

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

What is the National Transit Database?

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

Changes in Calendar Year 2007 Reporting

This section summarizes the changes in reporting requirements implemented in calendar year 2007.

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

This section provides answers to basic reporting questions.

Reference Information

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

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What is the National Transit Database?

The National Transit Database (NTD) is the Federal Transit Administration's (FTA's) primary national database for statistics on the transit industry. Recipients of FTA's [Urbanized Area Formula Program](#) (Section 5307) and Nonurbanized Area Formula Program (Section 5311) are required by statute to submit data to the NTD. Over 650 transit agencies and authorities file annual reports to FTA through the internet-based reporting system. Each year, NTD performance data are used to apportion over \$4 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 NTD is the system through which FTA collects uniform data needed by the Secretary of Transportation to administer department programs. The data consist of selected financial and operating data that describe public transportation characteristics. 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 Agencies Serving Urbanized Areas under 200,000 Population

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 fewer than 200,000 population are also used in the allocation of Federal transit funding.

SAFETEA-LU directed that there be a one percent takedown from the funds made available under Section 5307. This takedown amount will be for apportionment under the [Small Transit Intensive Cities](#) (STIC) formula. Under the formula for STIC, funds are apportioned to UZAs with a population 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.

SAFETEA-LU also established new Growing States and High Density States formula factors (Section 5340) to distribute funds to the section 5307 and section 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 areas based on the ratio of urbanized/nonurbanized 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.

Changes in Calendar Year 2007 Reporting

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

Reporting changes for the 2007 NTD are highlighted below. Specific changes are discussed in detail in the applicable sections of this manual.

Reporting Form Changes

The following exhibit describes changes by reporting module and form.

Exhibit 1 — Calendar Year 2007 Safety and Security Reporting Changes and Highlights

Reporting requirements – *One change*:

1. The reporting requirements for operators of purchased transportation (PT) service have been clarified (see Who Reports section for details).

Forms available from the Safety and Security tab – *One change*:

1. The Contact person has been given the ability to delete specific S&S-40 forms that may have been created in error.

Safety and Security Setup form (S&S-10) — *No changes*

Security Configuration form (S&S-30) — *No changes*

Major Incident Report form (S&S-40) — *One change*:

1. The definition for fatality has been clarified.

Non-Major Summary Report form (S&S-50) — *No changes*

Who Reports

Transit agencies that are required to submit a full NTD report are required to file safety and security reports.

Operators of Purchased Transportation Services

Private carriers operating [purchased transportation](#) (PT) services that provide public transportation services under contract to recipients or beneficiaries of Urbanized Area Formula Program (UAF) funds must report data to the public transit agency for inclusion in the public transit agency's NTD Urbanized Area (Annual) report. These private providers must supply the purchased transportation data to the buyer for inclusion in the buyer's report and will no longer submit a separate NTD Urbanized Area (Annual) report for that data. The data pertain only to the services under contract. This applies to almost all [private providers](#).

Contractual agreements between public NTD reporting agencies for purchased transportation (PT) services can either be reported by the seller or buyer of service as directly operated (DO) service. Therefore, when a public agency is the buyer of service and is reporting purchased transportation (PT) service on behalf of the public agency which is selling service, the seller must supply the data to the buyer so that it is reported in the buyer's report as directly operated (DO) service. Additionally, when the seller is reporting the service in their report, the purchased transportation (PT) services are reported as directly operated (DO) service.

Nine or Fewer Vehicles Waiver

Transit agencies with nine or fewer [vehicles in annual maximum service](#) (VOMS) that operate only [non-fixed guideway](#) (NFG) systems are not required to file Safety and Security reports.

Voluntary Reporters

[Voluntary NTD reporters](#) are those transit agencies, [public](#) or [private](#), that are not recipients or beneficiaries of [Urbanized Area Formula Program](#) grants. See the Nine or Fewer Vehicles Waiver section above for more information regarding waivers that may impact safety and security reporting.

Public Carriers

Public carriers that do not use or do not have continuing requirements of Urbanized Area Formula Program funds may voluntarily submit a complete NTD report.

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Private Carriers

Private carriers that are not under contract to an Urbanized Area Formula Program funds recipient or beneficiary may voluntarily submit a complete NTD report.

