

What is the National Transit Database?

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

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

SECTION 5335 National transit database

(a) NATIONAL TRANSIT DATABASE — To help meet the needs of individual public transportation systems, the United States Government, State and local governments, and the public for information on which to base public transportation service planning, the Secretary of Transportation shall maintain a reporting system, using uniform categories to accumulate public transportation financial and operating information and using a uniform system of accounts. The reporting and uniform systems shall contain appropriate information to help any level of government make a public sector investment decision. The Secretary may request and receive appropriate information from any source.

(b) REPORTING AND UNIFORM SYSTEMS — the Secretary may award a grant under Section 5307 or 5311 only if the applicant and any person that will receive benefits directly from the grant, are subject to the reporting and uniform systems.

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

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

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

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

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

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

Reporting Modules

To facilitate reporting to the [National Transit Database](#), the NTD Program consists of four reporting modules, each comprised of a series of data modules, as described below:

1. NTD Annual Reporting
 - Basic Information Module
 - Financial Module
 - Asset Module
 - Service Module
 - Resource Module
 - Federal Funding Allocation Statistics Module
 - Declarations
2. NTD Monthly Reporting
 - Monthly Ridership Forms
3. NTD Safety and Security Reporting
 - Safety and Security Set-up (S&S-10)
 - Security Configuration (S&S-30)
 - Major Incident Reporting (S&S-40)
 - Safety Monthly Summary Reporting (S&S-50)
 - Chief Executive Officer Certification (S&S-20)
4. NTD Rural Reporting (exclusively rural reporters)
 - Rural Forms

Exhibit 1 — NTD Contact Information	
<p>Mailing Address</p> <p>You can write to the FTA NTD Project Office at the following address:</p> <p>Federal Transit Administration National Transit Database 943 Glenwood Station Lane, Suite 102 Charlottesville, VA 22901</p>	<p>Telephone</p> <p>You can contact your NTD validation analyst and other NTD staff by telephone on weekdays. For telephone information and project assistance, call the NTD Help Desk at:</p> <p>1-888-252-0936</p> <p>The NTD Help Desk is open from 8:00 am to 7:00 pm (Eastern Time). If your NTD validation analyst is unavailable, you may use the voice-mail system and your validation analyst will return your call.</p>
<p>Express Delivery Address</p> <p>Express deliveries can be made to the following address:</p> <p>Federal Transit Administration National Transit Database c/o BCG 943 Glenwood Station Lane, Suite 102 Charlottesville, VA 22901</p>	<p>E-mail</p> <p>You can contact your NTD validation analyst by using the telephone number or e-mail address located on the Home tab at:</p> <p>www.ntdprogram.gov > Internet Reporting Login > Announcements</p> <p>You can email the NTD Help Desk at any time at ntdhelp@dot.gov</p>
<p>e-File</p> <p>All official correspondence should be scanned and submitted to the NTD via the e-File tab in Internet reporting</p>	<p>Internet</p> <p>The FTA NTD Project Office manages a website at the following address:</p> <p>www.ntdprogram.gov</p> <p>You may e-mail comments, questions or suggestions to the NTD by clicking on the NTD Feedback link.</p> <p>NTD publications, data and reference documents are available on the FTA NTD website by using the NTD Reference Materials and Access NTD Data links.</p>

Reference Information

Transit Terminology and Parameters

Reporting data for the NTD requires you to understand the following transit concepts and terms:

- Transit Agency
- Public transportation
- Mode
- Type of service (TOS)

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

Transit Agency

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

Public Transportation

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

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

Transit definitional requirements for NTD reporting:

