

2011 Small Systems Waiver Reporting Manual



NTD
National Transit Database
Federal Transit Administration

Table of Contents

Introduction	1
What is the National Transit Database?	1
Reporting Manuals and Modules.....	1
FY 2010 Annual Reporting Changes and Clarifications	1
Who Reports, What to Report, How to Report, When to Report, and Where to Report	1
New Reporters	1
Reference Information.....	1
What is the National Transit Database?	2
Reporting Manuals and Modules.....	3
FY 2011 Annual Reporting Changes and Clarifications	3
Who Reports.....	4
Purchased Transportation Services	4
Consolidated NTD Reporters	4
Voluntary Reporters	5
Extensions, Waivers and Special Requests.....	5
What to Report	8
Reporting Modules and Forms	8
Declarations	8
Fiscal Year Data.....	8
How to Report.....	9
The NTD Identification Number.....	9
Internet Reporting	9
Reporting Format	9
General Formatting Rules	9
Accounting Requirements	9
Accounting Principles (GAAP).....	9
Accrual Accounting	10
Reporting Purchased Transportation	10
When to Report	11
Reporting Timeline	11
Reminder Notices.....	11
Failure to Report: No Report, Late Report, or Incomplete Report	11
Where to Report	13
New Reporters.....	14
Written Request	14

2011 Small Systems Waiver Annual Reporting Manual

Reference Information	15
Transit Terminology and Parameters	15
Reference Documents	17
Internet Reporting	19
Overview	19
What Has Changed from Prior Years	19
Internet Reporting System Security	19
Detailed Instructions	19
Accessing Internet Reporting	19
Connecting to the Internet	19
Verifying Your Internet Browser Settings	20
The National Transit Database Website	20
Accessing the NTD Report	21
Home: Annual Report Home Page and Program Structure	22
Annual: Reporting Annual Data	23
Notes: Providing Additional Information	24
Issues: Validating Data	25
Sys Admin: Changing Your Password	25
Help: Obtaining More Information	27
Reports: Accessing Reports to Help Report Annual Data	28
e-File: Sending Declarations, Requests, and Other Communication	31
Communications Summary: Viewing a History of Correspondence with NTD	31
Tips for Using Internet Reporting	31
Navigating Between Screens	31
Saving a Form	32
Viewing, Printing and Exporting Reports	32
Basic Information Module	33
Identification form (B-10)	33
Contacts form (B-20)	33
Identification form (B-10)	34
Overview	36
Reporting Requirements and Thresholds	36
Detailed Instructions	36
NTD ID	36
Identification Information	36
Are You a Recipient or Beneficiary of Urbanized Area Formula Program Grants with Continuing Requirements?	37
Are You Requesting a Small System (30 or fewer vehicles) Waiver?	37
Organization Type	37

2011 Small Systems Waiver Annual Reporting Manual

Demographic Information	39
Number of Vehicles Operated in Annual Maximum Service by Mode and Type of Service.....	39
Capital or Non Capital Investment for Mode not Currently in Service	42
Line by Line Instructions Identification form (B-10)	43
Starting Your NTD Report	43
Contacts form (B-20).....	46
Overview	48
Reporting Requirements and Thresholds.....	48
What Has Changed from Prior Year.....	48
Detailed Instructions	48
Contact Type: CEO	48
Contact Type: NTD Contact	48
Contact Type: Safety Contact	48
Contact Type: Security Contact.....	48
Line by Line Instructions Contracts form (B-20).....	49
Completing the Contacts form (B-20).....	49
Form Level Help: Click on the Help tab at the top of the screen for form level help.	49
Small Systems Waiver Module (W-30)	50
Small Systems Waiver (30 or Fewer Vehicles) form (W-30).....	50
Small Systems Waiver form (W-30)	51
Overview	52
Reporting Requirements and Thresholds.....	52
What Has Changed from Prior Year.....	52
Approach	52
Accrual Accounting	52
Cost Allocation	52
Vanpools	53
Funds Earned Based on Expenses Incurred.....	53
Funds Earned Based on Non-Cost Factors.....	53
Transit Related Projects	54
Pass-Through Funds.....	54
Detailed Instructions	54
Operating Expenses by Mode	54
Uses of Capital.....	55
Purchased Transportation.....	55
Multiple Modes and Types of Service	55
Directly Generated Funds by the Transit Agency: All Transit Agencies	55
Passenger Fares.....	55

2011 Small Systems Waiver Annual Reporting Manual

Vanpool.....	55
Allocation of Fare Revenues	56
Passenger Fares for Directly Operated (DO) Service	56
Passenger Fares for Purchased Transportation (PT) Service.....	56
Other Directly Generated Funds	56
Donations	56
Local and State Funds	57
Other Funds	57
Federal Government Funds	57
Funds Received from FTA	57
Other Federal Sources.....	58
FTA Capital Program	58
FTA Urbanized Area Formula Program.....	58
FTA Metropolitan Planning.....	58
FTA Clean Fuels Program.....	59
FTA Special Needs of Elderly Individuals and Individuals with Disabilities Formula	59
FTA Other Than Urbanized Area Formula Program.....	59
FTA Job Access and Reverse Commute Formula Program.....	59
FTA New Freedom Program	59
FTA Alternative Transportation in Parks and Public Lands Program	59
Other FTA Funds	60
Funds Received from Other USDOT Grant Programs	60
Other Federal Funds	60
Service Data.....	60
Service Supplied	60
Revenue Service.....	60
Actual Vehicle Revenue Miles and Hours	60
Non-Scheduled Non-Fixed Route Services.....	61
Actual Vehicle Revenue Miles and Hours	61
Service Consumed.....	61
Unlinked Passenger Trips	62
Collecting Unlinked Passenger Trips	62
100 Percent Count of Unlinked Passenger Trips	62
NTD Sampling Method.....	63
Alternative Sampling Techniques.....	63
Automatic Passenger Counters (APC).....	63
Sampling for Purchased Transportation Service	64
Line by Line Instructions Small Systems Waiver (30 or Fewer Vehicles) form (W-30).....	64
Completing the Small Systems Waiver (30 or Fewer Vehicles) form (W-30)	65

2011 Small Systems Waiver Annual Reporting Manual

Sources of Directly Generated Funds by the Transit Agency — All Transit Agencies.....	65
Federal Government Funds	65
Service Data.....	66
Asset Module.....	69
Stations and Maintenance Facilities form (A-10).....	69
Revenue Vehicle Inventory form (A-30)	69
Stations and Maintenance Facilities form (A-10)	70
Overview.....	72
Reporting Requirements and Thresholds.....	72
What Has Changed from Prior Year.....	72
Approach.....	72
Passenger Stations	72
Station Criteria	72
Multi-Modal Stations.....	72
ADA Accessibility	72
Maintenance Facilities.....	72
Type	73
Ownership.....	73
Size	73
Shared Facilities.....	73
Detailed Instructions	73
Passenger Stations	73
Maintenance Facilities.....	74
Line by Line Instructions Stations and Maintenance Facilities from (A-10)	76
Completing the Stations and Maintenance Facilities form (A-10).....	76
Revenue Vehicle Inventory form (A-30).....	80
Overview.....	80
Reporting Requirements and Thresholds.....	80
Approach.....	80
Detailed Instructions	80
Number of Vehicles in Total Fleet	80
Dedicated Fleet.....	80
Vehicle Type	80
Ownership.....	80
Funding Source.....	81
Year of Manufacture.....	81
Year of Rebuild	82
Manufacturer	82

2011 Small Systems Waiver Annual Reporting Manual

Model Number.....	82
Number of Active Vehicles in Fleet	83
ADA Accessible Vehicles	83
Number of Emergency Contingency Vehicles	83
Fuel Type	84
Vehicle Length	84
Seating Capacity	85
Standing Capacity	85
Total Miles on Active Vehicles and Average Lifetime Mileage per Active Vehicle	85
Supports Another Mode	86
Delete Vehicle Fleet	86
Line by Line Instructions Revenue Vehicle Inventory form (A-30)	88
Completing the Revenue Vehicle Inventory form (A-30)	88
Federal Funding Allocation Statistics Module (FFA-10)	91
Federal Funding Allocation Statistics form (FFA-10)	91
Overview	92
Urbanized Area Formula Program	92
Reporting Requirements and Thresholds	92
What Has Changed from Prior Year	92
Approach	93
Detailed Instructions	93
Urbanized Area Number	93
Urbanized Area and Other than Urbanized Area Reporting Method	93
Line by Line Instructions Federal Funding Allocation Statistics form (FFA-10).....	98
Declarations Module	99
Declarations	99
Reporting Requirements and Thresholds	99
What Has Changed from Prior Year	100
Chief Executive Officer Certification (D-10) form	101
Overview	101
Overall Report	101
Unlinked Passenger Trip (UPT) Data	101
Chief Executive Officer Certification form (D-10).....	101
Line by Line Instructions CEO Certification form (D-10)	102

List of Examples

Example 1 — Continuing Requirements	12
Example 2 — Small Systems Waiver Eligibility	14
Example 3 — Accrual Accounting	18
Example 4 — Reporting Maintenance Facilities	83
Example 5 — Reporting Total Mileage During Period and Average Lifetime Mileage per Active Vehicle	95

List of Exhibits

Exhibit 1 — Summary of NTD Reporting Requirements	16
Exhibit 2 — NTD Annual Reporting Timelines	19
Exhibit 3 — NTD Contact Information	21
Exhibit 4 — New Agency Reporting Timeline	22
Exhibit 5— NTD Reference Documents	26
Exhibit 6 — Issue Status	34
Exhibit 7 — Accounting for Miles and Hours for Bus Service	69
Exhibit 8 — Summary of NTD Reporting Requirements	70

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, including a description of the Small Systems Waiver.

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 690 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.

