

PUERTO RICO STATE MANAGEMENT PLAN



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Definitions

1. Federal Transit Administration (FTA) is responsible for providing overall policy and program guidance; apportioning funds annually to the states; developing and implementing financial management procedures; initiating and managing program support activities and conducting national review and evaluation.
2. Consultation means one party confers with another identified party in accordance with an established process and, before acting, considers that party's views and periodically informs that party about action(s) taken.
3. Intercity Bus Service means regularly scheduled bus service for the general public that operates with limited stops over fixed routes connecting two or more urban areas not in close proximity, that has the capacity for transporting baggage carried by passengers, and that makes meaningful connections with scheduled intercity bus service to more distant points, if such service is available.
4. Local Governmental Authority includes (A) a political subdivision of a state; (B) an authority of at least one state or political subdivision of a state; (C) an Indian tribe; or (D) a public corporation, board, or commission established under the laws of a state.
5. Other than Urbanized (Nonurbanized) Area means any area outside of an urbanized area. The term "nonurbanized area" includes rural areas and urban areas under 50,000 in population not included in an urbanized area.
6. Pre-Award Authority means authority given under specific and limited circumstances to incur costs for eligible projects before a grant is made without prejudice to possible federal participation in the cost of the projects(s). Applicants must comply with all federal requirements. Failure to do so will render a project or costs ineligible for FTA financial assistance.
7. Program of Projects (POP): The POP is a list of projects identified in the Transportation Improvement

Program to be funded in a grant application submitted to FTA by a state. The POP lists the subrecipients and indicates whether they are private non-profit agencies, public bodies, or private providers of transportation service, designates the areas served (including Congressional Districts), and identifies any tribal entities. The POP also identifies intercity bus projects. In addition, the POP includes a brief description of the projects, total project cost and federal share for each project, and the amount of funds used for program administration from the 15 percent allowed.

8. Public Transportation means surface 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.
9. Recipient means a state that receives a federal transit program grant directly from the Federal Government.
10. Rural Area means an area with low population and density outside the boundaries of an urban area. However, the term rural is commonly used to refer to all areas other than urbanized areas and is so used in this circular.
11. Standard Agreement The legally enforceable agreement between PRHTA and a subrecipient that defines the project (including its funding and scope of work), goals, terms and conditions of a grant award. It also may be referred to as a funding agreement or contract.
12. Subrecipient means a state or local governmental authority, a non-profit organization, or operator of public transportation or intercity bus service that receives Federal transit program grant funds indirectly through a recipient.
13. Urban Area means an area that includes a municipality or other built-up place that the Secretary, after considering local patterns and trends of urban growth, decides is appropriate for a local public transportation system to serve individuals in a locality.

14. Urbanized Area means an area encompassing a population of not less than 50,000 people that has been defined and designated in the most recent decennial census as an “urbanized area” by the Secretary of Commerce. Small urbanized areas as used in the context of FTA formula grant programs are urbanized areas with a population of at least 50,000 but less than 200,000.

Introduction

This State Management Plan (SMP) provides essential information for the understanding and implementation of Federal Transit Administration (FTA) transit grant programs managed and administered by the Puerto Rico Highway and Transportation Authority (PRHTA).

The Federal Coordination Office (FCO), a Division of PRHTA, is responsible for administering these funds in accordance with state and federal laws, statutes, and regulations. FCO, through a working relationship with the FTA, Metropolitan Planning Organizations (MPO), local governments, and transit providers, develops and maintains an effective and efficient network of transportation services available to the public.

This document will provide the reader with an understanding of the FTA's requirements for the administration and implementation of these programs and PRHTA policies and procedures for the management of the programs in Puerto Rico.

A. Puerto Rico Highway and Transportation Authority (PRHTA)

On August 10, 1992, the Governor designated the Puerto Rico Highway and Transportation Authority (PRHTA) as the State Agency responsible for receiving and administering the funds apportioned to the Island under the Urbanized (UA) and Non-urbanized Area (NUA) Programs of the Federal Transit Administration (FTA). Prior to 1991, the Puerto Rico Department of Transportation and Public Works (PRDTPW) was the designated recipient and were responsible for the policy development and administration of public transportation in Puerto Rico. In 1991, the Governor reorganized the PRDTPW as the policy making umbrella agency for transportation on the island, and the PRHTA became the designated recipient of the FTA funds.

The Governor designated the PRDTPW as the Operative Arm of the Puerto Rico Metropolitan Planning Organization (PRMPO) for all urbanized areas in Puerto Rico. The Secretary of the DTPW is its President. The

MPO is composed of three policy committees: (1) San Juan Urbanized Area (SJUA), (2) the Aguadilla Urbanized Area (AUA) and (3) Urbanized Areas Under 200,000 (UZA). Voting members consist of the mayors of each of the 72 urbanized area municipalities, and the heads of state and Federal agencies involved in transportation planning, including: Puerto Rico Department of Transportation and Public Works (PRDTPW), Puerto Rico Highway and Transportation Authority (PRHTA), Metropolitan Bus Authority (MBA), Puerto Rico Ports Authority (PRPA), Puerto Rico Planning Board (PRPB), Permission Management Office (PMO), Public Service Commission (PSC), Puerto Rico Integrated Transportation Authority (PRITA), Puerto Rico Department of Natural and Environmental Resources (PRDNER) and the Environmental Quality Board (EQB). Non-voting members include Puerto Rico Division of the Federal Highway Administration (PRFHWA), and FTA's Region IV.

The Federal Coordination Office (FCO), Strategies Planning Office and the Programming and Special Studies Area are responsible for planning and implementing the technical and administrative activities of the MPO, including organization of the Technical and Policy Committee meetings, development of the Transportation Improvement Program (TIP) and Statewide Transportation Improvement Program (STIP), documents in addition to planning enhancement and research projects for highway and transit projects, the Unified Planning Work Program (UPWP) and the State Planning and Research Program (SRP). The FCO is responsible for the plan and managing of several federal transit programs. This document outlines the policies and procedures for management of the section §5303/5304 -Metropolitan & Statewide and Nonmetropolitan Transportation Planning, §5307- Urbanized Area Formula Program Grants, §5310- Elderly Individuals and Individuals with Disabilities, §5311- Nonurbanized Area, §5324-Emergency Program and §5339- Bus and Bus Facilities Program.

B. Public Transportation System Profile

Públicos are privately owned and operated services regulated under the Public Service Commission. Services can operate specific routes but without a specific schedule. Públicos are operated under individual or franchise agreements, with fares regulated by route and special insurance requirements. Vehicle capacity varies from eight 8 to 24, and the vehicles may be owned or leased by the operator. This service does not receive any governmental, operating subsidies.

From data obtained from the National Transit Database (NTD), it is quite evident that the Públicos system has had a significant drop in trips made in between 2010 and 2016. This can be seen in Table 2.53. From 2010 to 2016 there have been more than 20 million fewer trips carried by Públicos across Puerto Rico, a drop of nearly 50%. Another summary statistic that shows a significant reduction is the annual passenger miles which has shown a decrease from 122,570,478 in 2013 to 90,291,870 in 2016.

Also, between Fiscal Year 2012 and Fiscal Year 2016, the Público system has lost 23% of its routes, down from 453 to 346. In the same 5-year period the number of vehicles available to provide transportation services have decreased by 31%. Similarly, sponsorship has also seen a significant decline, and is expected to continue to decrease in the absence of policies and programs aimed at stabilizing this transportation service. The following Figure presents the Público routes in Puerto Rico.

	2010	2011	2012	2013	2014	2015	2016
Público (Annual Unliked Trips)	42,134,000	38,706,000	32,670,000	27,021,382	27,881,893	25,796,436	21,353,376
Change	-	(3,428,000)	(6,035,000)	(5,649,000)	861,000	(2,085,000)	(4,443,000)
%Change		(8.1%)	(15.6%)	(17.3%)	3.2%	(7.5%)	(17.2%)

Ferry service operated by the ATM provides public transportation to and from the two island municipalities of Culebra and Vieques.

In the San Juan Urbanized Area, public transportation is provided by the Metropolitan Bus Authority, a public transit agency within the PRDTPW; Metrobus, a private transit company under contract to the PRHTA (management, as well as the *Tren Urbano* Services) by the Integrated Transportation Alternative Office and “público”; and, to a lesser extent, private bus companies. In addition, ferry service is offered by the ATM linking Old San Juan and Cataño.

I. Management

a. Program Management

The Governor of Puerto Rico has designated the Puerto Rico Highway and Transportation Authority (PRHTA), as the recipient of FTA programs: Section 5303/5304 (Metropolitan & Statewide and Nonmetropolitan Transportation Planning), Section 5307 (Small Urbanized Area Formula Grants); Section 5310 (Enhanced Mobility of Seniors and Individuals with Disabilities); Section 5311 (Formula Grants for Rural Areas), Section 5324 (Emergency Relief Program) and 5339 (Buses and Bus Facilities Grants Program). As designated recipient of these programs, PRHTA is responsible for administering these program funds in accordance to State and federal laws, statutes, and regulations. It is the overall goal of the State to verify “fair and equitable distribution of program funds”. All subrecipients and sub recipients, must comply with all terms and conditions of FTA’s standard grant agreements and all management, statutory, procedural, and contractual requirements. Failure to adhere to all federal requirements will render any existing or potential subrecipient ineligible for federal financial assistance. PRHTA will also not take action that prejudices the legal and administrative findings that the FTA must make in order to approve a project.

This section describes PRHTA Program Management structure and processes related to the FTA grant programs which are the subject of this SMP. Included here are organizational roles and responsibilities for PRHTA and other stakeholders, technical assistance provisions, and State management and oversight.

i. Organization and staffing

The FCO Director is directly responsible for the administration and management of these Programs. The management team consists of FCO Director, an Executive Official, Planning Technicians and consulting services that provides the project management oversight for projects;

Offices	Description
FINANCE OFFICE	
FTA fiscal section	Maintain the financial accounting systems for projects; processes drawdown and project reimbursements for all Federal funding programs; prepares FFR.
Preintervention Office	Reviews reimbursement request; approves invoices for payment; sends the request to the Fiscal Section for FTA drawdown.
Treasurer’s Office	Cuts checks and sends to Sub recipients.
CIVIL RIGHTS OFFICE	
Civil Rights	Ensures that civil rights obligation is fulfilled (Title VI and DBE).
LEGAL DIVISION	
Legal Office	Helps in preparation of Interagency Agreements, contracts and other legal aspects

The Programs are managed consistent with all Federal regulations including the following (These requirements also apply to Subrecipients for project administration.):

- ***“Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments”***, 49 CFR Part 18.

- FTA Circular 5010.1E, “***Grant Management Guidelines***”.
- FTA Circular 8100.1D, “***Program guidance for Metropolitan Planning and State Planning and research programs grants***”
- FTA Circular 9070.1G “***Enhanced Mobility of Seniors and Individuals with Disabilities Program Guidance and Application Instructions***”
- FTA Circular 9040.1G “***Formula Grants for Rural Areas: Program Guidance and Application Instructions***”
- “***Emergency Relief Program***”, 49 U.S.C 5324
- FTA Circular 5300.1 “***State of Good Repair Grant***”
- FTA Circular 5100.1 “**Bus and Bus Facilities Formula Program: Guidance And Application**”

Instructions

Copies of pertinent management documents are provided to Subrecipients and form part of the PRHTA’s “***Grant Management Guidelines***”, which provides information about Subrecipient responsibilities in the following areas as well as contains copies of and instructions for completing required forms, including quarterly progress reports, reimbursement requests, bid results, etc: The major sections of this manual include:

- Financial Management Systems
- Procurement
- Third Party Contracting
- Property Acquisition and Disposition

- Equipment Management
- Reporting
- Grant Closeout
- Certifications and Assurances

ii. Internal Roles and Responsibilities

1. Analyze results of funding cycle
2. Conduct statewide application workshops
3. Conduct successful applicant and vehicle delivery workshop
4. Coordinate and participate on the State Review Committee
5. Develop and maintain equipment inventory
6. Develop and update program documents, including grant application, evaluation criteria and the State Management Plan
7. Develop and update recipient procurement guidelines
8. Develop annual program timelines
9. Develop funding list and Program of Projects
10. Disadvantaged Business Enterprise (DBE) reporting
11. Verify compliance of all federal and State procurement regulations
12. Equipment disposition
13. Establish program policies
14. Verify vehicle compliance with pre award and post-delivery certification requirements

15. Interpret federal and State regulations and guidelines and provide technical assistance
16. Interpret federal and state regulations and guidelines pertaining to procurement.
17. Issue vehicle orders for eligible subrecipients
18. Maintain subrecipients and facility files.
19. Monitor vehicle equipment usage and facilities.
20. Oversee project audit and close out.
21. Prepare and execute standard agreements with subrecipients.
22. Prepare and submit amendments to federal grants application for grants in which funds are reprogrammed and expended.
23. Prepare and submit annual federal grants applications.
24. Prepare and submit Milestone and Federal Financial Reports for each grant via TRAMS.
25. Review and approve request for reimbursements.
26. Process invoice for payments
27. Project management and oversight
28. Provide technical assistance and follow up on program issues.
29. Provide technical assistance to recipients and sub recipients
30. Review and analyze state vehicles bids
31. Review and solicit grants applications
32. Title VI compliance
33. Monitor Drugs and Alcohol Policies, collection sites and verify DAMIS
34. Monitor ADA Policies and Procedures

35. Triennial On site monitoring of vehicle/ Equipment
36. Verify and monitoring TAM Plans and targets
37. Verify and Monitor PTASP Compliance

iii. External Roles and Responsibilities

Federal Transit Administration (FTA)

The FTA Headquarters Office is responsible for providing overall policy and program guidance; apportioning funds annually to the states; developing and implementing financial management procedures; initiating and managing program support activities; and conducting national program review and evaluation.

Federal Transit Administration Regional Office

For Sections 5303/5304, 5307, 5310, 5311, 5324, 5337 and 5339, the FTA Regional Office is tasked with assisting agencies with grant administration through the planning, finance, execution, and delivery of transit projects. The FTA Regional offices have the day-to-day responsibility for administration of the program. Regional office activities include reviewing and approving state grant applications; obligating funds; managing grants; overseeing the state's implementation of the annual program, including revisions to the Program of Projects (POP); receiving state certifications; reviewing and approving SMP, providing technical assistance and advice to the states as needed; and performing state management reviews every three years, or as circumstances warrant.

Puerto Rico Metropolitan Planning Organizations (PRMPO)

The Puerto Rico Metropolitan Planning Organization (PRMPO) is a transportation policy-making organization made up of representatives from local government and transportation authorities. PRMPO were created to ensure

that existing and future expenditures for transportation projects and programs were based on a comprehensive, cooperative, and continuing planning process.

The role of the PRMPO includes establishing a local forum for transportation decision making; evaluating transportation alternatives; developing and updating a long-range transportation plan; developing a Transportation Improvement Program (TIP), Transit Asset Management (TAM), Puerto Rico Transit Asset Management (TAMP), Public Transportation Agency Safety Plan (PTASP), Public Involvement Plan, Safety Performance Targets ; and getting the public involved. The PRHTA works in cooperation with these local groups in developing their TIPs. In accordance with federal regulations, the PRMPO establish their project priorities and PRHTA/FCO includes those in the statewide program.

Rural communities that are not a part of the urbanized areas of PRMPO as described above, but to ensure that federal and state regulations and guidelines for transportation planning in rural areas are met among their many duties, the Federal Coordination Office is responsible for providing a public forum and serving as an advisory board to review funding applications from sub-recipients.

Long Range Transportation Plan (LRTP)

The Puerto Rico Long Range Transportation Plan presents long range multimodal assessments of the statewide transportation program. Long range transportation Plan has been part of the PRHTA process for many years. Federal regulations guide development of the PRLRTP and require that it address transportation needs for a minimum of 20 years into future. The PRLRTP address all modes of transportation including transit, road and

bridges, bicycle, and pedestrian systems, for which PRHTA has direct responsibility or participates cooperatively to support other local and state government agencies. This plan is coordinated with urban and rural areas of the island and conforms to federal regulatory requirements.

The transportation planning supports the economic vitality for the state by increasing available options and enhancing the integration and connectivity of the transportation system, across and between modes, for private and public transportation. The transportation planning is more than merely listing highway and transit capital investment. It requires developing strategies for operating, managing, maintaining, and financing the area's transportation system to advance the long-term goals.

An efficient transportation system can improve the economy, shape development patterns, and influence quality of life and the natural environments. The PRHTA provides direct support to state, regional and local agencies in ongoing transportation planning. The transportation planning process is a cooperative effort between PRHTA, PRDTPW, PRMPO, and transit providers.

II. State Administration and Oversight

FCO is responsible for verifying that subrecipients, third party contractors, and lessees adhere to the applicable Federal and State Regulations. FCO develops and implements effective systems for monitoring and verifying compliance with statutory and program requirements. FCO subrecipients monitoring includes:

- Project monitoring and site visits.
- Training/Workshops for Subrecipients.

- Reporting Requirements (Milestone Progress Reports, Disadvantaged Business Enterprise Reports (DBE), National Transit Database (NTD) Reports (5311), Drug and Alcohol Management Information System Reports (5311), and Bi-annual Reports (5310). Reports are used to evaluate the performance of individual agencies deliverables and are compared with original service projections. Any concerns resulting from subrecipient monitoring or analysis of data, including, but not limited to; underutilized equipment, safety issues or potential misuse of equipment, are analyzed for follow-up.

Reports are used to evaluate the performance of individual agencies deliverables and are compared with original service projections. Any concerns resulting from subrecipient monitoring or analysis of data, including, but not limited to; underutilized equipment, safety issues or potential misuse of equipment, are analyzed for follow-up. DRMT will also take appropriate action and resolution to verify federal program compliance as follows:

- Wholly or partially suspend or terminate the current award for the subrecipient's projects.
- Withhold future awards to the subrecipient for the program.
- Take any other remedies that may be legally available.

III. Milestone Progress Report

Subrecipients periodically must provide FCO with progress reports on each of their FTA-funded projects. FCO provides the forms to be used as well as the schedule and frequency for filing these progress reports.

To comply with the reporting requirements for all active grants in accordance with FTA Circular 5010-1E Award Management Circular, the Puerto Rico Highway and Transit Authority (PRHTA) developed a procedure to

consolidate the Milestone Progress Report (MPR) and the Federal Financial Report (FFR). All this to provide the most accurate information regarding project progress and the use of obligated funds.

PROCEDURE TO CONSOLIDATE MPR'S AND FFR'S

- The PRHTA Federal Coordination Office (FCO) staff is responsible for submitting all required information regarding project progress to be included in the MPR's and its submittal in TrAMS.
- The PRHTA Finance Office is in charge submitting the FFR's with required information. The input for the FFR's is related to Federal Cash, Recipient Share, Unliquidated Obligations, and Program Income from each Award.
- Prior to submitting the FFR and MPR's, the related contracts/binding commitments and invoices of goods and service received from third party contractors corresponding to active Awards are received from subrecipients and submitted to the PRHTA Program Manager, who reviews payment requests to ensure that adequate supporting documentation is attached and that the charges are within the approved scope and budget of the project.
- The Staff of the FCO review the request and approve payment and submits the payment request to the PRHTA Finance Office. The Fiscal Section of the Finance Office in charge of Federal Transit Programs verifies that the costs are allowable and within the approved budget and requests the drawdown from FTA through the Electronic Clearing House Operation (ECHO).

Table 1. MPR's and FFR's Reporting Periods		
Quarter	Reporting Period	Reporting Due Date
Quarter 1	October- December	January 30 th
Quarter 2	January- March	April 30 th
Quarter 3	April- June	July 30 th
Quarter 4	July- September	October 30 th

- On each Quarter Report Period the Finance Office concludes its disbursement process 15 days before the end of each Quarter, to consolidate the Award funds balances and identify unliquidated obligations. A balance sheet report is generated and compared with the Award Funds Status Report.
- Every Quarter Report Period, PRHTA Finance Staff and Federal Coordination Office Program Managers meet to compare the balance sheets from each office. Balance Sheet is referred to how each program manager reconciles their projects (Grants Management System is currently not available). To correctly report unliquidated obligations of Award.

IV. National Transit Database (NTD)

Congress established the National Transit Database (NTD) to be the Nation's primary source for information and statistics on the transit systems of the United States. The legislative requirement for the NTD is found in Title 49 U.S.C. 5335(a). This statute requires that recipients or beneficiaries of grants from the Federal Transit

Administration (FTA) under the 5311 (including 5311(f) and CMAQ funds flexed to 5311) and 5339 programs submit data to the NTD. NTD reporting is also a requirement of the standard agreement language that agencies, as subrecipients of FTA funds, execute with PRHTA when grant funds have been awarded. FTA submits annual NTD reports to Congress summarizing transit service and safety data.

FTA uses NTD data to apportion funding to transit agencies in the United States. FTA apportions funds using NTD data from two years prior (e.g., Fiscal Year (FY) 2018 data was used for the FTA FY 2020 apportionment). FTA has separate funding programs for transit agencies that operate in urbanized and rural areas. Agencies that operate in both urban and rural areas may receive or benefit from both funding programs. To be eligible to receive funding from FTA, transit agencies must report to the NTD.

The NTD collects financial and service information from public transportation agencies across the country and requires all transit agencies to report on an annual basis. In the Annual Report, agencies provide a summary of transit characteristics, including financial and operating statistics.

PRHTA, as a State Department of Transportation, reports to NTD on behalf of its subrecipients. FCO is responsible for filing the Statewide Summary report to the NTD on behalf of PRHTA. NTD Direct Recipients receiving FTA funds as a subrecipient of PRHTA are not exempt from this required reporting. FCO supplies the forms for NTD reporting. Additional information regarding NTD is available online at <https://www.transit.dot.gov/ntd>.

V. Federal Transit Programs

a. Section 5303/5304

This program provides funding and procedural requirements for multimodal transportation planning in metropolitan areas and states that is cooperative, continuous, and comprehensive, resulting in long-range plans and short-range programs of transportation investment priorities. The section 5303 encourages and promote the safe and efficient management, operation, and development of surface transportation systems that will serve the mobility needs of people and freight and foster economic growth and development within and between states and urbanized areas. To accomplish the objectives stated in section 5303(a), each state shall develop a statewide transportation plan and a statewide transportation improvement program for all areas of the state.

Eligible Activities

Funds are available for planning activities that

- (A) support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency.
- (B) increase the safety of the transportation system for motorized and nonmotorized users.
- (C) increase the security of the transportation system for motorized and nonmotorized users.
- (D) increase the accessibility and mobility of people and for freight.
- (E) protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and State and local planned growth and economic development patterns

- (F) enhance the integration and connectivity of the transportation system, across and between modes, for people and freight
- (G) promote efficient system management and operation; and
- (H) emphasize the preservation of the existing transportation system.

Eligible Recipients

States and Metropolitan Planning Organizations and Non Profit Organizations

b. Section 5307

This program makes Federal resources available to urbanized areas and to Governors for transit capital and operating assistance in urbanized areas and for transportation related planning. An urbanized area is an incorporated area with a population of 50,000 or more that is designated as such by the U.S. Department of Commerce, Bureau of the Census.

Eligible Activities

Include planning, engineering design and evaluation of transit projects and other technical transportation-related studies; capital investments in bus and bus-related activities such as replacement of buses, overhaul of buses, rebuilding of buses, crime prevention and security equipment and construction of maintenance and passenger facilities; and capital investments in new and existing fixed guideway systems including rolling stock, overhaul and rebuilding of vehicles, track, signals, communications, and computer hardware and software. All preventive maintenance and some Americans with Disabilities Act complementary paratransit service costs are considered capital costs.

For urbanized areas with a population of 200,000 and over, funds are apportioned and flow directly to a designated recipient selected locally to apply for and receive Federal funds. For urbanized areas under 200,000 in population,

the funds are apportioned to the Governor of each state for distribution. In Puerto Rico, the 5307 grants between 50,000-199,999 apply directly to FTA.

c. Section 5310

Title 49 U.S.C. 5310 authorizes the formula assistance program for the Enhanced Mobility of Seniors and Individuals with Disabilities Program to provide formula funding to states and designated recipients to improve mobility for seniors and individuals with disabilities. The program provides grant funds for capital and operating expenses to recipients for public transportation projects planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, inappropriate, or unavailable.

Under MAP-21 and FAST Act, this program no longer provides a single apportionment to each state, it now provides apportionments specifically for large urbanized (over 200,000), small urbanized (50,000-200,000), and rural areas (50,000), and requires new designations of designated recipients in large urbanized areas (UZAs).

The goal of the Section 5310 program is to improve mobility for seniors and individuals with disabilities throughout the country by removing barriers to transportation services and expanding the mobility options available. Toward this goal, FTA provides financial assistance for transportation services planned, designed, and carried out to meet the special transportation needs of seniors and individuals with disabilities in all areas – large urbanized, small urbanized, and rural. The program requires coordination with other federally assisted programs and services in order to make the most efficient use of federal resources.

PRHTA, as a designated recipient, has the authority and responsibility for administering the Section 5310 program. These responsibilities include but are not limited to:

- Documenting the state or designated recipient's procedures in a state management plan (SMP).

- Planning for future transportation needs and verify integration and coordination among diverse transportation modes and providers.
- Developing project selection criteria consistent with the coordinated planning process.
- Notifying eligible local entities of funding availability.
- Soliciting applications from potential subrecipients.
- Determining applicant and project eligibility.
- Certifying that allocations of funds to subrecipients are made on a fair and equitable basis.
- Submitting an annual program of projects (POP) and grant application to FTA.
- Verifying subrecipients comply with federal requirements.
- Certifying that projects are included in a locally developed, coordinated public transit-human service transportation plan developed and approved through a process that included participation by seniors; individuals with disabilities; representatives of public, private, and nonprofit transportation and human service providers; and other members of the public.
- Certifying that to the maximum extent feasible, services funded under Section 5310 are coordinated with transportation services assisted by other federal departments and agencies.
- Verifying that at least 55 percent of the area's apportionment is used for traditional Section 5310 projects carried out by the eligible subrecipients.
- Overseeing project audit and closeout.

Eligible Subrecipients

Eligible subrecipients under Section 5310 may be a state or local governmental authority, a private nonprofit organization, or a public transportation operator. Section 5310 provides that of the amounts apportioned to states and designated recipients, not less than 55 percent shall be available for traditional Section 5310 projects – those public transportation capital projects planned, designed, and carried out to meet the special needs of seniors and

individuals with disabilities when public transportation is insufficient, unavailable, or inappropriate. Further, the law provides that, for these projects a recipient may allocate the funds apportioned to it to:

- A private non-profit organization; or
- A state or local governmental authority

Eligible Projects

MAP-21 expanded the Section 5310 program funding to include mobility management and operating assistance projects. Not less than 55 percent shall be available for traditional (capital) Section 5310 projects. Notably, this 55 percent is a minimum. Eligible projects include purchase of rolling stock and related activities - the lists below provide an overview of eligible and non-eligible capital expenses per existing State rules:

Eligible Section 5310 projects (55 percent award funding minimum)

- ADA-accessible buses and vans (including baseline vehicle equipment). Excludes sedans or SUV's.
- Vehicle procurement testing, inspection, and acceptance costs
- Wheelchair restraints and securement devices.
- Radios and communication equipment.
- Initial component installation costs.
- Computer hardware and software (scheduling and dispatch software) in support of 5310 program purposes only.
- Extended warranties which do not exceed the industry standard (at the time of purchase only).
- Transit-related intelligent transportation systems (ITS); and the introduction of new technology, through innovative and improved products, into public transportation.

Non-Eligible Expenses

- Fixed route equipment such as, but not limited to fare boxes, destination signs, stop request system (yellow pull cords), transfer cutters.
- Preventive maintenance, as defined in the National Transit Database (NTD).
- Vehicle rehabilitation, manufacture, or overhaul.
- Transit Shelters or other facility improvements.
- Computer hardware and software equipment used for support of public transit services.
- Acquisition of transportation services under a contract, lease, or other arrangement.
- Cell phones and service agreements.
- Indirect costs.

For acquisition of transportation services and equipment under a third-party contract, see the Procurement Section for more information.

Only wheelchair accessible vehicles that meet the ADA requirements are eligible for funding. Vehicles are restricted from allowing non-emergency rear passenger access. FCO disallows vehicles to provide non-emergency passenger ingress or egress at the rear of the vehicle. In addition, any vehicle proposed for replacement must be for “like-kind” and be an accessible vehicle and meet the State established useful life criteria at the time the application is submitted. The replacement vehicle does not have to be originally federally funded. On an exceptional basis, vehicles will be considered for replacement prior to meeting useful life standards if the applicant can demonstrate that the vehicle has had a history of excessive maintenance and warrants early replacement. Sedans and Sport Utility Vehicles are not eligible for procurement or replacement under this program.

The following table lists the vehicles indicated in the current application that are eligible for replacement, service expansion, or new service grant funding. Grant awards for vehicles will be based upon State-approved pricing consistent with FTA’s Cost or Price Analysis requirements.

Table 2: Examples of Vehicles Currently Eligible for 5310 Grant Funding

Vehicle Type	Standard Passenger Capacity (Ambulatory/Wheel Chair)
Minivan	3/1
Small Bus	8/2
Medium Bus	12/2
Large Bus	16/2

Eligible Section 5310 projects for up to 45 percent award funding

Up to 45 percent of rural, small urbanized, and large urbanized areas’ annual apportionments may be utilized for:

1. Travel training. Training programs for individual users on awareness, knowledge, and skills of public and alternative transportation options available in their communities. This includes travel instruction and travel training services.
2. Volunteer driver and aide programs.
3. Operating assistance that is consistent with the 5310 program goals.

All requested 5310 project costs for Mobility Management and Operating must be documented and comply with the executed Standard Agreement. Final determination of eligibility on all requested reimbursement costs will be made by the 5310 Program Branch. The 5310 Program does not reimburse indirect costs.

1. Operating Assistance

Eligible operating assistance expenses include maintenance of existing service, introduction of new transit service, and expansion of existing service and is available for one year only. The following are examples of eligible expenses for operating assistance:

- Full Time Personnel (40 hours per week)
 - Driver Salaries (including benefits).
 - Dispatcher Salaries (including benefits).
 - Maintenance Mechanic Salaries (including benefits).
 - Administrative Staff Salaries (including benefits) directly related to the project.
- Part Time Personnel (less than 40 hours per week)
 - Salaries are allowable but not benefits.
- Other Direct Expenses
 - Fuel and Oil.
 - Tires, Parts, Maintenance.
 - Vehicle Licenses.
 - Vehicle Insurance.
 - Uniform/Purchase.
 - Capital Cost of Contracting.
 - Purchased Transportation.

2. Advertising

a. The term advertising costs means the costs of advertising media and corollary administrative costs. Advertising media include magazines, newspapers, radio and television, direct mail, exhibits, electronic or computer transmittals, and the like.

b. The only allowable advertising costs are those which are solely for:

- (1) The recruitment of personnel required for the performance by the governmental unit of obligations arising under a Federal award.
- (2) The procurement of goods and services for the performance of a Federal award.
- (3) The disposal of scrap or surplus materials acquired in the performance of a Federal award except when governmental units are reimbursed for disposal costs at a predetermined amount.
- (4) Other specific purposes necessary to meet the requirements of the Federal award.

c. Unallowable advertising costs include the following:

All advertising costs other than as specified in subsection b.

3. Public relations costs.

a. The term public relations includes community relations and means those activities dedicated to maintaining the image of the governmental unit or maintaining or promoting understanding and favorable relations with the community or public at large or any segment of the public.

b. The only allowable public relations costs are:

- (1) Costs specifically required by the Federal award.

(2) Costs of communicating with the public and press pertaining to specific activities or accomplishments which result from performance of Federal awards (these costs are considered necessary as part of the outreach effort for the Federal award); or

(3) Costs of conducting general liaison with news media and government public relations officers, to the extent that such activities are limited to communication and liaison necessary keep the public informed on matters of public concern, such as notices of Federal contract/grant awards, financial matters, etc.

c. Unallowable public relations costs include the following:

All advertising and public relations costs other than as specified in subsections b.

- Communication costs. Costs incurred for telephone services, local and long-distance telephone calls, telegrams, postage, messenger, electronic or computer transmittal services and the like are allowable.
- Training. The cost of training provided for project specific employee development is allowable. The cost of training is not to exceed 5% of the projects cost.

4. Mobility Management

a. Mobility Management is intended to build coordination among existing public transportation providers and other transportation service providers with the intended result of expanding the availability of transportation services to the public.

b. The only allowable Mobility Management costs are:

- (1) The promotion, enhancement, and facilitation of access to transportation service that results in more service options or increases the efficiency of trips for passengers.
- (2) Short term management activities to plan and implement coordinated services.
- (3) Support State and local coordination policy bodies and councils.
- (4) Operation of transportation brokerages to coordinate providers, funding agencies and customers.

(5) Provide customer-oriented travel navigator systems and neighborhood travel coordination activities such as coordinating individualized travel training and trip planning activities for customers.

(6) Development and operation of one-stop transportation traveler call centers to coordinate transportation information on all travel modes and to manage eligibility requirements and arrangements for customers among supporting programs.

(7) Operation planning for the acquisition of intelligent transportation technologies.

(8) Salaries

- Full Time Personnel (40 hours per week)
 - Dispatcher Salaries (including benefits).
 - Administrative Staff Salaries (including benefits) directly related to the project.
- Part Time Personnel (less than 40 hours per week)
 - Salaries are allowable but not benefits.

c. Unallowable mobility management costs include the following:

All mobility management costs other than as specified in subsection b.

5. Advertising

a. The term advertising costs means the costs of advertising media and corollary administrative costs. Advertising media include magazines, newspapers, radio and television, direct mail, exhibits, electronic or computer transmittals, and the like.

b. The only allowable advertising costs are those which are solely for:

(1) The recruitment of personnel required for the performance by the governmental unit of obligations arising under a Federal award.

(2) The procurement of goods and services for the performance of a Federal award.

- (3) The disposal of scrap or surplus materials acquired in the performance of a Federal award except when governmental units are reimbursed for disposal costs at a predetermined amount; or
- (4) Other specific purposes necessary to meet the requirements of the Federal award.

c. Unallowable advertising costs include the following:

All advertising costs other than as specified in subsection b.

Monitoring

Bi-Annual Reporting

To fulfill FTA and PRHTA requirements, the Bi-Annual Report applies to all 5310 vehicles, equipment, operating and mobility management projects. The information in the Bi-Annual Report is used to evaluate the project and program performance. The Bi-Annual Report is due twice a year (October 1 and April 1) to FCO

On-site Inspections

At a minimum, every two years, or at the discretion of the 5310 Program, an agency interview will be conducted for all FTA 5310 funded projects. For agencies that have vehicles and/or equipment, a vehicle/equipment inspection will be completed in addition to the agency interview.

Disposition and Project Close-Out

The Section 5310 program will release vehicles/equipment to subrecipient agencies, when it has been determined that the agency's vehicle/equipment has met the useful life requirement.

d. Section 5311

The Formula Grants for Rural Areas program was established by FTA (49 U.S.C. 5311) and it provides capital, planning, and operating assistance to states to support public transportation in rural areas with populations of less than 50,000, where many residents often rely on public transit to reach their destinations. The program also provides funding for state and national training and technical assistance through the Rural Transportation

Assistance Program. The 5311 Program also includes the Section 5311 (f) Program, which promotes intercity bus services in rural areas of the State, and the Section 5311(b) (3) Program, which promotes the Rural Transportation Assistance (RTAP) Program (see below for a description of the 5311(f) Intercity Bus Program and the 5311(b) (3) RTAP Program).

Eligible activities include planning, capital, operating, job access and reverse commute projects, and the acquisition of public transportation services.

The FTA 5311 Program circular list the following program goals:

- Enhance the access of people in rural areas to health care, shopping, education, employment, public services, and recreation.
- Assist in the maintenance, development, improvement, and use of public transportation systems in rural area.
- Encourage and facilitate the most efficient use of all transportation funds used to provide passenger transportation in rural areas through the coordination of programs and services.
- Assist in the development and support of intercity bus transportation.
- Provide for the participation of private transportation providers in rural areas.
- Improve access to transportation services to employment and employment related activities for welfare recipients and eligible low-income individuals.
- Provide financial assistance to help carry out national goals related to mobility for all, including seniors, individuals with disabilities, and low-income individuals.
- Encourage mobility management, employment-related transportation alternatives, joint development practices, and transit-oriented development.

Eligible Projects

1. Operating Assistance

Eligible Operating Assistance expenses include maintenance of existing service, introduction of new transit service, and expansion of existing service. The standard agreement for Operating Assistance projects is issued for one year. The following are examples of eligible expenses for Operating Assistance:

- Personnel
- Driver Salaries (including benefits).
- Dispatcher Salaries (including benefits).
- Maintenance Mechanic Salaries (including benefits).
- Administrative Staff Salaries (including benefits) directly related to the project.
- Other Direct Expense
- Fuel and Oil.
- Tires, Parts, Maintenance.
- Vehicle Licenses.
- Vehicle Insurance.
- Uniform/Purchase.
- Capital Cost of Contracting.
- Purchased Transportation (Third Party Contract).

2. Vehicle Purchase

The following are examples of eligible expenses for vehicle purchase: vehicles for new, existing, and/or expansion service and/or vehicle inspection.

3. Bus Related Equipment Purchase

The following are examples of eligible expenses for bus related equipment:

- Radios and communication equipment.
- Fare boxes.
- Wheelchair lifts and restraints.
- Computers; Hardware and Software (i.e. scheduling, routing).
- Intelligent Transportation System (ITS). (Note: The ITS project must be included in the regions approved Architecture Plan.

4. Transit Infrastructure

The following are examples of eligible expenses for Transit Infrastructure:

- Bus shelters/Benches/Signage.
- Safety and Security features (i.e. lighting, camera).
- Support items such as trash containers.
- ADA requirements and/or enhancements.
- Informational or scheduling structures.
 - Construction or rehabilitation of transit facilities including design, engineering, and land acquisition.

6. Preventive Maintenance

Applications for Preventive Maintenance projects are verified by FCO as having met all the statutory and administrative requirements for Project approval. Preventive Maintenance activities consist of routine revenue and non-revenue vehicle inspection and maintenance for bus operations. For the purpose of carrying out a preventive maintenance project, the labor (associated administrative and incidental costs) shall not exceed the estimated cost. The standard agreement for Preventive Maintenance projects is issued for one

year. The following are approved activities for the inspection and maintenance of revenue vehicles and service vehicles.