- Transit must be open to the public and comply with the provisions of the [Americans with Disabilities Act of 1990](#) (ADA). Services that are only open to specific groups of people are excluded. Examples of excluded services include:
 - A bus system sponsored by a university that is only open to students, faculty, and staff of the university;
 - A vanpool sponsored by an employer that only provides service to employees of the employer;
 - An automated guideway in an airport, which only provides services to customers of the airport.
- Transit includes special transportation, such as complimentary paratransit required by the ADA. Transit also includes other shared-ride demand response services, including both sponsored and unsponsored trips.
- Transit excludes [charter](#) service. In accordance with FTA’s Charter Rule, any service reported to FTA’s charter registration website must not be treated as public transportation in NTD reports.
- Transit excludes [sightseeing](#) service. Sightseeing service is provided primarily for the enjoyment of sights and sounds during the ride, or for enjoyment of the ride itself. Sightseeing service includes services that have narration and services where passengers primarily make round-trips without disembarking the vehicle.
- Transit excludes [intercity](#) service. The NTD defines an intercity service as service where a majority of passengers are not making a same-day return trip. Thus, for public transportation, a majority of passengers across the totality of the service (e.g. all runs on all days of the week) must make a same-day return trip. On public transportation, a majority of passengers use the service three or more times a week.
- Transit excludes Amtrak (the entity described in 49 U.S.C. Chapter 243). NTD reporters must demonstrate that they are organizationally separate from Amtrak. This exclusion does not apply to cases where Amtrak is the supplier of purchased transportation for commuter rail service.

Mode

A mode is a system for carrying transit passengers described by specific right-of-way, technology and operational features. A variety of transit modes are operated in the United States. The NTD reporting system groups transit modes into two broad categories - [rail](#) and [non-rail](#) - as follows:

Rail	Non-Rail
Alaska railroad (AR) Cable car (CC) Commuter rail (CR) Heavy rail (HR) Hybrid Rail (YR) Inclined plane (IP) Light rail (LR) Monorail /Automated guideway (MG) Street Car Rail (SR)	Aerial tramway (TR) Commuter Bus (CB) Bus (MB) Bus Rapid Transit (RB) Demand response (DR) Demand response -Taxi (DT) Ferryboat (FB) Jitney (JT) Publico (PB) Trolleybus (TB) Vanpool (VP) Other (OR)

<p>Aerial Tramway (TR) Non-Rail – Fixed Guideway</p>  <p>A system of aerial cables with suspended vehicles.</p>	<p>Alaska Railroad (AR) Rail – Fixed Guideway</p>  <p>A special railroad that Congress recognized for certain FTA funding that operates in Alaska.</p>	<p>Bus (MB) Non-Rail – Fixed Guideway or Non-Fixed Guideway</p>  <p>Fixed-route bus service is the most-prevalent mode in the country. MB service is powered by a motor and fuel contained within a vehicle. Deviated fixed-route service is also reported as MB.</p>
<p>Bus Rapid Transit (RB) Non-Rail – Fixed Guideway or Non-Fixed Guideway</p>  <p>Fixed-route bus systems that combine passenger stations, traffic signal priority or pre-emption, low-floor vehicles or level-platform boarding, and separate branding of the service. This is often a lower-cost alternative to light rail.</p>	<p>Cable Car (CC) Rail – Fixed Guideway</p>  <p>A railway propelled by moving cables located beneath the street. While popular at the turn of the last century, the only surviving system is operated in San Francisco.</p>	<p>Commuter Bus (CB) Non-Rail – Fixed Guideway or Non-Fixed Guideway</p>  <p>Fixed-route bus systems that are primarily connecting outlying areas with a central city. Service typically uses over-the-road buses with service predominantly in one direction during peak periods, limited stops, and routes of extended length.</p>

<p><u>Commuter Rail</u> (CR) Rail – Fixed Guideway</p>  <p>Rail service operating on either old freight railways, or on tracks that are shared with freight railways, Amtrak, or both. The service is characterized by relatively long distances between stops, for service primarily connecting a central city with outlying suburbs and cities. The service may be either diesel or electric-powered and usually has grade-crossings with roadways.</p>	<p><u>Demand Response</u> (DR) Non-Rail – Non-Fixed Guideway</p>  <p>Shared-ride demand response service is scheduled in response to calls from passengers. Many transit systems operate demand response (DR) service to meet the requirements of ADA.</p>	<p><u>Demand Response - Taxi</u> (DT) Non-Rail – Non-Fixed Guideway</p>  <p>A special form of the demand response mode operated through taxicab providers. The mode is always purchased transportation type of service.</p>
<p><u>Ferryboat</u> (FB) Non-Rail – Fixed Guideway</p>  <p>A mode that carries passengers over water.</p>	<p><u>Heavy Rail</u> (HR) Rail – Fixed Guideway</p>  <p>An electric railway that operates local service in exclusive right-of-way. The service is characterized by long trains of six to eight cars or more and by relatively short distances between stops for local service within a city and the immediate suburbs. The Nation's traditional subway systems are classified as heavy rail.</p>	<p><u>Hybrid Rail</u> (YR) Rail – Fixed Guideway</p>  <p>Rail systems primarily operating routes on the National system of railroads, but not operating with the characteristics of commuter rail. This service typically operates light rail-type vehicles as diesel multiple-unit trains (DMU's).</p>

Inclined Plane (IP) Rail – Fixed Guideway



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

Jitney (JT) Non-Rail – Non-Fixed



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

Light Rail (LR) Rail – Fixed Guideway



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

Monorail/Automated Guideway (MG) Rail – Fixed Guideway



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

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



Públicos are jitney services operated in Puerto Rico.