In an ongoing effort to reduce the burden of NTD reporting for smaller transit systems, beginning in Report Year 2011, transit systems that operate 30 or fewer vehicles in annual maximum service will have the opportunity to submit a Small Systems Waiver report with significantly reduced reporting requirements. This manual will outline the requirements for any transit system that chooses this waiver.

Reporting as a Small Systems Waiver agency will not affect your eligibility for receiving federal grants and meets all requirements for Urbanized Area Formula Program (5307) funding, however, because of the reduced reporting requirements, some data items will not be available for apportionment purposes.

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. Small Systems Waiver Manual
 - Basic Information Module
 - Asset Module
 - Small Systems Module
 - Federal Funding Allocation Statistics Module
 - Declarations
3. NTD Monthly Reporting Manual
 - Monthly Ridership forms
4. NTD Safety and Security Reporting Manual
 - Safety and Security forms
 - Chief Executive Officer Certification
5. 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.

In future report years, changes and clarifications in Small Systems Waiver Reporting will be listed here.

Who Reports

Transit providers 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 are generally not required to report 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).

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. For a Small Systems Waiver reporter, the total of all vehicles operated in annual maximum service must be 30 or fewer.

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 prevents 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 three types of waivers that apply to Small Systems Waiver Reporters:

[Data Reporting](#)

Natural Disaster/Hold Harmless

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.

Small Systems Waiver

A transit provider that operates thirty or fewer vehicles may request a waiver from certain NTD reporting requirements. Recipients of the Small Systems Waiver must still submit all or reduced information on the following forms:

- Identification form (B-10)
- Contacts form (B-20)
- Stations and Maintenance Facilities form (A-10) for each mode and type of service (TOS)
- Revenue Vehicle Inventory form (A-30) for each mode and type of service (TOS) to the NTD
- Small Systems Waiver form (W-30)
- Federal Funding Allocation Statistics form (FFA-10)
- Declarations form (D-10).

To be considered for this waiver, a transit provider must meet the following criteria:

- Thirty 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 Waivers.

Example 2 — Small Systems Waiver Eligibility

Requirement: Thirty 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), demand response-taxi (DT), jitney (JT), publico (PB) and vanpool (VP).

Example 1: Transit agency A directly operates 7 buses (mixed traffic ROW) and contracts for 2 DR vehicles = 9 VOMS.

Eligible? Yes. The total across all modes is 9 VOMS; therefore transit agency A is eligible for a Small Systems Waiver.

Example 2: Transit agency B directly operates 28 buses (mixed traffic ROW) and contracts for 3 DR vehicles = 31 VOMS.

Eligible? No. Though each service is less than 31 VOMS, the total across all modes and types of service is 31 VOMS; therefore transit agency B is not eligible for a Small Systems Waiver.

Example 3: Transit agency C directly operates 8 automated guideway (AG) vehicles = 8 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 Small Systems Waiver.

An approved Small Systems 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 will be reduced because your data will 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 will 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 determine actual due dates for submitting the Small Systems Waiver request.

Data and Report 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 and Report 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 and Report 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.

These waivers are only **granted for one year**, and are **never granted for multiple years**.

To request a Data or Report 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 or Report Waiver for the current report year.

An approved Data or Report 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.

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.

Natural Disaster Waiver

- A transit provider that is severely impacted by a natural disaster may request a waiver from reporting to the NTD for the current 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.

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

The following exhibit presents a summary of NTD Small Systems Waiver reporting requirements.

Exhibit 1 — Summary of NTD Reporting Requirements

Report Type	Requirement
Small Systems Waiver Reporters	
Identification form (B-10)	
Contacts form (B-20)	
Stations and Maintenance Facilities form (A-10)	
Revenue Vehicle Inventory form (A-30)	
Small Systems form (W-30)	
Federal Funding Allocation Statistics form (FFA-10)	
Declarations form (D-10).	

Declarations

Small Systems Waiver reporters have only one type of [declaration](#) which certifies the data in the NTD Annual Report:

[Chief Executive Officer form D-10](#)

Fiscal Year Data

The data in the NTD Annual report covers a 12-month Fiscal Year ending in 2010. 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 **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:

2011 Small Systems Waiver Annual Reporting Manual

The [Financial Accounting Standards Board](#) (FASB) is responsible for general GAAP affecting all types of entities.

The [Governmental Accounting Standards Board](#) (GASB) is affiliated with the FASB and specializes in government agencies in the United States. In the event of a conflict between 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.

Granting a transportation provider permission to operate certain services through a franchise or license does not, in itself, constitute PT. Also, management services contracts, in which all or some personnel or services are provided to manage or operate the transit agency, are not PT. 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 2010 report year.

Exhibit 2 — 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 29	January 31	April 29
Closeout Process			
Last Date to Submit Report Revisions	March 1	May 1	July 2
Report Closeout	March 16	May 16	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). The CEO Certification must be submitted via the D-10 Form and the IAS-FD must be submitted via the **e-File** tab.
- 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).

2011 Small Systems Waiver Annual Reporting Manual

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 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 3 — NTD Contact Information

<p>Mailing Address You can write to the FTA NTD Project Office at the following address:</p> <p style="padding-left: 20px;">Federal Transit Administration National Transit Database P.O. Box 10967 Rockville, MD 20849</p> <p>Please use the U.S. Postal Service for deliveries to this P.O. Box.</p>	<p>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</p> <p>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.</p>
<p>Express Delivery Address Express deliveries can be made to the following address:</p> <p style="padding-left: 20px;">Federal Transit Administration National Transit Database 1355 Piccard Drive, Suite 425 Rockville, MD 20850</p>	<p>E-mail You can contact your NTD validation analyst by using the telephone number or e-mail address located on the Home tab at:</p> <p style="padding-left: 20px;">www.ntdprogram.gov > Internet Reporting Login > Announcements</p> <p>You can email the NTD Help Desk at any time at: ntdhelpdesk@savantage.net</p>
<p>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</p> <p>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.</p>	<p>Internet The FTA NTD Project Office manages a website at the following address: www.ntdprogram.gov</p> <p>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.</p>

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., 2010); the agency will submit its first NTD report for the current fiscal year (e.g., 2010). If the request is received during the last six months of a fiscal year (e.g., 2010), the agency will report during the next fiscal year (e.g., 2011).

Exhibit 4 — 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, 2011	October 31, 2011	July 1, 2009 - June 30, 2011	2011
Oct. 1, 2010 - Sept. 30, 2011	April 1, 2011 - March 31, 2011	January 30, 2012	Oct. 1, 2010 - Sept. 30, 2011	2011
Jan. 1, 2011 - Dec. 31, 2011	July 1, 2010 - June 30, 2011	April 30, 2012	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 Parameters

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 [schoolbus](#) service. At the time of this writing, FTA has invited public comment on a revised definition of schoolbus service in the Federal Register. The NTD will adopt the new definition of schoolbus service, if and when it is finalized.

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)
Inclined plane (IP)
Light rail (LR)
Monorail (MO)

Non-Rail

Aerial tramway (TR)
Bus (MB)
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.

Agencies who operate rail are not eligible to report a Small Systems Waiver report.

Type of Service (TOS)

Public transportation can be provided in two ways:

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.

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:

- UZA, and
- 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

2011 Small Systems Waiver Annual Reporting Manual

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:

Vehicles operated in maximum service (VOMS)

[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 are 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 5— NTD Reference Documents

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

- Current Reporting Manuals
 - Annual
 - Small Systems Waiver
 - Safety and Security
 - Monthly
 - Rural
 - Sampling
- 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.
- NTD Sampling Package, March 31, 2009.

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

There are no changes from prior years.

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
- 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.

2011 Small Systems Waiver Annual Reporting Manual

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.
- **Small System Wavier Reporting 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.
- **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.

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**.

Welcome to The National Transit Database [Home](#)

Internet Reporting Login

User Name

Password

Username and Password Required

Warning
You are accessing a U.S. Government information system. This information system, including all related equipment, networks, and network devices, is provided for U.S. Government-authorized use only. Unauthorized or improper use of this system is prohibited, and may result in civil and criminal penalties, or administrative disciplinary action. The communications and data stored or transiting this system may be, for any lawful Government purpose, monitored, recorded, and subject to audit or investigation. By using this system, you understand and consent to such terms.

NTD Release 1.23 - 072110

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####.

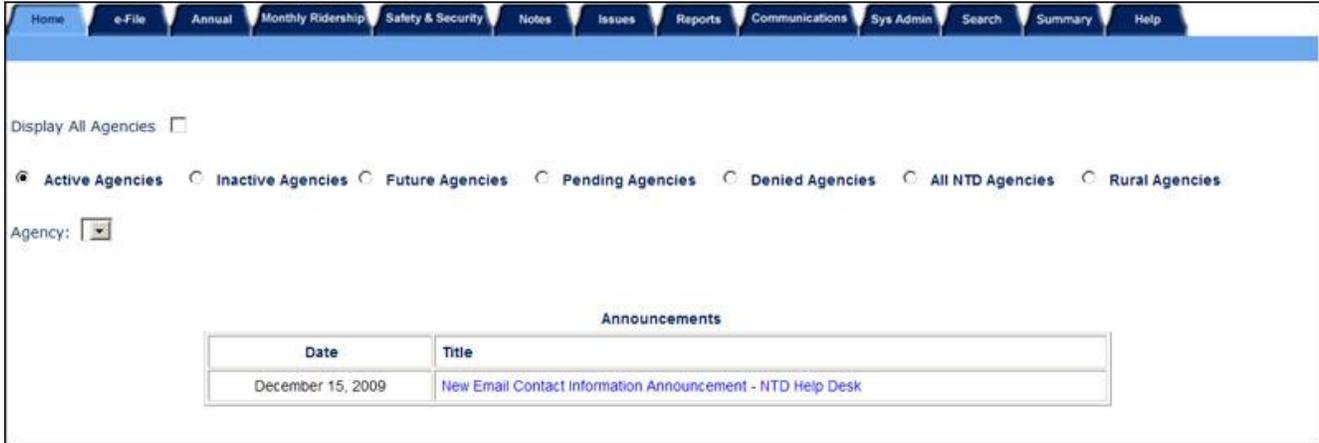
2011 Small Systems Waiver Annual Reporting Manual

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



The screenshot shows the 'Home' page of the reporting system. At the top is a navigation bar with tabs: Home, e-File, Annual, Monthly Ridership, Safety & Security, Notes, Issues, Reports, Communications, Sys Admin, Search, Summary, and Help. Below the navigation bar, there is a section for 'Display All Agencies' with a checkbox. Underneath are radio buttons for 'Active Agencies', 'Inactive Agencies', 'Future Agencies', 'Pending Agencies', 'Denied Agencies', 'All NTD Agencies', and 'Rural Agencies'. There is also a dropdown menu for 'Agency:'. Below this is an 'Announcements' section with a table:

Date	Title
December 15, 2009	New Email Contact Information Announcement - NTD Help Desk

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).
- **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, 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

Module	Form Name	Mode/ Service	Update User	Update Date	Issues	
					C	I
Basic Information	Identification (B-10)		System		0	0
	Contacts (B-20)		System		0	0
Financial						
Assets						
Services						
Resources						
Federal Funding Allocation Statistics						
Declarations						

Print All (2) forms

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.

