

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.

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Small Systems Waiver form (W-30)

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

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

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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"/>

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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"/>

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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.

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- 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.

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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.

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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.

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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

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- 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).

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- 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

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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

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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.

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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.

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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.

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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.

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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 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.

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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

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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.

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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).

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- 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).

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- 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