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



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

<p>Vanpool (VP) Non-Rail – Non-Fixed Guideway</p>  <p>A commuting service operating under pre-arranged schedules for previously formed groups of riders in vans.</p>	<p>Trolleybus (TB) Non-Rail – Fixed Guideway</p>  <p>Fixed-route service using rubber tire buses powered by electric current from overhead wires using trolley poles. Service using rubber tire replica trolleys or historic trolleys, powered by an on-board motor are not included in this mode.</p>	<p>Other (OR)</p> <p>If none of the choices fits your agency, select the category: Other. Internet Reporting will display a box for you to describe the other mode.</p>
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Type of Service (TOS)

Public transportation can be provided in two ways:

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

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

Reference Documents

Final Rule (49 CFR Part 630) is essential to understanding the forms and instructions presented in this manual. You can obtain this document, as well as the other reference documents listed in the NTD Reference Documents exhibit below, by visiting the NTD Project website at www.ntdprogram.gov or calling the NTD Help Desk at 1-888-252-0936.

Exhibit 2 — NTD Reference Documents

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

Current Reporting Manuals

- Annual
- Safety and Security
- Monthly
- Rural
- Small Systems Waiver Manual

NTD Reference Materials

- NTD Final Rule (49 CFR Part 630)
- Uniform Crime Reporting Handbook.

Changes in Calendar Year 2012 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 the Internet Reporting system.

Reporting changes for the 2012 NTD Safety and Security Reporting Manual 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 3 — Calendar Year 2012 Safety and Security Reporting Changes and Highlights

Safety and Security Setup form (S&S-10): *Two changes*

1. New Modes added:
 - a. Hybrid Rail (YR)
 - b. Street Car Rail (SR)
 - c. Commuter Bus (CB)
 - d. Bus Rapid Transit (RB)
2. Monorail (MO) and Automated Guideway (AG) have been combined into one mode, Monorail/Automated Guideway (MG).

CEO Certification form (S&S-20):

1. No changes.

Security Configuration form (S&S-30):

1. No changes.

Major Incident Report form (S&S-40):

1. Added new System Security incident type: Other.
2. Added "Transit vehicle: taxi" to the 'Transit Vehicle Type' options on the Non-rail Collision Transit Vehicle Involved Information screen.

Safety Monthly Summary Report (Non-Major Summary Report) form (S&S-50):

1. No changes.

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

Who Reports

Transit providers, States, or Metropolitan Planning Organizations (MPOs) that receive Urbanized Area Formula Program (§5307) grants, or that directly benefit from these grants, must report to the NTD or coordinate the submittal of data to the NTD on their behalf. The requirement to report begins in the year after you apply for a §5307 grant, or in the year in which benefits are first received from a §5307 grant, whichever is sooner. The

reporting requirement lasts for as long as the §5307 remains open, or through the minimum useful life of any capital assets purchased with §5307 grant funds, whichever is later.

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

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

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

- Purchased transportation services
- Consolidated NTD reporters
- Voluntary reporters
- Extensions, waivers and special requests
- Commuter Rail (CR) Operations

Purchased Transportation Services

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

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

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

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

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

For the most part, the NTD does not recognize agreements or memorandums of understanding between two public agencies as "purchased transportation services." In these cases, the two public agencies should establish which one will report the service (as a directly operated service) to the NTD..

Please see Contractual Relationship form (B-30) in the Basic Information Module of the Annual Reporting Manual for further discussion on reporting PT services.

