agency's NTD report is reported as purchased transportation type of service.

- 6a: FTA Circular 2710.1A (estimated data).
- 6b: 100% count of UPT data (actual data). If available and reliable, you must report 100 percent counts.
- 6c: Alternative sampling procedure determined to meet 95% confidence and ±10% precision levels by a qualified statistician (estimated data).
- 6d: None of the options listed. Internet Reporting will display a box for you to describe
- 6e: NTD Sampling Method.

Independent Auditor Statements

An Independent Auditor Statement (IAS) is a letter signed by an independent public accountant or other independent entity (such as a state audit agency). There are two Independent Auditor Statements (IAS):

- Independent Auditor Statement for Financial Data (IAS–FD)
- Independent Auditor Statement for Federal Funding Allocation Data (IAS–FFA).

The statement should indicate whether any of the data reported does not conform to the NTD requirements and describe the discrepancies. The Independent Auditor Statement (IAS) should identify the auditing firm's name and the location (city) of the office making the statement, and should be signed and dated.

Independent Auditor Statement for Financial Data (IAS-FD)

Overview

Each transit agency is required to file an IAS – FD with their NTD Annual report. This is usually a one-time submission that must be reviewed and approved by FTA. An audit conducted for the OMB Circular A-133 Single Audit Act is not a substitute.

The independent auditor must review all financial forms to ensure that the transit agency's accounting system follows the Uniform System of Accounts (USOA), that accrual accounting or a directly translatable method is used, and that all data are in accordance with NTD requirements. The review must state whether any of the reported data do not conform to NTD requirements and describe the discrepancies.

If FTA approves the IAS–FD, the Chief Executive Officer (CEO) Certification may be used in subsequent years in lieu of the IAS–FD. The chief executive officer (CEO) must certify the overall accuracy of the data in the NTD Annual report.

If there is a change in the transit agency's accounting system, another review must be performed (a new IAS–FD) and submitted to FTA. FTA may require a new review if there are substantial changes in financial data reporting.

The criteria for retaining FTA approval are:

- The transit agency has adopted the USOA, and has previously submitted an NTD Annual report that was compiled using the USOA and was reviewed by an independent auditor, or
- The transit agency:
  - Uses an internal accounting system other than the accounting system prescribed by the USOA
  - Uses the accrual method of accounting
  - Directly translates the system and accounting categories, using a clear audit trail, to the accounting treatment and categories specified by the USOA, and
  - Has previously submitted an NTD Annual report that was compiled using the same internal accounting system and translation to the USOA, and was reviewed by an independent auditor.

If the above criteria are met, the CEO Certification must verify that the financial data continues to meet one of the above conditions.

Suggested Format

The transit agency must submit the IAS–FD as applicable. FTA provides suggested formats in Internet Reporting on the **Reports** tab (Example 31). It is not a requirement that a transit agency use these formats; however, the IAS–FD must still address each of the items outlined in the suggested format.

The suggested format ensures the financial reporting forms conform in all material respects with the accounting requirements in the USOA and NTD reporting requirements. Usually, a transit agency has the financial data review done only once and sends the IAS–FD to FTA. If the transit agency is in conformance, FTA grants approval. This approval remains in effect until the accounting system or method changes, or if significant issues arise.

Example 29 — Independent Auditor Statement for Financial Data — Suggested Format

The IAS-FD file copy should be on Independent Auditor's letterhead.

This IAS-FD should be kept on file by 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 1 of the following 2 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 being reported upon:

- Sources of Funds — Funds Earned and Funds Expended form (F-10)
- Uses of Capital form (F-20)
- Operating Expenses forms (F-30 and F-40)

Based on our review, in our opinion the accompanying reporting forms identified above conform in all material respects with the accounting requirements of the FTA as set forth in its applicable USOA.