2011 Small Systems Waiver Annual Reporting Manual

Notes: Providing Additional Information



Form name	Mode / Service	Note type	Note category	FTA category	Comments	User ID	Date
Report note							
Basic Information Module							
Financial Module							
Assets Module							

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



Form Name	Mode / Service	Issue Type	Issue #	Issue Status	Validation Status	<input checked="" type="checkbox"/> Active only
-----------	--------------------------------	----------------------------	-------------------------	------------------------------	-----------------------------------	---

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.

2011 Small Systems Waiver Annual Reporting Manual

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 Small Systems Waiver 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:

2011 Small Systems Waiver Annual Reporting Manual

- **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 6 — 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

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 number of [unlinked passenger trips](#) (UPT), 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.

2011 Small Systems Waiver Annual Reporting Manual

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

The screenshot shows a web application interface with a top navigation bar containing the following tabs: Home, e-File, Annual, Monthly Ridership, Safety & Security, Notes, Issues, Reports, Communications, Sys Admin, Search, Summary, and Help. Below the navigation bar, there are four main sections, each with a table structure:

- Report Stage:** Columns include Date Sent To NTD, Date Returned From NTD, and Days on Desk.
- Waivers:** Columns include Year, Create Date, Routing Date, Status, Location, and Days on Desk. An "Add Waiver" button is present.
- Declarations:** Columns include Year, Create Date, Routing Date, Status, Location, and Days on Desk. An "Add Declaration" button is present.
- Other Agency Requests:** Columns include Year, Create Date, Routing Date, Status, Location, and Days on Desk.

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](#)
- [Reporting](#)

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 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.

e-File Composing: Waivers and Other Agency Requests

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

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

Other Agency Request Type menu selection:

Consolidation Request
Extension Request
FY Change Request

2011 Small Systems Waiver Annual Reporting Manual

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.

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.

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



Add Waiver Type menu selection:

Data Waiver
Reporting Waiver

2011 Small Systems Waiver Annual Reporting Manual

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 screenshot shows the 'Communications' tab in a web application. At the top is a navigation menu with tabs: Home, e-File, Annual, Monthly Ridership, Safety & Security, Notes, Issues, Reports, Communications (selected), Sys Admin, Search, Summary, and Help. Below the menu are three filter dropdowns: 'Analyst Filter', 'Process Filter', and 'Comm. Type Filter'. To the right of these filters are buttons for 'Filter', 'Refresh', and 'Add Contact Log', along with a radio button labeled 'My'. A note on the right says 'In order to add correspondence, please go to the e-File tab.' Below the filters is a table header with columns: Date, Agency, Analyst, Logger, Process, Comm. Type, Subject, and Attachment.

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.

Tips for Using Internet Reporting

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 

2011 Small Systems Waiver Annual Reporting Manual

- 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 two forms:

- Identification Form (B-10)
- Contacts Form (B-20)

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 Systems 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.

Identification form (B-10)

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

Form Name: Identification (B-10) [Add Form Note](#) [Close Form](#)

D1 Transit Agency Identification Information

Agency name* Fiscal year Ending **6/30/2011**

Mailing address*

Mailing address P.O. Box

City*

State* Zip code* (ex: 22222) -

URL (ex: www.url.com) FTA Recipient ID

Agency acronym DUNS Number

Are you a recipient or beneficiary of Urbanized Area Formula Program grants with continuing requirements? Yes No (voluntary reporter)

D2 Are you requesting a Small System (30 or fewer vehicles) waiver? Yes No

D3 Organization Type*

13. Other (Describe)

Describe Other*

D5 Demographic Information*

Primary UZA - Charleston, WV - 166

Service area information: Square miles Population

Available Secondary UZA/Non-UZA(s) Selected Secondary UZA/Non-UZA(s)

Make Selection

- Non-UZA - 0
- New York-Newark, NY-NJ-CT - 1
- Los Angeles-Long Beach-Santa Ana, CA - 2
- Chicago, IL-IN - 3

[Add UZA](#) [Remove UZA](#)

D6 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	Purchased Transportation (PT) Modes	Vehicles
Aerial tramway (TR)	<input type="text"/>	Aerial tramway (TR)	<input type="text"/>
Alaska railroad (AR)	<input type="text"/>	Alaska railroad (AR)	<input type="text"/>
Bus (MB)	<input type="text"/>	Bus (MB)	<input type="text"/>
Bus Rapid Transit (RB)	<input type="text"/>	Bus Rapid Transit (RB)	<input type="text"/>
Cable car (CC)	<input type="text"/>	Cable car (CC)	<input type="text"/>
Commuter Bus (CB)	<input type="text"/>	Commuter Bus (CB)	<input type="text"/>
Commuter rail (CR)	<input type="text"/>	Commuter rail (CR)	<input type="text"/>
Demand response (DR)	<input type="text"/>	Demand response (DR)	<input type="text"/>
Ferryboat (FB)	<input type="text"/>	Demand response Taxi (DT)	<input type="text"/>
Heavy rail (HR)	<input type="text"/>	Ferryboat (FB)	<input type="text"/>
Hybrid Rail (YR)	<input type="text"/>	Heavy rail (HR)	<input type="text"/>
Inclined plane (IP)	<input type="text"/>	Hybrid Rail (YR)	<input type="text"/>
Jitney (JT)	<input type="text"/>	Inclined plane (IP)	<input type="text"/>
Light rail (LR)	<input type="text"/>	Jitney (JT)	<input type="text"/>
Monorail/Automated guideway (MG)	<input type="text"/>	Light rail (LR)	<input type="text"/>
Publico (PB)	<input type="text"/>	Monorail/Automated guideway (MG)	<input type="text"/>
Street Car Rail (SR)	<input type="text"/>	Publico (PB)	<input type="text"/>
Trolleybus (TB)	<input type="text"/>	Street Car Rail (SR)	<input type="text"/>
Vanpool (VP)	<input type="text"/>	Trolleybus (TB)	<input type="text"/>
Other vehicles operated (OR) (Describe *)	<input type="text"/>	Vanpool (VP)	<input type="text"/>
Total vehicles operated in annual maximum service (DO)	<input type="text"/>	Other vehicles operated (OR) (Describe *)	<input type="text"/>
		Total vehicles operated in annual maximum service (PT)	<input type="text"/>

D7 Capital or Non Capital Investment for a Mode Not Currently in Service (Select all applicable Mode/Service combinations)

Available Modes/Services Selected Modes/Services

Select from the following Modes/Services

- Commuter Rail-DIRECTLY OPERATED
- Ferryboat-DIRECTLY OPERATED
- Heavy Rail-DIRECTLY OPERATED
- Inclined Plane-DIRECTLY OPERATED

[Add](#) [Remove](#)

- Cable Car-DIRECTLY OPERATED
- Demand Response-DIRECTLY OPERATED

[Save](#) [Close](#) [Print](#)

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 Systems Waiver](#) 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

Reporters should also use this form to indicate that they are requesting a Small Systems Waiver. Agencies reporting as "Small Systems Waiver" will have a reduced set of requirements. See the Introduction section of this manual for additional information on waivers.

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.

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*

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 (30 or fewer vehicles) 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. See Small System (30 or fewer vehicles) Waiver in the Introduction section of this manual for more 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.

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

Small Systems Waiver 2011 Annual Reporting Manual

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

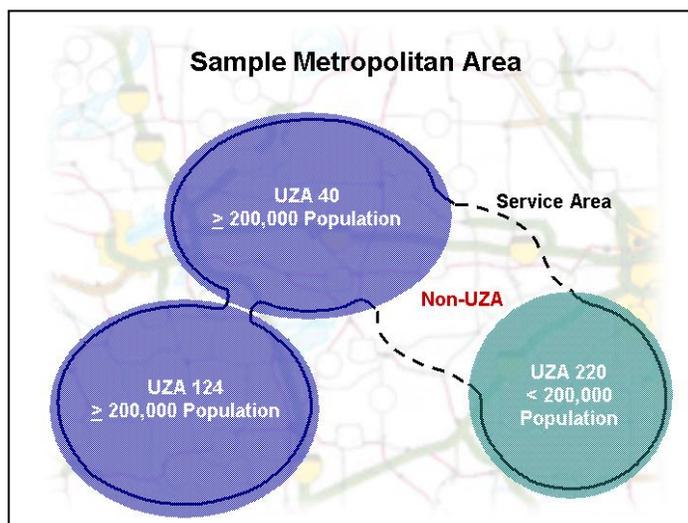
[Service area](#) is a measure of access to transit service in terms of population served and area coverage (square miles). For bus (MB), trolleybus (TB), and rail service, use ADA definitions and requirements to determine service area boundaries and population. The [bus service area](#) essentially is defined as ¼ 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.