Inspection and Maintenance of Revenue Vehicles' Component Activities

- Oil changes, engine repairs, etc. are preventive maintenance activities and are considered preventive maintenance expenses.
- Inspecting revenue vehicle components on a scheduled preventive maintenance basis (e.g. engine and transmission, fuel system, ignition system, chassis, exterior body and interior body, electrical system, lubrication system, trolleys, pantographs and third rail shoes, trucks, braking system, and air conditioning system).
- Changing lubrication fluids.
- Replacing minor repairable units of the above listed revenue vehicle components.
- Making road calls to service revenue vehicle breakdowns.
- Towing and shifting revenue vehicles to maintenance facilities.
- Rebuilding and overhauling repairable components.
- Performing major repairs on revenue vehicles on a scheduled or unscheduled basis (this work is generally done by the following facilities: machine shop, sheet metal shop, welding and blacksmith shop, woodworking shop).
- Replacing major repairable units of revenue vehicles (including engines, transmissions, traction motors and air conditioners). *Inspection and Maintenance of Service Vehicles' Component Activities*

- Inspecting service vehicle components on a scheduled preventive maintenance basis (e.g. engine and transmission, fuel system, ignition system, chassis, exterior body and interior body, electrical system, lubrication system, trolleys, pantographs and third rail shoes, trucks, braking system, and air conditioning system).

- Performing minor repairs to the above listed service vehicle components.
- Changing lubrication fluids.
- Replacing minor repairable units of the above listed service vehicle components.
- Making road calls for service vehicle breakdowns.
- Towing and shifting service vehicles to maintenance facilities.
- Rebuilding and overhauling repairable components.
- Performing major repairs on service vehicles on a scheduled or unscheduled basis (this work is generally done by the following facilities: machine shop, sheet metal shop, welding and blacksmith shop, woodworking shop).
- Replacing major repairable units of service vehicles (including engines, transmissions, traction motors and air conditioners). The following are approved activities for the maintenance of transit facilities and facility related equipment:
 - Maintenance administration.
 - Maintenance of vehicle movement control systems.
 - Maintenance of fare collection and counting equipment.
 - Maintenance of roadway and track.
 - Maintenance of structures, tunnels, bridges, and subways.
 - Maintenance of passenger stations.
 - Maintenance of operating station buildings.
 - Maintenance of garage and shop buildings, grounds, and equipment.
 - Maintenance of communication systems.
 - Maintenance of general administration buildings, grounds, and equipment.
 - Accident repairs of buildings, grounds, and equipment.

- Vandalism repairs of buildings, grounds, and equipment.
- Operation and maintenance of electric power facilities.

7. Planning and Technical Assistance

The following are examples of eligible expenses for planning and technical assistance activities:

- Planning Study (i.e. system-wide connectivity, improved service effectiveness, ridership forecast/survey, and transit coordination).
- Marketing Research and Innovation.
- Development and implementation of strategic marketing.

8. Bicycle Facility

The following are examples of eligible projects for bicycle facility:

- Constructing bicycle facilities (paths, bike racks, support facilities, etc.).
- Non-construction outreach related to safe bicycle use.
- Establishing and funding State bicycle coordinator positions for promoting and facilitating non-motorized transportation modes through public education, safety programs, etc. (limited to one full-time position per state).

Eligible Recipients

- States, Indian tribes or Alaskan Native villages, groups or communities identified by the Bureau of Indian Affairs (BIA)
- Subrecipients: State or local government authorities, nonprofit organizations, operators of public transportation or intercity bus service that receives funds indirectly through a recipient.

i. Rural Transit Assistance Program (RTAP)

The FTA Section 5311 Rural Transit Assistance Program (RTAP) ([49 U.S.C. 5311\(b\)\(3\)](#)) was created to provide grants to states for research, technical assistance, training and related support services for transit systems in rural areas. The objective of RTAP is to provide quality training and technical assistance, research, reports, best practice and peer-to-peer interactions for rural 5311 sub-recipients, and community transit service organizations.

Providers of public transit operators in Small Urbanized Areas, in addition to specialized transportation services funded by the FTA Section 5310 Program have many of the same training and technical assistance needs as transit providers in rural areas. FTA permits participation by these providers in RTAP- sponsored activities, at the State's discretion, so long as the activities are primarily designed and delivered to benefit rural transit providers.

Intercity Bus Program

The 5311(f) Intercity Bus Program ([49 U.S.C. 5311\(f\)](#)) provides funding to improve intercity bus connectivity between rural areas and urban areas to end the isolation of rural areas that are increasingly underserved by bus and transit services and also to “expend funds for the support of intercity bus transportation to the extent required by law.” The Intercity Bus Program is designed to address the “intercity bus transportation needs of the entire State” by developing projects that support one or more of the national objectives and State goals. The 5311(f) funds, which are discretionary funds, are distributed through a competitive process.

PRHTA currently spends 15 percent of its 5311 annual program apportionment on intercity bus transportation. If the State fails to meet the 15 percent set aside requirement, the State must certify to the Governor that the intercity bus needs of the State are being adequately met. The State must assess statewide intercity mobility needs no more than four years before the date of the certification. “In the absence of a certification from the Governor that intercity needs are adequately met, 15 percent of the State's annual apportionment must be obligated for intercity bus transportation within the period of availability (three years).” Please see [FTA C9040.1G, Chapter VIII](#).

The FTA 5311(f) Program circular lists the following program goals:

- Support the connection between rural and the larger regional or national system of intercity bus service.
- Support services to meet the intercity travel needs of residents in rural areas.
- Support the infrastructure of the intercity bus network through planning and marketing assistance and capital investment in facilities.

The specific objectives established to meet 5311(f) program goals are to:

- Support and promote rural transit connection with larger regional and national system of intercity bus service.
- Support the intercity travel needs of residents in rural area.
- Meet the broader transportation needs of rural residents by providing meaningful connections to other modes of transportation.
- Facilitate coordination of rural/regional and private transit operations and intercity bus carriers.
- Support intercity bus planning and marketing infrastructure.

Eligible Subrecipients

Eligible subrecipients include:

- Public governmental authorities and transit providers.
- Private for-profit organizations.
- Private non-profit organizations.
- Tribal Governments.

a. Section 5324

FTA's Emergency Relief program, established under MAP-21 legislation, enables FTA to provide assistance to public transit operators in the aftermath of an emergency or major disaster. The program helps states and public transportation systems pay for protecting, repairing, and/or replacing equipment and facilities that may suffer or have suffered serious damage as a result of an emergency, including natural disasters such as floods, hurricanes, and tornadoes. The program can fund capital projects to protect, repair, or replace facilities or equipment that are in danger of suffering serious damage, or have suffered serious damage as a result of an emergency.

The program also improves coordination between U.S. DOT and the Department of Homeland Security (DHS) to expedite assistance to public transit providers in times of disasters and emergencies.

Eligible Activities

- Capital projects to protect, repair, reconstruct, or replace equipment and facilities of a public transportation system, including on an Indian reservation, which are in danger of, or have suffered serious damage, as a result of an emergency. Emergencies are defined as natural disasters affecting a wide area or catastrophic failures resulting from an external cause, and as a result, the governor of a state has declared as an emergency and the Secretary of Transportation has concurred, or the President has declared a major disaster.
- Operating costs related to evacuation, rescue operations, temporary public transportation service; or reestablishing, expanding or relocating public transportation route service before, during, or after an emergency.

Funding

- Funds will be appropriated by Congress as necessary.
- Recipients may also request to use available Section 5307 or Section 5311 funds under the provisions of Section 5324.

- The grants are only for expenses that are not reimbursed by the Federal Emergency Management Agency (FEMA).
- The federal share for capital and operating costs is 100% before 270 days of the declared emergency and 90-10 after 270 days.
- Operating costs are eligible for one year beginning on the date of declaration or for two years if the Secretary of Transportation determines there is a compelling need.

Eligible Recipients

- States and governmental authorities, including public transportation agencies.

b. Section 5339

The Bus and Bus Facilities Program originated as part of the section 5309 discretionary grant program established by the original transit authorization in 1964. MAP-21 established a new Section 5339, Bus and Bus Facilities Program, changing the program from discretionary to formula. The purpose of this program is to finance capital projects to replace, rehabilitate, and purchase buses and related equipment, and to construct bus-related facilities.

Under the new Bus Program, funds are apportioned through a national distribution and a statutory formula. The national distribution provides a flat amount of funding to each State and territory. The formula provides additional funds based on population, vehicle revenue miles, and passenger miles. The grants under this section to the designated recipients in the large urbanized areas (UZAs) and states are for the purpose of financing capital bus and bus-related projects that will support the continuation and expansion of public transportation services.

Eligible Activities

- Capital projects to replace, rehabilitate and purchase buses, vans, and related equipment, and to construct bus-related facilities, including technological changes or innovations to modify low or no emission vehicles or facilities.

Eligible Recipients

- Eligible Recipients include designated recipients that operate fixed route bus service or that allocate funding to fixed route bus operators; and State or local governmental entities that operate fixed route bus service that are eligible to receive direct grants under 5307 and 5311.
- Subrecipients: An eligible recipient that receives a grant under the formula or discretionary programs may allocate amounts from the grant to subrecipients that are public agencies or private nonprofit organizations engaged in public transportation.

c. CARES Act

The Coronavirus Aid, Relief, and Economic Security (CARES) Act provides emergency assistance and health care response for individuals, families and businesses affected by the COVID-19 pandemic.

FTA is allocated \$25 billion to recipients of urbanized area and rural area formula funds, with \$22.7 billion to large and small urban areas and \$2.2 billion to rural areas. Funding is provided at a 100-percent federal share, with no local match required, and will be available to support capital, operating, and other expenses generally eligible under those programs to prevent, prepare for, and respond to COVID-19.

Operating expenses incurred beginning on January 20, 2020 for all rural and urban recipients, even those in large urban areas, are also eligible, including operating expenses to maintain transit services as well as paying for administrative leave for transit personnel due to reduced operations during an emergency.

Eligible Activities

- All capital, operating, and planning activities normally eligible under Sections 5307 and 5311.

and all expenses listed as eligible for Section 5307/5311 ER flexibilities
- Operating assistance for all recipients.
- Operations or Maintenance contracts entered prior to January 20, 2020 are eligible regardless of whether those contracts met federal requirements. Any new contracts would need to follow all federal requirements.
- Capital Projects that were previously obligated into other FTA grants can be funded by ER Fund Flexibility or CARES Act grant IF:
 - Project meets eligibilities described above.
 - Cost was not incurred prior to January 20, 2020 (e.g., a contract was not executed before 1/20/2020.)
 - The applicants will also need to remove the projects from the previously obligated grants.
 - Funds already disbursed cannot be returned and reused.
- Funds are available until expended.
 - No lapse dates.
 - Recipients are encouraged to use funds expeditiously.

Other Information

- All Federal transit program (49 USC Ch. 53) requirements apply to CARES Act funding

- DOL certification
- A new split letter is required.
- The intercity bus (49 USC 5311(f)) requirement.
- Some expenses do not need to be in a TIP/STIP or long-range transportation plan.
 - Operating expenses
 - Capital expenses that do not involve a substantial change to the location, function, or capacity of an asset.

a. CRRSAA

The Coronavirus Response and Relief Supplemental Appropriations Act of 2021 (CRRSAA) includes \$14 billion to be allocated to support the transit industry during the COVID-19 public health emergency.

Section 5310 funds are apportioned to Designated Recipients in large urbanized areas and to States in small urbanized and rural areas.

- Designated Recipients and States determine the allocation to subrecipients.
- Eligible for operating at 100% federal share
- Requirement to use 55% of funds for traditional capital projects does not apply to CRRSAA funds.
- The Coordinated Human Services Transportation Plan requirement for Section 5310 applies to CRRSAA funding
- Permits previously appropriated (unobligated) 5310 funds to be awarded at 100%
 - Non-CRRSAA funding must still meet the 55% requirement and be included in a coordinated plan

Eligible Expenses

- CRRSAA and unobligated CARES Act funding should be directed to the maximum extent possible:
 - To payroll and operations of public transit (including payroll and expenses of private providers of public transportation)
 - Unless the recipient certifies to FTA that the recipient has not furloughed any employees. Expenses subject to this requirement include capital expenses such as vehicle procurements or facility construction.
- Operating expenses for all recipients, including large urbanized areas, are still eligible beginning January 20, 2020. Examples include:
 - Administrative leave of operations personnel due to reductions in service or quarantine
 - Vehicle operator salaries
 - Fuel
 - Items with useful life less than 1 year
- Funds are available until expended.
 - No lapse date.
 - Recipients are encouraged to use funds expeditiously.

Other Information

- All Federal transit program (49 USC Ch. 53) requirements apply to CARES Act funding
 - DOL certification
 - A new split letter is required.

- Some expenses do not need to be in a TIP/STIP or long-range transportation plan
 - Operating expenses
 - Capital expenses that do not involve a substantial change to the location, function, or capacity of an asset.

VI. Annual Program of Project (POP) Development and Project Approval

Notice of the Availability of Funds

The statewide announcements for Sections 5303/5304, 5307, 5310, 5311, 5324 and 5339 are widely disseminated through various methods, to include:

- Existing public transportation providers.
- Members of the Metropolitan Planning Organizations (MPOs).
- Other interested agencies and operators of public transportation service; and
- General Public

Public Notification

PRHTA publicly advertises availability of funds to potential applicants by notifying by letter, by the PRHTA web sites and through a publication having general circulation across the state.

The application process for all Programs is conducted annually as described below.

ANNUAL APPLICATION AND POP PREPARATION PROCESS	
ACTIVITY	TIMETABLE
Notification of fund availability – FTA.	October

Letter of invitation to orientation meetings.	October
Published notice advising public of fund availability and regional orientation meetings.	November
Orientations to the public regarding fund availability, planning process and application solicitation process.	November/December
Individual technical assistance in planning and preparation of applications.	Ongoing
DEADLINE to submit proposal for funds to PRHTA.	Last working day of January
Evaluation of proposal by PRHTA staff.	February - March
Project selection and preparation of annual POP, including recommended projects to be funded in each category.	May
Submission of POP to FTA for approval.	June/July
Notification by FTA of POP approval.	September
Inclusion of projects in STIP approval process.	September/October

POP Approval Process

From the time an application is received by the PRHTA, it begins a process to assure that it not only meets quality standards in content, but also follows all the requirements described in the proposal.

Once projects are selected, the PRHTA prepares an annual POP, also known the Transportation Improvement Program, which includes the information: name of each Subrecipient; a brief description of each project; and total project cost with a breakdown of the local and Federal share. The POP also includes the funding level for State administration, as well as planning and technical assistance activities, and funds for the Intercity Bus Program

and RTAP in case of Section 5311. Projects are clearly identified and grouped. Since not all projects included in the POP are necessarily at the same stage of development. Three categories of projects (A, B, and C) are used to program funds. Upon submission of the annual POP, FTA will approve and obligate funds for the total level of funding requested in all three categories. All Sections funds are included in the STIP.

Category A Projects

Projects in this Category include those which have been certified by the PRHTA as having met all the statutory, administrative and/or programmatic requirements.

Category B Projects

Projects in this Category include those that the PRHTA anticipates approving during the current year, but that have not yet met all the statutory, administrative and/or programmatic requirements. As the requirements are satisfied, projects advance to Category A. The PRHTA notifies the FTA Regional Office, in writing, of this advancement. Upon approval, projects can begin drawing down funds. It should be noted that any Category B project that does not qualify as a “Categorical Exclusion (CE)”, under 23 CFR 771.115(b), requires an environmental clearance from FTA, before being advanced to Category A.

Project Selection

According to the TAM’s Final Rule, a prioritized list of proposed projects and Programs, needs to be identified for its assets to reach their SGR goals.

A consolidated list of general transportation priorities are categorized into three overarching areas they are as follows:



Though several municipalities are direct grantees of the FTA and do not require additional approval for grant requests, PRHTA typically plays a significant role in administering the grant selection and awarding process. Before 2020, PRHTA nor the municipalities have not needed to prioritize grants because the total amount of grant requests has been under the total amount allocated by FTA. Following a grant submission workshop held by PRHTA for the municipalities in late 2019, however, the total amount requested by the municipalities in 2020 has exceeded the total amount allocated, causing a need for PRHTA to develop a prioritization process for the first time. Shall this situation arise again, PRHTA's will prioritize the following projects:

1. Carryover Projects – Must be obligated within two years, after two years it will be considered a new project.
2. Vehicle Replacement / New Expansion – ADA Accessible
3. Preventive Maintenance for Vehicles
4. Operational Assistance
5. Rehabilitation of Facilities – All facilities with a term scale of less than 3

6. Bus Shelters
7. ADA Compliant Projects
8. Rehabilitation of Facilities – All facilities with a term scale greater than 3
9. Continuity Projects
10. New Capacity Projects

For project inclusion in the S/TIP, please see “*Guia de Solicitud de Proyectos*” in the following link https://act.dtop.pr.gov/wp-content/uploads/2020/09/Call-for-Project-Checklist_Rev-Aug-24-2020.pdf , Projects to be considered in the S/TIP must be submitted with all required project justification documentation. Failure to do so, will hinder its possibilities of being selected. Projects will not be programmed if documentation is missing.

Another factor that is considered while selecting projects is that all required reports as stated in the interagency agreement and federally required reports (DAMIS, NTD, Certifications and Assurances etc.) are up to date.

Intercity Bus Transportation

The PRHTA annually use no more than 15% of its annual NUA apportionment for the support of intercity bus transportation. The PRHTA assesses that the statewide intercity needs are being met in coordination with affected Subrecipients, private and public transportation service providers and the PSC. Other process is that the PRHTA publishes a notice requesting comments from private and public transportation providers and the public on meeting intercity bus transportation needs. If no comments are received, the Governor then certifies that the intercity bus service needs are met and the PRHTA prepares a transfer of these funds to the regular apportionment of the NUA program.

Transfer of Funds

Although the transfer of funds between 5310, 5311 and 5307 Program is allowed, due to the demand for **Section 5310** funds the PRHTA's policy is not to transfer any funds between these Programs.

Funds transferred between NUA (**Section 5311**) and Urbanized Areas (Section 5307) are made after consultation with responsible local elected officials and publicly owned operators of mass transportation services in each area, to which the funding was originally apportioned. The Secretary of the DTPW may (as the Governor's representative) transfer funds without consultation within the last 90 days in which these funds are available for obligation.

The Secretary of the DTPW may (as the Governor's representative) transfer any portion of the state's Section 5310 apportionment to Section 5311 or to Section 5307 under 200,000 if the funds will remain unobligated at the beginning of the 90-day period, before the end of the Federal fiscal year.

VII. Coordination

The approved applications for Sections 5303/5304, 5307, 5310, 5311, 5324 and 5339 are included in the STIP after consultation with local officials. The PRHTA publishes notices regarding the availability of the draft STIP providing a 15-day comment period.

Coordination of the between the PRHTA and the municipalities, begins with a notification of the availability of funds and an invitation to participate in regional orientation meetings explaining the goals of the Program, which is published in a newspaper of major circulation. A letter is also distributed inviting eligible applicants to participate in orientation sessions as well as in training seminars offered by PRHTA program staff. Individual meetings are held with potential applicants to provide technical assistance in project planning and the proposal submittal process.

Coordination is also achieved through the proposal process in that applicants must describe their efforts to coordinate with public agencies and private transit and paratransit operators in the area. Applicants must document the methods used to notify private operators (e.g. correspondence, advertisements) and document the response of private operators. PRHTA evaluates the extent to which the applicants provided an opportunity for public and private operator involvement in the project during the evaluation and selection of projects for funding.

The PRHTA will encourage subrecipients of all these Sections, to coordinate the use of their vehicles to the extent feasible. At the project planning stage and, as part of its technical assistance provided to the prospective applicants, the PRHTA will discuss coordination strategies. At the application stage, each program will evaluate the extent of coordination activities as one of the criteria for project selection. In addition, as part of the application review process, the coordinators of the Sections 5303/5304, 5307, 5310, 5311, 5324 and 5339 programs will meet to discuss the vehicle petitions received to determine if and how applicant vehicles could be coordinated. As part of the project monitoring process, each Program Coordinator could discuss service implementation with subrecipients and provide technical assistance on strategies to coordinate vehicles.

VIII. Private Sector Participation

Regulations issued by FTA require the public to be involved in the transportation planning process and specifically require that private providers be consulted in developing transportation plans and programs in both urban and rural areas. Public involvement processes must be proactive and provide complete information, timely public notice, full public access to key decisions, and opportunities for early and continuing involvement throughout the transportation planning and programming process.

To ensure that all private provider and public transit operators are notified of the difference's FTA programs, PRHTA publish a Public Notice in one (1) of the main newspapers in Puerto Rico giving the opportunity to participate in regional meetings where the different programs of FTA are explained and application are distributed.

Also, to ensure that all private for-profit and public transit operators are notified of the Program 5310 applicant's intention to provide special services and that they are afforded an adequate opportunity to comment, a Public Notice is published in one (1) of the main newspapers in Puerto Rico describing the services that the applicant intends to offer to meet the special needs of senior and individuals with disabilities. The notice invites any interested private for-profit transit operator, within the service area, to comment on the proposed service by sending a written notice to the PRHTA and/or the local applicant within 15 days. In the event of conflict or complaint related to the development of new transportation services, the PRHTA will investigate, and give an opportunity for a public hearing to obtain the views of citizens on the proposed project to take whatever action is deemed necessary.

All applicants are required as part of the application process to submit a certification in which they assure that the proposed services will not in any way interfere with transportation services currently being provided by the public sector.

The transportation system in Puerto Rico, particularly in rural areas, is operated almost exclusively by private enterprise, that is, “públicos” and private bus lines. Public transportation providers supplement these privately operated systems, directly or by contract, in the SJUA. Accordingly, the PRHTA requires that each applicant, for FTA funds, certify in their proposal that they have afforded private transit operators a fair and timely opportunity to participate to the maximum extent feasible in the planning and provision of the proposed transportation services. In addition, they must provide evidence that efforts were made to identify and contact the private and public sectors in the planning and development of projects. This evidence includes, at least: notification of meetings (including a public hearing); a copy of meeting minutes and participant lists; and any other information describing their participation.

Subrecipients are responsible for establishing a local mechanism for resolving disputes in a fair and equitable manner and will be responsible for any conflicts or complaints at the local level. Any entity, which believes it has been unfairly treated at the local level, can request a meeting with the DTPW/PRHTA to discuss the issue.

IX. Compliances with Federal Requirements

The PRHTA enters a written IA with each subrecipient prior to expending funds on their local projects. It uses two standard agreements: (1) one for Capital Assistance Projects for Terminals and Shelters and (2) one for

Vehicle and Equipment Acquisition. These IA's define the scope of the project, funds allocated as well as Federal and State requirements. The PRHTA incorporates the terms of the Master Agreement between FTA and the PRHTA in its agreements, which state that the Subrecipient agrees to abide by all applicable clauses of the Master Agreement and acknowledges having received a copy of it. In addition to the IA, the PRHTA utilizes a variety of mechanisms to pass through Federal requirements to subrecipients and provide technical assistance.

The control and responsibility of the vehicles and/or equipment is with these Programs fund recipients. The recipients shall not sell, assign, encumber or in any way dispose of equipment or facilities without the prior written permission of the PRHTA. The recipient may not assign any portion of the work to be performed, or execute any contract, amendments or change orders thereto, or obligate itself in any manner with any third party with respect to its and responsibilities without the prior written approval of the PRHTA. The PRHTA makes a lien on all vehicles to assure that they cannot be sold or transferred until the end of their useful life.

Insurance

The recipient shall maintain collision and liability insurance (full cover) in an amount that will adequately protect the Program's vehicle and/or equipment throughout the period that it provides project services. The state requires that all public entities must also provide a minimum amount of public responsibility liability insurance with limits of \$300,000/\$50,000/\$100,000. The recipient agrees to hold the PRHTA harmless from any damage, which may result from the use of the vehicles or equipment acquired under these Programs and to this end, shall obtain Hold Harmless Insurance in favor of the PRHTA.

Each year the recipient submits to the PRHTA a copy of the policy renovation. Failure to provide documentation on policy coverage could result in legal action by the PRHTA for non-compliance with contract requirements.

X. Maintenance

PRHTA staff perform site visits to monitor assets, audit maintenance records and insurance coverage to protect the federal interest for the asset's useful life. Owners of capital assets funded by the FTA grant programs are required to maintain the vehicles, equipment, and property in good operating order or in working condition.

Maintenance Plan

Per [49 CFR 37.161-163](#) and [FTA Master Agreement](#), each Section 5307, 5310, 5311, 5324 & 5339 subrecipient agency is required to have a maintenance plan. Agencies describe their maintenance plan for the granted vehicles, facilities, and facility related equipment within their original program application. These items need to be included in the vehicle maintenance plan and facility maintenance plan:

- Goals and objectives of the maintenance program.
- Schedule for preventive maintenance.
- Maintenance procedures for wheelchair lifts and other accessibility features.

The plan should clearly identify the goals and objectives of a maintenance program and establish the means by which such goals and objective will be attained. In the maintenance plans, periodic reporting, maintenance record review, visual monitoring, and maintenance audits should also be addressed.

Language within the Standard Agreement specifically requires subrecipients to maintain equipment while it is in their possession. In addition, each subrecipient must have a maintenance plan to maintain ADA accessible features of equipment and facilities. Subrecipients must demonstrate compliance with this policy during the triennial on-site monitoring.

Vehicle and Equipment Monitoring

The following sub-sections describe the monitoring, and record keeping requirements related to the maintenance of equipment purchased with FTA grant funds.

Triennial Onsite Monitoring

Vehicles and equipment are monitored through analysis of the vehicle usage reports and triennial on-site monitoring. At least once every three years, staff conducts an on-site monitoring of all equipment purchased with FTA funds still under contract. Advanced arrangements are made with the agency to assure that equipment is available for monitoring. Computers, mobile radios, base stations, and all other items purchased with FTA funds are also monitored to verify equipment is being used for its intended purpose. A visual examination of each vehicle is made, and the vehicle odometer reading is recorded. Additionally, a review is made of the agency's vehicle reporting records, including the inspection reports and the ADA Service Provisions and any issues that may pertain to the agency's operation of equipment are discussed.

Record Keeping

The applicant is responsible for maintaining industry standard record keeping and accounting throughout the federal useful life of the vehicle and equipment. These records are subject to audit, according to the provisions of the grant programs.

Records for all FTA funded capital assets (facilities, vehicle and equipment) shall include, at a minimum, the following:

- Property description.
- Identification number (VIN, make, model, serial).
- Procurement/Acquisition related documents.
- Acquisition date.
- Cost.
- Percentage of federal participation in the cost.
- Standard Agreement.
- Location use and condition of property.
- Useful life disposition data, including the date of disposal.
- Sale price, or where applicable, the method used to determine its fair market value.
- Statement of who holds title to the equipment.

PRHTA staff will monitor these records as part of the triennial on-site monitoring. Information obtained during the physical inventory is collected and reports are generated to evaluate the performance of individual agencies

in comparison to their original service projections. This facilitates early identification and resolution of issues. For future planning purposes, information can also be generated on a statewide level, including equipment usage, types of trips, and clientele served.

XI. American with disabilities Act (ADA)

[Section 504 of the Rehabilitation Act of 1973](#), as amended by [29 U.S.C. 794](#), prohibits discrimination on the basis of handicap by recipients of federal financial assistance. The ADA, as amended by [42 U.S.C. 12101 et seq.](#), affords equal opportunity for employment, transportation, telecommunications, and places of public accommodation for people with disabilities (commuter bus services is exempt). PRHTA and subrecipients must also comply with [49 CFR Parts 27, 37, and 38](#) implementing the ADA and Section 504 in ensuring those requirements are met through these provisions:

- Prohibit discrimination against individuals with disabilities.
- Specify accessibility requirements for the design and construction of new transportation facilities.
- Require that vehicles acquired be accessible to and usable by individuals with disabilities, including individuals using wheelchairs (with limited exceptions for demand responsive systems providing equivalent service to individuals with disabilities) or a demonstration of inability to obtain an accessible vehicle despite good faith efforts to do so.
- Require governmental authorities, including a private non-profit entity “standing in the shoes” of the State as subrecipient operating fixed route transit must have complementary paratransit plans on file. Subrecipients of federal funds should ensure compliance in the areas of employment, public services,

public accommodations, telecommunications, and other provisions. Certification is accomplished annually through the funding application packages containing appropriate assurances.

All vehicles purchased with FTA funds are wheelchair accessible. All subrecipients and private nonprofit entities shall certify when signing the Standard Agreement that they will comply with [49 CFR Part 27](#) implementing the ADA. For those agencies purchasing vehicles directly, PRHTA reviews all bid specifications and procurement contracts to ensure that subrecipients specifically comply with Parts [37](#) and [38](#) of the ADA, Accessibility Standards.

PRHTA must also ensure that all vehicles acquired with FTA funds are equipped, maintained, and operated in accordance with 49 CFR Parts 27, 37, and 38 and that service provided does not discriminate against individuals with disabilities. All federally funded vehicles and newly constructed facilities, including joint use stops and depots for intercity bus transportation, must comply with ADA accessibility standards.

a. ADA Service Requirements and Service Options

The FTA regulation allows various transit service options including:

- Fixed Route Service with Separate ADA Complimentary Paratransit (for ADA eligible individuals);
- Route Deviation Demand Responsive that is open to the general which includes people with and without disabilities; and,
- ADA Complementary Paratransit that is provided on the same vehicle as the Fixed Route Service. Other service options can be found at 49 CFR Part 37. Subpart A, Section 37.3.

A fixed route service is a system in which the vehicle is operated along a prescribed route, with regular stops according to a fixed schedule. Public operators of fixed route services open to the general public are required to provide “complementary paratransit” to persons with disabilities that are comparable to individuals without disabilities who use the fixed route system if they do not deviate for persons with disabilities.

Demand response is a route deviation service that is not on a fixed route.

ADA Complementary Paratransit provided on the same vehicle as the fixed route service is a service that serves the public including ADA persons on the same fixed route vehicle but deviates only for those who are ADA paratransit eligible.

Specifics for each service option and requirements are described below. Public and private subrecipients providing either fixed-route or demand responsive deviations services must comply with the ADA service requirements. Specifics for each service requirement can be found at 49 CFR Part 37, Subpart G. For additional information on service options and route deviation service options, please see the Appendix of this document, Route Deviation Checklist.

b. Fixed Route Service with Separate ADA Complimentary Paratransit

Subrecipients including private nonprofit entities who receive FTA 5311 funds and who operate a Fixed Route service must provide separate ADA Complementary Paratransit service for persons who, because of disability, are unable to use the fixed route system. The complementary paratransit service provided must be comparable to fixed-route service provided to people without disabilities (49 CFR Part 37.121(a)).

Prior to the initiation of the fixed route service, subrecipients shall submit to PRHTA a Complementary Paratransit Plan and written documentation of compliance that address each of the service provisions contained in the plan (49 CFR 37.135). The specific requirements of the plan are outlined in 49 CFR 37.139. The ADA regulations

(49 CFR 37.131) include the following six service criteria which must be met by the ADA Complimentary Paratransit Service providers:

- Service Area,
- Comparable Response Time,
- Comparable Fares,
- Trip Purpose Restrictions (i.e. no trip priorities requirement),
- Hours and Days of Service and,
- Capacity Constraints

The requirement to provide complimentary paratransit does not apply to intercity bus, commuter bus, rail and university services. The subrecipient and private nonprofit entities that operate a fixed route transit service must describe how it meets the ADA Complimentary Paratransit requirement in the annual application to PRHTA for FTA funds.

c. Demand Response Route Deviation Service that is Open to the General Public
Subrecipients and private nonprofit entities who provide user-initiated deviations from fixed route as demand response services in lieu of ADA complementary service, such as deviated fixed-route or demand response services, must make the service accessible and available to the general public.

To be considered demand responsive, service provided must deviate for the general public, not just for persons with disabilities meeting paratransit eligibility criteria. If deviations are restricted to a particular group, the service

ceases to be a form of demand-response service for the general public and ADA complementary paratransit service is required.

d. ADA Complementary Paratransit Provided on the Same Vehicle as the Fixed Route Service

In limited circumstances, subrecipients and private nonprofit entities can provide both ADA Complementary Paratransit service on the same vehicle as the Fixed Route service. In this service option, the fixed route vehicle would deviate only for people with disabilities who have been determined to be ADA paratransit eligible as required in 49 CFR 37.123-37.125).

In this service scenario, service to such persons must be provided according to the same requirements for complimentary paratransit as stated in regulations (49 CFR 37.123-131(a-f) with regards to eligibility process and service criteria such as, service area, response time, fares, absence of trip purpose restrictions, hours and days of service and origin to destination service. The entities that provide this service option shall have policies and procedures in place to ensure that the paratransit service provided operates free from capacity constraints (for example, trip denials, untimely pickups) as specified in ADA regulations (49 CFR 37.131 (f)).

PRHTA shall conduct periodic reviews of fixed route and ADA complimentary paratransit services operated by subrecipients and private nonprofit entities including, monitoring entities' websites, policies and procedures, and conduct compliance site visits of all service options provided by these entities during project monitoring inspections to ensure compliance with ADA requirements and services provided are adequately communicated to the public.

The ADA requires of transportation providers a number of specific service provisions to be in place and operational. As part of the triennial on-site monitoring visit, PRHTA staff will require subrecipients to respond to a series of questions to monitor compliance with ADA-required service provisions including:

- Subrecipient ADA Paratransit Plan where applicable
- Complimentary Paratransit service operated by fixed route service providers
- Route deviation systems used in lieu of the ADA complimentary paratransit to ensure accessible vehicles used and that the service is available to the general public
- ADA Complementary Paratransit provided on the same vehicle as the fixed route service
- Maintenance of accessible features
- Procedures to ensure lift availability and operation
- Use of lifts and securement devices
- Vehicle identification mechanisms if vehicles for more than one route serve the same stop
- Use of service animals
- Use of accessibility features
- Announcements on vehicles of stops on fixed route and transfer points
- Accessible formats for public information and communications
- Lift and/or ramp deployment at designated stops
- Service for persons using respirators or portable oxygen (per Title 13)

- Adequate time for boarding and disembarking vehicles
- Priority seating locations for persons with disabilities and seniors
- Service provider drivers are proficient in using the ADA equipment in their vehicle
- Training

XII. Title VI Civil Rights

The PRHTA requires that all applicants for Program 5303/5304, 5307, 5310, 5311, 5324 and 5339 funds include the following assurances in their application: "That no person, on the grounds of race, color, religion, sex or national origin, age or any disability will be excluded from participation in, or denied to benefits of, or be subject to discrimination under any project program or activity funded in whole or in part by FTA". "The applicant shall not discriminate against any employee or applicant for employment because of race, color, religion, sex or national origin and that they will take affirmative action to ensure that applicants are employed and that employees are treated during employment, without regard to their race, color, religion, sex or national origin."

Each subrecipient shall make available to participants, beneficiaries, and other interested parties information regarding the recipient's Title VI Program. At a minimum, this includes the display of posters which summarize such requirements, e.g., Statement of Rights; Procedures for filing a complaint. In addition to the certifications that the recipients must provide, and the clause included in the agreement between the recipients and PRHTA, project staffs monitor compliance through project inspections which include a review of:

- a. Displayed information regarding recipients Title VI Program

- b. Recipients' procedures to file a complaint
- c. Equal Employment Opportunity, for example, displayed information of public policy
- d. Equal treatment to all clients and employees by reviewing any complaints made and informal conversations with clients.

a. Annual Title VI Certification and Assurance

Each subrecipient is required to have a signed “FTA Civil Rights Assurance” and a “DOT Title VI Assurance” on file. Copies of these assurances are forwarded to subrecipients for completion and signature.

b. Complaint Procedures

To comply with [49 CFR Section 21.9\(b\)](#), subrecipients shall develop procedures for investigating and tracking Title VI complaints filed against them and make their procedures for filing a complaint available to members of the public upon request. To reduce the administrative burden associated with this requirement, subrecipients may adopt the Title VI complaint investigation and tracking procedures developed by the recipient.

The State has not received any complaints regarding the distribution of FTA funds; however, if a discrimination complaint is received by the State, the complaint procedures described in [FTA Circular 4702.1B](#) will be used. Subrecipients are required to report complaints and lawsuits in their application for funding. During the subrecipient monitoring process, complaints and lawsuits are again reviewed.

c. Requirement to Record Title VI Investigations, Complaints, and Lawsuits

To comply with [49 CFR Section 21.9\(b\)](#), subrecipients shall prepare and maintain a list of any active investigations conducted by entities other than FTA, lawsuits, or complaints naming the recipient and/or subrecipient that allege discrimination on the basis of race, color, or national origin. This list shall include the date of the investigation, lawsuit, or complaint was filed; a summary of the allegation(s); the status of the investigation, lawsuit, or complaint; and actions taken by the recipient or subrecipient in response to the investigation, lawsuit, or complaint.

XIII. Procurement

All purchases utilizing federal funds, including the local procurement of supplies, equipment, construction, and services, shall be conducted in accordance with the Procurement Standards set forth in FTA's implementing regulations of 2 CFR Part 200 "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards," the Federal Office of Management and Budget (OMB) [Circular A-87](#) and [FTA Circular 4220.1F](#), "Third-Party Contracting Guidance" and FTA [Best Practices Procurement Manual](#) or any revision thereto.

Subrecipients must comply with the procurement requirements below:

- **Written Procurement Policies-** Subrecipients are required to have written procurement policies that are compliant with federal, state, and local procurement standards. may verify a subrecipient compliance on an as needed basis.
- **Written Record of Procurement History –** Subrecipients are required to maintain and make available records detailing the history of each procurement, which includes, the rationale for the method of procurement, the reason for the selection of the contract type, the reason for contractor selection or rejection, and the basis for the contract price.

- Independent Cost Estimate in conjunction with a Cost or Price Analysis – Subrecipients must perform an independent cost estimate (ICE) to assist with determining a competitive range for each procurement action. The ICE in conjunction with a cost or price analysis with every procurement action, including contract modifications such as exercising the option years and changing scope will form the basis of determining price reasonableness.
- Written Protest Procedures –Subrecipient solicitations must include written protest procedures and PRHTA must be named as a second level of review. Subrecipients must notify PRHTA when they receive a protest and provide consistent status updates.
- Essential Contract Elements –Subrecipient third-party contracts, subcontracts and contract modifications funded under the project award must contain essential elements including, but not limited to, the following: parties, price or rate of compensation, scope of work, contract timeline, contract termination and other legal considerations.