Signed: Date:

Title:

City

Independent Auditor Statement for Federal Funding Allocation Data (IAS-FFA)

Overview

Transit agencies that are in or serve urbanized areas (UZA) with populations of 200,000 or more, and whose report covers 100 or more vehicles operated in annual maximum service (VOMS) across all modes and types of service (TOS), are required to have an independent auditor review all NTD data used in the Urbanized Area Formula Program (UAF) and the Capital Program for Fixed Guideway Modernization allocations. This is an annual requirement. Transit agencies other than those stated above would only submit this statement if requested by FTA.

When a transit agency reaches the 100-vehicle threshold, it must submit an IAS – FFA. This is required for the report year in which the transit agency reaches the threshold.

The IAS–FFA is required by the transit agency's due date (refer to the Introduction section of this manual for the NTD Reporting Timeline) or your agency may receive a **Close Out Failure to Report**. The transit agency should keep the Statement on file for FTA's Triennial Review. As this audit statement is a requirement for reporting, failure to complete the IAS – FFA in a timely manner may result in the agency not qualifying for apportionment.

The IAS–FFA should discuss, by mode and TOS: fixed guideway directional route miles (FG DRM), actual vehicle revenue miles (VRM), passenger miles traveled (PMT), operating expenses (OE) and commencement date of revenue service. The independent auditor should describe the procedures for determining the following:

- Assurance that a system exists to record and gather data on a continuing basis.
- Assurance that a system exists, and is maintained, for recording data in accordance with NTD definitions. This means that the correct data are being measured and that there are no systematic errors.
- Assurance that source documents are available to support the reported data and are maintained for FTA review and audit for a minimum of three years following FTA's receipt of the NTD Annual report. The data must be fully documented and securely stored.
- Assurance that there is a system of internal controls to ensure the accuracy of the data collection process and recording system and that reported documents are not altered.
- Assurance that a supervisor reviews and signs documents as required.
- Assurance that the data collection methods are those suggested by FTA; or have been approved by FTA or a qualified statistician as being equivalent in quality and precision. The collection methods must be documented and followed.
- Assurance that the deadhead miles, computed by taking the difference between the reported total actual vehicle miles data and the reported total actual VRM data, appear to be accurate.
- Documentation that reported data have undergone analytic review to ensure that they are consistent with prior reporting periods and other facts known about transit agency operations.
- Documentation of the specific documents reviewed and tests performed.
- Documentation of how purchased transportation (PT) fare revenues and contract expenditures are reported; i.e., PT fare revenues should include all fare revenues pertaining to the PT service, and buyer's contract expenditures are reported net of (not including) the PT fare revenues.

  Note that electronic documentation of review such as supervisor emails confirmed review are acceptable.

Suggested Procedures

FTA provides a suggested list of procedures to satisfy the requirements of the IAS – FFA review (see the following exhibit). The procedures are an aid for an auditor to conduct in its review of data items used in the UAF and the Capital Program for Fixed Guideway Modernization allocations. These procedures allow the auditor to make the assurances about data collection, supervision and records retention specified in the suggested IAS–FFA.

These are suggested procedures for the review of federal funding allocation data (see the following exhibit). If any suggested procedure is not used, the auditor has to replace it with an alternative procedure which fully addresses the intent of the suggested procedure.

Exhibit 24— Federal Funding Allocation Data Review — Suggested Procedures

FTA has specified and agreed to a set of procedures for the independent auditor to perform to satisfy the requirements of the apportionment data review. Several of the procedures below require the auditor to select a random sample of documents or data. The procedures do not specify the number to be selected (i.e., the percentage of the total documents / data). The auditor should use professional judgment to determine the percentage that will enable the auditor to make the required assurances.

The source documents and other records (such as data summaries) may be in the form of computerized data files. The auditor should ensure that these files are securely stored and that backup procedures are in place to ensure that source documents are retained by the transit agency for a minimum of three years.