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.

Mode

The NTD recognizes the following modes of public transit service:

Small Systems Waiver 2011 Annual Reporting Manual

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.

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



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

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.

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.

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



Publicos are jitney services operated in Puerto Rico.

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.

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



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



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

Multi-Modal Vehicles

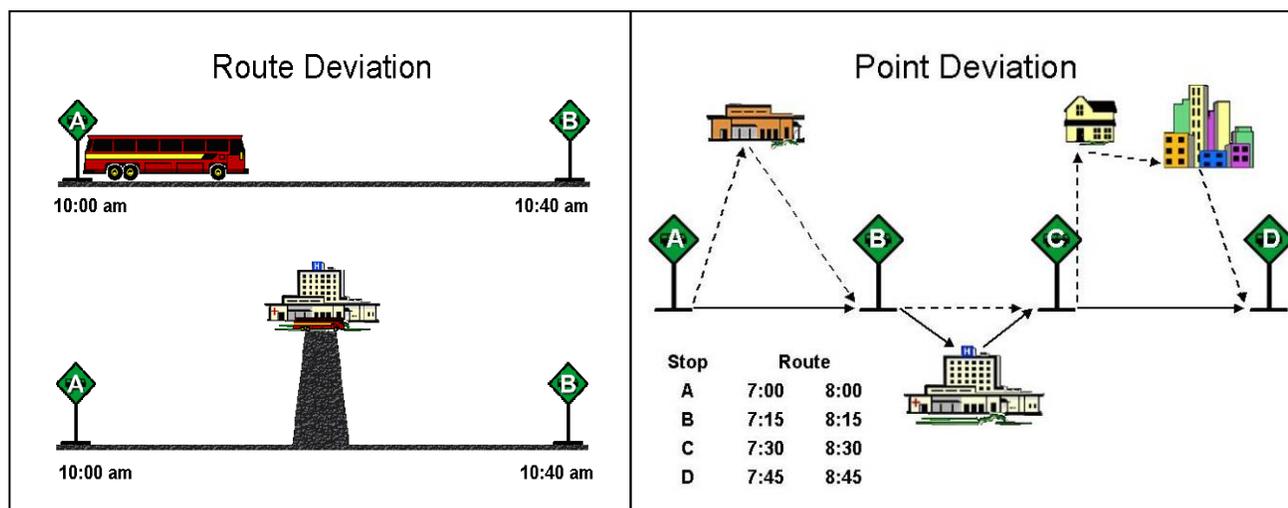
If a vehicle is used for more than one mode, report it under each mode for which it is used and describe the use of the vehicle using the **Add Form Notes** link.

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., ¼ 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.

Small Systems Waiver 2011 Annual Reporting Manual

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

Taxicabs—reimbursing or providing vouchers to pay for the cost of the ride

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

If you operate over fixed guideway, you will not be able to report as a Small Systems Waiver. If you operate over fixed guideway, please refer to the Annual Reporting manual for full reporting requirements.

Capital or Non Capital Investment for Mode not Currently in Service

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.

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 (30 or fewer vehicles) Waiver? **Pre-filled**, review for accuracy, edit as necessary.

- If Yes, the required A-30 form will be generated.
- On the Chief Executive Officer form (D-10), the CEO should indicate that your transit agency meets the eligibility criteria and also describe the [modes](#) and [type of service \(TOS\)](#) operated. Submit the communication and completed B-10 form, B-20 form, A-30 form and D-10 form using Internet Reporting. See the Introduction section of this manual.
- Does not apply to Grants Reporting

Small Systems Waiver 2011 Annual Reporting Manual

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.

2011 Small Systems Waiver Annual Reporting Manual

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.
 - MB [Fixed Guideway](#) (FG). For MB only by TOS, indicate Yes if your transit agency operates any MB service over MB FG; otherwise, indicate No.
 - 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.

2010 Annual Reporting Manual

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.)	<input type="text"/>									
First name *	<input type="text"/>	Initial	<input type="text"/>	Last name *	<input type="text"/>					
Professional title *	<input type="text"/>									
Mailing address line 1 *	<input type="text"/>									
Mailing address line 2	<input type="text"/>	P.O. Box	<input type="text"/>							
City *	<input type="text"/>	State *	<input type="text" value="Select"/>	Zip code * (ex: 22222)	<input type="text"/>	-	<input type="text"/>			
Phone * (ex: (555) 123-4567)	<input type="text"/>	Ext. (ex:1234)	<input type="text"/>							
Fax * (ex: (555) 123-4567)	<input type="text"/>									
Email * (ex: ntd.user@ntd.com)	<input type="text"/>									
<hr/>										
02 Contact Type: NTD Contact										
Honorific * (ex: Mrs, Capt, etc.)	<input type="text"/>									
First name *	<input type="text"/>	Initial	<input type="text"/>	Last name *	<input type="text"/>					
Professional title *	<input type="text"/>									
Mailing address line 1 *	<input type="text"/>									
Mailing address line 2	<input type="text"/>	P.O. Box	<input type="text"/>							
City *	<input type="text"/>	State *	<input type="text" value="Select"/>	Zip code * (ex: 22222)	<input type="text"/>	-	<input type="text"/>			
Phone * (ex: (555) 123-4567)	<input type="text"/>	Ext. (ex:1234)	<input type="text"/>							
Fax * (ex: (555) 123-4567)	<input type="text"/>									
Email * (ex: ntd.user@ntd.com)	<input type="text"/>									
<hr/>										
03 Contact Type: Safety Contact										
Honorific * (ex: Mrs, Capt, etc.)	<input type="text"/>									
First name *	<input type="text"/>	Initial	<input type="text"/>	Last name *	<input type="text"/>					
Professional title *	<input type="text"/>									
Mailing address line 1 *	<input type="text"/>									
Mailing address line 2	<input type="text"/>	P.O. Box	<input type="text"/>							
City *	<input type="text"/>	State	<input type="text" value="Select"/>	Zip code (ex: 22222)	<input type="text"/>	-	<input type="text"/>			
Phone * (ex: (555) 123-4567)	<input type="text"/>	Ext. (ex:1234)	<input type="text"/>							
Fax (ex: (555) 123-4567)	<input type="text"/>									
Email * (ex: ntd.user@ntd.com)	<input type="text"/>									

04 **Contact Type: Security Contact**

Honorific * (ex: Ms, Capt, etc.)	<input type="text"/>		
First name *	<input type="text"/>	Initial <input type="text"/>	Last name * <input type="text"/>
Professional title *	<input type="text"/>		
Mailing address line 1 *	<input type="text"/>		
Mailing address line 2	<input type="text"/>	P.O. Box	<input type="text"/>
City *	<input type="text"/>	State <input type="text" value="Select"/>	Zip code (ex: 22222) <input type="text"/> - <input type="text"/>
Phone * (ex: (555) 123-4567)	<input type="text"/>	Ext. (ex:1234)	<input type="text"/>
Fax (ex: (555) 123-4567)	<input type="text"/>		
Email * (ex: ntd.user@ntd.com)	<input type="text"/>		

2010 Annual Reporting Manual

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 2010 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 Contracts 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.

2011 Small Systems Waiver Annual Reporting Manual

Small Systems Waiver Module

The Small Systems Waiver Module contains one form:

1. Small Systems Waiver form (W-30)

All financial data are reported using accrual accounting principles.

Small Systems Waiver (30 or Fewer Vehicles) form (W-30)

The objectives of the W-30 form are to:

- Identify total operating expenses (OE) and total OE by mode.
- Identify the funds expended for capital projects.
- Identify the origin and amount of capital and operating funds that transit agencies receive from Federal, State and local government and from their own (directly generated) sources.
- Determine the amounts of these funds that transit agencies use to pay for capital projects and operating expenses (OE).
- Provide data on the transit service supplied by the transit agency and the transit service consumed by passengers.

The data are reported system wide for all funding data. Data for operating expenses, uses of capital, vehicle revenue miles, vehicle revenue hours, and unlinked passenger trips are reported by mode and type of service (TOS).

This form is required for all transit agencies requesting a Small Systems (30 or Fewer Vehicles) Waiver.

2011 Small Systems Waiver Annual Reporting Manual

Small Systems Waiver form (W-30)

NTD Internet Reporting - Small Systems Waiver (W-30) [Logout](#)

NTD ID: 0000 Agency Name: State Report: RY 2011

[Home](#)
[e-File](#)
[Annual](#)
[Monthly Ridership](#)
[Safety & Security](#)
[Notes](#)
[Issues](#)
[Reports](#)
[Communications](#)
[Sys Admin](#)
[Help](#)

Form Name: Small Systems Waiver (W-30) [Close Form](#)

		d	e
		Funds Expended on Operations	Fund Expended on Capital
01 Operated Expense by Modes	DR/DO	<input type="text"/>	
	MB/DO	<input type="text"/>	
	VP/DO	<input type="text"/>	
Total Operating Expenses		<input type="text"/>	
02 Uses of Capital	DR/DO		<input type="text"/>
	MB/DO		<input type="text"/>
	VP/DO		<input type="text"/>
Total Uses of Capital			<input type="text"/>
Directly Generated Funds			
03 Passenger Fares for Directly Operated Service	DR	<input type="text"/>	
	MB	<input type="text"/>	
	VP	<input type="text"/>	
Passenger Fares for Purchased Transportation Service	DR	<input type="text"/>	
	MB	<input type="text"/>	
	VP	<input type="text"/>	
04 Other Directly Generated		<input type="text"/>	<input type="text"/>
05 Donations		<input type="text"/>	<input type="text"/>
06 Local Funds		<input type="text"/>	<input type="text"/>
07 State Funds		<input type="text"/>	<input type="text"/>
08 Other		<input type="text"/>	<input type="text"/>
Describe Other <input type="text"/>			