Consolidated NTD Reporters

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

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

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

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

Voluntary Reporters

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

Waivers

Transit agencies can request seven different types of waivers for relief from certain reporting requirements. Three of these waivers affect whether or not your agency must report safety and security data. Those waivers are:

1. Small Systems Waiver – 30 or Fewer Vehicles

A transit provider that operates 30 or fewer vehicles in annual maximum service (VOMS) across all modes for both directly operated (DO) and purchased transportation (PT) services and operates all service on non-fixed guideway may submit a report with significantly reduced reporting requirements. The reporting requirements for this waiver can be found in the separate [Small Systems Waiver Reporting Manual](#).

2. Grants Waivers for Planning and Capital

An organization that receives or benefits from Section 5307 funds, but does not have any transit operations, may request a waiver from certain NTD reporting requirements. Typically, this organization is using the Section 5307 funds for planning or capital investment. Transit operations must request this waiver each year.

3. Natural Disaster Waiver

A transit provider that is severely impacted by a natural disaster may request a waiver from reporting to the NTD for the current year. A request for a natural disaster waiver must demonstrate that the natural disaster was so severe as to prevent the actual collection and reporting of data, or that the actual collection and reporting of data would constitute an unreasonable burden on the transit agency in light of the natural disaster. Disaster waivers are only granted for one year.

For more information on waivers, please refer to the [Annual Reporting Manual](#).

Levels of Access

The system provides six levels of access to the NTD Program. Transit agencies designate the individuals within their organizations who are responsible for entering data into the NTD program. These access levels are assigned on the B-20 (**Contacts**) form located on the **Annual** tab.

1. **CEO:** Edit, save, and submit the CEO Certification and all safety and security forms, and delete incorrect/unneeded/unwanted S&S-40 forms. Can access all reporting areas (Annual, Monthly, and Safety and Security).
2. **NTD contact:** Edit, save, and submit safety and security forms and delete unneeded/unwanted S&S-40 forms. Can access all reporting areas (Annual, Monthly, and Safety and Security).
3. **Safety contact:** Edit, save, and submit safety and security forms and delete S&S-40 forms.
4. **Safety editor:** Edit and save safety and security forms only; cannot submit forms or delete S&S-40 forms.
5. **Safety viewer:** View safety and security forms only.
6. **Security contact:** View safety and security forms only.

User Names and Passwords

The system access level is determined by the user name. The first portion of the user name defines the access level and the last four digits represent the agency's NTD ID number:

1. CEO — CEOxxxx
2. NTD contact — NTDxxxx
3. Safety contact— SFTYNTDxxxx
4. Safety editor — SFTYEDTxxxx
5. Safety viewer — SFTYVWRxxxx
6. Security contact— SECURITYxxxx.

FTA e-mails each agency this set of user names with a password for each.

A user can change his / her password at any time. For additional information on this topic, refer to the **Sys Admin** tab section within this manual titled: *Changing Your Password*. Please be aware that passwords expire every sixty days. In addition, the system now has an inactivity lock-out feature if you do not log in under your user name for sixty days.

- If you forget your password, or are locked out due to inactivity, contact your Safety & Security Analyst or the NTD Help desk.
- Note: The system can e-mail passwords only to the addresses listed on the **Contacts** form (B-20).

What to Report

The NTD safety and security module consists of a series of forms for reporting transit-related safety and security data and incidents that meet certain thresholds. For [purchased transportation](#) (PT) service, the report must contain data only for those services under contract.

Transit agencies with an approved Small Systems Waiver, Natural Disaster Waiver, Planning Grants Waiver or Capital Grants Waiver are not required to complete Safety and Security forms. The following exhibit presents a summary of NTD safety and security reporting requirements.

Exhibit 4 — Summary of NTD Safety and Security Reporting Requirements	
NTD Safety and Security Report	Who Reports
Safety and Security Setup form (S&S-10)	All reporters without Waivers
Chief Executive Officer Certification form (S&S-20)	All reporters without Waivers
Security Configuration form (S&S-30)	All reporters without Waivers
Major Incident Report form (S&S-40) (safety incidents)	All reporters without Waivers, except CR and AR modes
Major Incident Report form (S&S-40) (security incidents)	All reporters without Waivers
Non-Major Safety Monthly Summary Report form (S&S-50)	All reporters without Waivers, except CR and AR modes

The Major Incident Report (S&S-40) form is used to report detailed information on the most severe safety and security incidents occurring in your transit agency's environment. You must submit one form for each major incident that meets a reporting threshold. These thresholds are discussed below.