The procedures, to be applied to each applicable mode and type of service (TOS) (directly operated (DO) and purchased transportation (PT)), are:

a. Obtain and read a copy of written procedures related to the system for reporting and maintaining data in accordance with the NTD requirements and definitions set forth in 49 CFR Part 630, Federal Register, January 15, 1993 and as presented in the 2011 Reporting Manual. If procedures are not written, discuss the procedures with the personnel assigned responsibility of supervising the NTD data preparation and maintenance.

b. Discuss the procedures (written or informal) with the personnel assigned responsibility of supervising the preparation and maintenance of NTD data to determine:
   - The extent to which the transit agency followed the procedures on a continuous basis, and
   - Whether they believe such procedures result in accumulation and reporting of data consistent with the NTD definitions and requirements set forth in 49 CFR Part 630, Federal Register, and January 15, 1993 and as presented in the 2011 Reporting Manual.

c. Inquire of same personnel concerning the retention policy that is followed by the transit agency with respect to source documents supporting the NTD data, Total Modal Operating Expenses data (F-30, line 15, column e), Actual Vehicle Revenue Mile and Passenger Miles Traveled (S-10, lines 12 and 20, column d).

d. Based on a description of the transit agency's procedures obtained in items a and b above, identify all the source documents which are to be retained by the transit agency for a minimum of three years. For each type of source document, select three months out of the year and determine whether the document exists for each of these periods.

e. Discuss the system of internal controls with the person responsible for supervising and maintaining the NTD data. Inquire whether individuals, independent of the individuals preparing source documents and posting data summaries, review the source documents and data summaries for completeness, accuracy and reasonableness and how often such reviews are performed.

f. Select a random sample of the source documents and determine whether supervisors' signatures are present as required by the system of internal controls. If supervisors' signatures are not required, inquire how the supervisors' reviews are documented.

g. Obtain the worksheets utilized by the transit agency to prepare the final data that are transcribed onto the Federal Funding Allocation Statistics form. Compare the periodic data included on the worksheets to the periodic summaries prepared by the transit agency. Test the arithmetical accuracy of the summarizations.

h. Discuss the transit agency's procedure for accumulating and recording passenger miles traveled (PMT) data in accordance with NTD requirements with transit agency staff. Inquire whether the procedure used is (1) a 100% count of actual PMT or (2) an estimate of PMT based on statistical sampling meeting FTA's 95% confidence and ±10% precision requirements. If the transit agency conducts a statistical sample for estimating PMT inquire whether the sampling procedure is (1) one of the two procedures suggested by FTA and described in FTA Circulars 2710.1A or 2710.2A; or (2) an alternative sampling procedure if the transit agency uses an alternative sampling procedure, inquire whether the procedure has been approved by FTA or whether a qualified statistician has determined that the procedure meets FTA's statistical requirements. Note as a negative finding in the report use of an alternative sampling procedure that has not been approved in writing by a qualified statistician.

i. Discuss with transit agency staff (the accountant may wish to list the titles of the persons interviewed) the transit agency's eligibility to conduct statistical sampling for PMT data every third year. Determine whether the transit agency meets one of the three criteria that allow transit agencies to conduct statistical samples for accumulating PMT data every third year rather than annually. Specifically:
   1. According to the 2000 Census, the public transit agency serves an UZA of less than 500,000 population.
   2. The public transit agency directly operates fewer than 100 revenue vehicles in all modes in annual maximum revenue service (VOMS) (in any size urbanized area).
   3. The service is purchased from a seller operating fewer than 100 revenue vehicles in VOMS, and is included in the transit agency's NTD report.

   For transit agencies that meet one of the above criteria, review the NTD documentation for the most recent mandatory sampling year (2011) and determine that statistical sampling was conducted and meets the 95% confidence and ±10% precision requirements.