Federal Government Funds

58 FTA Capital Program funds (§5309)	<input type="text"/>	<input type="text"/>
58b ARRA major Capital investment (New Starts) Funds (§5309)	<input type="text"/>	<input type="text"/>
59 FTA Urbanized Area Formula (UAFP) program (§5307)	<input type="text"/>	<input type="text"/>
60 §5307 - capital assistance spent on operations (including maintenance expenses)	<input type="text"/>	
60a ARRA Urbanized Area Program Funds (§5307)	<input type="text"/>	<input type="text"/>
60b ARRA Urbanized Area Program Funds (§5307) - Capital assistance spent on operations (including maintenance expenses)	<input type="text"/>	
61 FTA Metropolitan Planning (§5303)	<input type="text"/>	<input type="text"/>
62 FTA Clean Fuels Program (§5308)	<input type="text"/>	<input type="text"/>
63 FTA Special Needs of Elderly Individuals and Individuals with Disabilities Formula Program (§5310)	<input type="text"/>	<input type="text"/>
64 §5310 - capital assistance spent on operations (including maintenance expenses)	<input type="text"/>	
65 FTA Other Than Urbanized Area (§5311)	<input type="text"/>	<input type="text"/>
66 §5311 - capital assistance spent on operations (including maintenance expenses)	<input type="text"/>	
66a FTA ARRA Other than Urbanized Area Program funds (§5311)	<input type="text"/>	<input type="text"/>
66b FTA ARRA Other than Urbanized Area Program funds (§5311) - capital assistance spent on operations (including maintenance expenses)	<input type="text"/>	
67 FTA Job Access and Reverse Commute Formula Program (§5316)	<input type="text"/>	<input type="text"/>
68 FTA New Freedom Program (§5317)	<input type="text"/>	<input type="text"/>

2011 Small Systems Waiver Annual Reporting Manual

69 §5317 - capital assistance spent on operations (including maintenance expenses)	<input type="text"/>	<input type="text"/>	
70 FTA Transit in the Park (§5320)	<input type="text"/>	<input type="text"/>	
70a ARRA TIGGER (Greenhouse Gas and Energy Reduction) Funds	<input type="text"/>	<input type="text"/>	
71 Other FTA Funds <input style="width: 280px;" type="text"/>	<input type="text"/>	<input type="text"/>	
72 Other FTA Funds - capital assistance spent on operations (including maintenance expenses) <input style="width: 280px;" type="text"/>	<input type="text"/>		
73 Funds Received from other USDOT Grant Programs	<input type="text"/>	<input type="text"/>	
74 ARRA TIGER Multimodal Discretionary Funds <input style="width: 280px;" type="text"/>	<input type="text"/>	<input type="text"/>	
75 Other Federal Funds <input style="width: 280px;" type="text"/>	<input type="text"/>	<input type="text"/>	

Service Data

	a Annual Vehicle Revenue Miles	b Annual Vehicle Revenue Hours	c Annual Unlinked Passenger Trips	d Sponsored Service Unlinked passenger trips
10a Bus	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
10b Demand Response	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
11 Total	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Safety Data

	a
12 Reportable Incidents	<input type="text"/>
13 Fatalities	<input type="text"/>
14 Injuries	<input type="text"/>

2011 Small Systems Waiver Annual Reporting Manual

Overview

The W-30 form collects financial data on your transit agency's total modal expense, uses of capital, sources of funds for transit operations and capital by funding category. The service portion collects data on the transit service supplied by the transit agency and the transit service consumed by passengers on the system by mode and type of service. The form collects the following

- The total operating expense by mode.
- The amount expended (applied) for [operating expenses](#) (OE) for agencies reporting transit service.
- The amount expended (applied) for [capital expenses](#).
- This form collects the following data by the original revenue source:
 - Directly Generated Funds
 - State and Local funds
 - Other funds
 - Federal funds
- [Service supplied](#) (miles and hours)
- [Service consumed](#) (passenger boardings)

Reporting Requirements and Thresholds

All transit agencies requesting a Small Systems Waiver must complete this form.

What Has Changed from Prior Year

This is a new requirement.

Approach

This form details, by source, the total OE expense, total Uses of Capital, total funds for transit earned during the year (revenues), and the total funds actually expended (applied) for capital expenses and operations 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.



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.

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:

1. Determine which expenses or costs are direct costs and can be easily traced to a particular mode and TOS.

2011 Small Systems Waiver Annual Reporting Manual

- 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.

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.

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.

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.

2011 Small Systems Waiver Annual Reporting Manual

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.

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.

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.

Service Data

You should use this form to report data for the revenue vehicles used to provide transit service:

- Vehicle requirements for maximum service
- [Service supplied](#) (miles and hours)
- [Service consumed](#) (passenger boardings)

You report most data items by Annual total.

Consistent with the general NTD reporting requirements, you should report actual, not estimated, data on this form. The only exception is for the value you report for UPT. The sampling requirements for these data items are discussed later in this section under Unlinked Passenger Trip Data.

The annual totals are the total service for the year. 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.

2011 Small Systems Waiver Annual Reporting Manual

Detailed Instructions

There is one form for all modes and TOS. Internet Reporting automatically generates fields for each applicable mode and TOS.

Operating Expenses by Mode

This field collects OE, which are those expenses associated with the day-to-day operation of your transit agency. 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.

You should report the total operating expenses by mode and TOS.

Uses of Capital

This form collects [capital expenses](#) by mode and TOS, that were used for improvements for existing transit services or expansion for new services. 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.

You should report the uses of capital by mode and TOS.

[Operating expenses](#) (OE) that are paid with capital funds are not reported as capital expenses. The [Uniform System of Accounts](#) (USOA) defines operating expenses (Section 5.2) regardless of grant eligibility for Federal capital assistance. You should report capital maintenance expenses as operating 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.

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.

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.

2011 Small Systems Waiver Annual Reporting Manual

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 vanpool (VP) modes, the following rules apply:

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 [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

2011 Small Systems Waiver Annual Reporting Manual

- Collected by the buyer or seller
- Retained by the seller or returned to the buyer.

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.

Other Directly Generated Funds

If there are other sources of funds not included in the directly generated sources common to all transit agencies, you should report as other directly generated funds.

Donations

You should report the amount of funds donated to the transit agency for transit operations.

Local and State Funds

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-imbursments of payments for taxes, interest, snow removal, maintenance and security costs
 - Special demonstration project assistance.
- [Capital assistance](#)

Other Funds

All funds that do not fit into existing categories should be reported here. An explanation of these other funds must be provided.

Federal Government Funds

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).

2011 Small Systems Waiver Annual Reporting Manual

- 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:

- [FTA Capital Program](#) (§5309) funds
- FTA Urbanized Area Formula Program (§5307) (UAF) funds
- [FTA Metropolitan Planning](#) (§5303) funds
- [FTA Clean Fuels Program](#) (§5308) funds
- FTA Special Needs of Elderly Individuals and Individuals with Disabilities Formula Program (§5310) funds
- FTA Other Than Urbanized Area Formula Program (§5311) funds
- [FTA Job Access and Commute Formula Program](#) (§5316) funds
- FTA New Freedom Program (§5317) funds
- [FTA Alternative Transportation in Parks and Public Lands](#) (§5320) funds
- [Other FTA funds](#).

There are also line items for those FTA programs with AARA funding.

Other Federal Sources

There are two Federal Sources. Report these Federal funds that were not administered through the FTA under these categories:

- [Other USDOT grant programs](#)
- Other Federal Funds

FTA Capital Program

The FTA Capital Program (§5309) is a discretionary program that provides capital assistance for three primary types of projects:

- New and replacement buses and facilities
- Modernization of existing [fixed guideway](#) (FG) systems
- 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).

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

2011 Small Systems Waiver Annual Reporting Manual

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.

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. Beginning in FY 2007 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

2011 Small Systems Waiver Annual Reporting Manual

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.

Service Data

You should report data by mode and TOS.

There are reduced reporting requirements for the Small Systems Waiver. Complete only annual total data listed below:

- Service Supplied (Annual Total)
 - Total vehicle revenue miles (VRM)
 - Total vehicle revenue hours (VRH)
- Service Consumed (Annual Total)
 - Unlinked passenger trips (UPT)

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 (VRH) and revenue miles (VRM).

For MB service, revenue hours and miles for conventionally scheduled services are comprised of two elements:

- [Running time](#), and
- 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.

2011 Small Systems Waiver Annual Reporting Manual

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.

Determining Revenue Statistics

You can calculate revenue service miles and hours by examining the schedule for each of your agency's revenue vehicles, commonly known as a vehicle block.

Actual Vehicle Revenue Miles and Hours

You should report annual total data for VRM and VRH.

The following exhibit illustrates how to report hours and miles for a vehicle in fixed route service.

Exhibit 7 — Accounting for Miles and Hours for Bus Service				
Activity	Actual Vehicle		Vehicle Revenue	
	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

Non-Scheduled Non-Fixed Route Services

In the following, reporting instructions are given for three types of non-scheduled services:

DR

DT

VP.

Actual Vehicle Revenue Miles and Hours

You should report annual total data for VRM and VRH. 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.

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.

2011 Small Systems Waiver Annual Reporting Manual

Exhibit 8 — Accounting for Miles and Hours for Demand Response Service

Activity	Actual Vehicle		Vehicle Revenue	
	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 a participant in the VPSince 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.

Service Consumed

Service consumed data are measures of the use of public transportation. NTD collects data on one measure for Small Systems Waiver:

- UPT

In addition, for DR and DT service, NTD collects sponsored service unlinked passenger trips. Sponsored UPT 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 sponsored UPT. Counts of sponsored UPT are included in the annual total you reported for total unlinked passenger trips.

Unlinked Passenger Trips

You should report UPT (boardings) for 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 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.