FTA encourages all public and private providers of mass transportation services to voluntarily report their services to the NTD program. Through the submission of complete and accurate reports, the NTD will be more reflective of the entire transit industry. Voluntary reporters that choose to report a full NTD Report are required to complete safety and security (if applicable) reports.

What to Report

The NTD safety and security report consists of a series of forms that provide a summary of transit-related safety and security incidents for the calendar year. For [purchased transportation](#) (PT) service, the report must contain data only for those services under contract. Transit agencies with an approved Nine or Fewer Vehicles Waiver are not required to complete Safety and Security forms. The following exhibit presents a summary of NTD safety and security reporting requirements.

Exhibit 2 — Summary of NTD Safety and Security Reporting Requirements	
Requirement	Who Reports
Declarations	
Chief Executive Officer (CEO) Certification	All reporters
NTD Safety and Security Report	
Safety and Security Setup (S&S-10)	All reporters
Security Configuration (S&S-30)	All reporters
Major Incident Report (S&S-40)	All reporters
Non-Major Summary Report (S&S-50) (safety elements)	All reporters except commuter rail (CR)
Non-Major Summary Report (S&S-50) (security elements)	All reporters

For commuter rail (CR) service, only security information is reported, since safety incidents relating to commuter rail (CR) service are already reported to the Federal Railroad Administration.

Transit agencies that serve only [urbanized areas](#) (UZAs) with populations less than 200,000 are now required to complete the security portion of the Major Incident Reporting form (S&S-40) and the Non-Major Summary Report form (S&S-50).

Declarations

A Safety and Security [Chief Executive Officer \(CEO\) Certification](#) is required to be submitted by the CEO by February 28, 2007. The CEO certification certifies and attests to the accuracy of the safety and security data submitted to the NTD.

Calendar Year Data

Unlike the NTD urbanized area and rural reports, which cover 12-month fiscal year periods, the data in the NTD safety and security report covers a 12-month period corresponding to the calendar year.

How to Report

This section describes the following:

- Internet Reporting
- Purchased transportation (PT).

Internet Reporting

Required forms, waivers and declarations are completed using Internet Reporting which is accessible from the NTD website at www.ntdprogram.com. Completing the Safety and Security Setup form (S&S-10) at the beginning of the calendar year automatically generates the required Safety and Security forms for your transit agency.

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

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 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 purchased transportation (PT). Also, management services contracts, in which all or some personnel or services are provided to manage or operate the transit agency, are not purchased transportation (PT).

[Cooperative agreements](#) between public transit agencies or governmental units should not be reported as purchased transportation (PT) services.

When to Report

Reporting deadlines are implemented for the following:

- The NTD Safety and Security report
- The Chief Executive Officer's (CEO) Safety and Security certification.

When to Submit the NTD Safety and Security Report

Transit agencies must submit safety and security data, within 30 days of a Major Incident (S&S-40), or monthly, when completing the Non-Major Summary Reporting form (S&S-50).

The following exhibit presents the timeline for submitting Safety and Security data to the NTD.

Exhibit 3 — NTD Safety and Security Reporting Timeline			
Major Incident Reporting			
Major incidents should be filed no later than 30 days after the date of the incident.			
Non-Major Reporting			
Month	Due Date	Month	Due Date
January	February 28	July	August 31
February	March 31	August	September 30
March	April 30	September	October 31
April	May 31	October	November 30
May	June 30	November	December 31
June	July 31	December	January 31 of following year

When to Submit the Chief Executive Officer Certification

Each transit agency is required to submit a [Chief Executive Officer \(CEO\) certification](#) for its Safety and Security report. The certification is a letter, approved by the transit agency's CEO, that certifies and attests to the accuracy of the Safety and Security data submitted in the previous calendar year's reports. Safety and security data are not subject to the [independent auditor](#) review; however, a Chief Executive Officer (CEO) certification is required by February 28, 2007 certifying the calendar year 2007 safety and security data.

Reporting Format

Transit agencies must submit their reports via the Internet Reporting system. The Chief Executive Officer (CEO) Certification must be submitted electronically. See the When to Report section above to determine your due date.