   Determine how the transit agency estimated annual PMT for the current report year.

j. Obtain a description of the sampling procedure for estimation of PMT data used by the transit agency. Obtain a copy of the transit agency's working papers or methodology used to select the actual sample of runs for recording PMT data. If the average trip length was used, determine that the universe of runs was used as the sampling frame. Determine that the methodology to select specific runs from the universe resulted in a random selection of runs. If a selected sample run was

Exhibit 24— Federal Funding Allocation Data Review — Suggested Procedures

missed, determine that a replacement sample run was randomly selected. Determine that the transit agency followed the stated sampling procedure.

k. Select a random sample of the source documents for accumulating PMT data and determine that they are complete (all required data are recorded) and that the computations are accurate. Select a random sample of the accumulation periods and re-compute the accumulations for each of the selected periods. List the accumulations periods that were tested. Test the arithmetical accuracy of the summarization.

l. Discuss the procedures for systematic exclusion of charter, school bus, and other ineligible vehicle miles from the calculation of actual vehicle revenue miles with transit agency staff and determine that stated procedures are followed. Select a random sample of the source documents used to record charter and school bus mileage and test the arithmetical accuracy of the computations.

m. For actual vehicle revenue mile (VRM) data, document the collection and recording methodology and determine that deadhead miles are systematically excluded from the computation. This is accomplished as follows:

If actual VRMs are calculated from schedules, document the procedures used to subtract missed trips. Select a random sample of the days that service is operated and re-compute the daily total of missed trips and missed VRMs. Test the arithmetical accuracy of the summarization.

- If actual VRMs are calculated from hubodometers, document the procedures used to calculate and subtract deadhead mileage. Select a random sample of the hubodometer readings and determine that the stated procedures for hubodometer deadhead mileage adjustments are applied as prescribed. Test the arithmetical accuracy of the summarization of intermediate accumulations.
- If actual VRMs are calculated from vehicle logs, select random samples of the vehicle logs and determine that the deadhead mileage has been correctly computed in accordance with FTA's definitions.

n. For rail modes, review the recording and accumulation sheets for actual VRMs and determine that locomotive miles are not included in the computation.

o. If fixed guideway directional route miles (FG DRM) are reported, interview the person responsible for maintaining and reporting the NTD data whether the operations meet FTA's definition of fixed guideway (FG) in that the service is:

- Rail, trolleybus (TB), ferryboat (FB), or aerial tramway (TR) or
- Bus (MB) service operating over exclusive or controlled access rights-of-way (ROW), and
  - Access is restricted
  - Legitimate need for restricted access is demonstrated by peak period level of service D or worse on parallel adjacent highway, and
  - Restricted access is enforced for freeways; priority lanes used by other high occupancy vehicles (HOV) (i.e., vanpools (VP), carpools) must demonstrate safe operation (see Fixed Guideway Segments form (S-20))
  - High Occupancy / Toll (HO/T) lanes meet FHWA requirements for traffic flow and use of toll revenues, and that the transit agency has provided to NTD a copy of the State's certification to the US Secretary of Transportation that it has established a program for monitoring, assessing and reporting on the operation of the HOV facility with HO/T lanes.

p. Discuss the measurement of fixed guideway FG DRM with the person reporting the NTD data and determine that the mileage is computed in accordance with FTA's definitions of FG and DRM. Inquire whether there were service changes during the year that resulted in an increase or decrease in DRMs. If a service change resulted in a change in overall DRMs, re-compute the average monthly DRMs, and reconcile the total to the FG DRM reported on the FFA-10 form.

The auditor should inquire if any temporary interruptions in transit service occurred during the report year. If these interruptions were due to maintenance or rehabilitation improvements to a FG segment(s), the following apply:

- DRMs for the segment(s) should be reported for the entire report year if the interruption is less than 12 months in duration. The months of operation on the S-20 form should be reported as 12. The transit agency should have completed a Form Note describing the interruption.
- If the improvements cause a service interruption on the FG-DRMs lasting more than 12 months, the transit agency should contact their validation analyst to discuss. FTA will make a determination on how the DRMs should be reported.

q. Measure FG-DRM from maps or by retracing route.

r. Discuss with the person reporting the NTD data whether other public transit agencies operate service over the same FG as the transit agency. If yes, determine that the transit agency coordinated with the other transit agency (ies) such that the DRMs for the segment of FG are reported only once to the NTD on the FFA-10 form. Each transit agency should report the actual VRM, PMT and OE for the service operated over the same FG.