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 10, columns c-d).

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).

Collecting Unlinked Passenger Trips

The counting of all unlinked passenger trips consumed is called a 100 percent count. If available and reliable, you must report 100 percent counts of 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 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.

2011 Small Systems Waiver Annual Reporting Manual

UPT is an important NTD data item. The accuracy of the reported UPT must be certified in the Small Systems Waiver [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

A 100 percent count of UPT involves counting passengers each time they board a vehicle. This type of 100 percent count is 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 UPT, 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.

Unlinked Passenger Trips 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 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:

- Alternative sampling techniques
- Automatic Passenger Counters
- Sampling for PT service
- Sampling cycles — mandatory sampling years
- CEO certification of sampling techniques and data.

NTD Sampling Method

There is a new sampling manual that transit agencies may use the technique and sampling template during this "trial phase".

The sampling technique is for:

- 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 for UPT and other than the sampling techniques described in the FTA sampling manual.

2011 Small Systems Waiver Annual Reporting Manual

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
 - 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.

Automatic Passenger Counters (APC)

Some transit agencies use [automatic passenger counters](#) (APC) for collecting UPT 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 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 the UPT data collected by ride checkers to APC derived UPT data).

Specifically, the APC benchmarking plan for the first year must include procedures for:

- Validating the APC data for UPT data against a separate data sample covering a full year. For example, if you wish to use an APC to collect UPT 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 UPT data for the NTD.
- Developing procedures for adjusting the APC data for UPT to replicate the data produced by the other data source; and
- Implementing procedures to ensure that APC data for UPT 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 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 data collected by ride checkers compared to APC derived UPT data and the statistical variance between the two data sets. You should submit the documentation to NTD using the **e-File** tab in Internet Reporting.

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.

2011 Small Systems Waiver Annual Reporting Manual

Safety Data

Report the following safety data for the provider's reporting period:

- Number of reportable incidents
- Number of fatalities
- Number of injuries.

The definition of injury requires immediate medical attention away from the scene. Immediate medical attention includes, but is not limited to, transport to the hospital by ambulance. If an individual is transported immediately from the incident scene to a hospital or physician's office by another type of emergency vehicle, by passenger vehicle, or through other means of transport, this is also considered an injury. An individual seeking medical care several hours after an incident or in the days following an incident is not considered to have received immediate medical attention. In cases that are less clear-cut, reporters should apply their judgment in determining whether the injury sustained caused the individual to immediately seek medical attention.

The medical attention received must be at a location other than the location at which the incident occurred. The intent of this distinction is to exclude incidents that only require minor first aid or other assistance received at the scene. This distinction is not, however, intended to be burdensome for the transit provider. It is not a requirement that an agency follow up on each person transported by ambulance, for example, to ensure that they actually received medical attention at the hospital. It is acceptable to count each person immediately transported by ambulance as an injury. If, however, an agency representative does choose to follow-up with the hospital and finds that, though an individual was transported to the hospital, he did not receive any medical attention, this individual does not need to be reported as an injury.

Reportable Safety Incidents

The existence of one or more of the following conditions constitutes a reportable incident:

- A fatality
- Injuries requiring immediate medical attention away from the scene for one or more persons
- Property damage equal to or exceeding \$25,000

2011 Small Systems Waiver Annual Reporting Manual

Line by Line Instructions Small Systems Waiver (30 or Fewer Vehicles) form (W-30)

Completing the Small Systems Waiver (30 or Fewer Vehicles) form (W-30)

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 d: Operating Expenses by Mode

- Enter the funds expended on Operations, by mode and TOS.

Line 02, column e: Uses of Capital.

- Enter the funds expended on Capital, by mode and TOS.

Line 03, column d: Passenger Fares for Directly Operated Service and Passenger Fares for Purchased Transportation Service — Funds Expended on Operations. By mode, enter the funds expended during the period from carrying passengers for services that were DO by your transit agency ([passenger fares](#)) and from PT services.

Line 04: Other Directly Generated Funds

- Column d: Funds Expended on Operations. Enter the revenues generated from any other directly generated funds not reported on line 03 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 line 03 that were expended on capital during the period.

05: Donations

- Column d: Funds Expended on Operations. Enter the amount of donations that were expended on operations during the period.
- Column e: Funds Expended on Capital. Enter the amount of donations that were expended on capital during the period.

Line 06: Funds Allocated to Transit

These are the funds received from the local government's annual budgeting process.

- Column d: Funds Expended on Operations. Enter the funds expended on operations during the period that were allocated to transit.
- Column e: Funds Expended on Capital. Enter the funds expended on capital during the period that were allocated to transit out.

Line 07: Funds Allocated to Transit

These are the funds received from the State government's annual budgeting process.

- Column d: Funds Expended on Operations. Enter the funds expended on operations during the period that were allocated to transit.
- Column e: Funds Expended on Capital. Enter the funds expended on capital during the period that were allocated to transit.

Line 08: Other Funds

- Column d: Funds Expended on Operations. Enter the Other funds that were expended on operations during the period. Describe the sources in the **Other Funds — Describe Other** field.
- Column e: Funds Expended on Capital. Enter the Other funds expended on capital during the. Describe the sources in the **Other Funds — Describe Other** field.

2011 Small Systems Waiver Annual Reporting Manual

Federal Government 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. If your transit agency borrowed funds to help pay for [operations](#) or [capital](#), report those funds as a directly generated source of funds on line 14, column c.

Line 58: 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 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 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 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 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 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 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).

2011 Small Systems Waiver Annual Reporting Manual

- 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 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 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 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 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, §5317 - capital assistance spent on operations (including maintenance expenses)

Column d: §5317 - capital assistance spent on operations (including maintenance expenses)

§5317 - 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 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 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 (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).

2011 Small Systems Waiver Annual Reporting Manual

- 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: Funds Received 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 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 TIGER (Transportation Investment Generating Economic Recovery) funds.

Line 75: Other Federal Funds

- 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).

Service Data

Line 10a-10d: Service data by mode and TOS

- Column a: Annual Vehicle Revenue Miles. Enter the number of annual vehicle revenue miles for each mode and TOS.
- Column b: Annual Vehicle Revenue Hours. Enter the number of annual vehicle revenue hours for each mode and TOS.
- Column c: Annual Unlinked Passenger Trips: Enter the number of annual unlinked passenger trips for each mode and TOS.
- Column d: Sponsored Service Unlinked Passenger Trips. Not applicable for bus service.

Line 11: Total

- This is an **auto-calculated** field and cannot be edited. This field displays the total annual vehicle revenue miles (lines 10a and 10b, column a), total annual vehicle revenue hours (lines 10a and 10b, column b), total annual unlinked passenger trips (lines 10a and 10b, column c) and sponsored service unlinked passenger trips (line 10b, column d).

Safety Data

Line 21, column a: Reportable Incidents. Enter the total number of reportable incidents for the reporting period. Reportable incidents include any event involving the operation of a transit system if, as a result, an individual dies either at the time of the event or within 30 days of the event, one or more individuals suffer bodily damage as a result of the event requiring immediate medical attention away from the scene, or property damage in excess of \$25,000.

Line 22, column a: Fatalities. Enter the total number of transit caused deaths for the reporting period confirmed within 30 days of a transit incident.

Line 23, column a: Injuries. Enter the total number of injuries for the reporting period. Injuries are requiring Immediate medical attention away from the scene for one or more persons

Asset Module

The Asset Module contains two forms:

1. Stations and Maintenance Facilities form (A-10)
2. 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.

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.

2011 Small Systems Waiver Annual Reporting Manual

Stations and Maintenance Facilities form (A-10)

Home e-File Annual Monthly Ridership Safety & Security Notes Issues Reports Communications Sys Admin Help				
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	<input type="text"/>		
02	Americans with Disabilities Act of 1990 (ADA) non-accessible	<input type="text"/>		
03	Total Stations	<input type="text"/>		
04	Number of Multi-Modal Stations	<input type="text"/>		
05	Escalators	<input type="text"/>		
06	Elevators	<input type="text"/>		
Maintenance Facilities				
General Purpose Maintenance Facilities				
	Owned	Leased from Another Public Agency	Leased from a Private Entity	Total
07	Serving under 200 vehicles	<input type="text"/>	<input type="text"/>	<input type="text"/>
08	Serving 200 - 300 vehicles	<input type="text"/>	<input type="text"/>	<input type="text"/>
09	Serving more than 300 vehicles	<input type="text"/>	<input type="text"/>	<input type="text"/>
10	Number of Heavy Maintenance Facilities	<input type="text"/>	<input type="text"/>	<input type="text"/>
11	Total Maintenance Facilities	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="button" value="Save"/> <input type="button" value="Close"/> <input type="button" value="Print"/>				

Home e-File Annual Monthly Ridership Safety & Security Notes Issues Reports Communications Sys Admin Help				
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	<input type="text"/>	<input type="text"/>	<input type="text"/>
08	Serving 200 - 300 vehicles	<input type="text"/>	<input type="text"/>	<input type="text"/>
09	Serving more than 300 vehicles	<input type="text"/>	<input type="text"/>	<input type="text"/>
10	Number of Heavy Maintenance Facilities	<input type="text"/>	<input type="text"/>	<input type="text"/>
11	Total Maintenance Facilities	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="button" value="Save"/> <input type="button" value="Close"/> <input type="button" value="Print"/>				

2011 Small Systems Waiver Annual Reporting Manual

Home		e-File		Annual		Monthly Ridership		Safety & Security		Notes		Issues		Reports		Communications		Sys Admin		Help	
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	<input type="text"/>																			
02	Americans with Disabilities Act of 1990 (ADA) non-accessible	<input type="text"/>																			
03	Total Stations																				
04	Number of Multi-Modal Stations	<input type="text"/>																			
05	Escalators	<input type="text"/>																			
06	Elevators	<input type="text"/>																			
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	<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>											
08	Serving 200 - 300 vehicles	<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>											
09	Serving more than 300 vehicles	<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>											
10	Number of Heavy Maintenance Facilities	<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>											
11	Total Maintenance Facilities																				
<input type="button" value="Save"/> <input type="button" value="Close"/> <input type="button" value="Print"/>																					

Home		e-File		Annual		Monthly Ridership		Safety & Security		Notes		Issues		Reports		Communications		Sys Admin		Help	
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	<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>											
08	Serving 200 - 300 vehicles	<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>											
09	Serving more than 300 vehicles	<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>											
10	Number of Heavy Maintenance Facilities	<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>											
11	Total Maintenance Facilities																				
<input type="button" value="Save"/> <input type="button" value="Close"/> <input type="button" value="Print"/>																					

2011 Small Systems Waiver Annual Reporting Manual

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).