Procurement Process and Guidelines

PRHTA provides technical support and oversight to verify that all federal and State rules and regulations are unambiguously understood and followed by subrecipients. During the application process, applicants are required to submit certification of their agency’s written procurement policy to verify acknowledgement and compliance with federal procurement standards. Upon grant award subrecipients sign the Standard Agreement and Annual List of Certifications and Assurances with PRHTA which identifies the FTA requirements and certify their compliance. Subrecipients are required to submit local procurement related documents to PRHTA for review and approval, including, but not limited to, solicitation for bids or proposals, independent cost estimates, draft third party contract agreements, proposal and bid evaluations and analyses, proposed contract

awards, contract amendments, and change orders (construction projects only). As the direct recipient to FTA funds, PRHTA certifies that it complies with the requirements of 49 U.S.C. Chapter 53 and that subrecipients comply with all applicable federal laws, regulations, and directives, including 2 CFR Part 1201 and FTA Circular 4220.1F, unless FTA states anything differently in writing. PRHTA does not relinquish the responsibility of reviewing and approving all procurements to PRHTA subrecipients that may also be direct FTA recipients. PRHTA typically reviews and approves procurement requests within 20 business days from the time complete documents are submitted; however, review times may vary depending on the complexity of the procurement documents to be reviewed.

Full and Open Competition

Subrecipients must conduct procurement transactions in a manner providing full, fair and open competition. Subrecipients are prohibited from restricting competition in federally supported procurement transactions. Some situations that restrict competition include, but are not limited to, unreasonable qualifications requirements, excessive bonding, noncompetitive pricing practices between firms, and noncompetitive awards to firms on retainer, organizational conflicts of interest, geographic preference, exclusionary or discriminatory specifications, i.e., brand name only, or any arbitrary action in the procurement process. Typically, State procurement laws and procedures are more restrictive than federal requirements.

Subrecipients that name a “third-party,” such as a partner, vendor, contractor, service provider, non-profit organization, or *any* entity outside the subrecipient’s *direct* employment, in their funding application are not exempt from the federal requirement of conducting a full, fair, and open competitively awarded procurement. Subrecipients that name a third-party in their funding application are not guaranteed the State will approve a subrecipient’s award to the named third party without first demonstrating compliance with federal procurement

standards and receiving PRHTA approval. The State's award of a standard agreement to a subrecipient that named a third party in their funding application does not indicate the State's approval of the named third-party.

The State will issue a formal letter of determination for all subrecipient third party contracting activities.

Prohibition against Geographic Preferences

Subrecipients shall conduct procurements in a manner that prohibits the use of statutory or administratively imposed in-State or local geographical preferences in the evaluation of bids or proposals, except in those cases where applicable federal statutes expressly mandate or encourage geographic preference. This does not pre-empt State licensing laws. However, geographic location may be a selection criterion in procurements for architectural and engineering (A&E) services provided its application leaves an appropriate number of qualified firms, given the nature and size of the project, to compete for the contract. Procurement for A&E services will use the qualifications-based selection procedures (Brooks Act).

Awards to Only Responsible Contractors

FTA assisted contract awards shall be made only to "responsible" contractors possessing the ability, willingness and integrity to perform successfully under the terms and conditions of the contract. Responsibility is a procurement issue that is determined by the subrecipient after receiving bids or proposals and before making contract award. PRHTA and the FTA expect the prospective contractor to demonstrate affirmatively to the subrecipient that it qualifies as responsible and that its proposed subcontractor also qualifies as responsible.

Federally required clauses and requirements

Federally required clauses and requirements, as a rule, are required to be included in each third-party contract at every tier and in each subrecipient agreement at every tier. When clauses are required to flow down, the clauses and requirements flow down to all levels of the federal funding chain beginning with the subrecipient. Subrecipients shall use the State's FTA clauses except under special circumstances.

Inclusion of Federal Requirements when Receiving Federal Assistance

All subrecipient projects, except for projects undertaken without federal assistance, must include all federal requirements that would be included if the operating budget were fully federally funded and must comply with the Circular. FTA maintains that one dollar of federal assistance converts the operating funds of the transit property so that all such funds of the property therefore become subject to federal requirements. If receiving federal assistance, the requirements of the Circular apply, even if it is intended to apply all the federal assistance to pay salaries of direct hires and there is no intent to use that assistance in support of any procurement action.

Contract Period of Performance Limitation

49 USC § 5325(1) limits the procurement of rolling stock and replacement parts to no more than five years from the date of original contract. Although there is no limit on the term period for operating service contracts, subrecipients are expected to be cautious in establishing and extending their contract terms. Operating services contracts should be established no longer than minimally necessary to accomplish the purpose of the contract. All option periods must be evaluated, including the price, as part of the original award decision. Prior to exercising option periods: (1) a price or cost analysis must be conducted, and the option period price must be found to be fair and reasonable; and (2) the State must approve the contract extension.

Monitoring Procurements of Private Contractors and Subrecipients

In addition to complying with State and local law, subrecipients, transit management contractors, and depending on the structure of the contract, other contractors to which a State has contracted out a portion of its FTA funded operations, must comply with relevant FTA third-party contracting requirements when procuring goods and services with FTA assistance.

PRHTA is responsible for providing oversight and technical assistance so that all local procurement actions conducted by these organizations adhere to federal and state procurement standards. It is the responsibility of the subrecipient to verify that their third-party contractors adhere to state and federal requirements in conjunction with PRHTA federally funded third-party contracts.

Pre-award and Post-delivery Audits

As a condition of receiving FTA grant funds for the purchase of steel, iron, and rolling stock, subrecipients must certify compliance with Buy-America and the pre-award and post-delivery audit requirements. Procurements for vehicles, other than sedans or unmodified vans, must be audited in accordance with [49 CFR Part 663](#), “Pre-Award and Post-Delivery Audits of Rolling Stock Purchases.” By signing the Standard Agreement, all subrecipients certify that they will comply with Buy-America requirements and will conduct pre-award and post-delivery audits of rolling stock purchases. In addition, subrecipients sign and certify compliance with Rolling Stock Reviews on the Annual Certifications and Assurances. The process to be followed by each subrecipient can be found in the FTA handbook titled, “Conducting Pre-award and Post-delivery Audits for Rolling Stock Procurements.”

State Approval of All Third-Party Contracts

PRHTA will review and provide written determination for all third-party contracts, intergovernmental agreements, memorandums of understanding, change orders, option periods, or any agreement between the subrecipient and a third-party relating to the performance of the approved project in the Standard Agreement. The subrecipient agrees that it will not enter into any third-party agreement unless approved in writing by PRHTA. For 5310 projects, PRHTA will not submit a final purchase order for vehicles or equipment until the FTA has notified PRHTA that the grant has been fully funded and is available for disbursement.

Third-Party Contracting

[FTA Circular 4220.1F](#) sets forth federal guidelines for the solicitation, award and administration of third-party contracts. Compliance requires the inclusion of applicable federal clauses in all contracts between the subrecipient and their contractors. Federal clauses cannot be amended into existing third-party contracts. It is the responsibility of the subrecipient to monitor their contractors' activities and to verify compliance with third-party contracting requirements.

Written Procurement Procedures

PRHTA may verify applicant's compliance with the written procurement procedures requirement through a certification statement during the application process. If so, applicants must certify to having a board adopted, federally compliant, written procurement policy and procedures prior to execution of the standard agreement. As verification of compliance, PRHTA may ask applicants to submit their adopted written policy and procedures.

Awards Other Than Full and Open Competition

Procurements made by non-competitive award are restricted to criteria defined in C4220.1F, or revisions hereto. Non-competitive awards are not usual or customary and require significant documentation to be approved by PRHTA. Subrecipients are required to obtain prior PRHTA approval before awarding a non-competitive procurement. Non-competitive awards are approved by PRHTA on a case-by-case basis. Non-competitive procurements approvals are limited to a specific duration and may require on-going justification. Non-competitive awards that have not been approved by PRHTA prior to implementation may be denied federal funding support. Subrecipients must demonstrate why a non-competitive award is necessary and cannot be made through full and open competition. In addition, subrecipients must justify one or more of the following:

- Sole Source- Unique Capability: When competition is restricted because the good is only provided by a single vendor. This is typically applicable to goods.
- Sole Source- Single Bid or proposal: When a bid or proposal is advertised and fewer proposals are submitted than what may be reasonably expected for the good or service to be procured (competition adequacy), or when pricing for goods/services are directly solicited to a single vendor because the service is only provided by a single vendor. This is typically applicable to service providers.
- Unusual and Compelling Urgency: Used in situation where the subrecipient has such an unusual and urgent need for a good or service that the subrecipient would be seriously injured unless the solicitation is limited. This is also applicable in instances of a public exigency or emergency that will not permit a delay resulting from full and open competition.

Procurements by Purchase Order

Prior to issuing a purchase order, subrecipients must obtain approval from PRHTA. A legally binding contract is formed when the vendor or supplier accepts the purchase order from the subrecipient. Therefore, a purchase order is a third-party contract and must include all applicable federal clauses.

Protest Procedures

Subrecipients are responsible for resolving all contractual and administrative issues arising out of their third-party procurements. PRHTA expects each subrecipient conducting local procurements to have appropriate written protest procedures as part of their requirement to maintain or acquire adequate technical capacity to implement the project. The protest procedures should include the protester's ability to appeal to PRHTA once all subrecipient local administrative remedies have been offered and exhausted. PRHTA review of any protest will be limited to: 1) Violation of Federal law or regulation; or 2) Violation of Subrecipient's own protest procedures or failure to review a complaint or protest. The protest procedures should include the protester's ability to appeal to the FTA once all subrecipient local, and PRHTA administrative remedies have been offered and exhausted.

Piggybacking and Joint Procurements

Subrecipients shall contact PRHTA before purchasing from another agency's contract—a/k/a piggybacking—or making purchases through joint procurements. PRHTA reviews contracts and bids to verify federal compliance prior to authorizing an award of a third-party contract. PRHTA reviews purchasing documents, such as purchase orders, to verify federal and contract term compliance prior to authorizing purchase. Typically, subrecipients are not granted pre-award authority by PRHTA for the purchase of capital equipment. Subrecipients purchasing from unapproved or non-compliant third-party contracts, or subrecipients purchasing without prior authorization from PRHTA may be denied federal reimbursement.

Piggybacking

At the time of grant application, PRHTA may allow applicants to indicate the procurement method of obtaining assigned contractual rights from another agency's contract, a practice commonly referred to as piggybacking. The original contract must be found by PRHTA to be fully compliant with federal procurement rules and contain, among other things, appropriate assigning provisions. Subrecipients who obtain assigned contractual rights may exercise them after first determining the contract price remains fair and reasonable and receiving approval from PRHTA. To assist subrecipients, PRHTA provides a Piggybacking Worksheet, which outlines key questions for subrecipients to address prior to making a purchase from the original contract. Because purchasing through a piggyback can be a complex process, subrecipients shall contact PRHTA prior to procuring from another agency's contract. PRHTA, at the time of grant application, may limit the ability to make purchases through a piggyback procurement.

Joint Procurement

Agencies participating in a joint procurement have contractual rights to purchase from the awarded contract in lieu of being assigned options. As with all third-party contracts, PRHTA must authorize the joint procurement award of the third-party contract. Additionally, the purchasing documents (quote form, floorplan, etc.) must be authorized prior to purchase. Participating agencies' purchases may not make alterations to bid or proposal specification items unless the changes are approved in advance by PRHTA. Allowable specification changes typically include minor alterations such as: seating configuration, paint scheme, etc. Disallowable specification changes typically include major alterations such as: design, engine, transmission, air conditioning, etc.

State Contract

Agencies using a State contract to conduct local procurements using FTA funds administered by PRHTA must receive authorization from PRHTA prior to purchase. Purchasing documents (quote form, floorplan, etc.) must

also be authorized prior to purchase. Purchase requests shall not make alteration to bid specification items and may not include the addition of “unpublished” options.

Bus Testing

Each subrecipient Standard Agreement includes the required certification that all subrecipients will comply with the Federal Bus Testing Law ([49 CFR Part 665](#)) stating that “all new modified bus models must be tested at the FTA-sponsored test facility in Altoona, PA before FTA funds can be expended for their purchase.” For vehicles subject to bus testing, PRHTA requires the vendor provide a copy of the Altoona test report before bid award. When procurements are conducted by subrecipients, PRHTA requires that subrecipients certify that they will comply with bus testing regulations. Additionally, all bid specifications and contracts are reviewed by PRHTA staff to verify that bus testing requirements have been met and, specifically, that bus testing reports have been obtained.

Bus manufacturers are required to certify the following with the agency awarding the contract:

“The Contractor [Manufacturer] agrees to comply with 49 U.S.C. A 5323(c) and FTA's implementing regulation at 49 CFR Part 665 and shall perform the following:

1. A manufacturer of a new bus model or a bus produced with a major change in components or configuration shall provide a copy of the final test report to the recipient at a point in the procurement process specified by the recipient which will be prior to the recipient's final acceptance of the first vehicle.
2. A manufacturer who releases a report under paragraph 1 above shall provide notice to the operator of the testing facility that the report is available to the public.
3. If the manufacturer represents that the vehicle was previously tested, the vehicle being sold should have the identical configuration and major components as the vehicle in the test report, which must be

provided to the recipient prior to recipient's final acceptance of the first vehicle. If the configuration or components are not identical, the manufacturer shall provide a description of the change and the manufacturer's basis for concluding that it is not a major change requiring additional testing.

4. If the manufacturer represents that the vehicle is "grandfathered" (has been used in mass transit service in the United States before October 1, 1988 and is currently being produced without a major change in configuration or components), the manufacturer shall provide the name and address of the recipient of such a vehicle and the details of that vehicle's configuration and major components.”

XIV. Disadvantaged Business Enterprise (DBE)

Any project exceeding the threshold (receives more than \$250,000 in FTA funds of planning, operating or capital assistance) must submit contract award information to the PRHTA as part of its compliance with DBE program goals.

In order that a contractor or firm is considered a DBE, it must be certified as such by the PRHTA. This is accomplished by completing the document *“Uniform Certification Application”* and submitting it to the PRHTA’s Office of Civil Rights, which will review the application and render a determination. Only those firms certified annually by the PRHTA are counted towards the achievement of its DBE goal. The PRHTA produces an Annual DBE Directory which lists all firms and/or contractors certified as DBEs. DBE firms re-certify annually to the PRHTA DBE Coordinator. The PRHTA has a formal hearing process for DBE related complaints. If the issues cannot be resolved, the complaint is filed with the Civil Rights Office.

The PRHTA requires Subrecipients to include DBE requirements in Request for Proposal (RFP) documents and contracts. This is included as part of the Subrecipient contract review process made by the PRHTA to ensure that the DBE requirements are fulfilled.

Subrecipients are required to report on DBE activities towards achievement of **Annual DBE Goals** on a quarterly basis. Subrecipients awarding contracts during a quarter must submit DBE information to the PRHTA at the end of that quarter in order that it be incorporated in the PRHTA's DBE reports submitted to FHWA and FTA.

All Program subrecipients are required to adhere to the requirements of 49 CFR Part 23, as amended, "*Participation of Minority Business Enterprises in Department of Transportation Programs*". Program 5310 is included in the PRHTA Disadvantaged Business Enterprise (DBE) program covering all funds received from FTA.

Transit Vehicle Manufacturer (TVM) DBE Program

Procurements for rollingstock require that each transit vehicle manufacturer, as a condition of being authorized to bid or propose on FTA-assisted transit vehicle procurements, certify that it has complied with the DBE program requirements. Certification is verified by PRHTA through the procurement third party contracting oversight process.

Under the U.S. DOT DBE regulations, a transit vehicle manufacturer means any manufacturer whose primary business purpose is to build vehicles specifically for public mass transportation. Such vehicles include, but are not limited to, buses, rail cars, trolleys, ferries, and vehicles manufactured specifically for paratransit purposes. The definition includes producers of vehicles that receive post-production alterations or retrofitting to be used for

public transportation purposes. Businesses that manufacture vehicles solely for personal use and for sale "off the lot" are not considered transit vehicle manufacturers. ([49 CFR 26.49](#))

Further, to the extent that a vehicle remanufacturer is responding to a solicitation for new or remanufactured vehicles with a vehicle to which it has provided post-production alterations or retrofitting (e.g., replacing major components such as an engine to provide a "like new" vehicle), the vehicle remanufacturer is considered a transit vehicle manufacturer.

Only those transit vehicle manufacturers listed on FTA's eligible TVMs list, or that have submitted a goal methodology to FTA that has been approved or has not been disapproved, at the time of solicitation are eligible to bid.

A TVM's failure to implement the DBE program in the manner prescribed by 49 CFR Part 26 may result in removal from FTA's certified TVMs list and the inability to bid on future FTA-assisted vehicle procurements.

Subrecipient failure to comply with the TVM DBE provisions may result in formal enforcement action or appropriate sanctions as determined by PRHTA of the FTA.

XV. Satisfactory Continuing Control

Equipment and real property acquired, built, or improved with the assistance of FTA grant funds must remain under the control of PRHTA and/or the subrecipients who are responsible for verifying that the equipment and real property continue for use by transit services. This section describes the satisfactory continuing control provisions for real property and equipment.

Real Property

Subrecipients are responsible for the management and disposition of property acquired with FTA funds. Real property acquisition and relocation activity must be conducted in accordance with the requirements in Sections 305 and 210 in the [Uniform Relocation Assistance and Real Property Uniform Relocation Act of 1970](#), as amended (Uniform Act), and codified in [49 CFR Part 24](#). FTA guidance states, “The objective of the Uniform Act is that owners of real property to be acquired for federal and federally assisted projects be treated fairly and consistently; that persons displaced be treated fairly, consistently and equitably; and that acquiring agencies implement the regulations in a manner that is efficient and cost effective.” Subrecipients may not incur costs prior to receiving approval from PRHTA.

Roles and Responsibilities

Subrecipient responsibilities include:

- Obtain appraisals and prepare initial environmental and other required documents prior to application submission.
- Prepare a physical inventory every two years.

PRHTA responsibilities include:

- Reviews submittals for accuracy and conformance to policy.
- Monitor subrecipients’ management and disposition of property.
- Perform on-site inspection of property.
- Provide policy guidance and direction.

Appraisal

Real property must be acquired at its current fair market value. Fair market value will be established based on a recent, independently prepared appraisal by a certified appraiser. An additional appraisal may be made if the subrecipient finds the valuation problem complex and deems a second appraisal to be appropriate. Subrecipients shall instruct appraisers to disregard any decrease or increase in the fair market value of the real property caused by the likelihood that the particular property is to be acquired for the project.

One appraisal and a reviewer's analysis are required when the estimated property value is \$250,000 or less. Two appraisals and a reviewer's analysis are required when the estimated property value exceeds \$250,000, or when an estimated property value in excess of \$250,000 must be resolved through eminent domain proceedings or if a property is to be condemned. FTA must review and concur in appraisals and review appraisals for acquisitions over \$500,000 or in-kind contributions of any value before federal funds are expended, or the value is used as local match. Instead of using its power of eminent domain, when a property cannot be purchased at appraised value, a subrecipient may propose acquisition through negotiated settlement. The subrecipient must document that reasonable efforts to purchase it at the appraised amount have failed and prepare written justification supporting why the settlement is reasonably prudent and in the interest of the public. When the settlement exceeds the offer by \$10,000, a litigation attorney must provide a written assessment of proposed settlement risks over the risks of proceeding in court. Prior FTA concurrence is required when a settlement of \$50,000 or more and must be further negotiated.

FTA has identified exceptions to obtaining a full appraisal. Full appraisal and/or negotiation procedures are not necessary in certain instances. PRHTA should be contacted for further guidance when any of the following conditions apply:

- The owner is donating the property.
- The subrecipient does not have authority to acquire property by eminent domain.
- The property qualifies as a voluntary acquisition as defined in [49 CFR 24.101\(a\)](#); or
- The valuation problem is uncomplicated, and the fair market value is estimated at \$2,500 or less, based on available data.

Unless one or more of the exceptions above applies, the project application that includes real property acquisition is considered incomplete without an appraisal. (Additional guidance can be found in [FTA Circular 5010.1D](#), Chapter IV.)

Assurances, Evaluation and Compliance

Real property must be acquired, managed, and used in accordance with the Uniform Relocation Assistance and Real Property Uniform Relocation Act of 1970 and 49 CFR Part 24, “Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally Assisted Programs”. Applicants applying for funds for property acquisition must submit the assurance for Real Property Acquisition and Relocation with the Section 5311 application process in order for the application to be considered complete. Federal funds cannot be used to purchase any property proposed as local matching share.

Negotiation

Federal land acquisition regulations require that appraisals, including an “offer of just compensation” (with supporting documentation) be prepared before entering into negotiations or executing a purchase agreement for the land. A subrecipient may initiate the negotiation process prior to grant approval. However, no reimbursement will be made for costs incurred prior to execution of the Standard Agreement. It is, therefore, important for subrecipients to await notification that the Standard Agreement is fully executed before entering into the purchase agreement. The purchase agreement is normally executed at or prior to the opening of escrow. Payments are made on a reimbursement basis upon presentation of proper invoices and supporting documentation. Grant funds will not be available for deposit in escrow. Subrecipients should, therefore, be prepared to finance land acquisitions initially with local funds.

Vehicles and Equipment

PRHTA staff works in partnership with eligible subrecipients to procure vehicles and equipment using PRHTA approved vehicle and equipment procurement contracts that provide purchasing options for ADA-accessible vehicles in compliance with the program requirements. Among the benefits of using State-approved contracts is assurance that all federal and state safety requirements, regulations and guidelines are met in accordance with FTA Master Agreement.

Contracted Useful Life (see Table 2: Vehicles Eligible for 5310 Grant Funding, Section 3.1.5)

The contracted useful life standard is specified in the Standard Agreement. Subrecipients are required to maintain all Section 5307, 5310, 5311 & 5339 funded vehicles, per manufacturers suggested requirements until the

contracted useful life standard has been met. Contracted useful life for vehicles is defined in the scoring criteria as

Table 6: Contracted Useful Life

PRHTA Group Plan				
Asset-Rolling Stock	Fleet Size	FTA Default ULB	FY18 Base	FY19 Targets
Articulated Bus (AB)	2	14	0%	0%
Bus (BU)	184	14	9%	10%
Cutaway bus (CU)	100	10	6%	6%
Minibus (MB)	33	10	27%	14%
Minivan (MV)	2	8	0%	0%
Trolleybus (TB)	16	13	44%	44%
Van (Van)	80	8	39%	27%
Automobile (AO)	25	8	0%	0%
Asset-Equipment				
Automobile (AO)	40	8	53%	53%
Truck and other rubber vehicles	20	14	45%	45%
Maritime Transit Authority				
Asset-Rolling Stock				
Ferryboat (FB)	14	41	0%	0%
ATI-TU				
Asset-Rolling Stock	Fleet Size	FTA Default ULB	FY18 Base	FY19 Targets
Heavy Rail Passenger Car (HR)	74	31	0%	0%
Asset-Equipment				
Automobile (AO)	32	8	28%	34%
Trucks and other rubber vehicles	14	14	64%	56%
Asset-Facilities	Facilities	TERM Scale (below 3)	FY18 Base	FY19 Targets
Passenger/Parking	16	3	0%	0%
Administrative/Maintenance	2	3	0%	0%
Asset-Infrastructure	Track Segments	FY18 Base	FY19 Targets	
Rail Fixed Guideway-Performance Restriction	262	1.65%	5%	

These criteria are subject to review by PRHTA and a determination is based on the date the property (facility, vehicle, equipment) was put into active service, not based on the delivery date or the model year of the item. The useful life of mobile radios and other communication equipment attached to the vehicle will be equivalent to the useful life of the vehicle.

Like-Kind Replacement and Exchange

The Section 5310, 5311 and 5311(f) programs limit vehicle replacements to those within the same useful life category as shown in the “Useful Life” Section above and as described in FTA Circular 5010.1E.

Asset Management Systems

Federally funded vehicles, equipment or facilities must be used and maintained in accordance with the purpose and intent for which it was awarded under the FTA grant program whether the project or program continues to be supported by federal funds. The subrecipients must maintain control and accountability for all grant awards and property purchased with federal funds including procedures for asset management and adequate maintenance. Federally funded vehicles and equipment shall be operated and maintained in accordance with maintenance and inspection schedules provided by the manufacturer. No alterations may be made in its as-received condition without first receiving written approval from PRHTA. PRHTA will review all alteration requests on a case-by-case basis. Subrecipients must verify that resources are properly used and safeguarded and used solely for authorized purposes specified under the grant. In accordance with [49 CFR Part 18.32\(a\)](#) and [FTA C 5010.1E](#), PRHTA and subrecipients must maintain a current and complete Capital Asset Inventory including, but not limited, to the following

- Description of the asset.
- Identification number (year, make, model, serial, license, VIN).
- Funding source of property (grant program and Standard Agreement).
- Acquisition date.
- Warranty dates.
- Cost.
- Percentage of federal participation in the cost.
- Location of property.
- Use and condition of property.
- Useful life standard.
- Ownership and title.
 - o Disposition data, including the date of disposal and sale price, or, where applicable, method used to determine its fair market value.

Transit Asset Management Plans

The requirements for complying with the Transit Asset Management (TAM) rule are set forth in [49 CFR part 625](#).

TAM is a business model that prioritizes funding based on the condition of transit assets to achieve and maintain a State of Good Repair (SGR). It is a framework for transit agencies to monitor and manage public transportation assets, improve safety, increase reliability and performance, and establish performance measures to help keep transit systems operating efficiently and effectively.

FTA's Definition for "State of Good Repair" is: "The condition in which a capital asset is able to operate at a full level of performance". A capital asset is in a State of Good Repair when that asset:

1. Can perform its designed function,
2. Does not pose a known unacceptable safety risk
3. And, its lifecycle investments must have been met or recovered.

Any transit agency that receives federal financial assistance under 49 U.S.C. Chapter 53 and owns, operates, or manages transit capital assets used in the provision of public transportation is required to develop a TAM Plan. In Puerto Rico this does not include Section 5310 subrecipients because services provided in this program are not considered "público" transportation. Agencies are divided into two Tiers by the FTA to determine how sophisticated an agency's TAM Plan needs to be.

A tier one agency would have one of the following criteria: Operates rail; Greater than or equal to 101 vehicles across all fixed route modes; Or greater than or equal to 101 vehicles in one nonfixed route modes.

While a tier two agency would have one of the following criteria: a subrecipient of 5311 funds, be an American Indian Tribe; have less than or equal to 100 vehicles across all fixed route modes; Or have less than or equal to 100 vehicles in one non-fixed route mode.

TAM Plans must have the following components:

Tier One agencies must have the following components in their TAM Plans:

- An inventory of Capital Assets
- Condition Assessment
- Decision Support Tool

- Investment Prioritization
- TAM and State of Good Repair Policy
- Implementation Strategy
- A list of Key Annual Activities
- Identification of Resources
- Evaluation Plan

Tier Two agencies must have the following components in their TAM Plans:

- An inventory of Capital Assets
- Condition Assessment
- Decision Support Tool
- Investment Prioritization

Vehicle Certifications

The subrecipients are the registered owner of vehicles purchased with 5310, 5311, or 5339 funds. Successful subrecipients enter into a Standard Agreement which describes the program terms and conditions, and other requirements and regulations to comply with Department of Motor Vehicles (DMV). Subrecipients must comply with the requirements of the [Motor Carrier Safety Regulations](#). To protect the interest of the State and the federal government as described in section 9.1 above, the following language is included in the Standard Agreement:

“At all times, while the PROJECT vehicle and equipment is in the possession of the Contractor (grantee), the Contractor shall be the registered owner. The Contractor shall not transfer ownership of the PROJECT vehicle and equipment at any time while this contract is in effect. If the State must take possession of the vehicle and equipment, as a result of non-compliance with contract terms or by mutual agreement between

the State and the agency, the agency shall sign-off as registered owner upon the State taking possession of the equipment.”

Insurance Requirements

Insurance certificates are reviewed to verify that coverage meets the minimum requirements.

Detailed insurance requirements include:

- The minimum limits of liability may be increased by the State at any time upon thirty (30) days’ notice to the subrecipient.
- The subrecipient shall purchase collision and comprehensive (fire, theft, etc.) insurance for amounts equal to the actual cash value of each vehicle and any other equipment that is part of the project equipment, with deductibles acceptable to the State.
- The State, its officers, employees, and agents shall be named as additional insured.
- The State will not be responsible for any premiums or assessments on the policy.
- The subrecipient, and/or third-party subcontractor shall furnish to the State, before delivery of the project vehicle(s) to the subrecipient, a certificate of insurance issued by a company licensed to write such insurance in Puerto Rico.
- Prior to the annual insurance policy expiration date; the subrecipient shall furnish to the State a new certificate of insurance or other written evidence of insurance satisfactory to the State. At any time that such evidence of insurance has not been provided, the State shall have the right immediately to take possession of the project equipment and to enter the property of the subrecipient for this purpose.
- The subrecipient shall provide the State at least thirty (30) days’ notice of cancellation or material change of the vehicle insurance policy.

The following minimum insurance requirements apply to all subrecipients that are defined as a Public Agency, For-Profit, or Non-Profit entity:

Public Agency or For-Profit Entity

- Property Damage: The subrecipient shall place property damage, whether the property of one or more claimants, in an amount not less than one million five hundred thousand dollars (\$1,500,000) per occurrence (combined single limit) for property damage liability combined in respect to vehicles with seating capacity of fifteen (15) or less, or five million dollars (\$5,000,000) per occurrence for property damage liability combined in respect to vehicles with seating capacity of sixteen (16) or more.
- Bodily Injury: The subrecipient shall place bodily injury in an amount not less than one million five hundred thousand dollars (\$1,500,000) per occurrence (combined single limit) in respect to vehicles with seating capacity of fifteen (15) or less, or five million dollars (\$5,000,000) per occurrence for bodily injury in respect to vehicles with seating capacity of sixteen (16) or more.
- Vehicle Physical Damage: The subrecipient shall place Vehicle Physical Damage, including collision and comprehensive (fire, theft, etc.) insurance for amounts equal to the actual cash value of each vehicle and any other equipment with deductibles acceptable to the PRHTA.

Non-Profit Entity

- Property Damage: The subrecipient shall place property damage, whether the property of one or more claimants, in an amount not less than one million dollars (\$1,000,000) per occurrence (combined single limit) for property damage liability combined in respect to vehicles with seating capacity of fifteen (15) or less, or one million five hundred thousand dollars (\$1,500,000) per

occurrence for property damage liability combined in respect to vehicles with seating capacity of sixteen (16) or more.

- Bodily Injury: The subrecipient shall place bodily injury in an amount not less than one million dollars (\$1,000,000) per occurrence (combined single limit) in respect to vehicles with seating capacity of fifteen (15) or less, or one million five hundred thousand dollars (\$1,500,000) per occurrence for bodily injury in respect to vehicles with seating capacity of sixteen (16) or more.
- Vehicle Physical Damage: The subrecipient shall place Vehicle Physical Damage, including collision and comprehensive (fire, theft, etc.) insurance for amounts equal to the actual cash value of each vehicle and any other equipment with deductibles acceptable to PRHTA.

Use of Project Vehicles/Equipment and Property Management

Vehicles and equipment purchased with Section 5307, 5310, 5311, 5311(f), or 5339 funds must be used for the project described in the application. PRHTA verifies that these requirements are met through reporting and monitoring.

Control and responsibility for the operation of the vehicle(s) or other equipment must remain with the agency originally granted the equipment. Federal guidelines allow agencies to coordinate and assist in providing meal delivery services if these services do not conflict with the provision of transit services or result in a reduction of service to transit passengers. Other uses of the vehicle(s) or equipment are encouraged and permitted if such uses do not interfere with service to other seniors and individuals with disabilities and approved by PRHTA.

Transfer of Vehicles/Equipment

When there are vehicles/equipment that are within the useful life period and have been purchased with FTA funds they may be transferred to another subrecipient under certain circumstances such as:

- The vehicle/equipment is no longer needed by a subrecipient.
- The vehicle/equipment is not being used by the subrecipient as defined by contract terms or program rules;
and/or
- The subrecipient requests a transfer.

PRHTA determines the vehicle/equipment transfer. The subrecipient shall relinquish ownership as determined by PRHTA and shall forfeit receiving any compensation from the local match given at the time of purchase. Control and responsibility for the operation of the vehicles/equipment remains with the subrecipient until PRHTA authorizes a transfer. PRHTA will consider making this transfer after assessing the age, condition, and/or mileage of the vehicle/equipment. Priority in placing the vehicle/equipment will be based on the following criteria:

- Is the proposed subrecipient eligible within the same grant program?
- Will the proposed subrecipient take over service to the same clientele?
- Does the proposed subrecipient serve the same community?
- Is the proposed subrecipient within the same county or region?
- Is there a subrecipient elsewhere in the State in the same grant program?
- Is there a subrecipient in any FTA Grant Program administered by PRHTA?

In addition to using the above criteria, PRHTA will also evaluate potential transfer applicants' need for the vehicle/equipment. The transfer applicant will submit an abbreviated application containing the following information:

- Project Description and Justification for Funding Request (Replacement or Expansion).
- Proposed Service and Operating Plan (including map of service area).
- Existing Transportation Services (current fleet).
- Proposed Transportation Services.
 - Signed Certifications and Assurances.

PRHTA staff will review these applications and the agency demonstrating the greatest need will be awarded the vehicle/equipment. Once the selection is made, both the contributing and receiving agency must submit a board resolution identifying the reason for the transfer, vehicle identification (VIN), service impact or service need, and the remaining federal interest in the vehicle/equipment. The receiving agency is responsible for all body and mechanical repairs necessary to restore the vehicle/equipment to a state of good repair. The receiving agency will enter a contract with PRHTA to deliver the appropriate service and maintain the vehicle/equipment for the remaining duration of the useful life in accordance with the contract terms and conditions.

PRHTA must notify FTA of all vehicle transfers. Information reported to FTA include: transferor/transferee name, list of vehicles (year, make, model) date placed in service, date removed from service, grant number which originally funded the vehicle, mileage, remaining useful life, federal share of remaining useful life and the reason for transfer.

Disposition of Equipment

In accordance with [49 CFR Part 19](#), [FTA Master Agreement](#) Section 19, and [FTA C 5010.1E](#), PRHTA established standards for the disposition of federally funded assets (vehicles, facilities and equipment) when the asset has met its useful life and federal interest requirements are met. Under the Standard Agreement, subrecipients are required to notify PRHTA whenever program equipment is no longer needed or used for grant purposes.

Prior to the disposition of any FTA funded capital asset, the subrecipient must submit to PRHTA a report that identifies the capital equipment to be retired or disposed. The report will be used to verify that a vehicle has met the minimum contracted useful life and that there is no remaining Federal interest. The report must include the following information:

- Equipment Serial Identification Number or Vehicle Identification Number;
- Make and Model of the equipment.
- Date when equipment was placed into service.
- Current age and mileage of rolling stock.
- Established minimum useful life period (include miles for rolling stock).
 - Proposed date of removal from service.
 - Disposition outcome (sale, transfer, use as backup).
 - Current market value.
 - Proposed anticipated spare ratio.

Whenever any federally funded property is withdrawn from the service for any reason prior to meeting the contracted useful life, and at the direction of PRHTA the subrecipient shall be required do one of the following:

- Remit to the State, for repayment to the FTA, a proportional amount of the fair market value of the property, which shall be determined by the ratio of the federal grant funds paid under this Agreement to the actual purchase cost of the property. Fair market value shall be deemed to be the unamortized value of the remaining service life per unit, based on a straight-line depreciation of the original purchase price, or the federal share of the sales price.
- Relinquish the property to the State in the same condition as when received by the subrecipient except for reasonable wear and tear resulting from its use. The parties shall thereupon determine the amount of compensation, if any, to be paid by the subrecipient to the State in order to avoid any State liability to

FTA or to others. Upon subsequent disposal of the property, the State shall reimburse the subrecipient for its proportional amount of the property value received or identified by the State, if any.

- When federally funded property is lost or damaged by fire, casualty, or natural disaster, the fair market value shall be calculated based on the condition of the property immediately before the fire, casualty, or natural disaster, irrespective of the extent of insurance coverage. Based on the calculation, the proceeds shall be applied to the cost of replacing the damaged or destroyed property taken out of service.
- If any damage to property results from abuse or misuse occurring with the subrecipient's knowledge and consent, the subrecipient agrees to restore the property to its original condition or refund the value of the federal interest in that property to the State.

When any federally funded property is withdrawn from service after it has met its contracted useful life, and at the direction of PRHTA, the subrecipient shall be required to do one of the following:

- For federally funded property with fair market value greater than or equal to \$5,000. The subrecipient will remain the registered owner and the State remains the lien holder. Should the subrecipient choose to sell the property, the State must be notified in advance of the pending sale and provide in writing the terms of the sale and the intended use of the sale revenue. All sale revenue must be retained in the subrecipient's transportation program. Supporting documentation on the use of sale revenue must be provided to the State upon request.
- For federally funded property with Fair Market Value Less Than \$5,000. The Certificate of Title will be released to the subrecipient. The subrecipient will remain the registered owner. The vehicle may be retained or sold. All proceeds from the sale of the property must be retained in the subrecipient's transportation program. Supporting documentation on the use of sale revenue must be provided to the State upon request.

PRHTA will accept a current market appraisal or assessment from the dealer of purchase to determine the current market value.

5310 Disposition

The vehicle/equipment disposition requirements for the 5310 Program follow the FTA Circular 9070.1F, 06/06/2014: “States and their subrecipients should follow state laws and procedures for disposing of equipment. States are not required to return to FTA proceeds from the disposition of equipment, regardless of the fair market value at the time the equipment is sold but should follow their own procedures regarding the use of the proceeds, so long as the proceeds remain in use for public transportation purposes. This applies to all equipment currently in use that was purchased by states with Section 5310 funds.”

In conformance with the above circular section. The Section 5310 program will release vehicles/equipment to subrecipient agencies, when it has been determined that the agency’s vehicle/equipment has met the contracted useful life requirement. Upon release of the title to the agency, the agency must keep the vehicle/equipment or its sale proceeds in their public transportation program. The State has the discretion of determining when the vehicle or equipment has met contracted useful life based on either mileage and/or age.

Charter Bus

The Charter Bus requirements apply to subrecipients and their contractors that provide transportation service. Pursuant to 49 U.S.C. Section 5323(d), 5323(r), and 49 CFR Part 604, program funds may not be used to provide charter service if there is at least one private charter operator willing and able to provide the service, except under one of the exceptions listed at 49 CFR Part 604-Subpart B. By signing the Standard Agreement, subrecipients

certify that they understand the requirements of 49 CFR Part 604 apply to any charter service involving these programs' equipment and that any violation of these requirements may require corrective measures and the imposition of penalties, including debarment from the receipt of further federal assistance for transportation.