s. Review the S-20 form. Discuss the persons reporting NTD data the Agency Revenue Service Start Date for any segments added in the 2011 report year. This is the commencement date of revenue service for each FG segment. Determine that the date is reported as when the agency began revenue service. This may be later than the Original Date of Revenue Service if the transit agency is not the original operator. If a segment was added for the 2011 report year, the Agency Revenue Service Date must occur within the transit agency's 2011 fiscal year. Segments are summarized by like characteristics. Note that for apportionment purposes under the Capital Program for Fixed Guideway Modernization, the 7-year age requirement for fixed guideway segments is based on the report year when the segment is first reported by any

Exhibit 24— Federal Funding Allocation Data Review — Suggested Procedures

NTD transit agency. This pertains to segments reported for the first time in the current report year. Even if a transit agency can document an Agency Revenue Service Start Date prior to the current NTD report year, FTA will only consider segments continuously reported to NTD.

t. Compare operating expenses with audited financial data, after reconciling items are removed.

u. If the transit agency purchases transportation services, interview the personnel reporting the NTD data regarding the amount of PT generated fare revenues. The PT fare revenues should equal the amount reported on the Contractual Relationship form (B-30).

v. If the transit agency's report contains data for PT services and assurances of the data for those services is not included, obtain a copy of the IAS-FFA data of the PT service. Attach a copy of the statement to the report. Note as an exception if the transit agency does not have an Independent Auditor Statement (IAS) for the PT data.

w. If the transit agency purchases transportation services, obtain a copy of the PT contract and determine that the contract (1) specifies the specific public transportation services to be provided; (2) specifies the monetary consideration obligated by the transit agency or governmental unit contracting for the service; (3) specifies the period covered by the contract and that this period overlap s the entire or a portion of, period covered by the transit agency's NTD report; and (4) is signed by representatives of both parties to the contract. Interview the person responsible for maintaining the NTD data regarding the retention of the executed contract, and determine that copies of the contracts are retained for three years.

x. If the transit agency provides service in more than one UZA, or between a UZA and a non-UZA, inquire of the person responsible for maintaining the NTD data regarding the procedures for allocation of statistics between UZAs and non-UZA. Agencies that operate service in both within a UZA and outside of a UZA (non-UZA) will report to the 2011 Annual NTD database. Agencies who operate service only in a non-UZA should report the 2011 NTD Rural Report. Obtain and review the FG segment worksheets, route maps and urbanized area boundaries used for allocating the statistics, and determine that the stated procedure is followed and that the computations are correct.

y. Compare the data reported on Total Modal Operating Expenses data (F-30, line 15, column e), Actual Vehicle Revenue Mile and Passenger Miles Traveled (S-10, lines 12 and 20, column d) to comparable data for the prior report year and calculate the percentage change from the prior year to the current year. For actual VRM, PMT or OE data that have increased or decreased by more than 10%, or FG DRM data that have increased or decreased, interview transit agency management regarding the specifics of operations that led to the increases or decreases in the data relative to the prior reporting period. The auditor should document the specific procedures followed, documents reviewed, and tests performed in the work papers. The work papers should be available for FTA review for a minimum of three years following the NTD report year. The auditor may perform additional procedures, which are agreed to by the auditor and the transit agency, if desired. The auditor should clearly identify the additional procedures performed in a separate attachment to the statement as procedures that were agreed to by the transit agency and the auditor, but not by FTA.

Fixed Guideway

The following provides additional discussion on reporting fixed guideway (FG) segments and covers the following topics:

- High occupancy / toll l(HO/T) lanes
- New and modified fixed guideway segments

High Occupancy / Toll Lanes

SAFETEA-LU clarifies provisions governing the use and operation of high occupancy vehicles (HOV), in particular the use of HOV facilities by high occupancy / toll (HO/T) vehicles. These are vehicles that are not otherwise exempt to use the HOV facility (e.g., energy efficient vehicles) if the vehicle pays a toll. HO/T toll lanes allow single occupancy vehicles (SOVs) to gain access to (HOV) facilities by paying a toll. If a transit agency has stricter requirements for high occupancy vehicles facilities than the prohibition of single occupancy vehicles, then those requirements apply to the HO/T lane.