The Non-Major Summary Report (S&S-50) form is used to summarize the number of non-major fires and other non-major safety incidents that meet a threshold and are *not* reported on an S&S-40. You must submit an S&S-50 for each mode/TOS for every month even if your agency does not have any reportable incidents and even if you submitted an S&S-40 during a month.

[Commuter rail](#) (CR) service and Alaska Railroad (AR) report only security incidents (includes suicides and attempted suicides) to NTD and do not submit an S&S-50 report each month. CR and AR report safety incidents to the Federal Railroad Administration (FRA).

Reportable Incidents

A [reportable incident](#) is an event that is related to or affects revenue service and meets one or more reporting thresholds:

- **Fatality**
 - *Includes suicides*
 - *Deaths resulting from illnesses or other natural causes are not reportable.*
- **Immediate transport away from the scene for medical attention** (1 or more persons)

- Each person immediately transported away from the scene for medical attention, whether or not they appear to be injured, should be reported as an injury.
- Illnesses requiring transport for medical attention are not reportable.
- **Estimated property damage equal to or exceeding \$25,000**
 - Includes ALL property involved
- **An evacuation for life safety reasons**
 - A life safety event is one that presents an imminent danger to ALL people in or on transit property.

Note: All [mainline derailment](#) events (derailments of rail revenue vehicles occurring on mainline track) are reportable regardless of whether or not a threshold was met.

Reportable incidents include events that occur at bus stops on streets, in transit centers, and in parking lots of transit centers. Incidents occurring in the maintenance department of a transit agency or related to maintenance activities are excluded from the reportable incident category, as are incidents involving an on-duty bus operator not engaged in directly performing his/her operator duties. Examples include:

Example 1 – Is it Reportable?: Incidents Not Reportable to the NTD
<p>Example 1a: An incident occurs during mechanical, industrial, or administrative work activities that do not affect revenue service.</p> <p>Solution: Not reportable.</p> <p><i>Why not? This incident does not affect revenue service.</i></p>
<p>Example 1b: A transit agency service vehicle is involved in a collision during installation of bus stop signs.</p> <p>Solution: Not reportable.</p> <p><i>Why not? This incident does not affect revenue service.</i></p>
<p>Example 1c: A bus operator on break is injured while crossing a street and is transported to a local hospital.</p> <p>Solution: Not reportable.</p> <p><i>Why not? The employee was disengaged from his/her direct operator duties (i.e., on break), thus the incident is not related to and does not affect revenue operations.</i></p>
<p>Example 1d: A bus operator is performing a standard pre-trip inspection and falls, injuring herself/himself and requires transport for immediate medical attention.</p> <p>Solution: Not reportable.</p> <p><i>Why not? The operator is acting in association with the mechanic shop procedures for safe vehicle operations. Thus, the maintenance exclusion applies to pre-trip inspections</i></p>
<p>Example 1e: A transit vehicle rider suffers a heart attack while on the vehicle. An ambulance is called and transports the passenger away from the scene.</p> <p>Solution: Not reportable.</p> <p><i>Why not? Although the passenger is transported for medical attention, this “injury” is not related to an incident (e.g. a collision, fire, or security event). Persons transported for medical attention or fatalities that are the result of illness or natural causes are not reportable to the NTD.</i></p>

Example 1 – Is it Reportable?: Incidents Not Reportable to the NTD

Example 1f: There has been a fatality due to natural causes or an individual “found deceased” on transit property.

Solution: Not reportable.

Why not? This fatality is not related to an incident. Deaths resulting from illnesses or natural causes are not reportable.

A reportable incident may involve a vehicle operated by your transit agency that is *not* providing revenue service. If the incident directly affects your agency’s ability to provide revenue service (i.e., a schedule would be affected) and a threshold is met, the incident is reportable. The examples below demonstrate reportable incidents that may cause confusion:

Example 2 – Is it Reportable?: Incidents Reportable to the NTD

Example 2a: A supervisory vehicle driving an operator to a bus to start revenue service is involved in a collision and a threshold is met.

Solution: Reportable.

Why? Although the vehicle is not providing revenue service, the incident directly affects the agency’s ability to provide service (i.e., the bus schedule is affected).

Example 2b: Rail maintenance equipment on a revenue track is involved in an incident that impacts the transit agency’s schedule and a threshold is met.

Solution: Reportable.

Why? Although the vehicle is not providing revenue service, the incident directly affects the agency’s ability to provide service.