School Bus

The School Bus requirements apply to subrecipients and their contractors that provide transportation service. Program funds may not be expended for the purpose of providing school bus operations. In line with this federal requirement, subrecipients certify at the time of application submittal that they will comply with school bus requirements as stated in [49 U.S.C. Part 5323\(f\)](#) and [49 CFR Part 605](#). Additionally, once approved each subrecipient is required to sign, along with the Standard Agreement, a separate certification regarding school bus requirements. According to State law, all school bus services must be provided in yellow school buses. Since PRHTA does not fund the purchase of yellow school buses, this additionally verifies that subrecipients are not providing school bus services with federally funded vehicles.

Buy-America

PRHTA purchases vehicles, steel, iron and manufactured products used in grant projects through a consolidated procurement. Buy-America ([49 CFR Part 661](#)) provisions are included in the solicitation and Buy-America certifications are obtained from vendors. PRHTA completes required pre-award and post-delivery certifications including the reviews of Purchaser Requirements, [Federal Motor Vehicle Safety Standards](#) (FMVSS), and Buy-America requirements. PRHTA reviews all procurement documents to verify the inclusion of the Buy-America Certification in the solicitation package. PRHTA maintains copies of the Vehicle Certifications.

PRHTA obtains a component breakdown from vendors to ascertain the domestic content of product components and subcomponents, as required. In addition, a resident inspector is used by PRHTA to verify compliance with Buy America at the vehicle manufacturer's facility.

If a subrecipient chooses to procure vehicles locally, PRHTA performs pre-award reviews of the subrecipient vehicle contract and purchasing documents to verify compliance with Buy America provisions, and pre-award and post-delivery certification for Buy America, FMVSS, and Purchaser Requirements. Subrecipients must submit the post-delivery Buy America, FMVSS, and purchaser's requirements certifications to PRHTA to receive reimbursement.

Offerors submitting bids for a vehicle contract are required to submit Certification of Buy America Compliance which includes a listing of the major bus components and subcomponents. Offerors must provide information on the manufacturer, country of origin, and percentage of vehicle cost for each item on the list. In addition, offerors must provide a description of the actual location and activities of final assembly point and the cost of final assembly. To determine compliance, PRHTA calculates the percentage of domestic content from the information provided in the solicitation. For procurements over \$150,000.00, documents are reviewed for inclusion of Buy America requirement prior to award. Also, pre-award audit and solicitation analysis are submitted to PRHTA for approval prior to award. Subsequent to project delivery, subrecipients must complete a post-delivery audit and final inspection and submit the post-delivery forms as described in the Standard Agreement.

The FAST ACT increases domestic percentage content requirements for Buy America through incremental increases. By FY2020, the Buy America requirement for rolling stock will total 70 percent. The FAST Act also makes important changes to the waiver denial process, requiring FTA to certify the availability and quality of the domestic sources for the product in the denied waiver.

All subrecipients certify by signing the Standard Agreement that they will comply with Buy America requirements and will conduct pre-award and post-delivery audits of rolling stock purchases. The process to be followed by each subrecipient to meet the Buy America requirement can be found in the FTA handbook titled, “Conducting Pre-award and Post-delivery Audits for Rolling Stock Procurements.” PRHTA reviews all procurement documents to verify the inclusion of required certifications and documents.

Debarment and Suspension

Subrecipients must comply with the federal debarment and suspension provisions contained within the Standard Agreement. Prior to third-party contract award, PRHTA verifies through the federal [System for Award Management](#) (SAM) that the selected contractor has not been suspended or debarred. PRHTA also reviews all procurement documents to verify the inclusion of the debarment and suspension certification to be submitted with each bid. It is also the responsibility of the subrecipient to notify PRHTA if any of its principals are presently excluded or disqualified under these regulations.

Lobbying

Subrecipients certify compliance with the Federal Restrictions on Lobbying by signing their Standard Agreement with PRHTA. The specific restrictions on lobbying are itemized in the Standard Agreement. The certification regarding lobbying must be signed and submitted by vendors bidding on contracts and subcontracts of \$100,000 or more in a local procurement completed by a subrecipient. PRHTA verifies that this certification is included during its review of all local procurement bid packages prior to release of the bid solicitation by the subrecipient. This same document is included in the State procurement documents and must be signed and submitted by each vendor bidding on any State procurement of \$100,000 or more.

Drug and Alcohol Program

Subrecipients and subcontractors for the 5311 program must establish and implement an alcohol misuse and anti-drug program that complies with all applicable FTA requirements of [CFR 49 parts 655](#) and [40](#). According to the FTA, “Recipients or subrecipients that receive only Section 5310 assistance are not subject to FTA’s drug and alcohol testing rule for employees who hold Commercial Driver’s Licenses.” Subrecipients assure compliance by signing the Certification and Assurances in the Application and the 5311 Standard Agreement certifying that they have met these requirements. PRHTA will take appropriate action within 30 days of receiving notification of a conviction.

The Agency Monitoring Form includes reference to the Drug and Alcohol policy, drug testing, and reporting. Subrecipients must certify annually that they are in compliance with the U.S. DOT and FTA regulations concerning drug and alcohol testing ([CFR 49 parts 655](#) and [40](#)).

The Rural Transit Assistance Program (RTAP) provides compliance training to subrecipients on FTA’s Drug & Alcohol program, which includes assistance to subrecipients in the development of their Substance Abuse compliance policies and programs.

Drug-Free Workplace

PRHTA has a Drug-Free Workplace Policy that complies with all requirements of [49 CFR Part 32](#). The Standard Agreement requires that the subrecipient certify that it will provide a drug-free workplace and establish a policy prohibiting activities involving controlled substances in compliance with State law. This language must also be included in all bids and award documents that the subrecipient may enter. Each vendor bidding on equipment

being purchased locally by a subrecipient must submit a signed “Drug- Free Workplace Certification” that is distributed to all safety-sensitive employees and employee organizations. Each vendor bidding on any State procurement of equipment must also submit this certification.

The program and training informs employees about the dangers of drug abuse; available drug counseling, rehabilitation, and employee assistance programs; about penalties that may be imposed; and that employees are to be aware that the recipient operates a drug-free workplace. The policy includes “if convicted of a drug statute violation that occurred in the workplace, all employees are to report it to the employer in writing no later than five calendar days after such a conviction.” Employees must sign a form indicating receipt of the policy and are required to attend mandatory training. Managers and supervisors offer assistance to employees when needed. Adverse action will be enforced and could lead to termination of employment with recipients and subrecipients.

Equal Employment Opportunity

PRHTA has an Equal Employment Opportunity Program Manager responsible for preparing, monitoring and implementing the PRHTA Equal Employment Opportunity Plan. The Division of Audits and Investigations verifies that all discrimination complaints are thoroughly investigated in accordance with the Equal Employment Opportunity Plan. PRHTA verifies nondiscrimination for ADA-eligible persons in terms of employment through the Directors Policy on Equal Employment Opportunity. In addition, PRHTA provides reasonable accommodations for persons with disabilities, per the Deputy Directors policy on Reasonable Accommodation. Each subrecipient specifically certifies within the program application that it will not discriminate against any employee or applicant for employment. Additionally, by signing the Standard Agreement with PRHTA each subrecipient certifies that it will comply with all applicable federal equal employment opportunity requirements.

Safety and Security

FTA's authority in transit safety is set forth in 49 U.S.C. Section 5329 of the Federal Transit Law. This law states FTA may withhold further financial assistance from any subrecipient that fails to correct any condition that FTA believes "creates a serious hazard of death or injury". FCO will also exercise authority to remove vehicles and facilities from service if it is deemed that identified vehicles or facilities that present, or contribute, to an unsafe environment for employees and transit customers.

All subrecipients that only receive FTA Section 5310 and FTA Section 5311 do not need to develop a PTASP.

The Rule will have an impact on urban transit systems that are direct recipients of federal financial assistance under 49 U.S.C. 5307. FCO encourages all 5307 direct recipients to develop and certify their own PTASP.

Financial Systems

Subrecipients generally directly procure construction services and vehicles. However, the PRHTA has the option of procuring vehicles for subrecipients when it deems convenient and in the best interest of subrecipients. For example, paratransit vehicles were procured for Section 5310, 5311, 5316, 5317 and 5339 subrecipients. In this case, subrecipients pay the 20% match to the PRHTA prior to delivery of said vehicle. A lien is placed on the title of these vehicles until the end of their useful life at which time the PRHTA transfers title to the subrecipient.

Invoices are submitted to the Program Manager who reviews payment requests to ensure that adequate supporting documentation is attached and that the charges are within the approved scope and budget of the project. The Staff of the FCO review the request and approve payment. Then, sends the payment request to the Finance Area.

The Fiscal Section FTA programs verifies that the costs are allowable and within the approved budget and requests the drawdown from FTA. The Government Development Bank receives the Federal funds and electronically transfers the money to the PRHTA General Funds account. The Fiscal Section FTA Programs sends a payment voucher to the Treasurer's Office to remit payment to the vendor or subrecipient. To ensure that these Sections funds are disbursed within 3 days of receipt from the Federal Government, the Treasury Office will prepare the reimbursement check a few days before requesting the FTA drawdown. Once the funds are received and deposited, the check will be immediately released for payment to the subrecipient or vendor.

The FCO staff and Fiscal Section FTA Programs charge direct staff time and travel expenses to the NUA or NF/JACR program. Staff prepares timesheets allocating time by project number (grant number). The Fiscal Section FTA Programs prepares the drawdown request and payment voucher based upon the timesheets.

The PRHTA ensures that Subrecipients have the fiscal capability to carry out the programs and receive and disburse Federal funds. Applicants are required to include an assurance stating that they have the capability to manage the project as part of the application process. **Subrecipients (local governments) must submit a Resolution from their Municipal Assembly certifying the availability of the local share.** The Subrecipient's financial management system must account for every federal dollar received and show where it went and for what it was used. The PRHTA reviews the system to assure that it:

- Is kept on a program year basis to facilitate audits and closeout.

- Is in accordance with acceptable accounting procedures.
- Maintains separate accounts for the project, either independently or within the existing account system.
- Has a system to segregate, accumulate and maintain allowable costs.
- Adequately documents and maintains files of all project costs.
- Can generate financial status reports.

The PRHTA reviews the documentation, including payroll, invoices paid, reimbursements received, cancelled checks, contracts, and vouchers during the project inspection visits.

Single Audits

All Subrecipients, who receive over \$300,000 in any given Fiscal Year in Federal funds, must submit a single audit report to the PRHTA Finance Area. **On or about September 1 of each year, the FCO Staff writes to each applicable Subrecipient informing them that they must prepare and submit their report to the PRHTA no later than December 31.** Once it is received, the Finance Area reviews the report and works with the Subrecipients to resolve findings.

Project Closeout

Subrecipients' projects are closed out within 90 days after its completion date. This is the process by which the PRHTA determines:

- That all work proposed under the project is finished and accepted by the PRHTA.

- Those final inspections were carried out.
- That all administrative work has been completed.
- That all reports have been submitted and accepted by the PRHTA.
- That all Federal cost shares have been adjusted.
- That all cash transactions between the PRHTA and Subrecipient have been settled.

The procedures used for closing out a grant include the submission of a final financial status report, summarizing project expenses together with the single audit report (if applicable). Once the project has been completed, the Subrecipient will submit to the PRHTA an annual certification that the facilities or equipment acquired with Federal funds are being used for the purposes for which the grant was approved.

APPENDICES



National Transit Database 2020 Policy Manual

FULL REPORTING

The contents of this document do not have the force and effect of law and are not meant to bind the public in any way. This document is intended only to provide clarity to the public regarding existing requirements under the law or agency policies. Grantees and subgrantees should refer to FTA's statutes and regulations for applicable requirements.

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ACRONYMS AND ABBREVIATIONS

ADA	Americans with Disabilities Act
AIM	Asset Inventory Module
APC	Automatic Passenger Counter
AVL	Automatic Vehicle Locator
BTU	British Thermal Unit
CBIP	Coordinated Border Infrastructure Program
CEO	Chief Executive Officer
CFR	Code of Federal Regulations
Chapter 53	49 U.S.C. Chapter 53, Public Transportation
CMAQ	Congestion Mitigation and Air Quality Improvement Program
DO	Directly Operated
DOT	Department of Transportation
DRM	Directional Route Miles
FARE	Uniform Financial Accounting and Reporting Elements
FASB	Financial Accounting Standards Board
FAST Act	Fixing America's Surface Transportation Act
FFA	Federal Funding Allocation
FFY	Federal Fiscal Year
FG	Fixed Guideway
FHWA	Federal Highway Administration
FLHP	Federal Lands Highways Program
FTA	Federal Transit Administration
FY	Fiscal Year
FYE	Fiscal Year End
GAAP	Generally Accepted Accounting Principles
GASB	Governmental Accounting Standards Board
HIB	High Intensity Busway

HO/T	High Occupancy Toll
HOV	High Occupancy Vehicle
HVAC	Heating, Ventilation, and Air Conditioning
IAS-FD	Independent Auditor Statement for Financial Data
IAS-FFA	Independent Auditor Statement for Federal Funding Allocation Data
JARC	Job Access/Reverse Commute
LOS	Level of Service
MAP-21	Moving Ahead for Progress in the 21st Century Act
MOU	Memorandum of Understanding
MPO	Metropolitan Planning Organization
MR	Monthly Ridership
NFG	Non-Fixed Guideway
NHS	National Highway System
NTD	National Transit Database
OE	Operating Expense
OMB	Office of Management and Budget
PMT	Passenger Miles Traveled
PT	Purchased Transportation — General
RGPT	Rural General Public Transit
ROW	Right-of-Way
STIC	Small Transit Intensive Cities
STP	Surface Transportation Program
TAM	Transit Asset Management
TCSP	Transportation, Community, and System Preservation Program
TERM	Transit Economic Requirements Model
TOS	Types of Service
TN	Purchased Transportation – Transportation Network Company
TTP	Tribal Transit Program
TX	Purchased Transportation – Taxi

U.S.C.	United States Code
ULB	Useful Life Benchmark
UMTA	Urban Mass Transportation Administration
UPT	Unlinked Passenger Trips
USOA	Uniform System of Accounts
UZA	Urbanized Area
VAMS	Vehicles Available in Maximum Service
VIN	Vehicle Identification Number
VOMS	Vehicles Operated in Maximum Service
VRH	Vehicle Revenue Hours
VRM	Vehicle Revenue Miles

REPORT YEAR 2020 POLICY CHANGES AND REPORTING CLARIFICATIONS

Update Description	Update Type	Form(s) Affected	Found in Manual
New Types of Service – Taxi (TX) and Transportation Network Company (TN)	New Attribute (Type of Service)	Modal forms/fields	p. 35
CARES Act Fields	New Field	F-10, RR-20	p. 81
Service Consumed Sampling Requirement for 2020	Change	S-10, RR-20	p. 136

The FTA Office of Budget and Policy has produced a standalone reference document for 2020 Reporting that addresses frequently asked questions and common reporting issues surrounding the COVID-19 pandemic. This document, [Guide: NTD Reporting and COVID-19](#), can be found on the program website. Please consult this guide for reporting instructions on unique reporting scenarios.

INTRODUCTION

The National Transit Database

An overview of the National Transit Database history, legislative basis, and purpose

Standardized Reporting Requirements

A summary of uniform reporting requirements, rules, and regulations

Reporter Types

An overview of reporter types for FTA funding recipients and beneficiaries

Transit Agency Profile Requirements

An explanation of transit agency identifying information, modes and types of services, reporter users, reportable segments, and segment requests

The National Transit Database

History

In 1964, President Lyndon B. Johnson signed the Urban Mass Transit Act into law, creating the Urban Mass Transportation Administration (UMTA). During the next ten years, UMTA provided capital assistance to public agencies to replace overage transit assets and to purchase the assets of failing private transit companies.

In 1974, Congress established the National Transit Database (NTD) program to collect financial, operating, and asset information on transit agencies. Congress based the NTD program on the Uniform Financial Accounting and Reporting Elements (FARE), a project initiated by the transit industry and funded by the UMTA. The NTD has become the Nation's primary source of information on transit agencies.

Since the early 1980s, Congress has apportioned billions of dollars in funding annually using data reported to the NTD. In 1991, UMTA was renamed the Federal Transit Administration (FTA).

Legislative Requirement

Congress requires agencies to report to the NTD if they receive or benefit from Urbanized Area Formula Grants (§5307) or Formula Grants for Rural Areas (§5311). In addition, all recipients and subrecipients of Chapter 53 funds that own, operate, or manage public transportation capital assets are required to develop and implement transit asset management (TAM) plans. Transit providers are required to set performance targets for their capital assets based on the state of good repair measures and report their targets, as well as information related to the condition of their capital assets, to the NTD. The FTA submits annual NTD reports that summarize transit service, asset, and safety data to Congress for review and use. The legislative requirement for the NTD can be found in Title 49 United States Code (U.S.C.) §5335(a):

Exhibit 1: 49 U.S.C. §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 shall maintain a reporting system, using uniform categories to accumulate public transportation financial, operating, and asset condition 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.
- (c) DATA REQUIRED TO BE REPORTED — The recipient of a grant under this chapter shall report to the Secretary, for inclusion in the National Transit Database, any information relating to a transit asset inventory or condition assessment conducted by the recipient.

NTD Data

Through the NTD, FTA collects annual financial, asset, and operating information from public transportation agencies across the country. In the Annual Report, agencies provide a summary of transit characteristics, including financial, operating, and asset statistics. Agencies that file as Full Reporters must also report monthly operating and safety statistics.

For more information on reporter types, please see the [“Introduction: Reporter Types”](#) section of this manual.

Public Transportation

Legislation establishes the NTD as a source of information on public transportation. The term “public transportation” (also referred to as “transit” or “mass transportation”) is defined by law at 49 U.S.C. §5302(14), as follows:

Exhibit 2: Public Transportation

- (A) means regular, continuing shared-ride surface transportation services that are open to the general public or open to a segment of the general public defined by age, disability, or low income; and
- (B) does not include —
- (i) intercity passenger rail transportation provided by the entity described in chapter 243¹ (or a successor to such entity);
 - (ii) intercity bus service;
 - (iii) charter bus service;
 - (iv) school bus service;
 - (v) sightseeing service;
 - (vi) courtesy shuttle service for patrons of one or more specific establishments; or
 - (vii) intra-terminal or intra-facility shuttle services.

Transit agencies report data for all public transportation services they provide, including complementary paratransit services required by the Americans with Disabilities Act (ADA) of 1990. ADA services must be shared-ride to be considered public transportation.

Transit must be open to the public and comply with the provisions of the ADA. The NTD excludes services that are only open to specific groups of people, except for segments of the general public defined by age, disability, or low income.

The FTA does not consider the following services public transportation:

- A bus system sponsored by a university that is only open to students, faculty, and staff of the university and not the general public;
- A program sponsored by an employer that provides services for only its employees and not for the general public;
- An Automated Guideway system in an airport that only provides service to customers of the airport (e.g., a terminal to terminal tram);
- A charter service. In accordance with FTA Charter Rule, agencies cannot report any service reported to FTA charter registration website as public transportation;

¹ Chapter 243 describes the National Railroad Passenger Corporation, operating under the business name Amtrak.

- A sightseeing service that an agency provides primarily for the enjoyment of sights and sounds during the ride or for enjoyment of the ride itself and that may include narration and round trips without disembarking the vehicle;
- Evacuation of people from a disaster area.

Intercity Service

Commuter Rail, Commuter Bus, and ferry services with maximum one-way trip times exceeding 90 minutes may be intercity service. Before beginning to report such a service to the NTD, the operator should conduct a survey to demonstrate that at least 50 percent of passengers make a return trip on the same day across all service runs for one year. FTA may also request this survey from services with characteristics that suggest the intent is not to serve passengers who make a return trip on the same day.

The service operator does not have to survey every passenger; it may conduct a sample survey. The survey must meet the following requirements:

1. The agency must conduct the survey over a 12-month period to account for seasonal variations in passenger behavior.
2. The agency must include the entire length of each route in the survey, including all times of day and all days of the year.
3. If sampling by passengers, each passenger for the entire year must be given an equal chance of selection. If sampling by vehicle operations, each vehicle operation for the entire year must be given an equal chance of selection, weighted by the anticipated passenger count on each vehicle. If any other strata are used in the sample design, each stratum must meet FTA's requirements.
4. For the purpose of calculating return trips, a passenger making a single round trip in a given day cannot be surveyed twice for inclusion in the final calculation. The calculation establishing whether 50 percent of riders make a same-day round trip must be calculated as:

Where

a = total unique passengers making same-day return trip

b = total unique passengers making an overnight trip,

the calculation is $a \div (a + b)$.

5. A person may be counted as making a same-day return trip if the person makes one leg of the trip by another means of transportation.

If the survey determines with at least 95 percent confidence that at least 50 percent of all passengers on a route made a return trip on the same day (or reported their intention to

do so), then FTA will permit the agency to report that route to the NTD as a commuter service. A qualified statistician must approve the survey methodology, the sample size, and the sampling methodology and certify that the results give the required level of confidence.

Services with 100 percent one-way trip times of 30 minutes or less do not require a survey to establish the service as commuter.

Agencies intending to report a service that may require a survey should contact their NTD analyst to discuss how they can meet the requirements in advance of reporting to NTD.

Employer Shuttles

Transit agencies must use the following criteria to establish employer shuttle eligibility:

- The shuttle service must meet the definition of public transportation as defined by the Fixing America's Surface Transportation (FAST) Act legislation.
- The transit agency must clearly identify that the shuttle service is open to the public (e.g., provide timetables or service summaries on the website or another public location).
- The transit agency must clearly indicate on its buses or route that the shuttle service is open to the public.
- At a minimum, the shuttle service must travel from one origin to one destination that can be used by the public (e.g., a single destination shuttle that travels to a locked employer campus or military compound is not feasibly open to the public).

Employer shuttles must meet all other NTD reporting requirements. For example, the buyer must pay the full cost of the service to report the service as purchased transportation.

Data Use and Funding

FTA uses NTD data to apportion funding to urbanized and rural areas in the United States. FTA apportions funds using NTD data from two years before the apportionment year (e.g., Fiscal Year (FY) 2020 data are used for the FTA FY 2022 apportionment). FTA has separate funding programs for transit agencies that operate in urbanized and rural areas. Agencies that operate in both urban and rural areas may receive or benefit from both funding programs.

To be eligible to receive funding from FTA, transit agencies must report to the NTD and follow the requirements listed in this manual. Exhibit 3 presents the total funds that transit agencies have spent during the past five years according to the original source of funds.

Most Federal funds, of which agencies expended more than \$59 billion from 2014-2018, come from FTA funding programs for urbanized and rural areas.

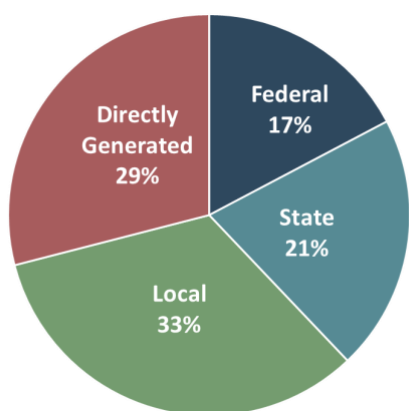


Exhibit 3: Funding Sources (2018)

Urbanized Area Funding

Section 5307, or the Urbanized Area Formula Grants, provides capital, operating, and planning assistance for public transportation operated in urbanized areas (UZAs). The FTA initiated this program under the Surface Transportation Assistance Act of 1982. Since 1984, §5307 has been the primary transit assistance program of FTA.

FTA apportions §5307 funding through a formula based in part on population and population density.

For UZAs with a population over 200,000, FTA also apportions funding based on other factors associated with transit operations, such as revenue miles, operating costs, and passenger miles.

For UZAs with a population under 200,000, Congress apportions 2.0 percent of §5307 funds according to the Small Transit Intensive Cities (STIC) formula. Under the STIC formula, FTA provides funds to the smaller UZAs that have an average level of service equivalent to or greater than the average level of service of larger UZAs with populations between 200,000 and 1,000,000.

FTA allocates STIC funding based on the following measures calculated primarily through NTD data:

- Passenger Miles Traveled per Vehicle Revenue Mile

- Passenger Miles Traveled per Vehicle Revenue Hour
- Vehicle Revenue Miles per capita
- Vehicle Revenue Hours per capita
- Passenger Miles Traveled per capita
- Passenger Trips per capita

For UZAs with a population over 200,000, FTA also uses NTD data to apportion funds for the State of Good Repair Grants Program (§5337) and Bus and Bus Facilities Formula Program (§5339).

If you have questions about FTA funding, please contact the FTA Regional Administrator assigned to your transit agency. The NTD is the FTA program for transit data; however, it does not handle the apportionment of Federal funds.

Rural Funding

Section 5311, or the Formula Grants for Rural Areas Program, provides capital, operating, and planning assistance for public transportation operated in rural areas. FTA classifies rural areas using the most recent decennial U.S. census to determine populations less than 50,000. The §5311 program is much smaller than the UAFP, with grant funds totaling approximately 9 percent of UAFP grant funds. Agencies must report funds expended from all §5311 grant programs, including funds from the 5311(b)(3) Rural Transportation Assistance Program (RTAP).

Section 5311 funding recipients (State Departments of Transportation [DOTs]) report on behalf of their subrecipients. The FTA considers Puerto Rico, American Samoa, Guam, and the Northern Mariana Islands as States for rural data collection and funding. State DOTs also file a Statewide Summary report to the NTD.

Funding by State

The FTA apportions §5311 funds to States by a statutory formula based on the latest available U.S. decennial census data and NTD data. FTA apportions 83.15 percent of funds in the statutory formula based on the non-urbanized population and land area of the States. The remaining 16.85 percent of the formula is based on States' non-urbanized Vehicle Revenue Miles (VRM), land area, and low-income population.

Tribal Transit Program

FTA dedicates a portion of the §5311 program funds to the Public Transportation on Indian Reservations Program, also known as the Tribal Transit Program (TTP), based on the following statutory tiers:

- Tier 1 (50 percent of TTP funding): VRM are used to allocate this funding among all Indian tribes.
- Tier 2 (25 percent of TTP funding): VRM are used to allocate this funding equally among tribes with at least 200,000 VRM.
- Tier 3 (25 percent of TTP funding): This funding is allocated to tribes that provide public transportation on reservations where more than 1,000 low-income individuals reside. No tribe can receive more than \$300,000 from this tier.

Failure to Report

The FTA may issue a Failure to Report if an agency:

- Fails to submit a report
- Submits a late report
- Submits an incomplete report
- Fails to respond to validation questions

If a transit agency receives a Failure to Report notice, FTA does not include its data in the apportionment of urbanized area and rural funding. However, FTA, at its discretion, may include any submitted data in publicly available NTD datasets.

The FTA may issue a Failure to Report notice for an urbanized area transit provider in connection with the Annual Report, Monthly Ridership, or Safety & Security reporting.

A report is late if the agency has not submitted it by the applicable due date. These due dates ensure there is time to review the submitted data before they are included in NTD publications and in the apportionment.

A report is incomplete if:

- It does not contain all required information;
- The agency did not collect and submit the data in conformance with the NTD requirements;

The report is not accompanied by the applicable Chief Executive Officer (CEO) Certification and Independent Auditor Statements (see “[Declarations and Requests: CEO Certification](#)” and “[Declarations and Requests: Auditor Statements](#)”); or

- The agency does not properly respond to validation questions.

When NTD validation analysts have questions about submitted data during the validation process, transit agencies may revise data to reflect accurate information. Revisions to

data require the concurrence of the CEO, and, in some cases, the concurrence of the independent auditor. If an agency does not revise questioned data, then the agency must provide sufficient documentation to the NTD to establish accuracy.

The FTA may issue a Failure to Report notice if an agency fails to respond to validation questions in a timely manner. For example, an agency may receive a Failure to Report notice if it does not fully allocate costs among all modes and types of service and does not provide a sufficient explanation.

When the FTA issues a Failure to Report notice, it notifies the CEO of the transit agency and the FTA Regional Administrator.

Inaccurate Data

Transit agencies are responsible for the data that they report to the NTD. If the data do not follow FTA prescribed procedures or seem unreasonable or inaccurate—or an agency cannot provide a reasonable response to explain data—the FTA may publish the data with a “questionable” notation.

In accordance with 49 U.S.C. 5335(b), FTA may delete a transit agency’s data if the agency does not adequately address validation issues within the specified time frame or if the data does not meet the NTD’s reporting requirements.

Agencies may find that they reported inaccurate data in previous years; however, agencies cannot adjust data after the FTA closes the report for the year.

Standardized Reporting Requirements

All agencies must conform to uniform reporting standards. This includes timely reporting, accurate data collection, and uniform accounting systems. The data in the NTD Annual Report must cover the agency’s 12-month fiscal year ending in 2020.

Reporting Due Dates

FTA determines each agency’s NTD report due date based on the agency’s fiscal year end date. Reporters submit their Annual Report four months after their fiscal year ends.

The NTD reporting system allows for reporting waivers for transit agencies that experience unusual or unforeseen circumstances. See the [“Declarations and Requests”](#) section for the types of requests available.

Agencies requesting a reporting ID must submit [ID requests](#) to NTD by the end of the first fiscal year in which they wish to report. For example, an agency whose fiscal year ends on June 30 must submit an ID request by June 30, 2020, to report to the NTD in 2020.

During the revision period, reporters work with NTD analysts to ensure that the data are accurate per NTD reporting requirements. The end of the revision period is called the report “Closeout.”

Exhibit 4: Annual Reporting Deadlines

Fiscal Year End Date	Waiver, Special Request, etc. Deadline	Annual Report Due Date	Last Date to Submit Report Revisions	Report Closeout Date
June 30	August 31	October 31	March 1	March 15
September 30	November 30	January 31	May 1	May 15
December 31	February 28	April 30	July 2	July 15

Monthly reports for full reporting agencies are due on the last day of the following month (e.g., January data are due February 28).

Exhibit 5: Monthly Report Due Dates

Month	Due Date
January	February 28
February	March 31
March	April 30
April	May 31
May	June 30
June	July 31
July	August 31
August	September 30

Month	Due Date
September	October 31
October	November 30
November	December 31
December	January 31

State DOTs may report subrecipient data according to a subrecipient’s fiscal year if the fiscal year covers a consecutive twelve-month period and ends no later than December 31 of the current NTD report year. In these cases, the subrecipients must be able to meet State and NTD reporting deadlines.

Exhibit 6: Subrecipient with Different Fiscal Year

Example: A State DOT files its NTD Annual Report with a fiscal year end date of December 31, 2020. One of its subrecipients collects and reports data to the State based on its own fiscal year, ending June 30, 2020.

Solution: Because the subrecipient fiscal year end is not after the State’s, the State may report subrecipient data according to the subrecipient’s fiscal year ending in 2020 for its 2020 annual report.

Data Validation

The NTD data validation process ensures that reporting requirements are met and that the reported data are reasonable. FTA assigns an NTD Validation Analyst to each agency to support the validation process and assist transit agency personnel in understanding reporting requirements and terminology.

Validation includes, but is not limited to:

- Time series checks against previous years’ data to identify data that have changed significantly.
- Logic checks between data items on different forms; and

- For the first year a data element is available (including for new modes and types of service): range checks for typical values found among transit agencies with similar operating characteristics.

NTD validation is an interactive, iterative process with two alternating phases: pre-submission and post-submission.

- **Pre-submission (“working data” stage) validation** — while reporting agencies enter data, the online reporting system executes an automated review of data prior to report submission. The report is ready to be submitted when there are no open validation issues without explanations from the agency. Since some issue checks evaluate elements across more than one form, NTD reporters should check for data issues flagged by validation after all forms are complete.
- **Post-submission (the “in review” stage) validation** — once the report is submitted, it undergoes further review by the assigned Validation Analyst.

Issue Classification

Issues are classified by issue type according to severity and action necessary to submit the NTD Annual Report:

- **Important issues** are raised when data do not fall within expected ranges or do not appear to conform to NTD definitions. Important issues can be addressed by revising the relevant data, or by writing a comment explaining why the data are correct; and
- **Critical issues** are raised when data are logically inconsistent and must be corrected.

FTA does not view the report as complete until all issues – important and critical – are addressed.

Financial Data Requirements

All transit agencies must use accrual accounting methods to report financial data. Additionally, transit accounting systems must follow or directly translate to the Uniform System of Accounts (USOA).

Accrual Accounting

The Generally Accepted Accounting Principles (GAAP) requires that all financial data in the NTD Annual Report follow accrual accounting principles:

- Agencies record revenues when they earn them, regardless of whether they actually receive the revenue in the same fiscal year; and
- Agencies record expenditures as soon as they owe an entity, regardless of if they pay the funds for the expenditure in the same fiscal year.

If a transit agency uses a cash-based accounting system, it must adjust its data to report on an accrual basis.

The following exhibit demonstrates the use of accrual accounting for an operating expense.

Exhibit 7: Accrual Accounting

Examples	Solutions
<p>Example 1: A transit agency employee works the last two weeks of the transit agency's Year 1 and earns \$1,500. However, the employee does not receive his pay until 10 days later in Year 2 when payroll issues a check. How does the agency report the \$1,500?</p>	<p>The agency reports the \$1,500 in the Year 1 Annual Report. Though the agency did not issue the paycheck during the Year 1 report year, the transit agency incurred the liability to pay the employee in the Year 1 report year.</p>
<p>Example 2: An agency purchases fixed route service from another agency. The contract states that the buyer (the agency) will reimburse the seller for the cost of operations. The seller operates service in Year 1 and sends an invoice to the buyer in Year 2. For which year should the agency report this expense?</p>	<p>The agency reports the expense in Year 1. It incurred the expense as soon as the seller operated service, regardless of when the financial transaction occurred.</p>

Generally Accepted Accounting Principles

NTD reporting requirements for financial data largely follow GAAP. FTA USOA is not a self-contained financial system that addresses every possible NTD transaction and situation. The NTD program is a system of accounts that complies with GAAP and Standards of Governmental Accounting and Financial Reporting. However, small differences do exist between the NTD and GAAP, specifically the accounting of costs for capital grant purchases.

If conflicts arise between GAAP and NTD reporting instructions and requirements, transit agencies must follow NTD rules. The rules for NTD accounting are as follows:

- Unique NTD requirements supersede GAAP: if a unique requirement exists for NTD purposes, follow the NTD.
- In the absence of unique NTD provisions to the contrary, follow GAAP.

Two organizations are responsible for determining GAAP:

- The Financial Accounting Standards Board (FASB) is responsible for general GAAP affecting all types of entities.
- The Governmental Accounting Standards Board (GASB) is affiliated with the FASB and specializes in government agencies in the United States. In the event of a conflict between the FASB and GASB pronouncements, the GASB rule prevails for governmental entities.

Both FASB and GASB pronouncements are available online on the [FASB](#) and [GASB websites](#). Most accounting firms will assist their clients in obtaining GAAP documents and applying GAAP requirements.

CEO Certifications

The CEO and an independent auditor—depending on the reporter type—must review and confirm that an accounting system complies with NTD requirements. The reporter types are defined in the “Reporter Types” section below.

Exhibit 8: CEO Certification and Independent Auditor Review Requirements

Reporter Type	CEO or Independent Auditor Approval
Full Reporter	CEO and Independent Auditor
Reduced Reporter	CEO and Independent Auditor (except for Tribes)
Separate Service	CEO and Independent Auditor
Build	N/A
Plan	N/A
State Department of Transportation	N/A

Reporter Type	CEO or Independent Auditor Approval
Rural (subrecipient)	N/A
Reduced Asset Reporter	N/A
Group Plan Sponsor Only	N/A

Service Data Requirements

Service data are an integral part of the NTD. Service data are operating statistics that provide insight into the effectiveness and productivity of a transit agency. All agencies must report accurate and truthful service data in a uniform manner.

The FTA mandates that almost all service data be collected and recorded daily so that the data are 100 percent accurate. For example, agencies must collect and record 100 percent of all miles and hours vehicles travel in revenue service. The FTA does not allow agencies to estimate these data.

However, the FTA recognizes that certain statistics are challenging to collect and can drastically increase the reporting burden for transit agencies. To assist reporters who would find conducting 100 percent count burdensome, transit agencies may estimate Unlinked Passenger Trips (UPT) and Passenger Miles Traveled (PMT) through sampling. The NTD program provides a sampling method and [sampling guidance](#) on the NTD website. Agencies also may use a custom sampling plan to collect these data. However, a qualified statistician must certify that the sampling procedure meets FTA requirements for statistical precision and accuracy.

General Data Formatting Rules

Data reported must adhere to the following rules:

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

The NTD incorporates these rules, formatting data automatically when you complete a cell entry.

Reporting Rules and Regulations

The FTA Uniform System of Accounts (USOA), 49 CFR Part 630 (National Transit Database), and 49 CFR Part 625 (Transit Asset Management) are essential to understanding the forms and instructions presented in this manual.

You can obtain these reference documents by visiting the NTD Program's [Federal Register Notices, Rules & Regulations web page](#).

Please consult the NTD Help Desk at 1-888-252-0936 for assistance.

Reporter Types

Beneficiaries and recipients of §5307 and §5311 funds must file an Annual Report. The database separates these recipients and beneficiaries into two reporting groups: urban reporters and rural reporters. Beginning in Report Year 2018, agencies that receive Chapter 53 funds and own, operate, or manage capital assets in public transportation are also required to file an annual report, even if they do not receive §5307 or §5311 funds. Agencies that do not receive or benefit from FTA funding may elect to submit their data to the NTD as Voluntary Reporters.

The FTA defines a Federal grant beneficiary as a transit agency that directly or indirectly benefits from Chapter 53. This includes grant money and grant-funded assets that agencies receive and use from pass-through funding, contracts, or purchased transportation agreements. For more information on contracts, please see the "[Purchased Transportation Types of Services](#)" section of this chapter.

Beneficiaries that only receive §5307 or §5311 funds for JARC projects, and do not provide any public transportation service, are exempt from NTD reporting.

Urban Reporters

Urban recipients and beneficiaries report data using urban reporter types. The nature of the transit agency determines how it reports to the NTD.