A State agency with jurisdiction over the operation of a HOV facility must establish occupancy requirements for HOV lanes and for any exemptions. The State agency must certify to the US Secretary of Transportation that they have established a program to monitor, assess, and report on the operation of the facility and the impact of high occupancy / toll vehicles and other low emission and energy efficient vehicles. An adequate enforcement program is also required, and provision made for limiting or discontinuing the exemptions if the facility becomes seriously degraded.

These provisions and clarifications also require that for excess toll revenues, priority consideration is to be given to projects for developing alternatives to single occupancy vehicle travel and for improving highway safety.

New and Modified Fixed Guideway Segments

You may add new FG segments or modify existing FG segments. These new segments can be:

- A segment being reported to NTD for the first time by any transit agency. If a segment has been added as new it is important to verify that the segment has never been reported to NTD in prior years. , All data entry fields will be available
- A segment being reported to NTD for the first time by this transit agency. The segment is available to select from the drop-down menu. Only selected fields can be modified. Refer to the Fixed Guideway Segments form (S-20).

For new and modified segments, NTD also requires that the transit agency provide supporting documentation. This includes detailed maps that clearly show each segment and when the transit agency first began revenue service on the segment.

For apportionment purposes under the Capital Program for Fixed Guideway Modernization, the 7-year age requirement for fixed guideway segments is based on the report year when the segment is first reported by any NTD transit agency. This pertains to segments reported for the first time in the current report year. Even if a transit agency can document a revenue service start date prior to the current NTD report year, FTA will only consider segments continuously reported to NTD.

Until a segment is reviewed and accepted by NTD, it appears under a proposed new segments section on the S-20 form, and the directional route miles (DRM) for the segment are not included in the summary at the bottom of the form. Once a new segment is approved, NTD will enter the segment and its directional route miles into the database and the directional route miles for the new segment will be included in the summary. CATHI—is this how this reminder should be formatted?

For new and modified segments, the following should be done:

- The auditor should review the supporting documentation and S-20 form, and determine with the transit agency the DRM to be reported for the Federal Funding Allocation Statistics form (FFA-10).
- In completing the FFA-10 form, you should include the segment in reporting the DRM and associated statistics for VRM, PMT and OE in the appropriate UZA / non-UZA column.

NTD requires the IAS – FFA to be completed prior to submission of the NTD Annual report. The auditor does not have to re-review the FFA-10 form once NTD approves the new and modified segments if none of the information on the S-20 form changes.

If the information does change, the auditor must review the revised FFA-10, but does not have to submit a revised IAS – FFA. When submitting a revised report, Internet Reporting will prompt you: 1) to confirm that the CEO certifies the revisions to the report and 2) if required, that the independent auditor has reviewed and concurred with the revisions.

Deleted Segments

If the transit agency no longer operates over a segment reported in the prior year, you must enter the date that transit service was last operated under Out of Revenue Service Date. The segment will be deleted and DRM eliminated in the summary at the bottom of the S-20 form.

You should not use the **Delete** box.

The auditor should confirm the Out of Revenue Service Date, i.e., the date on which the transit agency stopped operating service.

For further information, you should refer to the S-20 form for a discussion of the requirements.

Suggested Format

The transit agency keeps the Independent Auditor Statement for Federal Funding Allocation Data (IAS–FFA) on file for three years after the NTD Annual report is submitted, for FTA's triennial review. It does not need to be submitted with the NTD Annual report.

FTA provides suggested formats in Internet Reporting on the **Reports** tab (Example 32). It is not a requirement that a transit agency use these formats; however, the IAS–FFA data must still address each of the items outlined in the suggested format.