Example 2c: A bus operator is outside the bus and waiting for passengers or assisting passengers onto the bus. The operator falls and is injured, requiring transport for medical attention.

Solution: Reportable.

Why? The bus operator is injured while engaged in his/her operator duties while providing revenue service.

Exhibit 5 — Reporting Thresholds for Major Safety and Security Incidents (S&S-40)**Existence of one or more of the following conditions:**

- A fatality due to an incident – includes suicides, but does not include deaths by natural causes, or deaths not associated with an incident
- One or more persons immediately transported away from the scene for medical attention
- Property damage equal to or exceeding \$25,000
- An evacuation due to life safety reasons

Incidents include:

- Mainline derailments (always reportable whether or not a threshold is met)
- Collisions (must meet a threshold)
- Fires (must meet a threshold)
- Hazardous material spills (must meet a threshold)
- Acts of God (must meet a threshold)
- System security events (must meet a threshold)
 - Suspicious packages
 - Bomb threat/bombing
 - Chemical / biological / radiological / nuclear release
 - Arson
 - Sabotage
 - Burglary
 - Vandalism
 - Hijacking
 - Cyber security events
- Personal Security Events (must meet a threshold)
 - Homicide
 - Suicide/Attempted suicide
 - Assault (with immediate transport for medical attention)
 - Robbery
 - Rape
 - Larceny/theft
- Other Safety Occurrences not Otherwise Classified Incidents (OSONOC)
 - Incidents that do not fall into any of the above categories, yet meet a reporting threshold other than immediate transport for medical attention.
 - Yard derailments that meet a reporting threshold other than immediate transport for medical attention are reported as an OSONOC.

How and Where to Report

Internet Reporting

Transit agencies complete the required forms, waivers and [declarations](#) using the Internet Reporting system, accessible from the NTD website at <http://www.ntdprogram.gov/>. When you complete the Safety and Security Setup form (S&S-10) and the Security Configuration form (S&S-30) at the beginning of the calendar year, the system automatically generates the required Safety and Security links and forms for your transit agency.

The “Internet Reporting” section of this manual contains step-by-step instructions and details on how to complete the NTD safety and security reports using Internet Reporting. FTA provides Internet Reporting user names and passwords to transit agencies.

When to Report

When to Submit NTD Safety and Security Data

Transit agencies must submit safety and security data within 30 days of a reportable incident using the Major Incident Report form (S&S-40). Transit agencies must also submit the Safety Monthly Summary Report (Non-major Summary Report) form (S&S-50) on a monthly basis for each mode/TOS reported. To access these forms, click on the [File New S&S-40](#) or the [File New S&S-50](#) links located near the middle top of the Safety and Security tab. (Please note these links are not available until you complete and submit the S&S-10 Safety and Security Setup Form and the S&S-30 Security Configuration forms for each mode/TOS.) The following exhibit presents due dates for submitting Safety and Security data to the NTD.

Exhibit 6 — NTD Safety and Security Reporting Timeline

Major Incident Reporting (S&S-40)

File a reportable incident form no later than 30 days after the date of the incident.

Safety Monthly Summary Incident Reporting (S&S-50)

Month	Due Date	Month	Due Date
January	February 29	July	August 31
February	March 31	August	September 30
March	April 30	September	October 31
April	May 29	October	November 30
May	June 30	November	December 31
June	July 31	December	January 31 of following year

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 from 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.

An S&S-50 report is considered late if it is not submitted by the due date. Approximately seven days prior to due dates, the NTD system automatically sends e-mail reminder notices to the Safety and Security Contact email addresses listed on the B-20.

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

When to Submit the Chief Executive Officer Certification

The CEO of each transit agency is required to submit a Safety and Security Chief Executive Officer Certification form (S&S-20) each calendar year by the end of February of the following year. The certification is an automated form that certifies and attests to the accuracy of the Safety and Security data submitted by your agency for the current reporting calendar year. Safety and security data are not subject to the [independent auditor](#) review as is the Financial data reported in the NTD Annual Report.

Calendar Year Reporting

Unlike the NTD Annual and Rural reports that 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. The deadline for submitting Safety and Security data for calendar year 2012 is January 31, 2013. The 2012 Safety and Security database will close on February 28, 2013. To revise reports after this date, contact your NTD Safety and Security analyst.