Exhibit 9: Urban Reporter Types

Reporter Types	Who Qualifies
Full	<ul style="list-style-type: none"> • Receives or benefits from §5307 funding • Operates either (1) more than 30 vehicles across all modes and types of service or (2) operates 30 vehicles or less across all modes and types of service and operates fixed guideway and/or high intensity busway
Reduced	<ul style="list-style-type: none"> • Receives or benefits from §5307 funding • Operates 30 vehicles or less across all modes and types of service and does not operate fixed guideway and/or high intensity busway
Separate Service	<ul style="list-style-type: none"> • Receives or benefits from §5307 funding • Does not directly operate service • Contracts out modes that are reported by another transit agency
Build	<ul style="list-style-type: none"> • Receives or benefits from §5307 funding • Does not directly operate or contract out service • Is building or rehabilitating transit infrastructure
Plan	<ul style="list-style-type: none"> • Receives or benefits from §5307 funding • Does not directly operate or contract out service • Spends §5307 funding on planning activities

Full Reporter requirements do not apply until the following fiscal year if a Reduced Reporter transit agency exceeds the 30 Vehicles Operated in Maximum Service (VOMS) threshold within a fiscal year. Full Reporters must provide the Annual Report, as well as Monthly Ridership (MR) and monthly Safety and Security reports. All other reporter types file on an annual basis only. You can find Monthly Ridership guidance in the [“Service Data Requirements: Monthly Ridership Reporting \(MR-20\)”](#) section. The *Safety and Security Policy Manual* is published annually on [FTA’s web page for NTD manuals](#).

Rural Reporters

Section 5311 Formula Grants for Rural Areas funding recipients (State DOTs) report on behalf of their subrecipients. In addition to providing individual reports for each subrecipient, State DOTs also file a Statewide Summary Report to the NTD. The FTA considers Puerto Rico, American Samoa, Guam, and the Northern Mariana Islands as States for NTD rural data collection and funding.

A subrecipient is a State or local government authority, nonprofit organization, or operator of rural public transportation or Intercity Bus service that receives §5311 funding through a State DOT. Subrecipients send NTD data to State DOTs on a quarterly, monthly, or annual basis, depending on the State's policy.

Tribes that receive or benefit from FTA Tribal Transit Program grants, a subsection of §5311 funding, report directly to the NTD. Tribes that receive §5311 funding from the State DOT also file a subrecipient summary form through the State DOT report.

Statewide Reporting Requirements for DOTs

State DOTs receiving §5311 funds may set aside up to 10 percent of their annual allocation for the purposes of administering the program. FTA collects basic statewide information on the Statewide Characteristics (RU-30) form.

§5311 Expended on Administration

States report the §5311 revenues they expended as a result of administering the program. Since the §5311 program operates on a reimbursement basis, revenues expended during the report year will be expended during the same year. Report the operating revenue expended during the report year from FTA §5311 Formula Grants for Rural Areas funds.

Number of Counties with §5311 Service

States report the total number of counties in the state that are currently served, in whole or in part, by Formula Grants for Rural Areas (§5311)-funded operators. States should include counties that are served by directly reporting Indian tribes in this total. A county is served if the subrecipient picks up or drops off passengers within its limits.

State DOT Reporting Structure

State DOTs submit data on the public transit operations of subrecipients to whom they award Federal program funds. There are four distinct subrecipient reporter types (see table below). State DOTs provide only a summary form for each urban transit provider or tribe receiving §5311 funds, given that these agencies already report directly to NTD.

Exhibit 10: State DOT and Subrecipient Reporter Types

Reporter Types	Subrecipient	Who Qualifies
State Department of Transportation	N/A	A State DOT that directly receives and distributes rural funding to rural subrecipients. It is responsible for all subrecipient data. The State DOT may elect to complete a report on behalf of the subrecipient or allow the subrecipient to complete its own report. The State DOT must submit the NTD report.
State Subrecipient	Rural General Public Transit Intercity Bus Urban/Tribal Recipient Reduced Asset	Operators of transportation that receive or benefit from §5311 funding, directly or through a State DOT. Each subrecipient files an Annual Report under its applicable DOT.

Rural General Public Transit

Most §5311 subrecipients are rural general public transit (RGPT) providers. They provide rural service and either receive or benefit from §5311 funding or report voluntarily.

Intercity Bus

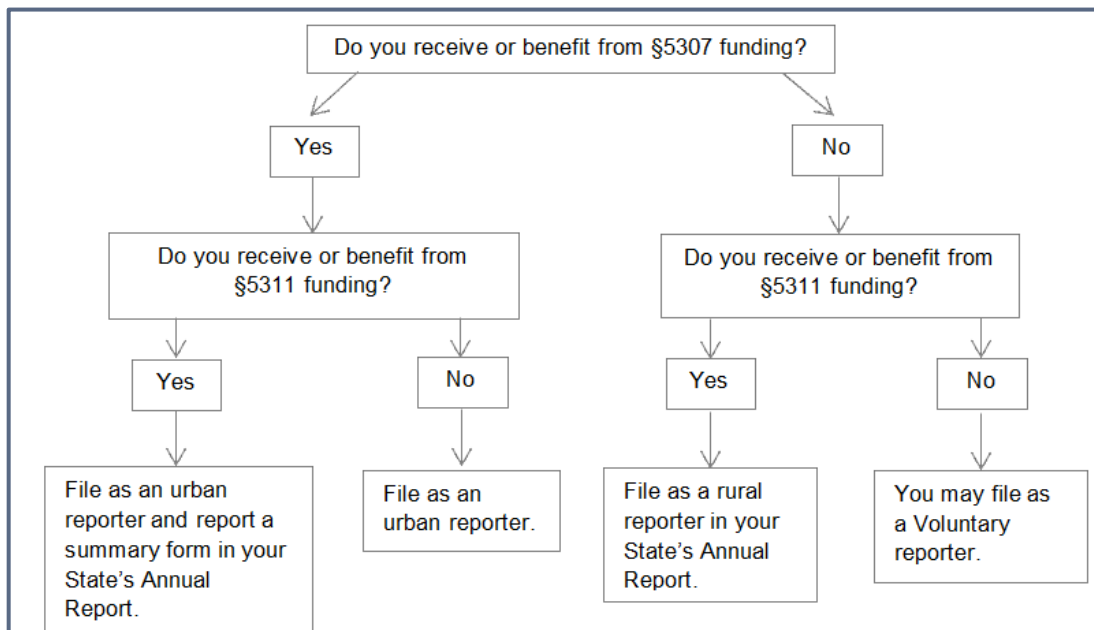
Under §5311(f), States must set aside 15 percent of §5311 apportionment for Intercity Bus providers, unless the State's governor certifies that Intercity Bus needs are already being met. States must provide an NTD report for each Intercity Bus provider that benefits from this funding set-aside, also referred to as §5311(f) funding.

The NTD report must include the operating and capital expenses from §5311(f) funding, as well as Vehicle Revenue Miles (VRM) and Unlinked Passenger Trips (UPT) for service funded, in whole or in part, by §5311(f). For example, if a route is partially funded by §5311(f), the State must report the total VRM and UPT for that route. Note that FTA does not include the VRM for the Intercity Bus subrecipient type in its §5311 apportionment formula.

Urban/Tribal Recipients

Transit agencies commonly provide service in a rural area as well as an UZA or Tribal Area as defined by the U.S. Census Bureau. In these situations, a transit provider may receive or benefit from multiple FTA formula programs. The exhibit below shows how a transit agency reports to the NTD when it uses both §5307 Urbanized Area Formula Grants and §5311 Formula Grants for Rural Areas:

Exhibit 11: Urban and Rural Recipients



Similarly, if an Indian tribe is both a direct recipient of §5311 TTP funds and §5311 funds through the State, the tribe must complete both the direct report to the NTD and an abbreviated summary to the State.

In both cases, the State submits the Urban/Tribal Subrecipient form to document all expenditures from §5311 for independently reporting subrecipients.

Reduced Asset

Please see [Exhibit 12](#) for more information on reduced asset reporter qualifications.

Indian Tribes and Alaska Native Villages

Federally recognized Indian tribes receive TTP grants from FTA as a set-aside of the §5311 program. Tribes that receive TTP funding must report directly to the NTD as Reduced Reporters.

FTA also encourages federally recognized tribes that operate public transportation but do not participate in the TTP to file a report to the NTD on a voluntary basis. By reporting voluntarily, Indian tribes qualify for inclusion in future TTP apportionments.

Note that transit agencies may report Indian Health Services (IHS) transportation programs only if the service provided meets the definition of public transportation. Self-Reporting Subrecipients

A State DOT may authorize an individual subrecipient to enter its data into the NTD online reporting system as a “self-reporting subrecipient”; however, State DOTs are ultimately responsible for submitting and ensuring the accuracy of the completed State report. Self-reporting subrecipients do not report as independent agencies—a State DOT must include all subrecipients in its report.

Transit Asset Management (TAM) Reporters

The TAM rule (49 CFR part 625) is a set of Federal regulations that outline minimum asset management practices for transit providers. Transit agencies that receive Chapter 53 funds and own capital assets that are used for public transportation services are required to report asset information to the NTD, *even if the agency does not manage or operate those assets*.

Some agencies affected by the rule are only required to report TAM-related data to NTD. Because the rule does not mandate reporting information about service area, FTA has established two unique reporter types for agencies outside of the Urban and Rural reporter types.

Agencies that only receive 5310(b)(1)(D) funding for alternatives to public transportation that assist seniors and persons with disabilities with transportation are exempt from the requirements of the TAM rule because assets funded under the program are not used to provide public transportation. These services are typically client-based or location-specific and do not meet the definition of public transportation.

The following reporter types must provide identification information and applicable asset condition assessment and performance data to the NTD.

Exhibit 12: TAM-Only Reporter Types

Reporter Types	Who Qualifies
Reduced Asset	<ul style="list-style-type: none"> • Receives or benefits from FTA funding (Chapter 53) other than §5307 or §5311 funding (e.g., §5310) AND • Owns, manages, or operates capital assets used in providing public transportation services.
Group Plan Sponsor	<ul style="list-style-type: none"> • Sponsors a TAM Group Plan. • Receives or benefits from FTA funding (Chapter 53) other than §5311 Formula Grants for Rural Areas.

Voluntary Reporters

FTA encourages all providers of public transit service to report to the NTD, as this allows for service data inclusion in future funding apportionments. Voluntary Reporters are transit agencies, public or private, that are not obligated by Federal statute to report to the NTD. These reporters must comply with all NTD reporting requirements under the NTD rule (49 CFR Part 630) and the USOA. Agencies that report voluntarily to the NTD are not subject to reporting requirements related to performance measure targets and condition assessments (49 CFR Part 625).

Please note that FTA may deactivate any Voluntary Reporter that does not file a report by the annual reporting deadline.

Continuing Grant Requirements

If a transit provider, local government, State, or Metropolitan Planning Organization (MPO) receives or benefits from §5307 or §5311 Federal funding, it must report to the NTD.

Reporting requirements begin the year after a transit agency applies for urban or rural funding or in the year the transit agency benefits from Federal funding, whichever is sooner. Transit agencies must report if §5307 or §5311 funding applications remain open. If a transit agency no longer receives urban or rural funding but previously purchased capital assets with the Federal funds, the agency must report through the useful life of the asset. Agencies also must continue reporting if they intend to apply for §5307 or §5311 in the future.

Exhibit 13: Continuing Grant Requirements

Example: A transit agency purchases a vehicle with funds from an Urbanized Area Formula Program (§5307) grant. The vehicle, a 40-foot bus, has a useful life of 12 years or 500,000 miles.

Solution: The transit agency reports under the NTD program throughout the useful life of the vehicle regardless of whether the transit agency receives Urbanized Area Formula Program (§5307) grant funds during a particular year of that period.

Transit Agency Profile Requirements

All transit agencies must report basic information through their agency profile. Profile data includes Agency Information, Modes and Types of Service, Agency Users, and Reportable Segments (not applicable for reduced reporters). This data is pre-filled from the prior report year but must be reviewed and updated at the beginning of each report year before the original submission of the annual report. Profile data is modified throughout the report year if updates are required.

Basic Information (Form P-10)

NTD ID

The FTA assigns each reporter a unique five-digit NTD Identification Number, which is to be used in all NTD reports and correspondence. The first digit of the NTD ID corresponds to the FTA Region where the reporter is located (e.g., 9##### indicates Region IX). If you do not have an NTD ID, please refer to the [“Reporting Due Dates”](#) section above.

Reporter Name

The agency name is the full legal name of the agency. If reporting is required under an FTA grant program, this must reflect the legal name of the funding recipient.

Doing Business As

An agency is said to be "doing business as" when the name under which they operate their business differs from its legal, registered name. For example, the legal name for an agency may be Anytown Transportation Authority, but the agency does business and is known to the public as The Ride. The Doing Business As name may be used in selected FTA publications.

Acronym

The agency's acronym may be used for marketing the transit service. This acronym may be used in selected FTA publications.

Address

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

DUNS Number

The Data Universal Numbering System (DUNS) is a system developed and regulated by Dun & Bradstreet (D&B) which assigns a unique nine-digit numeric identifier to a single business entity. All grant applicants for new or renewal awards on or after October 1, 2003 must have a DUNS number. State DOTs reporting on behalf of subrecipients should report the DUNS of the subrecipient, not the State.

FTA Recipient ID

The FTA recipient identification number is the four-digit number assigned to your agency for the FTA electronic grant making system – TrAMS (Transit Award Management System). If you have a question regarding this number, please contact your agency's grant manager or chief executive officer (CEO). Not all NTD reporting agencies will have a recipient identification number. Agencies that do not directly receive FTA funds themselves, but do receive them from another organization must report that organization's FTA Recipient ID. The FTA Recipient ID is not the same as your NTD ID.

Website URL

A universal resource locator (URL) is the address of the agency's website. Please include <http://> or <https://>. Agencies without a website should leave this field blank. If it exists, agencies must enter the URL for the transit website, not the city or county government home page or the agency's social media page.

Modes and Types of Service (Form P-20)

The FTA requires agencies to report most data by mode and type of service. Transit agencies must begin reporting modal information as soon as they have a commitment to build the mode (e.g., commitment date).

A variety of transit modes are operated in the United States. The NTD reporting system groups transit modes into two broad categories of rail and non-rail:

Exhibit 14: Rail and Non-Rail Modes

Rail	Non-Rail
Alaska Railroad (AR)	Aerial Tramway (TR)
Cable Car (CC)	Commuter Bus (CB)
Commuter Rail (CR)	Bus (MB)
Heavy Rail (HR)	Bus Rapid Transit (RB)
Hybrid Rail (YR)	Demand Response (DR)
Inclined Plane (IP)	Demand Response–Taxi (DT)
Light Rail (LR)	Ferryboat (FB)
Monorail/Automated Guideway (MG)	Jitney (JT)
Streetcar Rail (SR)	Público (PB)
	Trolleybus (TB)
	Vanpool (VP)

NTD Modes of Service

Aerial Tramway (TR)

Rail: No

Fixed Guideway: Yes

Aerial Tramway is a system of aerial cables with suspended vehicles. The vehicles are propelled by separate cables attached to the vehicle suspension system and powered by engines or motors at a central location not onboard the vehicle.



Alaska Railroad (AR)

Rail: Yes

Fixed Guideway: Yes

The Alaska Railroad is a public transportation system in Alaska that shares vehicles and facilities with freight rail operations.



Bus (MB)

Rail: No

Fixed Guideway: Possible

High Intensity Bus: Possible

A transit mode using rubber-tired passenger vehicles operating on fixed routes and schedules over roadways. Vehicles are powered by a motor and fuel or electricity stored on board the vehicle. Transit agencies must report any route-deviated or point-deviated service as MB.



Bus Rapid Transit (RB)

Rail: No

Fixed Guideway: Yes

High Intensity Bus: No

Bus Rapid Transit is a fixed-route bus system that

1. Operates over 50 percent of its route in a separated right-of-way (ROW) dedicated for transit use during peak periods;
2. Has defined stations that are accessible for persons with disabilities, offer shelter from the weather, and provide information on schedules and routes;
3. Uses active signal priority in separated guideway and either queue-jump lanes or active signal priority in non-separated guideway;
4. Offers short headway,² bidirectional service for at least a 14-hour span on weekdays and a 10-hour span on weekends; and
5. Applies a separate and consistent brand identity to stations and vehicles.



² Short-headway service on weekdays consists of maximum headways that are either

1. 15 minutes or less throughout the day, or
2. 10 minutes or less during peak periods and 20 minutes or less at all other times.

Short-headway service on weekends consists of maximum headways that are 30 minutes or less for at least 10 hours a day.

Cable Car (CC)

Rail: Yes

Fixed Guideway: Yes

Cable Car is a type of railway propelled by moving cables located beneath the street. While popular at the turn of the last century, currently the only operational system is in San Francisco.



Commuter Bus (CB)

Rail: No

Fixed Guideway: Possible

High Intensity Bus: Possible

Commuter Bus is local,³ fixed-route bus transportation that primarily connects outlying areas with a central city and operates predominantly in one direction during peak periods. It has limited stops in outlying areas, limited stops in the central city, and at least five miles of closed-door service.



Commuter Rail (CR)

Rail: Yes

Fixed Guideway: Yes

Commuter Rail is an electric- or diesel-propelled railway for urban passenger train service consisting of local travel which operates between a central city and outlying areas. Service must be operated on a regular basis by or under contract with a transit operator for transporting passengers within UZAs or between urbanized areas and outlying areas.



Commuter Rail is generally characterized by multi-trip tickets, specific station-to-station fares, railroad employment practices, relatively long distances between stops, and only 1 to 2 stations in the central business district.

Note: Intercity rail service is excluded from Commuter Rail except for the portion of service that is operated by or under contract with a public transit agency for predominantly local

³ Local transportation means that 50 percent or more of the passengers boarding at each key bus stop or rail station over the full route must make a same-day return trip; otherwise, the service is intercity service. A key stop/station is at the end of a line or a major transfer point or otherwise accounts for a substantial portion of the boardings.

commuter services (see footnote 3). Commuter Rail services provided by Amtrak are considered intercity rail.⁴

Demand Response (DR)

Rail: No

Fixed Guideway: No

A transit mode operating on roadways in response to requests from passengers or their agents to the transit operator, who groups rides together when possible and dispatches a vehicle to provide the rides. Vehicles do not operate over a fixed route or on a fixed schedule unless temporarily satisfying a special transit need. Many transit systems operate DR service to meet the requirements of the ADA.



Ferryboat (FB)

Rail: No

Fixed Guideway: Yes

This mode carries passengers over a body of water.



Heavy Rail (HR)

Rail: Yes

Fixed Guideway: Yes

An electric railway that operates service in exclusive right-of-way. The service is often provided by long trains of six to eight cars or more that travel relatively short distances between stops within a city and the immediate suburbs. The



⁴ "Provided by Amtrak" means any service that uses one or more of the following: Amtrak branding, Amtrak schedules, Amtrak tickets, Amtrak's customer loyalty program, or Amtrak's priority access to Class I railroads. Services provided pursuant to 49 U.S.C. 24702 are also considered to be provided by Amtrak, whereas services provided pursuant to 49 U.S.C. 24101(a)6 and 24104(f) are not. However, services that were reported to the NTD as of RY 2012, but which are excluded from the definition of Commuter Rail, may continue to report to the NTD, and their data will continue to be treated for purposes of the apportionment of, and eligibility for, FTA's formula grant programs.

Nation's traditional subway systems are classified as Heavy Rail.

Hybrid Rail (YR)

Rail: Yes

Fixed Guideway: Yes

Hybrid Rail systems primarily operate routes on the national system of railroads but do not operate with the characteristics of Commuter Rail. This service typically operates Light Rail-type vehicles as diesel multiple-unit trains (DMUs).



Inclined Plane (IP)

Rail: Yes

Fixed Guideway: Yes

Inclined Plane is a railway that operates on steep slopes and grades with vehicles powered by moving cables.



Jitney (JT)

Rail: No

Fixed Guideway: No

Jitney is a unique form of bus service on fixed routes where multiple companies share the operation of the service.



Light Rail (LR)

Rail: Yes

Fixed Guideway: Yes

Light Rail is an electric railway that operates in mixed traffic or intersects with roadways at grade crossings. The service is characterized by short trains of one to four passenger cars that travel relatively short distances between stops within a city and the immediate suburbs, low or high platform loading, and vehicle power drawn from an overhead electric line via a trolley or a pantograph.



Monorail/Automated Guideway (MG)

Rail: Yes

Fixed Guideway: Yes

Monorail/Automated Guideway is an electrically powered mode that operates in an exclusive guideway. The service is characterized by either Monorail systems with automated or human-operated vehicles straddling a single guideway or by people mover systems with automated operation over relatively short distances.



Público (PB)

Rail: No

Fixed Guideway: No

Públicos are comprised of passenger vans or small buses operating with fixed routes but no fixed schedules in Puerto Rico. Públicos (PB) are a privately owned and operated public transit service.



Streetcar Rail (SR)

Rail: Yes

Fixed Guideway: Yes

Streetcar Rail systems predominantly operate routes on streets in mixed traffic. This service typically operates with one- or two-car trains powered by overhead catenaries and has frequent stops.



Trolleybus (TB)

Rail: No

Fixed Guideway: Yes

High Intensity Bus: No

Trolleybus is a fixed-route service that uses manually steered, rubber-tired passenger vehicles powered by electric current from overhead wires using trolley poles. Rubber-tired replica trolleys or historic trolleys powered by an onboard motor are not included in this mode.



Vanpool (VP)

Rail: No

Fixed Guideway: No

Vanpool operates as a ride sharing arrangement, providing transportation to a pre-arranged group of individuals. To be considered public transportation, Vanpool programs must



- Use vehicles with a minimum seating capacity of seven people, including the driver;
- Use vehicles for which 80 percent of the yearly mileage come from commuting;
- Be open to the public (any vans that are restricted by rule to particular employers are not public transportation);
- Be actively engaged in advertising the Vanpool service to the public and in matching interested members of the public to vans with available seats; and
- Be publicly sponsored.⁵

Transit agencies adding Vanpool service to their NTD report must complete and submit to FTA a questionnaire. You can find the questionnaire in [Appendix D](#).

Bus and Commuter Bus Services

Some transit agencies operate both Bus (MB) and Commuter Bus (CB) services. Data for these two modes should be reported separately if the services meet the following two guidelines:

- **There is limited mixing of vehicles between modes.** When vehicles are shared, they are used primarily to respond to vehicle breakdowns.
- **Driver work assignments (runs) are created separately for each bus mode.** There is no “mixing” of work assignments: a driver will not operate a MB service part of a work day and a CB service during the remaining part of the day.

⁵ Publicly sponsored service is:

- Directly operated by a public entity;
- Operated by a public entity via a contract for purchased transportation service with a private provider;
- Operated by a private entity as a grant recipient or subrecipient from a public entity; or
- Operated by an independent private entity with approval from a public entity that certifies that the Vanpool program is helping meet the overall transportation needs of the local urbanized area.

Types of Service (TOS)

Agencies report four types of service to NTD: Directly Operated (DO), Purchased Transportation – General (PT), Purchased Transportation – Taxi (TX), and Purchased Transportation – Transportation Network Company (TN).

Directly Operated Services

Transit agencies report service as directly operated if they use their own employees to operate the transit vehicles. Agencies that directly operate service typically employ drivers, schedulers, dispatchers, and street supervisors.

Purchased Transportation Types of Service

The FTA defines purchased transportation types of service as service that is provided to a public transit agency or governmental unit by a public or private transportation provider based on a written contract. Transit agencies report service as purchased transportation when they do not directly operate the service. In these cases, the contractor operates the transit vehicles and provides the transit service.

A buyer is a transit agency that pays another entity to perform transit service. A seller (provider) provides transit service on behalf of the agency and may be a public or private entity. Either the buyer or seller of service may provide vehicles and/or maintenance facilities. Sellers of purchased transportation service typically do not report to the NTD. The buyer only reports the data for the services under its contract—it does not report data for services the seller provides for other contracts.

The following criteria must be met for a relationship to meet the definition of purchased transportation:

- A written agreement exists that obligates the seller to provide the operations for a specific monetary consideration.
- A written agreement exists that specifies a contractual relationship for a certain time period and service.
- A written agreement exists that obligates the seller to provide to the buyer the operating statistics required by the NTD Annual Report.
- Authorized representatives of both the buyer and seller sign the written agreement.
- The buyer pays the seller the full costs of operating the service. The seller does not receive any public funding for operating the service except from the buyer. The

transit agency purchasing the service (the buyer) must report fully allocated costs and service, assets, and resource data the FTA requires.

- The purchased service is branded under the transit agency buying the service. Users of the service must recognize that the buyer of the service is actively managing and funding the service and that the seller (purchased transportation provider) operates the service on behalf of the buyer.

Please see the [“Basic Agency Information Requirements: Contractual Relationship Data Requirements \(Form B-30\)”](#) section of this manual for information regarding contract criteria.

There are three types of purchased transportation services — Purchased Transportation – Taxi (TX), Purchased Transportation – Transportation Network Company (TN), and Purchased Transportation – General (PT).

Purchased Transportation – Taxi (TX)

Purchased Transportation – Taxi (TX) is a special type of service operated through taxicab providers with a system in place to facilitate ride sharing. TX services do not use dedicated vehicles. Voucher Programs are not considered public transportation.

Occasionally, transit agencies solely contract with taxi providers to perform ADA service using dedicated vehicles (the same fleet every day). In these cases, the portion of service using dedicated vehicles should be reported as Purchased Transportation– General (PT) and the portion of the service using non-dedicated taxi vehicles should be reported as Purchased Transportation –Taxi (TX).

Purchased Transportation – Transportation Network Company (TN)

Purchased Transportation – Transportation Network Company (TN) is a special type of service provided by a transportation network company on behalf of a public transportation agency using nondedicated vehicles. The service is dispatched by the transportation network company using a mobile application. See [Appendix E](#) for more details on reporting eligibility for this type of partnership.

Purchased Transportation– General (PT)

Purchased Transportation– General (PT) is a purchased transportation service that is provided to a public transit agency or governmental unit by a public or private transportation provider and does not meet the definitions of either Purchased Transportation – Taxi (TX) or Purchased Transportation – Transportation Network

Company (TN). PT services include all purchased transportation services using dedicated vehicles including those operated by taxi providers. PT services also include purchased transportation services operated by providers who are not taxi providers or transportation network companies and use non-dedicated vehicles.

Full Cost of Service

To report purchased transportation types of service, the buyer must pay the costs to provide transit service that the fares do not cover. The full cost includes all expenses associated with providing the service, such as operations, maintenance, and administrative expenses. If the buyer of the service pays for all costs required to run the service, the service is reported as purchased transportation.

However, if the buyer only provides a portion of the costs and the seller receives public funding for operating the service from another public transit entity besides the buyer, the seller (operator) must report the service rather than the buyer. The FTA defines this contribution as a "subsidy" for reporting purposes. An example of a subsidy is a fixed annual contribution made by an Indian tribe to a local transit provider in order to extend service into the Tribal Statistical Area. In this case, the local transit provide reports the service data.

Memorandums of Agreement and Memorandums of Understanding

Transit agencies may report service established by Memorandums of Agreement or Memorandums of Understanding as purchased transportation, as long as the agreement meets FTA's definition of a contractual relationship.

Building, Starting, and Ending a Mode

Agencies must report the Commitment Date on which the transit agency began applying funds, committing to the construction of and provision of service. Agencies must report the Start Date for each mode they operate. The mode's Start Date is the first day the agency operates revenue service for the mode.

Agencies must report the End Date for each mode that has ceased operations during the fiscal year. The End Date is the last day on which the mode operated in revenue service.

Reporter Users (Form P-30)

FTA requires each agency reporting to the NTD to identify a User Manager. A user manager is a person designated to certify and manage accounts and roles for all users

with access to the NTD online reporting system. Agencies must keep User Manager designations current, submitting a request to FTA on agency letterhead whenever there is a change.

The User Manager designation template can be found on the [NTD's User Manager Designation web page](#).

More User Management reporting guidance can be found in [the FTA Access Control and Entry System \(FACES\) User Guide](#) on the FTA website.

Reportable Segments (Form P-40)

This form provides an inventory of fixed guideway (FG) and high intensity bus (HIB) segments and covers their location, age, and operational and physical characteristics. The form calculates and summarizes DRM for service operated over the FG and HIB segments. The FTA uses the calculated DRM in its annual apportionment.

Directional Route Miles

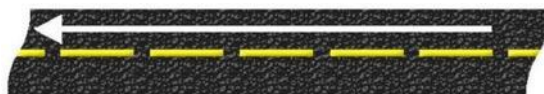
All Full Reporters must provide DRM data for fixed route and rail services. DRM is the total mileage in each direction that public transportation vehicles travel in revenue service. DRM includes:

- A measure of the route path over a facility or roadway (which does not include any data related to the service carried on the facility, such as number of routes, vehicles, or Vehicle Revenue Miles), and
- A measure with regard to direction of service (which does not include the number of traffic lanes or rail tracks existing in the right-of-way (ROW))

DRM does not include staging or storage areas at the beginning or end of a route. Agencies count each path once. DRM is not affected by the frequency of service or the number of traffic lanes or rail tracks. Agencies should not count mileage for temporary detours.

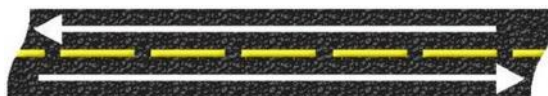
Exhibit 15: Calculating Directional Route Miles

Example 1: Two fixed routes operate in only one direction over a one-mile segment. In this case, there is one DRM.



Solution: Service in 1 direction = 1 DRM

Example 2: Two fixed routes operate in both directions over the one-mile segment. In this case, there are two DRM.



Solution: Service in 2 directions = 2 DRM

Fixed Guideway (FG)

The Fixing America's Surface Transportation Act (FAST Act) defines fixed guideway (FG) as a public transportation facility:

- Using and occupying a separate ROW for the exclusive use of public transportation;
- Using rail,
- Using a fixed catenary system,
- For a passenger ferry system, or
- For a Bus Rapid Transit system.

Bus lanes must be dedicated to transit at all times to be considered fixed guideway. Lanes that allow bicycles and/or cars making a turn are considered to be dedicated to transit. Lanes that allow taxis are not dedicated to transit.

Fixed Guideway Directional Route Miles

Fixed guideway DRM is the mileage in each direction that public transportation vehicles travel in revenue service on fixed guideway. FG DRM may apply to the following modes:

- Rail modes (Heavy Rail (HR), Light Rail (LR), Commuter Rail (CR), Inclined Plane (IP), Cable Car (CC), and Monorail/Automated Guideway (MG))
- Ferryboats (FB)
- Aerial tramways (TR)
- Bus (MB)
- Commuter Bus (CB)
- Bus Rapid Transit (RB)
- Trolleybus (TB)

FG DRM does not include staging or storage areas at the beginning or end of a route.

High Intensity Motorbus (HIB)

The FAST Act defines HIB as “public transportation that is provided on a facility with access for other high-occupancy vehicles.” HIB differs from FG in that non-transit vehicles are permitted to operate on the facility.

This category also includes lanes that are dedicated to transit only during certain hours or on certain days, or that are dedicated to both transit vehicles and taxis.

High Intensity Motorbus Directional Route Miles (HIB DRM)

HIB DRM is the mileage in each direction that public transportation vehicles travel in revenue service on HIB guideway. HIB DRM may apply to the following modes:

- Bus (MB)
- Commuter Bus (CB)

HIB DRM does not include staging or storage areas at the beginning or end of a route.

Reportable Segment Requirements

Transit agencies operating over FG or HIB must report data for these special roadway types. Agencies must provide an inventory of each FG and HIB segment and report the following data for each such segment:

- Date first used in revenue service
- Location, including UZA, where the segment begins and ends
- Length
- One-Way or Two-Way service
- Agency and mode and type of service claiming the segment
- Segment Type (for RB, MB, and CB modes)

- Peak Level of Service (for RB, MB, and CB modes)
- Safe Operation (for RB, MB, and CB modes)
- Shoulder Lane (for RB, MB, and CB modes)
- Hours Prohibited and Enforced (for RB, MB, CB, and TB modes)
- Statutory BRT (for RB mode)

Date

Agencies must report the date that the segment originally entered revenue service (Original Revenue Service Date) and the date that each agency mode and type of service began operating on the segment (Agency Revenue Service Date). For funding purposes, FTA uses the Original Revenue Service Date that the transit agency first reports the FG or HIB segment data to calculate the age of the segment. Segments existing in the NTD for seven consecutive years are eligible for the State of Good Repair funding program.

Location

Agencies must indicate the location (including UZA and other details) of where the FG or HIB segment begins and ends. Transit agencies must use easily identifiable locations. For CB, MB, RB, and TB modes, the FTA recommends that agencies use milepost markers or intersecting streets. Agencies must report the UZA in which the segment is physically located.

Length

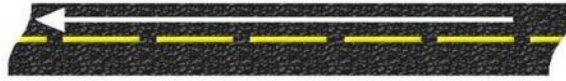
Transit agencies must report the length of the segment to the nearest hundredth of a mile. For bus modes, the FTA does not consider any segment of less than 0.25 miles in total as FG or HIB unless it is a bridge, tunnel, or connection with a transit terminal.

Transit agencies must provide detailed documentation justifying the categorization of highway ramps, meter bypasses, and special turning facilities as FG or HIB segments. FTA approves or denies these segments on a case-by-case basis.

The following exhibit describes the difference between the length and the DRM for a segment.

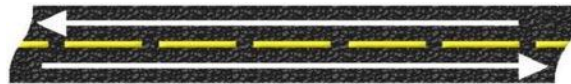
Exhibit 16: Bus Modes: Calculating Length and Directional Route Miles

Example 1: Two fixed routes operate in only one direction over a one-mile segment.



Solution: The actual length of the segment is one mile, and the DRM is also **one** since the routes operate in only one direction. The number of routes that use a segment does not affect the DRM.

Example 2: Two fixed routes operate in both directions over a one-mile segment.



Solution: The length of the segment is one mile. Because the two routes operate in both directions over the one-mile segment, there are **two** DRM. Again, the number of routes that use a segment does not affect the DRM.

Exhibit 17: Rail Modes: Calculating Length and Directional Route Miles

Example 1: Trains operate in both directions over a one-mile segment of track.



Solution: The track has a length of one mile, but since trains operate on it in two directions, it has two DRM. The number of trains using the track does not affect DRM or segment length.

Example 2: Trains operate in reverse directions over two parallel one-mile tracks.



Solution: This one-mile segment equals two DRM because trains operate one mile in one direction over each track (DRM = length × number of directions).

One-Way or Two-Way

The FTA defines a segment as one-way if transit travel always occurs in the same direction. If transit vehicles travel in both directions on one segment, the FTA defines that segment as two ways. Note that vehicles may travel on the segment in two directions throughout the day or travel in one direction during one part of the day and in the other direction during another part of the day (e.g., inbound during the AM peak and outbound during the PM peak).

Months in Operation

Transit agencies must indicate if the service they operate over FG or HIB is seasonal (i.e., service is not provided during all months of the year). FTA policy states that agencies should round to the nearest month of service. For example, if the agency operates on the roadway for 16 days during a month with 31 days, the agency should consider this one month in operation.

If transit agencies operate seasonal service, the FTA prorates their DRM using the ratio of months operated during the year. The FTA uses the prorated DRM in its annual apportionment of §5307 and §5337 funds.

Claiming Segments

Only one transit agency, mode, and type of service may claim a segment. This “claiming” approach is used to ensure that the DRM for the segment are only used once in the FTA apportionment of funds to a UZA. Transit agencies should not interpret the “claiming” approach to mean that one transit agency is entitled to the funding that FTA apportions based on the reported segment data.

Type of Service

If multiple types of service operate on the same FG or HIB segment, the agency must determine which TOS will claim the DRM credit. This is important for allocating Federal funding data. For NTD requirements on this issue, see the “[Federal Funding Data Requirements](#)” section of this manual.

NTD Agency Claiming Segment







Only one transit agency may claim an FG or HIB segment. The claiming agency reports the DRM associated with the FG or HIB segments. Transit agencies that operate over a

segment but do not claim it report the VRM data associated with the segment but not the DRM.

Segment Type (for CB, MB, and RB only)

Transit agencies must identify the type of segment using the criteria shown in the following exhibit.

Exhibit 18: Segment Types

		
<p>A. Exclusive busway separated from traffic by physical barriers</p>	<p>B. Exclusive busway separated from traffic by painted line</p>	<p>C. Roadway lanes for exclusive use by high occupancy vehicles (HOV) and separated from traffic by physical barriers</p>
		
<p>D. Roadway lanes for exclusive use by HOV and separated from traffic by painted lines</p>	<p>E. Roadway lanes operated as a high occupancy toll (HO/T) lane</p>	<p>F. Roadway used by mixed traffic that is part of a Bus Rapid Transit route</p>

Lanes reserved for transit vehicles that allow general traffic to use them as turn lanes, and reserved lanes that also permit bicycles, are considered transit exclusive.

By Federal law, all roadways on which Bus Rapid Transit (RB) operates are FG, including HOV and mixed traffic segments. If a segment is mixed traffic ROW for RB modes, agencies should select type F; this requires FTA approval.

Peak Level of Service (for CB, MB, and RB only)

Peak Level of Service (LOS) is a measure of how traffic moves on the roadway and is expressed in terms of traffic conditions. Agencies must report the peak period LOS for the lanes next to the CB, MB, or RB segments or in the travel corridor, traveling in the same direction or directions as the segment. Specifically, the agency must report the peak period LOS for:

- Priority lanes on a multilane highway,
- Exclusive lanes parallel to a multilane highway but physically separated from the general traffic lanes, or
- Corridors served by a stand-alone high occupancy-roadway not open to general traffic.

There are six levels ranging from free-flow conditions (A) to gridlock (F). A qualified traffic engineer must determine the level of service using the methods for quantifying highway capacity in the *Highway Capacity Manual: A Guide for Multimodal Mobility Analysis (HCM)*, sixth edition.

Segments that have a peak level of service of A, B, or C are not eligible for fixed guideway or high intensity motorbus funding.

Exhibit 19: LOS Used to Describe Peak Periods

A.	Indicates a relatively free flow of traffic with little or no limitation on vehicle movement or speed.
B.	Describes a steady flow of traffic with only slight delays in vehicle movement and speed. All queues clear in a single traffic signal cycle.
C.	Denotes a reasonably steady, high-volume flow of traffic with some limitations on movement and speed and occasional backups on critical approaches.
D.	Designates the level where traffic nears an unstable flow. Intersections still function, but short queues develop, and cars may have to wait through one cycle of a signal change during short peaks.
E.	Represents traffic characterized by slow movement and frequent (although momentary) stoppages. This type of congestion is considered severe but is not uncommon at peak traffic hours, with frequent stopping, long-standing queues, and blocked intersections.
F.	Describes unsatisfactory stop-and-go traffic characterized by traffic jams and stoppages of long duration. Vehicles at signalized intersections usually have to wait through one or more signal changes, and upstream intersections may be blocked by the long queues.