Reporting Frequency

All transit agency Safety and Security Major Incident forms (S&S-40) must be submitted within thirty days of the incident. Non-Major Safety and Security Incident reports (S&S-50) (if applicable) must be submitted monthly. The deadline for

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submitting Safety and Security data for calendar year 2007 is January 31, 2008. The Safety and Security database closes on February 28, 2007. For revision after this date, contact your NTD Safety and Security analyst.

Exhibit 4 — Reporting Thresholds for Safety and Security Incidents

Major Incident (Safety or Security) form (S&S-40)

Existence of one or more of the following conditions:

- A fatality due to an incident – does not include suicides, deaths by natural causes, or deaths not associated with an incident.
- Injuries requiring immediate medical attention away from the scene for two or more persons
- Property damage equal to or exceeding \$25,000
- An evacuation due to life safety reasons
- A collision at a grade crossing resulting in at least one injury requiring immediate medical attention away from the scene or property damage equal to or exceeding \$7,500
- A mainline derailment
- A collision with person(s) on a rail right-of-way (ROW) resulting in injuries that require immediate medical attention away from the scene for at least one person
- A collision involving a rail transit vehicle resulting in injuries that require immediate medical attention away from the scene for at least one person
- Forcible Rape
- Confirmed Terrorist / Security Events:
 - Bombing (suicide or other)
 - Chemical / Biological / Radiological / Other release
 - Cyber
 - Hijacking
 - Sabotage.

Non-Major Incident (Safety) (S&S-50)

Incidents not already reported on the Major Incident Reporting form (S&S-40).

Existence of one or more of the following conditions:

- Injuries requiring immediate medical attention away from the scene for one person
- Property damage equal to or exceeding \$7,500 (less than \$25,000)
- All non-arson fires not qualifying as Major incidents.

Non-Major Incident (Security) (S&S-50)

Incidents not already reported on the Major Incident Reporting form (S&S-40).

Occurrence of Part I offenses (except homicide, which is always reported as a major incident):

- Robbery
- Aggravated assault
- Burglary
- Larceny / theft
- Motor vehicle theft
- Arson.

Arrest / Citation for Part II offenses:

- Other assaults
- Vandalism
- Trespassing
- Fare evasion.

Occurrence of other security issues:

- Bomb threat
- Non-violent civil disturbance

Occurrence of suicides and attempts.

Failure to Report, Late Reports or Incomplete Reports

NTD requires transit agencies to submit complete reports according to the due date schedule. [Failure to report](#) results by not submitting a report, submitting a [late report](#) or submitting an [incomplete report](#) and may result in your transit agency's data not being included in the NTD. Furthermore, FTA may declare your transit agency ineligible to receive any [Urbanized Area Formula Program](#) funds during an entire Federal fiscal year. This ineligibility applies to all transit agencies, regardless of the size of the [urbanized area](#) (UZA) served.

A report is considered late if it is not submitted by the due date.

A report is incomplete if it does not contain all the required reporting forms and data or is not in conformance with the NTD requirements.

Where to Report

Transit agencies submit NTD reports and the Chief Executive Officer (CEO) certification via Internet Reporting at www.ntdprogram.com.

FTA assigns an NTD analyst to each transit agency to assist reporters with their Safety and Security report throughout the year. At the beginning of the reporting cycle, your NTD analyst will call you to introduce her / himself. Please feel free to contact your NTD analyst if there are any questions, or if FTA can do anything to assist you in reporting Safety and Security data.

Exhibit 5 — NTD Contact Information	
<p>Mailing Address</p> <p>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 457 Merrifield, VA 22116-0457</p> <p>Please use the U.S. Postal Service for deliveries to this P.O. Box.</p>	<p>Telephone</p> <p>Your NTD analyst and other NTD staff can be contacted by telephone on weekdays. For telephone information and assistance, call the FTA NTD Project Office at:</p> <p style="padding-left: 40px;">(703) 462-5220</p> <p>The FTA NTD Project Office is open from 7:30 am to 5:30 pm (Eastern Time). If your NTD analyst is unavailable, you may use the voice-mail system and your call will be returned, or you may forward your call to another NTD analyst.</p>
<p>Express Delivery Address</p> <p>Express deliveries can be made to the following address:</p> <p style="padding-left: 20px;">Federal Transit Administration National Transit Database 3040 Williams Drive, Suite 100 Fairfax, VA 22031</p>	<p>E-mail</p> <p>You can contact your Safety and Security analyst by using the e-mail address located on the Transit Agency Home tab at:</p> <p style="padding-left: 40px;">www.ntdprogram.com</p> <p>Or contact your analyst for individual e-mail addresses.</p>
<p>Fax</p> <p>The FTA NTD Project Office also maintains a 24-hour FAX service. You may FAX correspondence to the FTA NTD Project Office at:</p> <p style="padding-left: 40px;">703.462.5219</p> <p>An original of all faxed documents must also be mailed to the FTA NTD Project Office.</p>	<p>Internet</p> <p>Finally, the FTA NTD Project Office manages a website at the following address:</p> <p style="padding-left: 40px;">www.ntdprogram.com</p> <p>NTD publications and reference documents are available on the FTA NTD website.</p>