What Has Changed from Prior Year

There are no changes to the A-10 form

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 (, bus (MB)). 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.

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 something more than a street stop or street side passenger shelter for [non-rail modes](#).

The following rules apply:

- All MB and CB 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 MB and CB 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
- [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 MB and CB collects information about passenger stations. The non-scheduled services form for DR, DT, 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.

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.

2011 Small Systems Waiver Annual Reporting Manual

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.

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.

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.

2011 Small Systems Waiver Annual Reporting Manual

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 4 — 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		Prorated Facilities		
	Serviced	Ratio	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	

2011 Small Systems Waiver Annual Reporting Manual

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 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.

2011 Small Systems Waiver Annual Reporting Manual

- 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.

2011 Small Systems Waiver Annual Reporting Manual

- 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.

2011 Small Systems Waiver Annual Reporting Manual

- 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.

2011 Small Systems Waiver Annual Reporting Manual

Revenue Vehicle Inventory form (A-30)

The screenshot shows the Revenue Vehicle Inventory form (A-30) interface. At the top, there is a navigation menu with tabs: Home, e-File, Annual, Monthly Ridership, Safety & Security, Notes, Issues, Reports, Communications, Sys Admin, Search, Summary, and Help. Below the menu, the form name is "Form Name: Revenue Vehicle Inventory (A-30)" and the mode is "Mode: DR" and service is "Service: PT". The main area is a table with columns labeled a through u. The columns are: a: Number of Vehicles in Total Fleet; b: Dedicated Fleet; c: Vehicle Type Code; d: Ownership Code; e: Funding Source; f: Year of Manufacture; g: Year of Rebuild; h: Manufacturer Code; i: Model Number; j: Number of Active Vehicles in Fleet; k: Number of Americans with Disabilities Act of 1990 Accessible Vehicles; l: Number of Emergency Contingency Vehicles; m: Fuel Type Code; n: Vehicle Length (in feet); o: Seating Capacity; p: Standing Capacity; q: Total Miles on Active Vehicles During the Period; r: Average Lifetime Miles per Active Vehicle; s: Supports Another Mode; t: Delete Vehicle Fleet; u: (empty). The table contains three rows of data, each with a "Select" dropdown for column s and a checkbox for column t. At the bottom of the form, there are "Close" and "Print" buttons.

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).

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.

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.

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.

2011 Small Systems Waiver Annual Reporting Manual

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 menu selections:

Yes
No

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		
AO	Automobile	SB	School bus
BR	Over-the-road bus		
BU	Bus	TS	Taxicab sedan
		TV	Taxicab van
DB	Double decked bus	TW	Taxicab station wagon
		VN	Van

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)
 - 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.

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

2011 Small Systems Waiver Annual Reporting Manual

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?

. 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.

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

Year of Manufacture

You should report the [year of manufacture](#) for the vehicles. This is when 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 Flexible Corporation, use the choice FLX – Flexible Corporation.

2011 Small Systems Waiver Annual Reporting Manual

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.

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

Non-Rail Manufacturer Codes

AAI	Allen Ashley Inc.	DTD	Dodge Division - Chrysler Corporation	NEO	Neoplan - USA Corporation
ACF	American Car and Foundry Company	DUC	Dutcher Corporation	NFA	New Flyer of America
ACI	American Coastal Industries	EBC	EIDorado Bus (EBC Inc.)	NOV	NOVA Bus Corporation
AEG	AEG Transportation Systems	EDN	EIDorado National (formerly EIDorado/EBC/National Coach/NCC)	OBI	Orion Bus Industries Ltd. (formerly Ontario Bus Industries)
All	American Ikarus Inc.	EII	Eagle Bus Manufacturing	OCC	Overland Custom Coach Inc.
AMG	AM General Corporation	FDC	Federal Coach	OTC	Oshkosh Truck Corporation
AMT	AmTran Corporation	FIL	Flyer Industries Ltd (also known as New Flyer Industries)	PCI	Prevost Car Inc.
ASK	AAI/Skoda	FLT	Flxette Corporation	PLY	Plymouth Division-Chrysler Corporation
ATC	American Transportation Corporation	FLX	Fixible Corporation	PST	Pullman-Standard
BBB	Blue Bird Corporation	FRC	Freightliner Corporation	RIC	Rico Industries
BFC	Breda Transportation Inc.	FRD	Ford Motor Corporation	SBI	SuperBus Inc.
BIA	Bus Industries of America	FSC	Ferrostaal Corporation	SCC	Sabre Bus and Coach Corporation (formerly Sabre Carriage Comp.)
BOM	Bombardier Corporation	GCC	Goshen Coach	SHI	Shepard Brothers Inc.
BOY	Boyertown Auto Body Works	GIL	Gillig Corporation	SPC	Startrans (Supreme Corporation)
BRA	Braun	GIR	Girardin Corporation	SPC	Supreme Corporation
CBC	Collins Bus Corporation (formerly Collins Industries Inc./COL)	GLV	Glaval Bus	SPR	Spartan Motors Inc.
CBW	Carpenter Industries LLC (formerly Carpenter Manufacturing Inc.)	GMC	General Motors Corporation	SSI	Stewart Stevenson Services Inc.
CCC	Cable Car Concepts Inc.	GML	General Motors of Canada Ltd.	STR	Starcraft
CCI	Chance Bus Inc. (formerly Chance Manufacturing Company/CHI)	GOM	Gomaco	SVM	Specialty Vehicle Manufacturing Corporation
CEQ	Coach and Equipment Manufacturing Company	HSC	Hawker Siddeley Canada IKU - Ikarus USA Inc.	TBB	Thomas Built Buses
CHA	Chance Manufacturing Company	INT	International	TEI	Trolley Enterprises Inc.
CMC	Champion Motor Coach Inc.	KKI	Krystal Koach Inc.	TMC	Transportation Manufacturing Company
CMD	Chevrolet Motor Division - GMC	MAN	American MAN Corporation	TOU	Tourstar
CVL	Canadian Vickers Ltd.	MBZ	Mercedes Benz	TRN	Transcoach
DIA	Diamond Coach Corporation (formerly Coons Manufacturing Inc./CMI)	MCI	Motor Coach Industries International (DINA)	TTR	Terra Transit
DMC	Dina/Motor Coach Industries (MCI)	MDI	Mid Bus Inc.	TTT	Turtle Top
		MTC	Metrotrans Corporation	VAN	Van Hool N.V.
		NAB	North American Bus Industries Inc. (formerly Ikarus USA Inc./IKU)	VOL	Volvo
		NAT	North American Transit Inc.	WCI	Wheeled Coach Industries Inc.
		NAV	Navistar International Corporation (also known as International/INT)	WOC	Wide One Corporation
		NBC	National Mobility Corporation	WTI	World Trans Inc. (also Mobile-Tech Corporation)
		NCC	National Coach Corporation	WYC	Wayne Corporation (formerly Wayne Manufacturing Company/WAY)
				ZZZ	Other (Describe)

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](#).

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.

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.

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)

2011 Small Systems Waiver Annual Reporting Manual

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 5 — 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 2011 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 2010 Fiscal Year End (FYE)	Odometer Reading at 2011 Fiscal Year End (FYE)	Mileage During 2011 Fiscal Year End (FYE)	Status at 2011 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:

- Vehicles 1, 2, 4, 7 and 8 are active vehicles at FYE (includes vehicles currently in revenue operation and temporarily out of service for routine preventive maintenance).
Vehicles 3, 5 and 6 are not part of the active fleet.

- Calculate and report average lifetime mileage per active vehicle and total mileage on active vehicles during the period:
Average lifetime mileage per active vehicle (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**

Supports Another Mode

You should use the **Supports Another Mode** drop-down menu to indicate that all of the active vehicles are used to support 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.

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.

2011 Small Systems Waiver Annual Reporting Manual

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.

2011 Small Systems Waiver Annual Reporting Manual

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.

2011 Small Systems Waiver Annual Reporting Manual

- 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.

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).

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)

NTD Internet Reporting - FFA-10 Logout

NTD ID: 0000 Agency Name: State Report: RY 2011

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

Form Name: FFA10 Close Form

Line	Item	a Data from Other Forms	b Non-UZA	c UZA #	i Annual Total
01	Urbanized area (UZA) number (to allocate to UZA fill corresponding checkbox in line 02)		<input type="checkbox"/>	<input type="checkbox"/>	
02	Urbanized area (UZA) and Non-UZA reporting method Make Selection				
Annual Total					
04	Total actual vehicle revenue hours (VRH)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
06	Total unlinked passenger trips (UPT)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
13	Total actual vehicle revenue miles (VRM)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
15	Total operating expenses (OE)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Save Close Print

Overview

The FTA uses the statistics from the Federal Funding Allocation Statistics form (FFA-10) to allocate funds for Urbanized Area Formula Program (§5307).

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).

Agencies requesting the Small System Waiver will not qualify for all funding factors listed below for UAF or STIC because the reduced requirements of this waiver do not include some key data items. Agencies wishing to submit all required data for UAF or STIC funding should report a complete Annual NTD report rather than requesting the Small System Waiver.