Safe Operation

Safe operation requirements ensure safe travel and apply to high-speed, priority lanes (e.g., on freeways, expressways, and high-speed facilities) that bus modes (CB, MB, and RB) use. Safe operations require some indication of separation for safe access between free-flowing HOV lanes and congested, unrestricted lanes.

Roadway must have visual or physical barriers to meet safe operation requirements, such as:

- Physical barriers, such as cones, concrete dividers, or medians; or
- Pavement markings, such as a double solid wide line, a single solid wide line, a single broken wide line, lane coloration, or a diagonally striped area between lanes.

The FTA does not consider the following to meet safe operations:

- Diamond markings and overhead signs by themselves or in conjunction with one another; or
- Lane separated from traffic by a single, normal-width dashed line.

If a segment does not meet safe operation requirements, it does not qualify as FG or HIB in the NTD.

Exhibit 20: Segment Examples That Meet Safe Operation Requirements

HOV lanes separated from general traffic lanes by double solid lines.



HOV lanes separated from general traffic lanes by pylons.



HOV lanes separated from general traffic lanes by fencing.



HOV lanes separated from general traffic lanes by a concrete barrier.



Exhibit 21: Segment Examples That Do Not Meet Safe Operation Requirements

Separated from general traffic lanes by diamond only.



Separated from general traffic lanes by signs only.



Shoulder Lane (for CB, MB, and RB Only)

The FTA defines shoulder lanes as roadway initially built and functioning as a shoulder (e.g., emergency stopping or reserved lanes), and that are now also used as bus-only, HOV, or HO/T lanes. For CB, MB, and RB modes, transit agencies must report whether the segment is a shoulder lane.

For CB and MB modes, transit agencies should not report shoulder lanes as FG. Shoulder lanes qualify only as HIB.

Hours Prohibited and Enforced (for CB, MB, RB, and TB Only)

The FTA defines the hours prohibited as the number of hours per week that legislation prohibits single occupancy vehicles from using any portion of the FG or HIB segment.

The FTA defines the hours enforced as the number of hours per week that police officers enforce the prohibition of the FG or HIB segment. The FTA requires a level of enforcement that ensures that 95 percent of vehicles using the FG or HIB segment are eligible to use it.

High Occupancy/Toll Lanes

HO/T allows single occupancy vehicles to pay a toll to access HOV lanes. FTA has determined that HO/T lanes are not eligible for FTA formula funding. However, agencies must report new HO/T lanes to the NTD on the P-40 form, and HO/T lanes already in the NTD should remain in the system.

Ferry Fixed Guideway

FTA reviews each ferry system on a case-by-case basis. Agencies reporting ferry data must take care to report the shortest distance between the beginning and ending points of service. Ferry systems should not report more than one segment that crosses the waterway. For more information, please consult your NTD analyst.

Segment Requests

Transit agencies must request that the FTA approve any new or modified FG or HIB segments to the report. For more information regarding FG requests, please see the [“Declarations and Requests: Requests”](#) section of this manual.

BASIC AGENCY INFORMATION REQUIREMENTS

Identification (Form B-10)

An overview of the various organization types that report to the NTD and definitions of urbanized and rural areas and service area

Contractual Relationship Data Requirements (Form B-30)

Requirements that apply to transit agencies that purchase service or provide service on behalf of another agency

Identification (Form B-10)

Organization Types

All transit agencies must provide their organization type as of the end of the fiscal year. The following organization types are used in NTD reporting:

- Independent Public Agency or Authority for Transit Service
- Unit or Department of City, County, or Local Government
- Unit or Department of State Government
- Area Agency on Aging
- Planning Agency
- Indian Tribe
- Subsidiary Unit of a Transit Agency, Reporting Separately
- University
- Area Agency on Aging
- Other Publicly-Owned or Publicly-Chartered Corporation
- Private For-Profit Corporation
- Private Non-Profit Corporation
- Private Provider Reporting on Behalf of a Public Entity
- Other

Independent Public Agency or Authority for Transit Service

Independent public agencies are separate entities established by statute as independent units of government. Generally, the laws creating these entities are passed by State legislatures. These entities are statutorily distinct from local and State governments and typically have the ability to impose taxes or tolls for transit use.

Unit or Department of City, County, or Local Government

Transit agencies should report as the city, county, or local government if they are legal entities with the authority to operate transit service. These transit agencies should report all public transit data on behalf of the city, county, or local government.

Unit or Department of State Government

Transit agencies should report as a unit or department of State government if they are a part of the State government and have one or more State employees.

Area Agency on Aging

Area Agencies on Aging are organizations established under the Older Americans Act in 1973 to respond to the needs of Americans 60 and over.

Planning Agency

Planning agencies primarily address short and long-range transportation needs through a cooperative process among local jurisdictions.

Indian Tribe

The Bureau of Indian Affairs defines an Indian tribe as “an American Indian or Alaska Native tribal entity that has a government-to-government relationship with the U.S. with the responsibilities, powers, limitations, and obligations attached to that designation.” Indian tribes are eligible for funding from the U.S. government, including FTA transit programs.

Subsidiary Unit of a Transit Agency, Reporting Separately

This is a transit authority that has separate operating districts for different areas. Each operating district has its own NTD ID. If there is only one subsidiary unit for transit, report as an independent public agency or authority for transit service.

University

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

Other Publicly Owned or Publicly Chartered Corporation

These are quasi-public agencies that do not fit any of the above categories, such as a business improvement district that also provides transit service.

Private For-Profit Corporation

These reporters operate independently for profit.

Private Non-Profit Corporation

These reporters do not operate for profit.

Private Provider Reporting on Behalf of a Public Entity

In rare cases the FTA allows the private seller of service to report to NTD, rather than the public buyer.

Other

If none of the choices fits your agency, report Other. The online Reporting System will display a box for you to describe your organization's structure.

Demographic Data

Transit agencies' demographic information describes the area and population where they operate service. Transit agencies provide varying levels of detail about their service area based on their reporting type.

The NTD reporting system uses two definitions of transit area:

- Urbanized and rural areas
- Service area

Urbanized and Rural Areas

The U.S. Census Bureau defines UZAs based on incorporated places (e.g., cities, towns, villages) and their adjacent areas. The U.S. Census Bureau considers a densely populated area of 50,000 people or more to be an urbanized area. In addition, at least 35,000 people must be permanent residents who do not live on a military installation. UZAs do not conform to congressional districts, city or county lines, or any other political boundaries. For detailed information on how the Census Bureau defines and identifies UZAs, please consult its [Geography Program web page](#).

FTA bases UZA designations on the most current census. The NTD reporting system assigns a unique number to each UZA in the United States. For urbanized areas in the 50 States and the District of Columbia, FTA provides a numerical ranking by population size. FTA also designates the U.S. Virgin Islands and certain areas in Puerto Rico as urbanized areas. FTA treats the U.S. Virgin Islands as a UZA for purposes of transit grants, pursuant to 49 U.S.C. 5307(l).

Exhibit 22 shows how the FTA categorizes all UZAs as large UZAs or

UZA Designation	Population Size
Small UZA	< 200,000
Large UZA	≥ 200,000

Exhibit 22: Urbanized Areas

small UZAs. A large UZA has a population of 200,000 or more. A small UZA has a population of fewer than 200,000.

The NTD refers to non-urbanized areas as rural areas or non-UZAs.

All reporters indicate where they provide transit services by UZA and non-UZA. Tribal reporters must report the American Indian Areas or Alaska Native Areas where they operate public transit, as recognized by the U.S. Census Bureau.

Service Area

Service area is a measure of transit service in terms of population served and area coverage (square miles). Any area served by any mode reported by the agency is part of the service area. Serving an area means that passengers can board and alight public transportation services in that area.

For bus modes and rail service subject to ADA complementary service requirements (all bus modes, heavy rail (HR), light rail (LR), and streetcar rail (SR)), agencies use ADA definitions and requirements to determine service area boundaries and population:

- Bus service area is defined as three-fourths of a mile on each side of a fixed route.
- Rail service area is defined as three-fourths of a mile radius around each station.

Transit agencies should report service area and population using locally defined criteria regarding ADA complementary service when those criteria exceed the service area definitions just described.

For Demand Response (DR) modes, transit agencies report the entire area that the mode serves.

For modes not covered by ADA complementary service requirements, including Ferryboat (FB) and Vanpool (VP), transit agencies determine service area and population using locally defined criteria. Commuter Bus (CB), Commuter Rail (CR), Alaska Railroad (AR), and Hybrid Rail (YR) should report a service area that reflects the catchment area of the service.

Transit agencies use the most current figures or official estimates of population. An area's Metropolitan Planning Organization (MPO) typically estimates population every five to seven years. Population and area (in square miles) statistics for an urbanized area usually differ from a transit agency's service area.

Contractual Relationship Data Requirements (Form B-30)

Agencies often purchase service from another entity or provide service on behalf of another agency. If a contract exists to provide transit service, transit agencies must report additional data about the contract.

These agencies must report data, including:

- Contractor and relationship type
 - Who is the buyer, who is the seller, and who is reporting the financial and service data, etc.
- Monetary nature of the contract
 - Competitively bid contract (at the time of the original agreement) or fixed-rate cost.
 - Who provides vehicles or facilities
 - If the buyer performs all vehicle maintenance, the reporter should **not** check that “Buyer Provides Maintenance Facility to Seller.”
- Contract service data
 - VOMS per the contract and the number of months the provider operates service during the report year.
- Financial terms of the contract
 - Terms for non-Vanpool modes typically include: Purchased Transportation Fare Revenue, Capital Leasing Expenses, Direct Payment, Contract Cost, and Other Costs Incurred by the Buyer (as they relate to Operating Expenses and Reconciling Items).
 - Terms for Vanpool modes typically include: Passenger Fees, Passenger Out-of-Pocket Expenses, Agency Subsidy, Capital Leasing Expenses, and Other Costs Incurred by the Buyer (as they relate to Operating Expenses and reconciling items).

The key financial terms of the contract are described in the following paragraphs.

Competitively Bid vs. Negotiated Agreements

Transit agencies must indicate if a service is either competitively bid or negotiated. Competitive contracts include:

- Sealed bids
- Requests for Proposals
- Two-step procurement

Agencies must report a contract as competitively bid if the contract was competitively procured and later negotiated during subsequent option years.

Negotiated agreements do not meet the FTA definition of full and open competition. Agencies must carefully describe the nature of the contract.

Typically, agencies that contract with other public agencies enter into negotiated agreements, whereas agencies that contract with private companies enter into a competitively bid contracts.

For more information on Federal requirements for procurements, please see FTA Circular 4220.1F, [Third Party Contracting Guidance](#), Chapter VI, Part 3, “Methods of Procurement.”

Purchased Transportation Fare Revenues

For each contractual relationship, report the total fare revenues associated with the contract being reported.

If the service provider retains all fare revenues as part of the contractual payment, report Fares Retained by Seller. If the seller delivers all fare revenues to the buyer, report Fares Retained by Buyer. If the seller retains some fares and the buyer retains the rest, report Fares Retained by Buyer, and report Direct Payment as the sum of:

1. the actual payment to the seller, and
2. the fares retained by the seller.

Reporting Contract Data for Vanpools

For contracts involving Vanpool, the reporter reports Passenger Fees and Passenger Out-of-Pocket Expenses instead of Purchased Transportation Fare Revenues.

Passenger Fees

Passenger Fees include the payments from all passengers, including the drivers, to the van leasing agency. This also includes any fees collected from the passengers' employers to provide the Vanpool service.

Passenger Out-of-Pocket Expenses

These expenses include all costs paid for by the passengers directly, such as fuel, tolls, and maintenance.

Agency Subsidy

Agency subsidy is the payment by the transit agency to the van leasing agency. This often takes the form of a per-van per-month subsidy.

Contract Capital Leasing Expenses

Capital leasing costs are the expenses that the seller charges the buyer for the use of its capital assets, whether they are owned or leased by the seller.

For example, if the seller uses its vehicles to provide service, it typically charges the buyer to cover depreciation. The buyer reports this as a capital leasing cost. Agencies that incur capital leasing costs must report this data, even if these costs are not itemized on invoices.

For Vanpool programs, the Vanpool fees generally include the capital leasing costs.

For more information on Vanpool requirements, please see the “[Reporting Contract Data for Vanpools](#)” section of this chapter.

Direct Payment

Direct payment is the amount the buyer pays directly to the seller during the reporting period. If the seller retains only part of the fare revenue, report as described in the “[Purchased Transportation Fare Revenues](#)” section of this chapter.

Contract Cost

Contract cost is the sum of the revenues received by the seller. The contract specifies the terms of payment which may include: (1) payments made by the buyer directly to the seller; and (2) fare revenues retained by seller, if the seller retained these revenues. The contract cost is the inflow of revenues received by the seller in exchange for the transit services provided.

Other Costs Incurred by the Buyer

The buyer also incurs costs that vary depending on the terms of the contract. All contracts require some oversight by the buyer to ensure that the terms of the contract are being met and to support payments to the seller. Examples of these costs incurred by the buyer include labor and office space costs for employees providing contractual oversight. See [USOA 6.5](#), “Other Costs Incurred by the Buyer” for additional information.

Some of the costs incurred by the agency may be joint costs and not attributable to any particular mode and type of service, such as planning, scheduling, and marketing. The buyer, therefore, must allocate these costs across relevant modes and type of service. For more guidance on allocating such costs, please see USOA Appendix A, “Cost Allocation Handbook.”

When reporting to the NTD, transit agencies will divide Other Costs Incurred by the Buyer into two categories: Other Operating Expenses Incurred by the Buyer and Other Reconciling Item Expenses Incurred by the Buyer.

Other Operating Expenses Incurred by the Buyer

Most of the Other Costs Incurred by the Buyer will fall into this category. This includes expenses such as salaries and utility costs that agencies will report as Operating Expenses.

Other Reconciling Item Expenses Incurred by the Buyer

Agencies must report costs that are classified as Reconciling Items (e.g., leasing costs or interest costs) in this category. Typically, these costs reflect leasing or depreciation expenses for the buyer’s capital. The costs also may include interest expenses.

Key Relationships Between Forms

The following exhibit summarizes how data on the B-30 form relates to data on the S-10, F-10, F-30, and F-40 forms.

Exhibit 23: Relationship of B-30 Data to Other Forms

Data	B-30	Other Form	Other Form Field
When there is one B-30 form for a mode/TOS, these data must be equal:	Vehicles Operated in Annual Maximum Service Under Contract for one mode	S-10	Vehicles Operated in Annual Maximum Service (VOMS) for same mode
These data must be equal:	Sum of Purchased Transportation Fare Revenue (5111) across all B-30 forms for one mode	F-10	Sum of Total Passenger Fares (4110) for same mode
These data must be equal:	Sum of Contractor Operating Expenses across all B-30 forms for one mode	F-30	Sum of Purchased Transportation (5100) for same mode
The first data point must be greater than or equal to the second:	Sum of Capital Leasing (5120) for all B-30 forms	F-40	Operating Lease Expenses (5220)
These data must be equal:	Sum of Other Operating Expenses Incurred by the Buyer (5131) across all B-30 forms for one mode	F-30	Total Operating Expenses net of Purchased Transportation for same mode

FINANCIAL DATA REQUIREMENTS

What to Report

An overview of revenues, expenses, and the true cost of operations

How to Record and Report Financial Accounts

A summary of financial requirements, including the Uniform Systems of Accounts

Funding Sources (Form F-10)

An explanation of different funding sources, including directly generated, local, State, and Federal funds

Capital Expenses (Form F-20)

Requirements and classifications for capital projects

How to Collect and Report Financial Data: Full Reporter Requirements

Summaries of how to collect and report operating expenses, including USOA Object Classes

What to Report

Transit agencies must report financial information on an annual basis using accrual accounting and the [NTD Uniform System of Accounts \(USOA\)](#).

The FTA defines revenues as the total amount of money earned during a transit agency's fiscal year. Full Reporters must report data for total revenues earned during the fiscal year. Reduced Reporters only report operating and capital expenditures incurred in the fiscal year, by source of revenue.

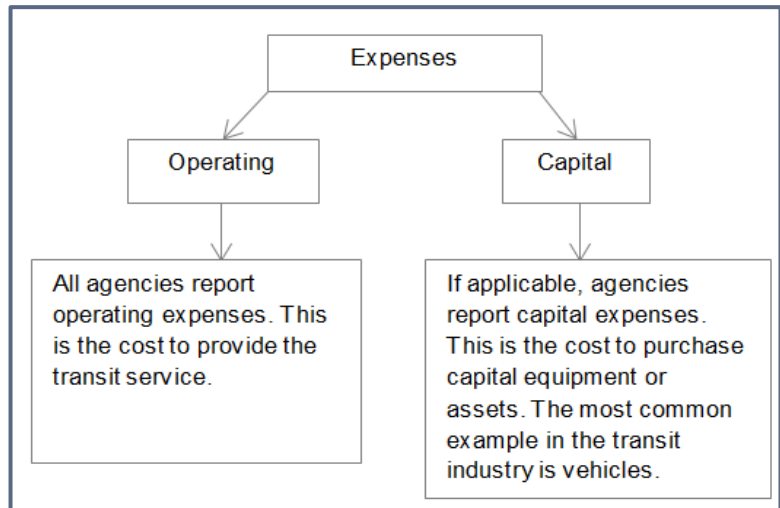


Exhibit 24: Expense Types

There are two major expense categories: operating and capital. Operating expenses are expenses that a transit agency incurs during day-to-day operations. Capital expenses are the expenses that are related to purchasing a capital asset or making an improvement to a capital asset that materially increases its value or useful life. Capital expenses include the acquisition cost of a capital asset including the cost of delivery, installation, and any modifications to the asset(s). The FTA defines capital as an asset having a useful life of more than one year. See USOA 3.0, "Capital Expenses," for additional information on capital expenses.

Federal grant requirements allow a transit agency to determine its capitalization threshold provided the per unit cost is \$5,000 or less. For example, if a transit agency sets its capitalization level at \$2,000, it must report a computer equipment purchase of \$1,500 as an operating expense on the NTD Annual Report. For more information, please see the [Office of Management and Budget \(OMB\) Uniform Grant Guidance web page](#).

Typically, transit agencies receive Federal, State, and local funding. When agencies apply for these funds, the applicable government entity approves the application and makes a funding commitment for a total amount of funding. There can be a difference between the amount of funds that the Federal, State, or local government commits, and the amount of funding that a transit agency uses to fund operating and capital expenses during the fiscal year. Transit agencies must report the amount of funds used to fund operating and capital

expenses during the year—not the amount of funds that are available—as revenues earned.

This revenue reporting principle applies to the typical case in which a transit agency “earns” its funding from another government entity based on costs incurred. If the transit agency receives funding with no requirement to make specific expenditures, then the transit agency must report the total funding provided as revenues earned.

Exhibit 25: How to Report Grant Funds

Example: A State awards a transit agency a grant of \$1,000,000. The transit agency must incur eligible expenses as defined in the grant to receive the funding. The transit agency uses \$200,000 of the grant money to fund eligible expenses during the fiscal year. What does the agency report to the NTD?

Solution: The transit agency reports the \$200,000 it used during the fiscal year. If the agency reports revenue data (Full Reporter types), it also reports revenues of \$200,000. It does not report the remaining \$800,000 that it has not received or spent.

Fully Allocated Costs

Transit agencies must report the full costs associated with its transit service. In some cases, this is straightforward: an agency that paid for the full cost itself simply reports all the costs associated with its transit service that it incurred during the fiscal year.

However, many agencies are part of larger entities that perform many non-transit functions. For example, many transit agencies are departments of city or county governments. In such a case, it is important to determine what the reporting entity is. Usually for departments of local government, the reporting entity is the local government itself. For example, if a city government has a transit department and the reporting entity is the city government, all the costs incurred by the city to support transit service must be reported.

This principle means that some costs incurred by the city government—but not specifically by the transit department—will appear in the NTD report. This is because other departments of the city government support the transit department. For example, the city human resources department may spend part of its time handling personnel matters for the transit department. In this case, the department’s cost of operation includes the indirect cost of providing this service for the transit department, and the city government will have to include it in its NTD report.

Costs incurred by the city government in the normal course of business that do not directly support the transit department are not included in the NTD report. For example, the transit

department in our previous example may benefit from the presence of the local police force. But unless the city government specifically assigns members of the police force to specific transit duties, the reporter does not report this cost.

How to Record and Report Financial Accounts

Transit agencies must report financial data in a uniform manner in conformance with accrual accounting and the Uniform System of Accounts.

Under accrual accounting:

- Agencies record revenues when they earn them regardless of whether they actually receive the revenue in the same fiscal year; and
- Agencies record expenses as soon as they owe an entity regardless of if they actually pay the funds for the expense in the same fiscal year.

Transit agencies must report finances in the manner that the USOA prescribes. The USOA categorizes operating expenses into functions and object classes. Functions are the activities a transit agency performs, and object classes are expense categories. For more information regarding Full Reporter financial requirements and the USOA functions and object classes, please see the [“How to Collect and Report Financial Data: Full Reporter Requirements”](#) section of this chapter.

Allocating Costs

The purpose of cost allocation is to determine the total costs incurred to produce a specific product or deliver a specific service. In the NTD, transit agencies report the total cost incurred to operate each mode of transit service. This information helps facilitate comparisons of the operating characteristics of modes at different agencies and of a single mode over time. Sound cost allocation procedures will also improve the accuracy of financial data reported to transit agency governing boards and the public. This is also consistent with GAAP.

To fully report operating expenses, agencies should

- Determine which expenses are direct costs that are attributable to a particular mode and type of service and which expenses are shared costs; and
- Trace or allocate shared costs to each mode, type of service, and function.

Direct vs. Shared Costs

In order to report the total cost of delivering each mode of transit service, transit agencies must calculate both the direct and shared costs of providing service.

Direct costs are costs that are directly identifiable to one or more mode, type of service, and function of transit service.

- Direct costs that are directly identifiable to one mode, type of service, and function include operator salaries and wages (and associated fringe benefits for operators that directly support one mode), other salaries and wages (for staff that directly support one mode), materials and supplies (that are unique to a specific mode), and propulsion power (that is associated with a specific mode).
- Direct costs that are directly identifiable to one or more modes, types of service, and functions must be attributed and charged to the specific mode within a transit agency's accounting system at the time work was performed. For instance, a transit agency may employ vehicle maintenance staff to repair Light Rail (LR) and Heavy Rail (HR) systems. The agency has an accounting system that allows its employees to assign their hours directly to a specific mode (e.g., LR, HR). The accounting system enables the maintenance staff employees to directly attribute and charge to each mode; therefore, the salary and wages for the maintenance staff are direct costs that are identifiable to the two modes.

Shared costs are costs that are commonly or jointly used to provide two or more modes of transit service. Transit agencies perform cost assignment using the following methods to improve the accuracy of cost allocation.

1. **Tracing shared costs wherever feasible and economically practicable (preferred method).** Cost tracing relies on the observation, counting, and/or recording of the consumption of resource units, such as staff hours or days that are spent on a project or assignment. Tracing also applies to specific resources that are dedicated to particular outputs. Cost tracing minimizes distortion and helps promote accuracy in cost assignments. However, cost tracing can be a relatively costly process; it should be applied to items that account for a substantial portion of the cost of an output and when it is economically feasible. For example, it is usually unnecessary to trace the cost of office supplies (e.g., pens, papers, computer peripherals) to various activities or outputs.
2. **Allocating shared costs on a reasonable and consistent basis.** Sometimes, it is not economically feasible to trace costs. For example, general management and administration support costs, utilities, and other costs that benefit multiple modes and

cannot be traced to specific modes. In these situations, transit agencies allocate shared costs to the functions, modes, and TOS by using allocation variables.

Common allocation variables include, but are not limited to:

- Vehicle hours and miles
- Vehicles operated in annual maximum service
- Number of employees
- Direct expenses
- Ridership (Unlinked Passenger Trips)

Agencies must use knowledge of their own organization structure to select allocation variables that make the most sense for their agency and apply them consistently. Agencies should consider the following factors to determine the appropriate cost assignment strategy:

- Nature of the transit agency's operations
- Precision desired and needed in cost information
- Practicality of data collection and processing
- Availability of computing hardware and software
- Cost of installing, operating, and maintaining the cost accounting processes
- Specific information needs of management

Reporters must take special care to ensure that they allocate shared costs to both purchased transportation and directly operated services. Transit agencies with purchased transportation services incur administrative costs even if the contractor owns the vehicles and the maintenance and storage facilities. Such administrative costs include:

- Salaries and fringe benefits of employees who oversee a purchased transportation contract
- Administrative building expenses, such as:
 - Custodial services
 - Electric bills
 - Phone bills
 - Fire insurance
 - Office supplies

Once agencies determine the shared costs, they must group the shared costs into cost pools based on how costs are consumed. Cost pools are groups of costs that are consumed in a similar manner. After grouping the costs into cost pools, agencies use the allocation variables that best represent the driver of costs in each pool to allocate the costs to the modes.

FTA acknowledges that each transit agency is unique and therefore chooses a cost allocation model that reflects its cost structure, provided the method is reasonable, consistent, and defensible. Once an agency chooses a cost allocation model, the agency should review it annually to confirm that the model is still valid. It should check for reasons to change the model, such as the following:

- Addition/reduction of modes of service
- Merger with another agency
- Adoption of a new chart of accounts
- Restructure of the agency's organization
- Change in the nature of the transit agency's operations
- Major initiatives that would affect mode or function's usage of costs
- Transition from directly operated to purchased transportation or vice versa

Unless an agency experiences one of the major changes listed above, it should apply its cost allocation model consistently each year. FTA recommends that each reporting agency document its cost allocation model to facilitate consistent application. See USOA Appendix A, "Cost Allocation Handbook," for additional guidance and examples of cost allocation.

Bonds and Loans

During the year the bond or loan is established, an agency reports the

- amount expended during the fiscal year,
- yearly payment, and
- yearly interest.

The amount that was expended is reported either under an operational or capital expenditure on the F-10. An agency reports the bond or loan payment by its original source of funds. In the example below, the assumption is made that sales taxes pay for the loan. Through the duration of the loan, the yearly loan payment is reported under *Sales Tax* as **funds earned** (F-10). The amount of interest paid is reported under *Sales Tax* as **Funds Expended on Operations** (F-10) and **Interest Paid, Funds Applied** (F-40).

Exhibit 26: Reporting Loans

Example: Suppose Regional Transit takes out a loan for and expends \$1,000,000 in 2015. The interest rate is 10 percent per year. The agency pays it back over 5 years using money from a sales tax — its yearly loan payment is \$254,964. The agency spends the entire loan in 2015 on capital.

Solution:

Year	Reporting Loans on the F-10	Reporting Loans on the F-40
2016	On the line for sales tax, it reports \$254,964 earned, \$92,696 spent on operations and \$1,000,000 spent on capital.	It reports the amount of interest paid, \$92,696, as funds applied.
2017	On the line for sales tax, it reports \$254,964 earned and \$75,705 spent on operations.	It reports the amount of interest paid, \$75,705, as funds applied.
2018	On the line for sales tax, it reports \$254,964 earned and \$56,934 spent on operations.	It reports the amount of interest paid, \$56,934, as funds applied.
2019	On the line for sales tax, it reports \$254,964 earned and \$36,198 spent on operations.	It reports the amount of interest paid, \$36,198, as funds applied.
2020	On the line for sales tax, it reports \$254,964 earned and \$13,120 spent on operations.	It reports the amount of interest paid, \$13,120, as funds applied.

At the end of the 5-year period, Regional Transit has reported a total of \$1,274,820 earned, \$274,823 spent on operations and \$1,000,000 spent capital on the F-10 forms.

It has reported a total of \$274,823 funds applied to interest on the F-40 forms.

Funding Sources (Form F-10)

Transit agencies must report operating and capital expenses based on the source of funds. They must select one of the following funding source categories:

- Directly Generated Funds
- Local Government Sources of Funds
- State Government Sources of Funds
- Federal Government Sources of Funds
- Non-Added Revenues

Directly Generated Funds

Directly generated funds are funds that a transit agency earns from non-governmental sources. Transit agencies may earn these funds from:

- Passenger Fares
- Funds related to transit
- Funds unrelated to transit
- Dedicated funds (applicable to transit agencies that are independent political entities and have the ability to impose taxes)

Passenger Fares

Passenger fares include revenues earned from carrying passengers. This applies equally to DO, PT, TN, and TX services. Generally, fares are the amounts paid by the rider to use transit services and include the base fare, zone premiums, express service premiums, extra cost transfers, and quantity purchase discounts applicable to the passenger's ride.

Agencies report the full amount of PT, TN, and TX fare revenues regardless of whether the buyer or seller retains the revenue.

Agencies may collect passenger fares in any of the following ways:

- 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)

In some circumstances, several agencies share a fare card program and will periodically divide funds among themselves so that each agency within the program receives the appropriate amount of fare revenue. In such cases, each agency reports its share of the revenues.

Passenger fares include Passenger-Paid Fares (4111) and Organization-Paid Fares (4112).

Passenger-Paid Fares

Passenger-paid fares reflect the amount of the fare that the passengers pay on their own behalf. Passenger-paid fares may include:

- Full adult fares
- Senior citizen fares
- Student fares
- Child fares
- Fares for individuals with disabilities
- Ferryboat services
- Vanpool services
- Special ride fares
- Handling fees
- No-show fines

Organization-Paid Fares

Organization-paid fares are paid by an organization rather than by the passenger. Organization-paid fares also include funds for rides given along special routes for which a beneficiary of the service may guarantee funds. Organization-paid fares may result from agreements between the reporter and an agency or organization that pays a set amount in return for unlimited and/or reduced fare transit service for the persons covered by the agreement. Examples of organization-paid fares are discussed in the Uniform System of Accounts.

Transit agencies must report fares paid in part or in whole by an organization for an affiliated, specific group of individuals as passenger fares. For example, a university may pay a transit agency so that students can ride fare-free. The transit agency must report such a payment from a university as organization-paid passenger fares.

Agencies report Medicaid funding of Non-Emergency Medical Transportation (NEMT) as an Organization-Paid Fare.

Fare Reporting Rules

Donations that are made on a revenue vehicle or at a farebox should be reported as fares.

Passenger fares do not include subsidies (e.g., subsidies from private organizations or other sectors of operations), which are provided to support the general provision of transit service. Passenger fares also do not include fare assistance from other entities, such as governments, to provide a reduced fare or free fare for a general class of users (e.g.,

senior citizens, students). The agency reports subsidies and fare assistance in the appropriate private, State, local, or Federal government sources of funds.

In all cases, transit agencies must ensure that they report contributions by the original source of funds.

Certain rules discussed below apply only to specific modes of transportation.

Ferryboat

Ferryboat fares include revenues earned from walk-on pedestrians, bicyclists, and public transportation vehicle passenger fares. For vehicles, report passenger fares for each occupant of the vehicle, including the driver. Note, however, that vehicle and bicycle ferriage fees are not included in Passenger-Paid Fares but are reported in Non-public Transportation Revenues.

Exhibit 27: Ferryboat Services

Example: A transit agency operates a ferryboat service. The ferryboat fares are \$25 per vehicle, regardless of passengers. The pedestrian fare for walk-ons is \$5 per pedestrian passenger. A vehicle carrying one driver and two passengers boards the ferryboat. How does the agency report in NTD?

Solution:

Ferryboat Revenues	Amount
Passenger-Paid Fares earned	\$15 (1 driver and 2 passengers)
Non-public transportation revenue earned	\$10 (\$25 for the vehicle minus \$15 for the driver and passengers)

Vanpool

For publicly sponsored Vanpool (VP) services, passenger fares have unique provisions. Passenger fares include Passenger Fees and Out-of-Pocket Expenses as described in the [“Basic Agency Information Requirements: Contractual Relationship Data Requirements \(Form B-30\)”](#) section of this manual. These costs often include fuel costs, maintenance expenses, lease payments, tolls, and other out-of-pocket costs.

Allocating Fare Revenues

Typically, fares are directly related to one mode or type of service. However, agencies may need to allocate fares among modes and types of service if

- There is a fixed fare for the initial segment of a multi-mode trip and the transfer charge is not equal to the fare charged for a single-ride trip on the next mode; or
- A large portion of passengers use passes that are accepted on several modes.

In such cases, transit agencies must allocate fare revenues to each mode and type of service based on a reasonable allocation method. For example, a transit agency may allocate by:

- Unlinked Passenger Trips
- Passenger Miles Traveled
- Operating Expenses

Funds Related to Transit

Agencies may earn funds from other transit-related services. The following describes the common sources of funds for transit-related activities.

Park-and-Ride Parking Revenue

Park-and-ride parking revenue (4120) is the revenue from parking fees paid by passengers who drive to park-and-ride facilities to use transit service. Revenues earned from the operation of parking lots that are not park-and-ride locations are reported in Other Agency Revenues.

Auxiliary Transportation Funds

Transit agencies earn auxiliary transportation revenues (4140) from activities closely related to the provision of transit service, such as

- Concessions (station concessions and vehicle concessions)
- Advertising revenues
- ID card fees for travel on the transit agency's services (seniors, persons with disabilities, employees)
- Fare evasion and park-and-ride lot fines

Purchased Transportation Agreement Revenues

Sellers of PT, TN, and TX service must report the payment they earn for providing purchased transportation service (4160).

Non-Public Transportation Revenues

Agencies may provide transit services that are not public transportation (4130). Typically, these services are infrequent and may include school bus service, charter service, freight service, and sightseeing service.

Funds Unrelated to Transit

Transit agencies may earn funds that are unrelated to the provision of transit service. Sources of unrelated funds are discussed below.

Other Agency Revenues

Other Agency Revenues (4150) include:

- Investment earnings
- Interest income
- Revenues earned from sales of maintenance services on property not owned or used by the transit agency
- Rentals of revenue vehicles to other operators
- Rentals of transit agency buildings, property, and real estate to other organizations
- Parking fees generated from parking lots not normally used as park-and-ride locations
- Donations
- Student fees (when the agency is a university)
- Grants from private foundations
- Development fees
- Rental car fees
- Sale of surplus electricity
- Sale of fuel
- Sale of assets in excess of the asset's book value
- Sale of carbon credits

Subsidies from Other Sectors of Operations

Occasionally, transit agencies receive subsidies from other sectors of operations (4170) within the transportation entity to help cover the cost of transit. For example, a transportation authority may be responsible for airports, ports, bridges, and public transit. The public transit sector of the transportation authority may receive or spend funds from the airport sector.

Extraordinary and Special Items

Extraordinary items are events or transactions that are distinguished by their unusual nature and by the infrequency of their occurrence.

Unusual nature means that the underlying event or transaction has a high degree of abnormality and is clearly unrelated to, or only incidentally related to, the ordinary and typical activities of the transit agency.

Infrequency of occurrence means that the underlying event or transaction would not reasonably be expected to recur in the foreseeable future, taking into account the environment in which the transit agency operates.

Special items are events or transactions that are either unusual in nature or infrequent, but not both.

The agency determines an extraordinary event or transaction to be *material* if it is material in relation to the agency's income before extraordinary items, to the trend of annual earnings before extraordinary items, or is material by other appropriate criteria.

Examples of material extraordinary items include recoveries received for damages from a natural disaster, such as a hurricane or earthquake. Recoveries received might include disaster relief funds. Assets impaired by and recoveries received from these events are considered extraordinary because they are abnormal in occurrence and are not reasonably expected to recur in the foreseeable future.

Extraordinary and special items are distinguishable from normal operating items and are thus reported separately. The nature and financial effects of each event or transaction are disclosed on the face of the statement of activities or in the notes to the financial statements. See USOA 2.1.8, "Extraordinary and Special Items," for additional guidance and examples of extraordinary and special items.

Total Recoveries

Total Recoveries (4190) include proceeds recovered from insurance companies to indemnify the transit agency for insured acts that resulted in a liability for damage to transit personnel or property or damage to the person or property of others. Total recoveries include monies received for items or events that are not classified as extraordinary or special. For example, the agency reports proceeds received from insurance companies for physical damage claims resulting from an accident as insurance recoveries.

Total recoveries also include amounts recovered from others held liable for damage to the transit agency's property. For example, the agency reports proceeds received from third parties involved in an accident as recoveries. The agency reports full proceeds received from the insurance company as insurance recoveries; the agency does not net monies from the related asset replacement cost.

Directly Generated Dedicated Funds

Dedicated funds are funds that must be spent on the provision of transit service. The following are the major categories for dedicated funds:

- Dedicated taxes
- Bridge, tunnel, and highway tolls
- HO/T lane tolls
- Other dedicated funds

Some transit agencies, such as a transit authority, are independent political entities. When they have been granted the authority to directly impose taxes, tolls, and fees, these agencies report these revenues as directly generated dedicated funds.

Dedicated Taxes

If a transit agency is an independent political entity and has the legal authority to impose a dedicated tax, the NTD refers to this tax as a *directly levied tax*.

For convenience, a different governmental entity may collect directly levied taxes on behalf of the agency. For example, a transit agency may use its legal authority to add one percent to the county sales tax for transit uses. The county collects the sales tax and distributes the one percent back to the transit agency. Since the one percent tax is a directly levied sales tax by the transit agency, it must report these funds as directly generated.

Independent political entities may levy taxes, such as:

- Income taxes (4210)
- Sales taxes (4220)
- Property taxes (4230) (includes mortgage and property transfer taxes and fees)
- Fuel taxes (4240)
- Payroll taxes
- Utility taxes
- Communication taxes (e.g., telephone taxes)
- Motor vehicle and tire excise taxes

Bridge, Tunnel, and Highway Tolls

Another source of funds raised for transit is from tolls collected on bridges, tunnels, or highways (4260). Typically, transit agencies that have the power to impose these fees are multipurpose transportation agencies that operate and own these facilities.

High Occupancy/Toll Lanes

Moving Ahead for Progress in the 21st Century Act (MAP-21) outlined the provisions governing the use and operation of HO/T lanes. Agencies may receive dedicated funds from tolls charged for the use of HO/T lanes (4270).