The suggested format ensures that requirements for the data items used in the Urbanized Area Formula Program (UAF) and the Capital Program for Fixed Guideway Modernization allocations meet FTA standards. The format is consistent with the FTA suggested list of procedures for the independent auditor (see previous exhibit).

During the validation process if revisions are made to the FFA-10 form, the transit agency should document that both the chief executive officer (CEO) and the independent auditor concur with revisions to the transit agency's data, and retain a copy of the revisions in the transit agency's files. The independent auditor does not have to redo the IAS–FFA. When submitting a revised report, Internet Reporting will prompt you to confirm that the CEO certifies the revisions to the report and that the independent auditor has reviewed and concurred with the revisions.

Example 30 — Independent Auditor Statement for Federal Funding Allocation Data — Suggested Format

The IAS-FFA file copy should be on Independent Auditor's letterhead.

This IAS-FFA should be kept on file by Transit Agency.

The Board of Trustees
Transit Agency Name

FTA has established the following standards with regard to the data reported for the Federal Funding Allocation Data (Total Operating Expense data on F-30, line 15, column e, Form S-10, lines 12, 15, 18, 20, column d, Total Actual Vehicle Revenue Mile, Total Actual Vehicle Revenue Hour, Total Unlinked Passenger Trip data and Passenger Mile Traveled data and Fixed Guideway when applicable) in the transit agency's annual National Transit Database (NTD) report:

- A system is in place and maintained for recording data in accordance with NTD definitions. The correct data are being measured and no systematic errors exist.
- A system is in place to record data on a continuing basis, and the data gathering is an ongoing effort.
- Source documents are available to support the reported data and are maintained for FTA review and audit for a minimum of three years following FTA's receipt of the NTD report. The data are fully documented and securely stored.
- A system of internal controls is in place to ensure the data collection process is accurate and that the recording system and reported comments are not altered. Documents are reviewed and signed by a supervisor, as required.
- The data collection methods are those suggested by FTA or otherwise meet FTA requirements.
- The deadhead miles, computed as the difference between the reported total actual vehicle miles data and the reported total actual VRM data, appear to be accurate.
- Data are consistent with prior reporting periods and other facts known about transit agency operations.

We have applied the procedures to the Total Operating Expense data on F-30, line 15, column e, Form S-10, lines 12, 15, 18, 20, column d, Total Actual Vehicle Revenue Mile, Total Actual Vehicle Revenue Hour, Total Unlinked Passenger Trip data and Passenger Mile Traveled data and Fixed Guideway when applicable for the fiscal year ending **[date]**. Such procedures, which were agreed to and specified by FTA in the Declarations section of the 2011 Reporting Manual and were agreed to by the transit agency, were applied to assist you in evaluating whether the transit agency complied with the standards described in the first paragraph of this part and that the information included in the NTD report FFA-10 form for the fiscal year ending **[date]** is presented in conformity with the requirements of the Uniform System of Accounts (USOA) and Records and Reporting System; Final Rule, as specified in 49 CFR Part 630, Federal Register, January 15, 1993 and as presented in the 2011 Reporting Manual. Additional procedures performed (if any), which are agreed to by the transit agency but not by FTA, are described in a separate attachment to this report. This report is intended solely for your information and for FTA and should not be used by those who did not participate in determining the procedures. The procedures were applied separately to each of the information systems used to develop the reported actual VRM, FG DRM, PMT and OE of **[transit agency name]** for the fiscal year ending **[date]** for each of the following modes:

[List each mode by type of service (TOS) (directly operated (DO) or purchased transportation (PT)).]

The following information and findings came to our attention as a result of performing the procedures described in the attachments to this report:

[Itemize all information and findings. If none, so state.]

In performing the procedures, except for the information and findings described above, the information included in the NTD report for the Federal Funding Allocation data for the fiscal year ending **[date]** is presented fairly, in all material respects, with the requirements of the USOA and Records and Reporting System; Final Rule, as specified in 49 CFR Part 630, Federal Register, January 15, 1993 and as presented in the 2011 Reporting Manual.

Signed: Date:

Title:

City