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:

- [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 Small System Waiver (W-30) form.

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 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 uses data reported on other NTD forms to develop the statistics used in the allocations of the UAF Program 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.

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 two 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.

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, 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 multiple UZAs and non-UZAs, select a UZA and non-UZA reporting method for reporting the statistics used in the funding allocations.

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 is a direct measurement of the actual vehicle revenue miles and is used as the factor to allocate VRH, UPT and OE.
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 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.

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, unlinked passenger trips, and operating expenses.

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 it primarily serves. 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:

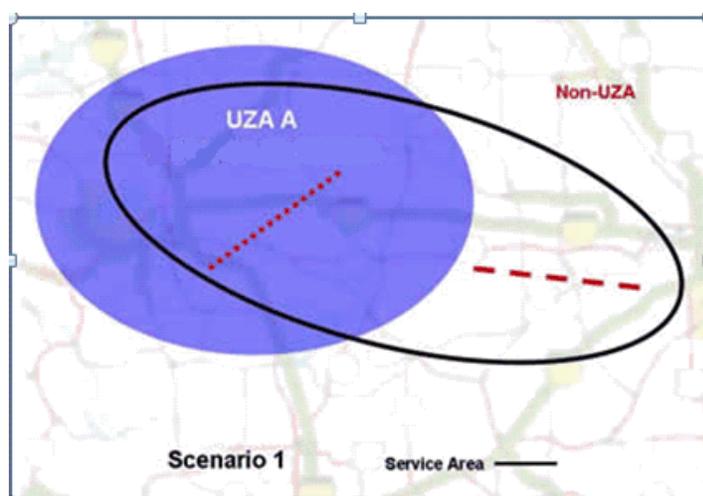
- Two or more large UZAs
- Two or more small UZAs
- Any combination of small and large UZAs, as long as they do not benefit from both FTA Section 5307 and 5311 operating assistance
- One or more large or small UZAs to non-UZAs, as long as no FTA Section 5311 funds benefit the service.

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.

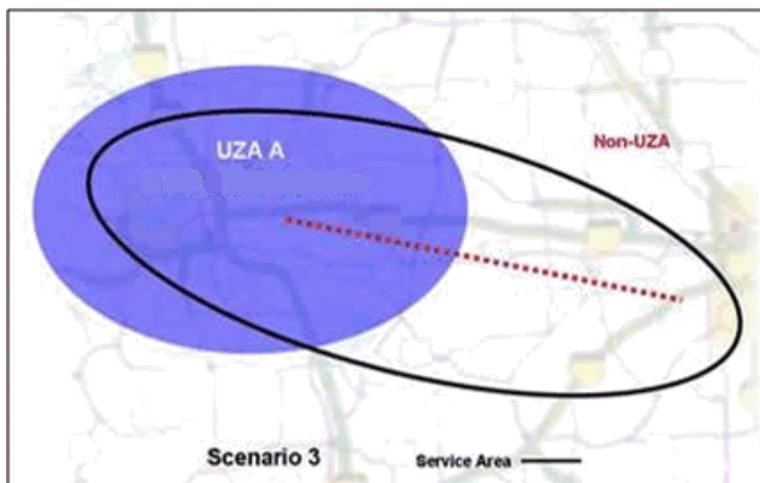
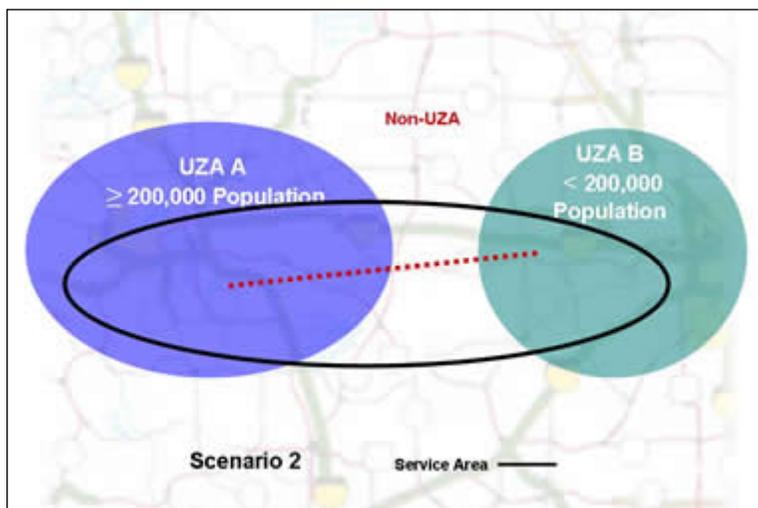
Solution 2:

a) FTA Sections 5307 or 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 or among the two UZAs and the non-UZA.

b) No 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 for UZA B funded 35% of the operating expenses for the service, then allocate at least 35% of all statistics to UZA B.



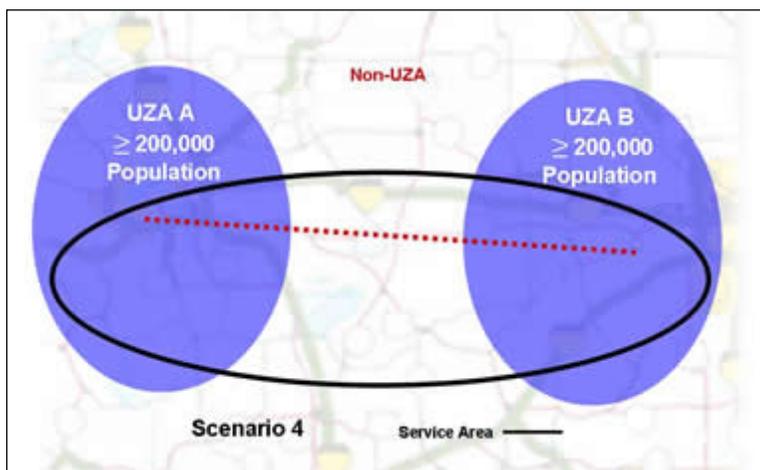
Scenario 3: One end of the vehicle trip is in a non-UZA and the other trip end is in UZA A (any size). The transit agency uses FTA Section 5311 funds for the service.

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. The statistics for the non-UZA can be reported in either UZA A or UZA B or divided 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.



Small Systems Waiver 2011 Annual Reporting Manual

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.

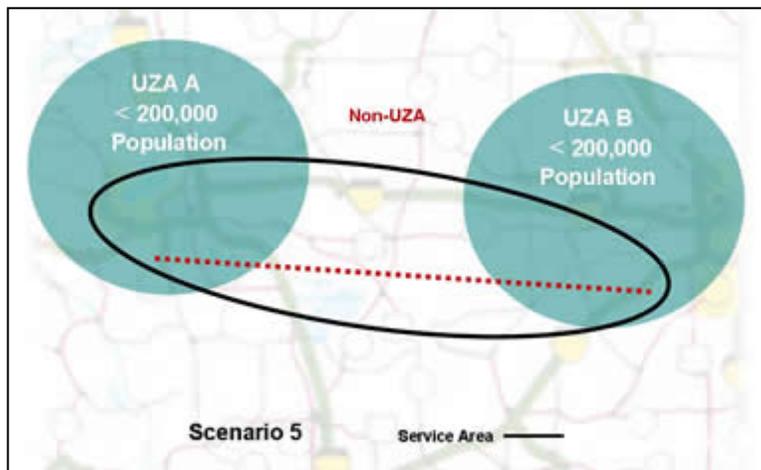
Solution 5:

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.



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 Small System Waiver (W-30) form prior to completing the FFA-10 form. In addition, if you change data on the source form, 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.

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 04: Total VRH

- Column a: Data from Other Forms. This field is **pre-filled** with data from the W-30 and cannot be edited. This field displays the total actual VRH for your entire service area.
- 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 VRH 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 W-30 form and cannot be edited. This field displays the total UPT for your entire service area.
- 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 UPT from the UZA and non-UZA columns. Annual total data must equal data from other forms, column a.

Line 13: VRM

- Column a: Data from Other Forms. This field is **pre-filled** with data from the W-30 form and cannot be edited. This field displays the total annual VRM for your entire service area.
- Columns b – y: By UZA. Enter actual VRM for each UZA.
- 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).

Line 15: OE

- Column a: Data from Other Forms. This field is **pre-filled** with data from the W-30 form and cannot be edited. This field displays the total annual OE for your entire service area.
- 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**.

Small Systems Waiver 2011 Annual Reporting Manual

- 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).

Declarations Module

This module contains one declaration:

1. [Chief Executive Officer \(CEO\) Certification](#)

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.

The CEO Certification form (D-10) is submitted with the other NTD reporting forms.

What Has Changed from Prior Year

There are no changes to the Declarations for the 2011 report year.

Small Systems Waiver 2011 Annual Reporting Manual

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	NTD ID	3001
Agency Name	Kanawha Valley Regional Transportation Authority	CEO Title	General Manager
CEO Name	Dennis Dawson		
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 <input type="radio"/>	No <input type="radio"/>	
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 <input type="radio"/>	No <input type="radio"/>	
Part 6 - Unlinked Passenger Trip Data Collection			
Please certify the method used to collect unlinked passenger trip data for each mode and type of:			
5a. FTA Circular 2710.1A (estimated data).			
5b. 100% count of unlinked passenger trip (UPT) data (actual data).			
5c. Alternative sampling procedure determined to meet 95% confidence and ±10% precision levels by a qualified statistician (estimated data).			
5d. None of the Options Listed			
5e. NTD Sampling Method			
Directly Operated Service			
RB	<input type="text" value="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.

The D-10 form 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

Describe the procedures used to collect [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.

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.

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.

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. Describes the UPT data (estimate or actual) by mode and TOS.

During the validation process, the CEO 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.

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.

2010 Annual Reporting Manual

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 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 $\pm 10\%$ 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. Internet Reporting will display a box for you to describe.