Other Dedicated Funds

These are revenues dedicated to transit other than taxes or tolls (4290). These are often fees imposed on the public by the transit agency. Examples include the following:

- Vehicle licensing and registration fees
- Driver's license fees
- Communications access fees and surcharges
- Lottery and casino proceeds

Public Funding Relationships

Public transit agencies commonly provide funding to other public transit agencies. Agencies may establish these relationships through a memorandum of understanding (MOU), as part of the budgeting process of a State or local governmental entity, or through an actual contract. Full Reporter agencies must report these funds as revenue on the NTD Annual Report.

Pass-through Funds

Pass-through funds are funds that a transit agency (often known as a designated recipient) receives from a government entity (e.g., FTA) and gives to another transit agency. These funds are not used to fund the designated recipient's transit service. These funds are used to fund the services provided by the agency ultimately receiving the funds.

Transit agencies do not report pass-through funds that they provide to other agencies on their Annual Report. The agency that ultimately receives the pass-through funds and benefits from the government assistance reports the funding. Agencies that are designated recipients only report funds that relate to their transit services.

Memorandums of Understanding

Transit agencies should report information for MOUs if the agreement meets the NTD's definition of a contractual relationship. Please refer to "[Basic Agency Information Requirements: Contractual Relationship Data Requirements \(Form B-30\)](#)" for more information about contract requirements.

Local and State Government Sources

Transit agencies usually receive and spend funds from local and State government.

State government funds and local government funds pay a portion of the costs to provide transit service, including

- Operating assistance, such as:
 - 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
 - Reimbursements of payments for taxes, interest, snow removal, maintenance, and security costs
 - Special demonstration project assistance
- Capital assistance

Transit agencies must report expenses based on the source of funds. Therefore, agencies must identify what type of local and State funding they receive.

Local sources may provide funding from:

- General revenues of the local government
- Local Funds Dedicated to transit at their source
- Other local funds
- Extraordinary and special items

State sources may provide funding from:

- General revenues of the State government
- State transportation fund
- Extraordinary and special items

General Revenues of the Local/State Government

State and local government may provide transit agencies with funds from their annual budgets that are not dedicated to transit. Transit agencies typically have to compete for this funding with other organizations such as police, fire, and educational institutions.

Local Funds Dedicated to Transit at Their Source

These are funds from local taxes, tolls, and fees that the government entity institutes to support transit programs and projects. These funds may also include bridge, tunnel, and highway tolls.

Other Local Funds

Local government entities may provide funds that are not dedicated or from the annual budget. This may include grants from local governments.

State Transportation Fund

Many States set up a State Transportation Fund (4420) that is separate from the General Fund. It usually has several dedicated sources of funding, often including funding sources such as fuel taxes, vehicle registration fees, or bonds backed by such sources. The Transportation Fund typically funds both transit agencies and other transportation needs, such as the highway department. Agencies are not required to report the individual sources of funding that support the State Transportation Fund.

Extraordinary and Special Items

Please see the definition of Extraordinary and Special Items in the [“Funding Sources”](#) section of this chapter.

Federal Government Sources

Transit agencies typically receive Federal funds on a cost-reimbursement basis. For Full Reporters, this means that Federal funding revenues and expenses must be equal.

Transit agencies must report funds by grant source. The following section explains common grants for transit assistance. Agencies may receive other FTA funds not defined below. Additionally, agencies may receive funding from other Federal sources. Transit agencies must report those funds as *Other USDOT (Non-FTA) Grants*, *Other FTA Funds*, or *Other Federal Funds*, as appropriate, in the Annual Report. Transit agencies must take special care to report funds by their original source.

In some cases, capital assistance may be spent on activities that are normally considered operating, such as preventive maintenance and ADA service. This typically requires 20 percent local match. Although these funds are capital grants, the agency reports it as capital assistance spent on operations.

Reporting Costs with Interim Financing Mechanism

Sometimes transit agencies incur costs with the intention to use a Federal grant to pay for the cost. However, if the grant funds have not yet been committed at the time the cost is incurred, the agency finances the cost using other sources of funds and expects to be reimbursed with Federal funds. Agencies must report the final source used to pay for the cost, not the interim financing mechanism.

For example, an agency may record expenses against an FTA grant, even though it has not been reimbursed, when the agency has pre-award authority. An agency may also employ this practice if it incurs costs that are covered by a full funding grant agreement with FTA. In both cases, the agency records the final source of funding on the NTD report, as it has high expectations of reimbursement from the program.

FTA Funds

Agencies receive FTA funds from many programs, including, but not limited to the following:

Current Programs

- FTA Urbanized Area Formula Program (§5307)
- FTA Formula Grants for Rural Areas (§5311)
- FTA Capital Investment Grants (§5309)
- FTA State of Good Repair (§5337)

- FTA Grants for Buses and Bus Facilities Formula Program (§5339)
- FTA Enhanced Mobility of Seniors & Individuals with Disabilities (§5310)
- FTA Metropolitan Planning (§5303)

Expired Programs

- FTA Clean Fuels Program (§5308)
- FTA Job Access and Reverse Commute Program (§5316)
- FTA New Freedom Program (§5317)
- FTA Transit in Parks Program (§5320)

New Programs

- CARES Act

FTA Urbanized Area Formula Program (§5307)

Transit agencies may use §5307 funding for

- Capital projects
- Planning
- Operating assistance in UZAs with populations less than 200,000
- Preventative maintenance (capital funds spent on operations)
- Complementary paratransit services operated to meet ADA requirements.

Section 5307 funds include flexible funding programs, which are programs that allow the transfer of funds to an FTA program to be used for transit projects. For example, the Federal Highway Administration (FHWA) of the U.S. Department of Transportation transfers funds to §5307 under the flexible funding provision from various programs, including

- Surface Transportation Program (STP)
- Congestion Mitigation and Air Quality Improvement Program (CMAQ)
- National Highway System (NHS)
- Construction of Ferry Boats and Ferry Terminal Facilities
- Federal Lands Highways Program (FLHP)
- Transportation, Community, and System Preservation Program (TCSP)
- Coordinated Border Infrastructure Program (CBIP)
- Non-Motorized Transportation Pilot Program

Transit agencies must report funds from flexible funding programs under the appropriate FTA program. For example, if a transit agency receives FHWA CMAQ funding through the §5307 program, the agency must report this under §5307 funds.

FTA Formula Grants for Rural Areas (§5311)

Section 5311 is a formula program that provides assistance to transit agencies in rural areas for

- Capital projects
- Planning
- Operating assistance

For questions regarding urbanized and rural areas, please see the “[Basic Agency Information Requirements: Identification \(Form B-10\)](#)” section of this manual.

Federal operating and capital assistance under §5311 includes any §5310, §5307, §5316, or §5317 funds that States transfer to the program. This program also includes any flexible highway funds States administer through the §5311 program.

Transit agencies that report to the urban module and receive §5311 funds also have responsibilities to provide data to the State for the State DOT NTD Annual Report.

Tribal Transit Program (TTP)

FTA dedicates a portion of the §5311 program funds to the TTP. Federally recognized tribes may use TTP funds to assist with operating, planning, and capital needs. FTA apportions these funds based on three tiers. For more information on TTP statutory tiers, please refer to the “[Introduction: The National Transit Database](#)” section of this manual.

FTA §5311(f) Intercity Bus Program

FTA requires States to set aside 15 percent of the §5311 program for Intercity Bus projects, unless a State governor certifies these needs are already met. Private for-profit companies may receive §5311(f) funding from the State. These companies report limited data to the State as a §5311(f) subrecipient.

If a transit agency provides other public transit services and receives this funding, the agency must report the service according to NTD modal definitions and report the funding under the §5311 program.

FTA Capital Investment Grants (§5309)

Section 5309 is a discretionary program that provides capital assistance for new fixed guideway or other major investment systems.

FTA State of Good Repair Program (§5337)

Section 5337 is a formula program that replaced the Fixed Guideway Modernization program. This grant provides capital assistance to maintain fixed guideway and high intensity bus systems in a state of good repair.

FTA Buses and Bus Facilities Program (§5339)

Section 5339 is a formula program that finances capital projects to replace, rehabilitate, and purchase buses and related equipment, and to construct bus-related facilities.

FTA Enhanced Mobility of Seniors & Individuals with Disabilities (§5310)

Section 5310 is a formula program that provides capital assistance to State and local governments and private nonprofit groups to meet the transportation needs of elderly individuals and individuals with disabilities.

FTA Metropolitan Planning (§5303)

Section 5303 supports cooperative, continuous, and comprehensive planning programs for making transportation investment decisions in UZAs. These funds are allocated to MPOs. Local elected officials designate these funds to carry out urban transportation and planning processes.

FTA Clean Fuels Program (§5308)

Congress discontinued this program in the MAP-21 legislation.

Section 5308 was a formula program that supported the use of alternative fuels. Projects were eligible in air quality maintenance or nonattainment areas for ozone or carbon monoxide for both urbanized and rural areas.

The program helped transit agencies purchase low-emission buses and related equipment, build alternative fueling facilities, modify existing garage facilities to accommodate clean fuel vehicles, and assisting in the utilization of biodiesel.

FTA Job Access and Reverse Commute Formula Program (§5316)

Section 5316 was a formula program for States and designated recipients. Section 5316 supported the development and maintenance of job access projects that transported welfare and eligible low-income individuals to jobs and activities related to their employment. Additionally, §5316 provided assistance to reverse commute projects that

transported residents of urbanized and rural areas to suburban employment opportunities.

Congress discontinued this grant program in the MAP-21 legislation. Under changes made in MAP-21, these activities now are eligible for funding under the §5311 and §5307 programs.

FTA New Freedom Program (§5317)

Section 5317 was a formula program for new public transportation services and public transportation alternatives beyond those required by the ADA. These transportation programs assisted individuals with disabilities and provided transportation to and from jobs and employment support services. These programs had to be part of a locally developed human service transportation coordinated plan.

Transit agencies used §5317 funds for

- Capital projects
- Operating assistance
- Planning

Congress discontinued this grant program in the MAP-21 legislation. Under changes made in MAP-21, these activities now are eligible for funding under the §5311 and §5307 programs.

FTA Alternative Transportation in Parks and Public Lands Program (§5320)

Congress discontinued this grant in the MAP-21 legislation.

Section 5320 was a program for preserving parklands and enhancing visitor enjoyment. FTA, the U.S. Department of Interior, and the U.S. Department of Agriculture Forest Service administered this grant jointly.

CARES Act

The Coronavirus Aid, Relief, and Economic Security (CARES) Act provides emergency assistance and health care response for individuals, families and businesses affected by the COVID-19 pandemic. Some CARES Act funding should be reported as Extraordinary and Special Items instead of CARES Act funds, as described separately in FTA's [COVID-19 reporting guide](#). Funds that are provided by the CARES Act but are not Extraordinary and Special Items should be reported as CARES Act funds.

Non-Added Revenues

Non-added revenues are funds received by the transit agency that are not included in the total funds earned during the operating period.

Contributed Services

Contributed Services (4610) are in-kind services received by the reporting agency from another entity or person where there is no payment for the services. In the past, Contributed Services was reported as a directly generated fund. However, since there is no actual cost for the contributed service, change has been made to include the value of the service as non-added revenue instead. An example of a contributed service is when a retired lawyer provides pro-bono legal services to the local transit agency.

When the transit agency is a part of a larger entity (like a department of city government) and the larger entity pays for the service, the larger entity is considered the reporter and therefore the costs must be reported outside of Contributed Services. See USOA 2.6.1, “Contributed Services,” for additional information.

Voluntary Non-Exchange Transactions

This object class is for the receiver to record the non-exchange value when all applicable eligibility requirements have been met. In a voluntary non-exchange transaction, an agency gives or receives value (e.g., revenue vehicle) without directly receiving or giving equal value (e.g., cash) in return. This is different from an exchange transaction, in which each party receives and gives up essentially equal values. An example of a voluntary non-exchange transaction is when one government agency builds capital assets and transfers the assets to another transit agency that operates them

The recipient of a non-exchange transaction recognizes non-exchange receivables or funds when all applicable eligibility requirements have been met. Examples of eligibility requirements might include situations where the receiving agency is required to wait for a period of time before it has access to the transferred asset, or where the provider’s transfer of asset is contingent upon an agreed upon action taken by the recipient.

The agency records non-exchange receivables as current or noncurrent assets. The recipient reports resources transmitted before eligibility requirements are met as deferred revenues (liability).

Providing agencies can find guidance for reporting the non-exchange transaction under the Reconciling Items: Voluntary Non-Exchange Transaction. See USOA 2.6.2, “Voluntary Non-Exchange Transactions,” for additional information.

Sales and Disposals of Assets

Sales and Disposals of Assets (4630) include, but are not limited to, sales of equipment, buildings, real estate, and other property. Funds from sales and disposals of capital assets are not considered revenues earned because these transactions involve the conversion of existing assets into cash and not an increase in asset value. Consequently, NTD does not include this amount in the total funds earned during the reporting period.

If an asset is sold for an amount higher than its book value (cost less accumulated depreciation), the agency records the difference between the sale price and book value as a gain in Other Agency Revenues. See USOA 2.6.3, “Sales and Disposals of Assets,” for additional information.

Transportation Development Credits

In some States, funds spent on transportation at the State level can be used as a non-Federal match for Federal grants to transit agencies. These are known as Transportation Development Credits (TDCs) or toll credits. Since these credits are not actually used to cover expenses, NTD does not include these credits in the total funds earned. See USOA 2.6.4, “Transportation Development Credits,” for additional information.

Capital Expenses (Form F-20)

Full Reporters must identify the following in order to report expenses related to capital projects:

- Project Classes
- Project Categories
- Predominant Use
- Purchased Transportation capital projects

Transit agencies must determine which class the capital project belongs in before reporting data in the applicable category.

Transit agencies should not report capital maintenance expenses under capital projects. Capital maintenance expenses are operating expenses that a transit agency pays with §5307 capital funds. Therefore, agencies must report these data as operating expenses.

Project Classes

There are two classes of capital projects:

- Improvements relating to existing transit services through rehabilitation, reconstruction, or replacement of capital
- Capital for expansion of service (e.g., Light Rail (LR) line extension), implementing new services (e.g., new mode of service), or building a new facility to accommodate planned services

Improvements for Existing Transit Services

Transit agencies typically improve existing transit services by replacing obsolete vehicles, equipment, buildings, and structures. Typical projects include replacing an obsolete garage, replacing vehicles, overhauling rail passenger cars, re-roofing a maintenance facility, or rehabilitating a bus.

Transit agencies also improve existing transit services by extending the useful lives of existing vehicles, equipment, buildings, and structures. If the improvement extends the useful life of these assets beyond one year and/or the costs of the rebuild materially increases the value of the asset beyond the book value, the agency must report the rehabilitation / reconstruction / replacement / improvement costs as capital expenses.

Expansion of Transit Service

Expansion of service projects cover capital projects related to the expansion of existing services or the operations of new services. Examples include

- The extension of a rail line
- Starting a new mode of service
- Purchase of additional buses for new routes in developing areas
- Construction of an additional maintenance facility for planned expansions of service

Transit agencies can only report expenses for capital projects as expansion projects if they have committed plans to implement new services. If there are no committed plans, then the project expenses must be reported as improvements for existing transit services.

A capital project may have elements of both improvements and expansion. In these cases, transit agencies must allocate the project to both project classifications. Exhibit 28 provides examples for a variety of scenarios.

Exhibit 28: How to Report by Project Class

Example	Solution
<p>Example 1: A transit agency decides to rehabilitate and expand an existing maintenance garage. The garage is designed for 200 revenue vehicles and will be expanded to serve 275 buses as part of this project. How should the transit agency report the expenses for this project?</p>	<p>The transit agency should report the project costs under <i>Improvements for Existing Transit Services</i> for the 200 buses. The agency should report the project costs associated with the new 75 buses under <i>Expansion of Transit Service</i>.</p>
<p>Example 2: A transit agency decides to replace an existing, obsolete garage with a design capacity of 75 buses. The transit agency decides to expand the size of the facility to a design capacity of 100 buses even though it currently does not need the additional capacity, nor does it have any commitments for increases in transit services that would require additional revenue vehicles. How should the transit agency report the project?</p>	<p>The transit agency should report project costs under <i>Improvements for Existing Transit Services</i> because it has no commitments for expansion of service.</p>
<p>Example 3: A transit agency decides to replace an existing, obsolete garage. The transit agency is also committed to implementing new transit services. These new services will be phased in over the next several years and will require additional revenue vehicles. Therefore, the replacement garage is bigger than the original garage in order to handle these new services. How should the transit agency report the project?</p>	<p>In this case, there is a commitment for expansion of services. Therefore, the transit agency must report the project costs associated with the part of the project that replaces the original garage under <i>Improvements for Existing Transit Services</i>. The agency should report the additional project costs to accommodate new transit services under <i>Expansion of Transit Service</i>.</p>
<p>Example 4: A transit agency purchases 50 new buses. The agency is replacing 40 buses that have reached their useful life and is acquiring 10 buses for new services to developing suburbs. How should the transit agency report the project?</p>	<p>The transit agency should report the cost of the 40 replacement buses under <i>Improvements for Existing Transit Services</i>. The agency should report the 10 buses for new service under <i>Expansion of Transit Service</i>.</p>

Project Categories

Once an agency identifies the appropriate capital project class to use, it must separate data into project categories. Transit agencies must define and separate costs for each project category.

The NTD uses the following project categories:

- Guideway (6100)
- Passenger stations (6200)
- Administrative buildings (6300)
- Maintenance buildings (6400)
- Revenue vehicles (6500)
- Service vehicles (nonrevenue) (6600)
- Fare revenue collection equipment (6700)
- Communications and information systems (6800)
- Other (6900)

Capital projects include equipment and furniture integral to buildings and structures.

Guideway

Agencies must report capital projects for guideway, including the costs for design and engineering, land acquisition and relocation, demolition, and purchase or construction of guideway.

Guideway includes the buildings and structures dedicated for transit operations such as:

- At grade
- Elevated and subway structures
- Tunnels and bridges
- Track and power systems for rail modes
- Paved highway lanes dedicated to fixed-route modes

Guideway does not include passenger stations and transfer facilities, bus pull-ins, or communication systems.

Passenger Stations

Transit agencies must report capital expenses for passenger stations, including the costs for design and engineering, land acquisition and relocation, demolition, and purchase or construction of stations. Passenger stations include park-and-ride facilities.

Agencies should not include bus shelters or on-street bus stops under Passenger Stations. Transit agencies must report these shelters under “Other” capital projects.

Passenger stations are defined according to the mode(s) serving the station.

The following are passenger stations:

- All CR, HR, YR, MG, and AR rail passenger facilities
- All LR, CC, and SR passenger facilities that have platforms and/or serve track that is in a separate ROW (not in mixed-street traffic)
- All FB stops
- All transportation, transit or transfer centers, park-and-ride facilities, and transit malls if they have a structure for passengers for ticketing, information, restrooms, concessions, telephones, etc.
- All MB, RB, CB, and TB passenger facilities in a separate ROW that have a platform and/or structure
- All MB, RB, CB, and TB operated in mixed traffic that have a separate structure (simple shelters, lighting, signage, or ramps for accessibility alone are not enough to establish a passenger station)

Administrative Buildings

Agencies must report capital projects for administrative buildings, including the costs for design and engineering, land acquisition and relocation, demolition, and purchase or construction.

Administrative buildings are the general administrative offices owned by a transit agency. Administrative buildings usually house executive management and support activities for overall transit operations, including accounting, finance, engineering, legal, safety, security, customer services, scheduling, and planning. Administrative buildings also include separate buildings for customer information or ticket sales that a transit agency owns and that are not part of passenger stations.

Maintenance Buildings

Transit agencies report capital expenses for maintenance buildings, including the costs for design and engineering, land acquisition and relocation, demolition, and purchase or construction of the maintenance buildings.

Maintenance buildings include garages, shops, operations centers, and equipment that enhance maintenance, such as diagnostic equipment. Agencies should not include

information systems that they use to process maintenance data under Maintenance Buildings.

Revenue Vehicles

Agencies must report capital expenses for revenue vehicles, including acquisition and major rehabilitation of the vehicles. The cost of the vehicle includes both the vehicle and all fixtures and appliances inside or attached to the vehicle. When equipment such as a farebox, radio, Automatic Vehicle Locator (AVL), or spare engine is included as part of the vehicle purchase, these items are part of the vehicle cost. However, when purchased separately, these items belong to other asset classifications such as Fare Collection Equipment (2700), Communications / Information Systems (2800), or in the case of spare parts, Operating Expenses. For rubber-tired vehicles, the vehicle cost includes the cost of one set of tires and tubes to make the vehicle operational.

Agencies may spend capital funds on revenue vehicles for

- Replacing a fleet — the replacement of revenue vehicles having reached the end of their service lives
- Rebuilding a fleet — the installation of new or rebuilt major components (e.g., engines, transmissions, body parts) and/or structural restoration of revenue vehicles to extend service life
- Overhauling a rail fleet — the one-time rebuild or replacement of major subsystems on revenue producing rail cars and locomotives, commonly referred to as midlife overhaul
- Expanding a fleet — the acquisition of revenue vehicles for expansion of transit service

Service Vehicles

Agencies must report capital expenses for the acquisition or rebuilding of service vehicles. Service vehicles are self-propelled and either road-worthy or major pieces of construction equipment. Service vehicles include supervisor vans, tow trucks, mobile repair trucks, transit police cars, and staff cars. Movable pieces of equipment that are solely used for vehicle maintenance, such as bus diagnostic equipment and vehicle lifts, are reported in Maintenance Buildings. Movable pieces of equipment that may serve several purposes, such as golf carts, forklifts, and flatbed train cars, are reported in Other Capital Expenses. The cost of the vehicle includes both the vehicle and all fixtures and appliances inside or attached to the vehicle.

Fare Revenue Collection Equipment

Transit agencies must report the capital expenses for the acquisition or rebuilding of fare revenue collection equipment. Fare revenue collection equipment includes turnstiles, fareboxes, automated fareboxes and related software, moneychangers, and fare dispensing machines.

Communications and Information Systems

Agencies report capital for systems, including

- Information systems that process information
- Communication systems that relay information between locations

A system is a group of devices or objects that form a network for distributing something or serving a common purpose (e.g., telephone, data processing systems).

Communication systems include two-way radio systems between dispatchers and vehicle operators, cab signaling, and train control equipment in rail systems, AVL systems, automated dispatching systems, vehicle guidance systems, telephones, facsimile machines, and public-address systems.

Information systems include computers, monitors, printers, scanners, data storage devices, and associated software that support transit operations. Associated software may include general office, accounting, scheduling, planning, vehicle maintenance, non-vehicle maintenance, and customer service programs.

Other

Agencies report the capital expenses for other capital projects, including

- Furniture and equipment that are not an integral part of buildings and structures
- Shelters, signs, and passenger amenities (e.g., benches) not in passenger stations

Predominant Use

Some capital projects apply to more than one mode or type of service or project category. Transit agencies must report a capital project based on the predominant use. Agencies determine predominant use for mode and type of service by

- Identifying the primary reason why the project was constructed or acquired
- Using a reasonable measure to determine the predominant use, such as:

- The relative number of passengers served by mode or type of service for passenger facilities.
- The square footage of, or the number of revenue vehicles serviced by, non-passenger facilities, such as maintenance garages.

Exhibit 29: Reporting Predominant Use: Primary Reason

Example: A transit agency builds a new Heavy Rail passenger station on a new rail line extension. The station also serves both directly operated and purchased transportation bus services as a transfer center. How should the transit agency report the station?

Solution: The primary reason the transit agency built the station was to serve rail passengers. Therefore, the agency must report the project under the Heavy Rail mode.

Example: A small transit agency just beginning service builds a new garage. The agency operates only DR service. The garage also serves as the agency's administrative office. How would the agency report the garage?

Solution: The agency must report the garage as DR under maintenance buildings since the primary reason the garage exists is to service DR vehicles. The agency must report it in the expansion section of the form since it supports service that did not exist before.

Purchased Transportation

Transit agencies must report capital expenditures the agency makes to provide transit service. This includes capital expenditures for both directly operated and purchased transportation services (even if the agency does not retain ownership of the purchased asset). However, if the transit agency's contractor purchases capital during the year using its own funds, the transit agency should not report these capital costs.

As explained in the "[Operating Expenses: Purchased Transportation \(Contracted Services\): Reporting Separately](#)" section of this chapter, most transit agencies report purchased transportation services. However, there are unusual cases where the buyer and seller report separately to the NTD. In these cases, agencies report capital data.

Public Agency Sellers

If the public agency selling transit service purchases capital during the fiscal year, the agency must report this on the Annual Report. The public agency buying the service should not report capital data on behalf of the seller.

Private and Private Nonprofit Sellers

The public buyer reports capital purchases that it pays for, regardless of whether the buyer retains ownership of the capital. Private sellers of service using their own funds to purchase equipment or capital projects do not report capital data to the NTD.

How to Collect and Report Financial Data: Full Reporter Requirements

Full Reporters must report the following detailed data related to operating expenses:

- On Form F-30 (Operating Expenses), report operating expenses according to USOA functions and object classes
- On Form F-40 (Operating Expenses Summary), report reconciling items according to USOA object classes
- On Form B-30 (Contractual Relationship), report expenses related to purchased transportation according to USOA object classes

Full Reporters who are Independent Transit Authorities must also report the following data related to Financial Statement:

- On Form F-60 (Financial Statement), report assets and liabilities according to USOA object classes

Operating Expenses: USOA Functions and Object Classes (Form F-30)

The USOA provides a detailed explanation of each function and object class in the NTD. In the Annual Report, the NTD identifies USOA object classes with an assigned code or number. For example, the USOA assigns the number 5015 to the Fringe Benefits object class. Agencies may navigate the USOA by searching the name, number of a function, or object class.

This manual briefly discusses USOA material. Transit agencies with questions about a specific function or object class should refer to the USOA as cited in the "[Introduction: Standardized Reporting Requirements](#)" section of this manual.

Operating Expense Functions

A function is an activity a transit agency performs. The NTD Annual Report for Full Reporters uses four basic functions:

- Vehicle Operations
- Vehicle Maintenance
- Facility Maintenance
- General Administration

Vehicle Operations

The Vehicle Operations function includes wages, salaries, and expenses related to all activities associated with dispatching and running vehicles to carry passengers, including management and administrative and clerical support. The following sub-functions are under Vehicle Operations:

- Revenue Vehicle Operation
- Scheduling
- Dispatching and Supervising
- Ticketing and Fare Collection
- Security
- Transportation Administration

Vehicle Maintenance

The Vehicle Maintenance function includes wages, salaries, and expenses incurred during all activities related to keeping revenue vehicles and service vehicles operational and in good repair, including administrative and clerical support. The following sub-functions are under Vehicle Maintenance:

- Servicing and Fueling Vehicles
- Inspection, Maintenance, and Repair of Vehicles
- Administration of Vehicle Maintenance

Note that extensive work on revenue vehicles (e.g., engine rebuilds and overhauls) is an operating expense only if the work meets established FTA criteria. Otherwise, transit agencies must report vehicle rebuilds as a capital expense. For questions about capital expenses, please see the [“Financial Data Requirements: What to Report”](#) section of this manual.

Facility Maintenance

The Facility Maintenance function includes all activities related to keeping buildings, structures, roadways, track, and other non-vehicle assets operational and in good repair and includes administrative and clerical support. Facility Maintenance includes the following:

- Maintenance of Vehicle Operations Equipment
- Maintenance of Roadway and Track
- Maintenance of Tunnels, Bridges, and Subways
- Maintenance of Passenger Stations and Stops
- Maintenance of Operating and Maintenance Buildings, Grounds, and Equipment
- Maintenance of Administrative Buildings, Grounds, and Equipment
- Operation and Maintenance of Electric Power Facilities
- Administration of Facility Maintenance

General Administration

The General Administration function includes wages, salaries, and expenses incurred to perform and support administrative activities. The following sub-functions are under General Administration:

- Finance and Accounting
- Purchasing and Stores
- Real Estate Management
- Customer Relations
- Promotion
- Market Research
- Planning and General Engineering
- Preliminary Capital Project Planning
- Risk Management
- Safety
- Human Resources
- Legal
- Information Technology
- Office Management
- General Management
- General Function

Many General Administration expenses are indirect costs and are not directly associated with a specific mode and type of service. Transit agencies must allocate these costs among modes and types of services using reasonable cost allocation approaches. Please see USOA Appendix A, “Cost Allocation Handbook,” for more information on cost allocation.

Operating Expense Object Classes

Object classes are specific groups of expenses that the USOA defines. The NTD uses the following object classes for Full Reporters:

- Labor (5010)
 - Operators' Salaries and Wages (5011)
 - Operators' Paid Absences (5012)
 - Other Salaries and Wages (5013)
 - Other Paid Absences (5014)
 - Fringe Benefits (5015)
- Services (5020)
- Materials and Supplies (5030)
 - Fuel and Lubricants (5031)
 - Tires and Tubes (5032)
 - Other Materials and Supplies (5039)
- Utilities (5040)
- Casualty and Liability Costs (5050)
- Taxes (5060)
- Purchased Transportation Expenses (5100)
 - Purchased Transportation in Report (5101)
 - Purchased Transportation Filing Separate Report (5102)
- Miscellaneous Expenses (5090)
- Americans with Disabilities Act of 1990-Related Expenses (5910)

Labor

Labor (5010) expenses arise from the performance of work by employees. Labor expenses include pay and allowances that employees receive for work they perform. Transit agencies should not include non-agency employee salaries under labor expenses. Agencies should report the expenses for work performed by employees of outside organizations under Services (5020). There are five categories for Labor (5010):

- Operators' Salaries and Wages (5011)
- Operators' Paid Absences (5012)
- Other Salaries and Wages (5013)
- Other Paid Absences (5014)
- Fringe Benefits (5015)

Salaries and wages include the cost of labor, excluding paid absences and fringe benefits, for the transit agency's employees.

Paid absences include vacation leave, sick time, and other paid time off not contingent on a specific event outside the control of the transit agency for its employees. The FTA requires transit agencies to report salaries and wages and paid absences separately for the operators and the non-operators (other).

Fringe benefits are the expenses for employment benefits or services that an agency provides to its employees in addition to basic wages. Typical benefits include costs related to providing or making contributions to the following:

- Employment taxes
- Retirement plans
- Pension plans
- Medical plans
- Dental plans
- Life insurance and short-term disability plans
- Unemployment insurance
- Workers' compensation insurance
- Uniform and work clothing allowances (typically for drivers and security personnel)
- Tool allowances for mechanics

Some accounting systems do not track fringe benefit costs by function. In these cases, agencies must allocate fringe benefit expenses to the functions.

See USOA 4.1, "Labor," for additional information about the object classes that are categorized as Labor.

Services

Services (5020) are the expenses for labor and other work that outside organizations provide. Usually, services from an outside organization are a substitute for in-house employee labor. The Services object class includes

- Management services
- Professional services
- Advertising services
- Temporary labor services of personnel who are not employees of a transit agency, the governmental body, or the multifunctional organization

Some transit agencies are part of a department of the State or local government, or a part of a multifunctional organization. Because these transit agencies are a part of one larger organization, these transit agencies must report expenses for employees from outside departments under Salaries and Wages and Fringe Benefits, in the Labor (5010) object

class, just as they would for employees within their own department—not under the Services object class.

Materials and Supplies

Materials and Supplies (5030) are expenses a transit agency incurs for tangible items intended for immediate use. Materials and Supplies includes

- Fuel and Lubricants (5031)
- Tires and Tubes (5032)
 - Please note that this includes tires and tubes that are purchased or leased.
- Other Materials and Supplies (5039)

For every mode except for VP and DT, the fuel and lubricant cost must be directly recorded and reported. Vanpool providers should record and report the fuel and lubricant cost if possible. Otherwise they should estimate using the suggested procedure described in the “Asset Inventory Data Requirements” chapter of this manual. Fuel and lubricant costs are not used by DT.

Utilities

Utilities (5040) covers payments made to utility companies for the purchase of energy or services, such as electricity, water and sewer, natural gas and other fuels for heating, internet service, telephone, and garbage collection.

Electricity used to propel revenue vehicles—either delivered directly to the vehicle via wires or rails or used to charge a vehicle’s battery—is reported under the Vehicle Operations function. All other uses of electricity are General Administration. Casualty and Liability Costs

Casualty and Liability Costs (5050) refers to the expenses a transit agency incurs for loss protection. If a transit agency is liable for someone’s loss, then the agency must report all applicable compensation under this object class. Casualty and Liability Costs includes:

- Physical damage insurance premiums
- Recovery of physical damage losses for public liability and property damage insurance premiums
- Insured and uninsured public liability and property damage settlement payouts and recoveries

- Other corporate insurance premiums (e.g., fidelity bonds, business records insurance)
- Self-insurance costs

All Casualty and Liability Costs are reported as General Administration.

Taxes

Taxes (5060) are the charges and assessments levied against a transit agency by Federal, State, and local governments. Transit agencies must report any applicable

- Income taxes
- Property taxes
- Fuel and lubricant taxes
- Electric propulsion power taxes
- Vehicle licensing and registration fees

Transit agencies should not report sales or excise taxes on materials or service.

They also should consider tax rebates and reimbursements as credit offsets to expenses in the Taxes object class.

Purchased Transportation Expenses (Contracted Service)

Transit agencies must report the expenses for purchased services. Purchased Transportation Expenses (5100) are the expenses the transit agency paid PT, TN, and TX providers (sellers) to operate service for the transit agency. There must be a contract following NTD criteria as described in the section “*Purchased Transportation (PT) Types of Service*” to report service as purchased transportation.

Agencies only report the money they pay to the PT, TN, or TX service providers under the Purchased Transportation Expenses object class. This includes fare revenues retained by the providers.

This expense object class does not include:

- Expenses that a transit agency has no obligation to pay.
- Expenses a transit agency incurred to support the purchased transportation services (e.g., salaries and wages of transit agency personnel overseeing the contract). The agency must report these operating costs in the appropriate expense object classes and functions.

- Depreciation and lease costs for vehicles and facilities. The transit agency must report these costs as reconciling items on Form F-40.

PT, TN, and TX providers must furnish the reporting agency with a breakdown of purchased transportation expenses into five functions:

- Vehicle Operations,
- Vehicle Maintenance,
- Facility Maintenance,
- General Administration, and
- Operating Lease Expenses.

PT, TN, and TX providers are required to use USOA definitions to report actual expenses in each of the five functions.

If a transit agency contracts with a for-profit service contractor, the agency pays more than the service contractor spends to provide the service. The excess is the contractor's profit.

The transit agency must report what it pays the contractor — the contractor's operating costs plus the contractor's profit — when the agency reports its total operating expenses. Therefore, contractors must allocate their profit among the five functions when they provide the totals for the five functions. The following exhibit illustrates how contractors should allocate their profits.

Exhibit 30: Full Reporter Agencies: Accounting for Contractor's Profit

Example: Coastal Nebraska Transit (CNT) contracts with Ludwig Enterprises to provide Demand Response service. CNT paid Ludwig Enterprises \$1,050,000 for the service.

CNT reports to the NTD and files an Annual Report. Because CNT contracts the Demand Response service, Ludwig Enterprises must provide CNT with its operating expenses broken into the five functions.

Ludwig Enterprises recorded its total expenses of \$1,000,000 according to the USOA definitions as

- *Vehicle Operations, \$400,000*
- *Vehicle Maintenance, \$300,000*
- *Facility Maintenance, \$50,000*
- *General Administration, \$200,000*
- *Operating Lease Expenses, \$50,000*

Ludwig Enterprises added a profit of \$50,000 to these expenses in its invoices to CNT. CNT, therefore, paid Ludwig Enterprises \$1,050,000 (\$1,000,000 + \$50,000). How should Ludwig Enterprises allocate its profit across its expenses?

Solution: *Ludwig Enterprises must allocate the profit of \$50,000 among the five functions.*

First, Ludwig Enterprises must determine the percentage of the \$1,000,000 for each function.

Function	Calculation of Percentage	Percentage of Total Expenses
Vehicle Operations	\$400,000 / \$1,000,000	40.0%
Vehicle Maintenance	\$300,000 / \$1,000,000	30.0%
Facility Maintenance	\$50,000 / \$1,000,000	5.0%
General Administration	\$200,000 / \$1,000,000	20.0%
Operating Lease Expenses	\$50,000/\$1,000,000	5.0%

Now, Ludwig Enterprises must distribute the \$50,000 of profit across the functions using the above percentages.

Function	Calculation of Additional Expense	Additional Expense
Vehicle Operations	\$50,000 × 40.0%	\$20,000
Vehicle Maintenance	\$50,000 × 30.0%	\$15,000
Facility Maintenance	\$50,000 × 5.0%	\$2,500
General Administration	\$50,000 × 20.0%	\$10,000
Operating Lease Expenses	\$50,000 × 5.0%	\$2,500

Finally, Ludwig Enterprises must add the allocated profits to the operating expense functions and report to CNT the total amounts of expenses, by function, as follows:

Function	Calculation of Total Expenses	Total Expenses for Contractor
Vehicle Operations	\$400,000 + \$20,000	\$420,000
Vehicle Maintenance	\$300,000 + \$15,000	\$315,000
Facility Maintenance	\$50,000 + \$2,500	\$52,500
General Administration	\$200,000 + \$10,000	\$210,000
Operating Lease Expenses	\$50,000 + \$2,500	\$52,500

Many purchased transportation service contracts have penalty provisions for service not provided according standards set by the transit agencies. These penalty provisions (or sometimes called liquidated damages) apply to areas such as scheduled trips not operated, arrival and departure times operated much later than scheduled, poor adherence to maintenance schedules for vehicle inspections and cleaning.

Generally, the transit agencies apply these penalty provisions as deductions to the invoices submitted by contractors. For example, a contractor may submit a monthly invoice to transit agency for \$500,000 but has incurred penalties of \$5,000. The transit agency will pay the contractor \$495,000 — the total invoice (\$500,000) less the penalties \$5,000).

The transit agency must report what it pays the contractor — the contractor’s operating costs plus the contractor’s profit less the penalty deductions— when the agency reports its total operating expenses. Therefore, transit agency must allocate penalty deductions among the five functions when they report the totals for the five functions. The following exhibit illustrates how transit agencies should allocate the penalty deductions.

Exhibit 31: Full Reporter Agencies: Accounting for Penalty Provisions

Example: Happy Transit (HT) contracts with Kelly Transit to provide Motor Bus (MB) service. Kelly Transit invoiced HT \$1,000,000 for the MB service that it operated. Kelly Transit incurred \$40,000 penalty deductions. Therefore, HT paid Kelly Transit \$960,000 for the service.

HT reports to the NTD and files an Annual Report. Because HT contracts the bus service, Kelly Transit must provide HT with its operating expenses and profit broken into the five functions.