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
- Mode
- Type of service (TOS).

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

Public Transportation

The definition of [public transportation](#) is important because the purpose of the NTD is to collect information on public transportation. As defined in the Federal Transit Act, public transportation means transportation by bus (MB) or [rail](#), or other conveyance, either [publicly](#) or [privately](#) owned, providing to the public general or special service (but not including [school buses](#) or [charter](#) or [sightseeing](#) service) on a regular and continuing basis. Public transportation is also synonymous with the terms mass transportation and transit.

Public availability is a key part of the definition. Services defined as public transportation are available to any person who pays a prescribed fare and meets other availability requirements, such as the [Americans with Disabilities Act of 1990](#) (ADA). Charter and school bus services are not considered public transportation because they serve specific groups of people and cannot be used by people not belonging to these groups. Service must be open to the general public, not only to specific categorical groups, such as school children.

NTD reporting is a requirement for recipients and beneficiaries of [Section 5307 Urbanized Area Formula Program](#) (UAF) and Section 5311 Nonurbanized Area Formula Program of the Federal Transit Act (see the NTD Nonurbanized Area (Rural)

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Reporting Manual for Section 5311 requirements). Under the Urbanized Area Formula Program (UAF), the term public transportation usually applies to area-wide services primarily within an [urbanized area](#) (UZA). Since Congress uses NTD performance data in statutory formulae to apportion FTA funding to UZAs, the NTD can only contain public transportation or transit data. Transportation service that is not public transportation service should not be reported to the NTD. Public transportation is predominantly commuter service. For the purposes of the NTD, a commuter is a transit rider that travels back and forth during the same day primarily within a UZA. [Intercity bus services](#) are excluded under the Urbanized Area Formula Program (UAF). However, some commuter rail and ferryboat intercity services are permitted, if a person travels and returns on the same day. (Refer to the Basic Information module, Identification form (B-10) for NTD modal definitions and requirements).

For NTD reporting, FTA reserves the right to evaluate transit services as public transportation by requiring a written description of the transit services including availability and public notification of the availability of service, compliance with Americans with Disabilities Act of 1990 (ADA) requirements, service area maps, schedules and public timetables, and other materials as necessary. In the case of new modes or significant expansion of transit services, FTA reserves the right to request passenger surveys.

Mode

A variety of transit modes are operated in the United States. The NTD reporting system groups transit modes into two broad categories — [rail modes](#) and [non-rail modes](#) — 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)
[Ferryboat](#) (FB)
[Jitney](#) (JT)
[Publico](#) (PB)
[Trolleybus](#) (TB)
[Vanpool](#) (VP)
Other (OR)

Type of Service

Public transportation can be provided in two ways:

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

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

Reference Documents

You can obtain reference documents listed in the exhibit below, by visiting the NTD Project website at www.ntdprogram.com or calling the NTD Project Office at (703) 462-5220.

The following exhibit provides a list of other documents necessary for NTD reporting.

Exhibit 6 — Reference Documents

2007 Urbanized Area Reporting Manual
2007 Monthly Ridership Reporting Manual
Uniform Crime Reporting Handbook, 2004

National Incident-Based Reporting System, Volume 1: Data Collection Guidelines, U.S. Department of Justice, Federal Bureau of Investigation, Criminal Justice Information Services Division, August 2000, (<http://www.search.org/files/pdf/FBIv1.pdf>).