Kelly Transit reported its total expenses and profit of \$1,000,000 to HT according to the USOA definitions as

- *Vehicle Operations, \$500,000*
- *Vehicle Maintenance, \$200,000*
- *Facility Maintenance, \$50,000*
- *General Administration, \$150,000*
- *Capital Leasing, \$100,000*

HT imposed \$40,000 of penalty deductions on Kelly Transit. How should HT allocate the penalty deductions across Kelly Transit's expenses?

Solution: *HT must allocate the penalty of \$40,000 among the five functions.*

First, HT must determine the percentage of the \$1,000,000 for each function.

Function	Calculation of Percentage	Percentage of Total Expenses
Vehicle Operations	\$500,000 / \$1,000,000	50.0%
Vehicle Maintenance	\$200,000 / \$1,000,000	20.0%
Facility Maintenance	\$50,000 / \$1,000,000	5.0%
General Administration	\$150,000 / \$1,000,000	15.0%
Capital Leasing	\$100,000/\$1,000,000	10.0%

Now, HT must distribute the \$40,000 of penalty deductions across the functions using the above percentages.

Function	Calculation of Penalty Deduction	Reduced Expense
Vehicle Operations	\$40,000 × 50.0%	\$20,000
Vehicle Maintenance	\$40,000 × 20.0%	\$8,000
Facility Maintenance	\$40,000 × 5.0%	\$2,000
General Administration	\$40,000 × 15.0%	\$6,000

Function	Calculation of Penalty Deduction	Reduced Expense
Operating Lease Expenses	$\$40,000 \times 10.0\%$	\$4,000

Finally, HT must subtract the allocated deductions to the operating expenses and report the total amounts of expenses, by function, as follows:

Function	Calculation of Total Expenses	Total Expenses for Contractor
Vehicle Operations	$\$500,000 - \$20,000$	\$480,000
Vehicle Maintenance	$\$200,000 - \$8,000$	\$192,000
Facility Maintenance	$\$50,000 - \$2,000$	\$48,000
General Administration	$\$150,000 - \$6,000$	\$144,000
Operating Lease Expenses	$\$100,000 - \$4,000$	\$96,000

Reporting Separately

Typically, only the transit agency purchasing the service (the buyer) reports expenses for purchased transportation. However, in limited cases, the buyer and the seller file separate NTD Annual Reports with this data. In these cases, the buyer must report the funds spent on operations and capital.

The USOA addresses the concern of double-reporting financial data with the object class 5102, Filing Separate Report. This object class enables the buyer to report the costs of the seller that files separately and ensures the expenses are not double-counted.

Miscellaneous Expenses

Miscellaneous expenses (5090) are expenses the USOA does not classify in other expense object classes. Miscellaneous expenses include

- Dues and subscriptions
- Travel and meeting expenses
- Bridge, tunnel, and highway tolls
- Entertainment expenses
- Charitable donations

- Fines and penalties
- Bad debt expense

Americans with Disabilities Act of 1990 Related Expenses (Complementary Paratransit) (5910)

Transit agencies must identify the portion of total expenses for the DR modes directly related to operating complementary paratransit services in compliance with the ADA requirements. If the DR mode also serves non-ADA passengers, the agencies may estimate ADA related expenses using a reasonable approach, such as the proportion of ADA trips to total trips.

Operating Expenses: USOA Object Classes — Reconciling Items (Form F-40)

Transit agencies treat reconciling items (5200) based on their accounting system. Accounting practices vary because of local ordinances on accounting treatments. Transit agencies use reconciling items on the NTD Annual Report in order to provide an overall operating expense total that is consistent with locally published reports.

Full Reporter agencies must report applicable reconciling items in the following object classes:

- Interest Expenses (5210)
- Operating Lease Expenses (5220)
- Capital Leases (5230)
- Related Parties Lease Agreement (5240)
- Voluntary Non-Exchange Transactions (5250)
- Depreciation (5260)
- Amortization of Intangibles (5270)
- Extraordinary and Special Items (5280)
 - Expenses related to extraordinary and special items are reported in this category. For additional information, please see USOA 4.10.8, “Extraordinary and Special Items” or, in this manual, “[Directly Generated Funds: Extraordinary and Special Items](#)” (above).
- Other Reconciling Items (5290)
- ADA Related Reconciling Items (5920)
 - Transit agencies must identify the portion of total reconciling expenses for the DR and DT modes directly related to operating complementary paratransit services in compliance with the ADA requirements. Agencies

may estimate ADA related reconciling expenses using a reasonable approach, such as the proportion of ADA trips to total trips, when allocating reconciling items between ADA and non-ADA service.

Funds Applied and Funds Not Applied

There are two types of expenditures for reconciling items:

- Funds Applied
- Funds Not Applied

Funds Applied

Funds applied are costs that a transit agency incurs when there is a monetary transaction to cover the expense. For example, agencies must pay for interest expenses, leases, and rentals.

Funds Not Applied

Funds not applied means that there is not a transfer of money. Typically, these are values that use accounting principles, such as depreciation of vehicles and amortization of intangibles.

Non-Public Transportation Expenses

Costs that are not incurred by providing public transportation service belong in Other Reconciling Items. This would include costs such as charter service, school bus service, sightseeing service, or disaster evacuation. USOA Object Classes: Financial Statement (Form F-60)

Full Reporting agencies with certain organization types must report assets and liabilities on the Annual Report. The following organization types must report this data.

Exhibit 32: Organization Types that Report Assets and Liabilities

- Independent public agency or authority for transit services
- Subsidiary unit of a transit agency, reporting separately
- Other Publicly Owned or Privately Chartered Corporation
- Other

Current Assets

Current Assets (1100), also known as short-term assets, are cash and other resources that agency can readily convert to cash, sell, or consume within one year. Applicable transit agencies must report the following current assets on the Annual Report:

- Cash and Cash Equivalents (1110)
- Accounts Receivable (1120)
- Inventory (1130)
- Prepaid Expenses (1140)
- Current Investments and Current Portions of Long-Term Investments (1150)
- Other Current Assets (1190)

Cash and Cash Equivalents

Cash and Cash Equivalents (1110) include short-term, highly liquid investments that the agency can readily convert to known amounts of cash for the liquidation of transit agency abilities, including special deposits for which a current liability exists. Cash and cash equivalents include the cash, working funds, special deposits, and temporary cash investments. See USOA 7.1.1.1, “Cash and Cash Equivalents,” for additional information.

Accounts Receivable

Accounts Receivable (1120) are amounts owed to the transit agency by other parties. It includes trade receivables, notes, acceptances receivable, and receivables from officers, employees, affiliates, and others. See USOA 7.1.1.2, “Accounts Receivable,” for additional information.

Inventory

Inventory (1130) includes the cost of unapplied materials and supplies such as tools, repair parts, and fuel. The primary basis of accounting for inventory is cost, or price paid to acquire the inventory. Cost includes the sum of applicable expenditures incurred in bringing the inventory to its existing condition and location. This generally includes the cost of all raw materials and operating supplies including tools, maintenance and repair parts, fuel, etc. The cost includes all specifically assignable transportation charges incurred in obtaining the delivery of such materials and supplies upon the premises of the carrier, including loading and unloading. The cost also includes sales and excise taxes but does not include taxes on fuel and lubricants. Transit agencies generally value inventory using one of the following three methods:

- First-In, First-Out Method (FIFO)

- Last-In, First-Out Method (LIFO)
- Weighted Average Method

See USOA 7.1.1.3, “Inventory,” for additional information.

Prepaid Expenses

Prepaid Expenses (1140) arise when the transit agency makes a payment for goods or services to be received in the future. Prepaid expenses for goods or services to be received within one year of payment are current assets. However, they are not current in the sense that they will be converted into cash but in the sense that, if not paid in advance, they would require the use of current assets. Prepaid expenses for goods or services to be received later than one year after payment are considered and reported as noncurrent assets. See USOA 7.1.1.4, “Prepaid Expenses,” for additional information.

Current Investments and Current Portions of Long-Term Investments

Current, or short-term, investments are investments made by the transit agency that can be converted into cash within one year. These investments are recorded at book value and must be readily convertible into cash. The agency also recognizes current portions of noncurrent investments as current assets. See USOA 7.1.1.5, “Current Investments and Current Portions of Long-Term Investments,” for additional information.

Other Current Assets

Other Current Assets (1190) include other resources that are readily converted to cash, such as installment or deferred accounts, the value of the current portion of a prefunded lease, and federal grants and taxes receivable within the year.

Noncurrent Assets

Noncurrent Assets (1200), also known as long-term or fixed assets, are resources that the agency expects to provide benefit for longer than one year. Applicable transit agencies must report the following noncurrent assets on the Annual Report:

- Capital Assets (1210)
- Intangible Assets (1220)
- Capital Lease Receivable (1230)
- Special Funds (1240)
- Work in Progress (1250)
- Investments (1260)

- Other Noncurrent Assets (1290)

Capital Assets

Capital Assets (1210) include land, improvements to land, easements, buildings, building improvements, vehicles, machinery, equipment, works of art and historical treasures, infrastructure, and all other tangible or intangible assets that have useful lives over one year. Value of the capital assets includes the capitalized expenses associated with that asset which typically include acquisition costs and improvement costs and are adjusted for depreciation and asset impairment. See USOA 7.1.2.1, “Capital Assets,” for additional information.

Intangible Assets

Intangible Assets (1220) are not physical in nature. Examples of intangible assets include software, air rights, easements, water rights, timber rights, patents, and trademarks. In some cases, the agency may capitalize pollution remediation outlays in the financial statements, subject to certain limitations. See USOA 7.1.2.2, “Intangible Assets,” for additional information.

Capital Lease Receivable

A lease is considered a capital lease if it meets any of the following four criteria at its inception (the earlier of the date of the lease agreement or commitment):

- Transfer of ownership
- Bargain purchase option
- Lease term
- Minimum lease payments

The lessor (the transit agency that owns the asset being leased) reports the capital lease as a noncurrent receivable in the amount of the sum of the minimum lease payments, net of executory costs (e.g., maintenance, taxes, and insurance) and the residual value. However, the agency reports capital lease payments that it expects to receive within one year under Accounts Receivable. Lease payments received by the lessor agency reduce the capital lease receivable and the agency reports them as Other Agency Revenues for the reporting period.

The lessee (the transit agency that is leasing the asset) will initially measure the capital lease asset and capital lease obligations. Lessees do not report capital lease receivables.

See USOA 7.1.2.3, “Capital Lease Receivable,” for additional information.

Special Funds

Special Funds (1240) include cash and near cash items whose use is restricted to satisfying a specific class of transit agency's long-term obligations. It includes capital asset, insurance reserve, sinking and other special funds. See USOA 7.1.2.4, "Special Funds," for additional information.

Work in Progress

Work in Progress (1250) covers labor, material, and overhead amounts applied to projects not yet completed or placed in service. Projects may be capital projects for use by the transit agency or work for others for which the transit agency will be reimbursed.

Investments

This covers investments of transit agency funds in the operation of other entities for purposes other than the temporary investment of surplus cash. It also includes investments and advances and reserve for revaluation of investments. Investment and advance amounts include the book value of the transit agency's investments in securities issued or assumed by companies and the notes of companies and persons maturing more than one year from date of issue. This also includes the cash surrender values of insurance policies carried on the lives of officers and employees when the transit agency is beneficiary of such policies. Advances to companies and individuals not subject to current settlement, including accrued interest on such advances when not subject to current settlement, are also considered investments.

Other Noncurrent Assets

Other noncurrent assets (1290) are resources that the agency expects to provide benefit for longer than one year that are not provided for in the above object classes.

Deferred Outflows of Resources

Deferred outflows of resources represent a consumption of a transit agency's net assets that is applicable to a future period, e.g., pre-paid insurance. Deferred outflows of resources are reported separately from assets.

Current Liabilities

Current liabilities (2100) (also known as short-term liabilities) are estimated or accrued debts or obligations that are due within one year. The agency reasonably expects their liquidation to require the use of current assets (e.g., cash and cash equivalents) or the

creation of other current liabilities (e.g., short-term bank loans). Current liabilities may arise from regular business operations (e.g., accounts payable) or to meet cash needs through borrowings (e.g., short term notes payable).

Transit agencies must report the following current liabilities:

- Current Accounts Payable (2110)
- Short-term Debt and Current Portions of Long-Term Debt (2120)
- Accrued Liabilities (2130)
- Other Current Liabilities (2190)

Accounts Payable

Accounts payable are the amounts payable to others for materials and services received, including use of property, matured rents, amounts due to public authorities, amounts of payable judgments, current accounts with officers and employees, and personal injury and property damage claims. See USOA 7.3.1.1, “Current Accounts Payable,” for additional information.

Short-Term Debt and Current Portions of Long-Term Debt

Short-Term debt covers obligations to repay borrowings for periods of less than one year and current maturities of long-term debt. Monies received to cover debt expenses are considered a financing mechanism and the agency does not report them as a source of revenue.

Accrued Liabilities

Accrued Liabilities (2130) represent expenses recognized or incurred but not yet paid. Accrued liabilities include interest, wages, taxes and pension liabilities. See USOA 7.3.1.3, “Accrued Liabilities,” for additional information.

Other Current Liabilities

Other Current Liabilities (2190) cover miscellaneous obligations of the transit agency due within one year of the current period ending date and not included in the above object classes.

Noncurrent Liabilities

Noncurrent liabilities (2200) (also known as long-term liabilities) represent future expenditures associated with current obligations that are not payable within the current reporting year.

Transit agencies must report the following noncurrent liabilities:

- Long-Term Debt (2210)
- Noncurrent Accounts Payable (2220)
- Capital Lease Obligations (2230)
- Long-term Pension Liabilities (2240)
- Estimated Liabilities (2250)
- Other Noncurrent Liabilities (2290)

Long-Term Debt

Long-Term Debt (2210) includes obligations of the transit agency due after one year from the current fiscal year ending date and evidenced by formal long-term debt instruments (e.g., equipment obligations, bonds). Monies received to cover debt expenses are considered a financing mechanism and agencies do not report them as a source of revenue. Long-term debt includes equipment obligations, bonds, receivers and trustees' securities and long-term construction liabilities. See USOA 7.3.2.1, "Long-Term Debt," for additional information.

Noncurrent Accounts Payable

This object class includes long-term obligations of the transit agency evidenced by open accounts and notes rather than by more conventional long-term debt instruments (e.g., equipment obligations, bonds). This includes the amount received from individuals and companies, whether evidenced by notes or open accounts, including interest accrued when such expenses are not subject to current settlement.

Capital Lease Obligations

The lessee (i.e., the transit agency that is leasing the asset) will initially measure the capital lease asset and capital lease obligation at an amount equal to the present value, at the beginning of the lease term, of minimum lease payments during the lease term, excluding executory costs (e.g., insurance, maintenance, and taxes). For example, an agency that leases a bus for a lease term of ten years will calculate the present value of the ten annual lease payments and record this value as a noncurrent asset. If the agency

cannot determine the minimum lease payments, the agency will make an educated estimate of the amount. If the present value of the minimum lease payments is greater than the fair value of the leased property at the beginning of the lease term, the agency will record the fair value as the capital lease asset and capital lease obligation. The agency amortizes capital leases not involving land in a manner consistent with the lessee's normal depreciation method. See USOA 7.3.2.3, "Capital Lease Obligations," for additional information.

Long-Term Pension Liabilities

Long-Term Pension Liabilities (2240) represent Pensions or Other Post-Employment Benefits (OPEB) liabilities that are recognized in the transit agency's financial statements.

Estimated Liabilities

Estimated Liabilities (2250) represent recognition of probable future charges that result from prior acts. An example of an estimated liability is uninsured public liability and property damage losses. Uninsured public liability and property damage losses are the estimated amounts required to pay settlements for injuries and damages to the person or property of others which are not covered by outside insurance.

Other Noncurrent Liabilities

Other Noncurrent Liabilities (2290) cover the amount of long-term obligations not provided for in the above object classes and maturing more than one year from the current period ending date. This includes executed or assumed items, such as real estate mortgages, assessments for public improvements, receipts outstanding for long-term obligations and other obligations maturing more than one year from the reporting date. Other noncurrent liabilities include deferred credits, which include credit balances in suspense accounts that cannot be entirely cleared and disposed of until additional information is received, and other items of a deferred nature.

Deferred Inflows of Resources

Deferred inflows of resources represent an acquisition of a transit agency's net assets that is applicable to a future period, e.g., prepayment of the next fiscal year's taxes. Deferred inflows of resources are reported separately from liabilities.

Net Position

Net position (3000) is typically known as the difference between assets, deferred outflows or inflows of resources and liabilities and is an indicator of an agency's financial position at a point in time. The net position of a transit agency typically includes the net investment on capital assets, restricted funds for capital projects, reserves or contingencies, unrestricted funds and accumulated earnings or losses.

SERVICE DATA REQUIREMENTS (FORM S-10 & MR-20)

Service Supplied

An overview of the data associated with service that transit agencies schedule and operate

Service Consumed

A summary of data points for passenger use of service

Service Operated

Definitions and requirements of peak service and directional route miles

Monthly Ridership Reporting (Form MR-20)

An explanation of data points required for monthly reporting on Form MR-20

Service Supplied

Transit agencies must report actual service data on services provided during the fiscal year. The following sections review the service data that agencies must provide on their Annual Reports.

Revenue Service

A transit vehicle is in revenue service when it is providing public transportation and is available to carry passengers. Non-public transportation activities, such as exclusive school bus service and charter service are not considered revenue service. Revenue service includes both fare and fare-free services.

Agencies that provide transit service report revenue service data, such as

- Actual revenue hours
- Actual revenue miles

Actual Vehicle Revenue, Passenger Car Revenue, and Train Revenue Hours and Miles

Actual Vehicle Revenue Hours (VRH) and Actual Vehicle Revenue Miles (VRM) are figures that take into account the hours and miles vehicles travel while in revenue service. Revenue hours for conventional scheduled services include

- Running time
- Layover/recovery time

Revenue miles include the distances traveled during running time and layover/recovery time.

Running time is the time it takes a transit vehicle to travel from the beginning to the end of a transit route. A transit agency's passenger timetable typically shows the running times for trips it operates.

Usually, agencies schedule layover/recovery time at the end of each trip. Transit agencies use this time to provide the operator a break or to give the operator an opportunity to get service back on schedule if it was running late. Layover includes the time to turn a train around at the end of a line, and the delay time needed to depart at a desired departure time. Layover time typically ranges from 10 to 20 percent of the running time.

VRM and VRH exclude the miles and hours related to

- Deadhead time
- Operator training
- Maintenance testing
- Other non-revenue uses of the vehicles

There are two different types of measures of VRH and VRM for rail service: train revenue hours/miles and passenger car revenue hours/miles.

For Demand Response (DR) service, the FTA uses a different definition of revenue service. For DR 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 or have interruptions in service such as lunch breaks or vehicle fueling and servicing.

For Commuter Rail (CR) and Alaska Railroad (AR) modes, do not include locomotive miles and hours when reporting passenger car miles and hours.

Deadhead

When transit vehicles are deadheading, they operate closed-door and do not carry passengers. Deadhead includes

- Leaving or returning to the garage or yard facility to or from the starting or ending point of revenue service
- Changing routes
- When the driver does not have the duty to carry passengers

Deadhead does not include

- Revenue service
- Additional activities, such as
 - Charter service
 - School bus service
 - Operator training
 - Fueling
 - Maintenance testing

For fixed route services, deadhead includes the miles and hours when a vehicle is not available to the public and is traveling to its first publicly advertised stop.

For non-fixed route services, deadheading can involve travel from:

- The garage to the dispatching point
- The last passenger drop-off to the dispatching point
- The last passenger drop-off to the garage
- The dispatching point to the garage

The dispatching point is defined as the location where a driver receives his or her schedule to provide revenue service.

Deadhead does not include fueling or lunch breaks. Some transit agencies do not have fueling facilities at their maintenance facilities or parking lots. In these cases, drivers may fuel vehicles on the way back to the garage. Some operators travel to lunch between a drop off and the next pick up. Transit agencies should not report the time or miles drivers spend fueling vehicles or traveling to and from lunch.

FTA may review certain services to determine whether they should be reported as revenue or deadhead.

Only Full Reporters report deadhead data. Full Reporters do not report deadhead for the Vanpool (VP) mode or the Taxi (TX) and Transportation Network Company (TN) types of service.

Actual Service Data

Actual service data are the statistics of the services actually provided during the fiscal year of the transit agency. Actual service data excludes scheduled service that did not occur (e.g., missed trips, service interruptions due to strikes, emergency shutdowns, etc.).

Agencies collect this data and report on an annual or monthly basis, depending on reporter type.

For agencies that operate Vanpools, there may be times when passengers fail to report data for VRM and VRH for certain trips. If this occurs, please contact the assigned NTD analyst.

Actual Vehicle Hours and Miles

Actual vehicle hours and miles are the hours and miles that vehicles travel while in revenue service plus deadhead hours. Actual vehicle hours and miles exclude the hours and miles from the following activities:

- Charter service

- School bus service
- Operator training
- Fueling and lunch breaks
- Maintenance testing

Transit agencies must collect and report actual service data for the fiscal year of the Annual Report. The NTD refers to actual annual service data as an agency's annual totals. Annual totals include all service that a transit agency actually provides during the year. Therefore, annual totals include both typical and atypical service as described in the "[Scheduled Service](#)" section of this chapter.

All agencies must record actual miles and hours and revenue miles and hours. It is important for agencies to understand the differences between actual miles and hours and revenue miles and hours to ensure they do not mistakenly include incorrect data as revenue service. Full Reporters must provide both actual vehicle data and actual revenue service data.

Actual Passenger Car Hours and Miles

Actual passenger car hours and miles are the hours and miles that passenger cars travel while in revenue service and while deadheading. Actual passenger car hours and miles include the hours and miles during layover and recovery time but exclude the hours and miles from the following activities:

- Charter services
- Operator training
- Fueling
- Vehicle maintenance testing

Actual Train Hours and Miles Actual train hours and miles are the hours and miles that trains travel while in revenue service plus deadhead hours. Actual train hours and miles include hours from layover and recovery time but exclude hours and miles from the following activities:

- Charter services
- Operator training
- Vehicle maintenance testing

The following exhibits provide common examples for each data type and show what activities agencies should include under revenue miles and hours.

Exhibit 33: Miles and Hours for Bus (MB, CB, RB) Services

Activity	Actual Vehicle Hours	Actual Vehicle Miles	Vehicle Revenue Hours	Vehicle Revenue Miles
Bus travels (deadheads) from dispatching point to start of a route.	Yes	Yes	No	No
Bus travels 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 a route, incurs layover. Passengers can board during layover.	Yes	N/A	Yes	N/A
Bus arrives at the end of a route, incurs layover. Passengers cannot board during layover.	Yes	N/A	Yes	N/A
Bus arrives at the end of the route, parks, and goes out of service. Resumes service in PM peak.	No	No	No	No
Bus arrives at the end of the route, travels (deadheads) to a storage lot, and parks.	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
Bus travels from the garage to another maintenance facility to perform routine maintenance.	No	No	No	No
Trip is terminated due to a collision with another vehicle, and the bus travels to a maintenance facility.	Yes	Yes	No	No

Activity	Actual Vehicle Hours	Actual Vehicle Miles	Vehicle Revenue Hours	Vehicle Revenue Miles
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
Driver fuels the vehicle at a gas station.	No	N/A	No	N/A

Exhibit 34: Miles and Hours for Demand Response Services

Activity	Actual Vehicle Hours	Actual Vehicle Miles	Vehicle Revenue Hours	Vehicle Revenue 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 onboard.	Yes	Yes	Yes	Yes
Driver travels to a restaurant for lunch after the last passenger drop-off.	No	No	No	No
Driver eats his lunch at a restaurant.	No	N/A	No	N/A
Driver leaves restaurant to pick up passengers.	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 onboard.	Yes	Yes	No	No
Vehicle waits at the shopping mall until it is time to bring passengers back to the community center.	Yes	N/A	Yes	N/A

Activity	Actual Vehicle Hours	Actual Vehicle Miles	Vehicle Revenue Hours	Vehicle Revenue Miles
Driver fuels the vehicle at a gas station.	No	N/A	No	N/A

Transit agencies must report accurate, true statistics for Vehicle Revenue Miles (i.e., no estimates). The following exhibit describes how an agency should collect these data.

Exhibit 35: Miles and Hours for Rail Services

Activity	Actual Vehicle Hours	Actual Vehicle Miles	Vehicle Revenue Hours	Vehicle Revenue Miles
Train travels (deadheads) from the yard to the station where the trip is scheduled to start.	Yes	Yes	No	No
Train departs from the yard and travels to an adjacent station. The transit agency states that the train is in revenue service; however, no passengers are allowed to board.	Yes	Yes	No	No
Train travels from beginning to end of the line carrying passengers.	Yes	Yes	Yes	Yes
Train completes trip, incurs layover time. Passengers cannot board during layover.	Yes	N/A	Yes	N/A
Train completes trip, lays over at a maintenance facility adjacent to the station. Passengers cannot board during layover.	Yes	Yes	Yes	Yes
Train completes trip, lays over. Passengers can board during layover.	Yes	N/A	Yes	N/A
Train departs from station A, breaks down at station B. Trip is terminated. Passengers alight at station B to board the next train. Trip operated from station A to station B.	Yes	Yes	Yes	Yes
Trip not operated beyond station B.	No	No	No	No

Activity	Actual Vehicle Hours	Actual Vehicle Miles	Vehicle Revenue Hours	Vehicle Revenue Miles
Train departs from station A, short turns at station B. Passengers alight at station B and board the next train. Trip operated from station A to station B.	Yes	Yes	Yes	Yes
Trip not operated beyond station B.	No	No	No	No
Train departs from station A, stops at station B, and then proceeds directly to the end of the line without any stops. Passengers onboard can only alight at Station B or at end station. Trip operated from station A to station B.	Yes	Yes	Yes	Yes
Trip operated nonstop beyond station B.	Yes	Yes	Yes	Yes
Train completes trip, deadheads to the end of another line for another trip.	Yes	Yes	No	No
In the transition from AM to midday service, the train parks at the end station and is out of service. Service will resume for PM peak.	No	N/A	No	N/A
In the transition from AM to midday service, the train travels (deadheads) to the yard.	Yes	Yes	No	No
Train travels for operators' training and no passengers are allowed to board.	No	No	No	No
Train travels from the yard to a maintenance facility.	No	No	No	No

Vehicles Available for Annual Maximum Service

Vehicles Available for Annual Maximum Service (VAMS) is the number of revenue vehicles a transit agency has available to meet its annual maximum service requirement. VAMS include:

- Spares (revenue vehicles used to accommodate routine maintenance and repair operations, and to replace vehicles in scheduled service that breakdown or are involved in accidents)

- Vehicles in or awaiting maintenance

Transit agencies should include vehicles undergoing routine maintenance in the VAMS total. However, if an agency rehabilitates a vehicle and the rehabilitation requires extensive time before the vehicle can reenter revenue service, agencies should not include the vehicle in the VAMS total.

VAMS excludes vehicles awaiting sale and emergency contingency vehicles. Emergency contingency vehicles are inactive revenue vehicles that have reached the end of their useful life. Rather than requiring agencies to dispose of the inactive vehicles, FTA allows them to retain the vehicles to be used in the event of local emergencies (floods, earthquakes, etc.). FTA allows for this exception only if the vehicles are a part of an FTA-approved emergency contingency plan.

Rail Mode Requirements

Transit agencies must report both passenger cars and locomotives for Commuter Rail (CR) modes. Agencies must report locomotives in VAMS, regardless if they carry passengers in revenue service.

Vehicles Operated in Annual Maximum Service

VOMS is the number of revenue vehicles an agency operates to meet the annual maximum service requirement. Agencies count their annual VOMS during the peak season of the year on the busiest day that they provide service. In most cases, this is the number of scheduled vehicles because most transit agencies have enough vehicles to operate the scheduled service. VOMS excludes atypical days or one-time special events for non-Demand Response modes.

Exhibit 36: VOMS and VAMS: Non-Rail Modes

Non-Rail Modes	Demand Response and Vanpool	All Other Non-Rail Modes
VOMS	The largest number of vehicles in revenue service at any one time during the reporting year (includes atypical service).	The largest number of operated (usually scheduled) revenue vehicles in service at any one time during the reporting year (excludes atypical service).

Non-Rail Modes	Demand Response and Vanpool	All Other Non-Rail Modes
VAMS	The largest number of vehicles in revenue service at any one time during the reporting year (includes atypical service) and all spare vehicles available at this time.	The largest number of revenue vehicles in service at any one time during the reporting year (excludes atypical service) and all the spare vehicles available to provide both typical and atypical service.

Exhibit 37: VOMS and VAMS: Rail Modes

Rail Modes	Commuter Rail and Alaska Railroad	All Other Rail Modes
VOMS	The largest number of passenger cars and locomotives operated (usually those scheduled for service) at any one time during the reporting year (excludes atypical service). Passenger cars and locomotives each count as a vehicle in this case.	The largest number of passenger cars (vehicles) operated (usually those scheduled for service) at any one time during the reporting year (excluding atypical service).
VAMS	The largest number of passenger cars and locomotives operated (usually scheduled for service) at any one time during the reporting year (excludes atypical service) and the total number of spare passenger cars and locomotives available to provide typical and atypical service. Passenger cars and locomotives each count as a vehicle in this case.	The largest number of passenger cars (vehicles) operated (usually scheduled for service) at any one time during the reporting year (excluding atypical service) and all spare passenger cars available to provide typical and atypical service.

Scheduled Service

Full Reporters do not report scheduled service for the Taxi (TX) and Transportation Network Company (TN) types of service.

Scheduled service is the total service to be provided for picking up, transporting, and discharging passengers. Full Reporters provide these data using internal transit agency planning documents (e.g., run paddles and public timetables). Scheduled service does not consider service interruptions or special additional services.

Scheduled Vehicle Revenue Miles and Passenger Car Revenue Miles

Full Reporters calculate scheduled VRM based on their scheduled service. Scheduled VRM does not include

- Deadhead
- Operator training
- Maintenance testing
- School bus and charter services
- Service interruptions
- Special additional services

How to Report Average Daily Service Full Reporters must provide average daily data for a weekday schedule, Saturday schedule, and Sunday schedule. Average daily data depends on whether services are fixed route or non-fixed route.

For non-fixed route and non-scheduled services (e.g., Demand Response (DR) and Vanpool (VP)), the average daily totals cover days the mode operates, including typical and atypical service.

For scheduled, fixed route services, such as Bus (MB), Commuter Bus (CB), Bus Rapid Transit (RB), and rail modes, the average daily totals correspond to a typical day of service. Agencies do not report the following in fixed-route schedules in the average day totals:

- One-time or limited events such as game day football shuttles, extra holiday shopper service, or a visit to the city by the President of the United States;
- Extra service agencies operate to meet demand, whether associated with a special event or not; or
- Severe inclement weather days such as hurricanes and snowstorms.

Typical Service Day

The average daily schedule must cover the service that agencies operate on typical days (for fixed route services). Most transit agencies operate different schedules with seasonal variation, and agencies may add or delete certain routes during the year. The average daily schedules must account for the seasonal variation in service. Agencies must use a weighted average over the course of the year to report service that changes during the year.

A typical day is a day when a transit agency

- Operates its normal, regular schedule
- Does not provide extra service to meet demands for special events such as conventions, parades, or public celebrations
- Does not operate significantly reduced service because of unusually bad weather (e.g., snow storms, hurricanes, tornadoes, earthquakes) or major public disruptions (e.g., terrorism)

Often, transit agencies operate their Sunday schedule on holidays that fall on Monday through Saturday. Agencies should include the data for these holidays under the day for the schedule that they operate (e.g., if operating on a Sunday schedule for a holiday on a Tuesday, the data would be included under Sunday).

Atypical Service Day

Atypical service days occur when a transit agency does not operate its normal, regular schedule. Instead, the agency

- Provides extra service to meet demands for special events, such as conventions, parades, or public celebrations, or
- Operates significantly reduced service because of unusually bad weather (e.g., snowstorms, hurricanes, tornadoes, earthquakes) or major public disruptions (e.g., terrorism)

Full Reporters do not include atypical service in scheduled service data for non-Demand Response modes. Full Reporters must include atypical service data under Actual Annual Service Data totals for all service modes.

Exhibit 38: Computing Average Daily Schedule Data: Bus

Example 1: How do I compute the average weekday total of actual vehicle miles for MB service?

Solution: Determine the total actual vehicle miles for typical weekday operations and divide that number by the number of typical weekdays.

	Typical Weekday Operation	Atypical Weekday Operation	Total
Total vehicle miles operated	6,993,520	562,330	7,555,850
Number of days	230	20	250

*Average Weekday Total = Actual vehicle miles on typical weekdays / days that were typical weekdays = 6,993,520 / 230 = **30,407***

**Atypical weekdays are excluded from the actual vehicle miles and the number of days used to determine the Average Weekday Total.*

Exhibit 39: Computing Average Daily Schedule Data: Demand Response

Example: How do I compute the average weekday total of actual vehicle miles for DR service?

Solution: Determine the total actual vehicle miles and divide by the total number of days operated.

Total vehicle miles operated: 1,567,238

Total Number of days: 250

*Average Weekday Total = Actual vehicle miles / days = 1,567,238 / 250 = **6,269***

Deviated Services

Agencies may provide deviated or point deviated fixed route services. Full Reporters should not include deviations in their total scheduled revenue miles. In this case, actual Vehicle Revenue Miles will exceed total scheduled Vehicle Revenue Miles.

Charter Service

Transit agencies may provide charter service to private clients. The client defines this service; the vehicle does not operate over a transit route on a regular schedule and it is not available to the public.

Charter service does not meet the definition of public transportation. Therefore, transit agencies must exclude charter service from their revenue service data.

Additional Full Reporter Requirement: Charter Service Hours

Full reporting transit agencies must report the total number of charter service hours they provided, including charter deadhead hours. These transit agencies report this value under a separate, charter service-specific total.

School Bus Service

School bus service is not open to the public. Instead, the service serves students exclusively. Transit agencies may not report school bus service data to the NTD.

School bus service does not include additional trips, called school trippers, that a transit agency may operate on an existing route to meet the daily or seasonal demands of traveling students. Agencies should report school trippers as part of revenue service.

Additional Full Reporter Requirement: School Bus Hours

Full reporting transit agencies must report the total number of school bus service hours they provided, including school bus deadhead hours. These transit agencies report this value under a separate, school bus service-specific total.

Volunteer Service

Transit agencies should provide data for services using volunteer resources if they meet the following criteria:

- The volunteer driver is a part of the transit agency's regular service (e.g., the driver provides advanced notice to the dispatchers);
- There is an attempt to share a ride; and
- The transit agency keeps records for all public transit service according to NTD reporting requirements.

The NTD analysts may request samples of data logs to determine if the volunteer service is eligible for NTD reporting.

Rural agencies that use volunteer resources report the following data points:

- Volunteer drivers—the number of volunteer drivers the agency has available.
- Personal vehicles in service—the number of personal vehicles routinely used by the agency. Personal Vehicles used for service are not included in any asset forms.

Service Consumed

Unlinked Passenger Trips

UPT is the number of boardings on public transportation vehicles during the fiscal year. Transit agencies must count passengers each time they board vehicles, no matter how many vehicles they use to travel from their origin to their destination. If a transit vehicle changes routes while passengers are onboard (interlining), transit agencies should not recount the passengers. Employees or contractors on transit agency business are not passengers.

For the Demand Response (DR) mode, transit agencies must include personal care attendants and companions in UPT counts as long as they are not employees of the transit agency. This includes attendants and companions that ride fare free.

For Vanpool (VP) service, agencies generally must report the driver as a passenger and include the driver in UPT counts. In almost all cases, the Vanpool driver is unpaid and is traveling for personal reasons (e.g., work commuting, shopping). In the rare case when the driver is being employed as a driver and not traveling for personal reasons, then the driver should not be counted as a passenger.

For Ferryboat mode (FB), the FTA has specific reporting rules when other transportation modes utilize the FB service. These other transportation modes may be public transit modes such as VP, or they may be private vehicles, such as automobiles. Transit agencies must report UPT for each vehicle occupant of these other transportation modes (including the driver), whether the other transportation mode is public or private.

Additional Requirements for Full Reporters

Full Reporters must report both total UPT and UPT attributable to ADA requirements (e.g., complementary paratransit) for the DR mode. The total UPT should include UPT attributable to ADA requirements and sponsored service UPT.

For rail transit agencies, there is a difference between UPT and passengers entering the agency through fare turnstiles. Typically, rail agencies allow passengers to transfer from one train to another train without exiting the rail system. In these cases, the turnstile counts are always less than unlinked passenger counts because the turnstile counts do not include counts of passengers boarding multiple trains within the transit system.

ADA-Related Unlinked Passenger Trips

ADA UPT is the number of passenger boardings on public transportation vehicles for complementary paratransit services (DR mode) associated with or attributed to the ADA compliance requirements. Transit agencies should include personal care attendants and companions in this ADA UPT total.

Note: Transit agencies should make sure to include the ADA UPT in Total UPT as well. Transit agencies should not include ADA UPT under Sponsored UPT. ADA-related UPT should not include any sponsored services.

Transit agencies report ADA data based on their ADA definition (e.g., $\frac{3}{4}$ of a mile or above and beyond minimum ADA requirements).

Sponsored Service

Sponsored service is paid in whole or in part by a third party who, in many cases, handles trip arrangements. Common sponsored services include

- Medicaid
- Meals-On-Wheels
- Head Start
- The Arc of the United States
- Shelter workshops
- Independent living centers

The FTA considers these services as public transportation if they are part of a coordinated human services transportation plan and there is an attempt to group rides. Local areas develop coordinated plans to identify transportation needs and assist individuals with

disabilities, older adults, and people with low incomes. Transit agencies must include sponsored UPT in their total regular UPT.

Passenger Miles Traveled

PMT is the sum of the distances each passenger traveled during the year.

For Ferryboat mode (FB), the FTA has specific reporting rules when other transportation modes utilize the FB service. These other transportation modes may be other public transit modes such as VP, or they may be private vehicles, such as automobiles. Transit agencies must report PMT only once under FB, because the other public or private vehicle is not moving under its own power while aboard the ferry service.

PMT for New Reporters

Transit agencies must collect and report PMT data using one of the methods described under the *Collecting Service Consumed Data* section below. However, a first-time reporter's fiscal year may have expired without collection of the correct data before it began reporting to the NTD. In this circumstance, first-year reporters must submit a waiver request for reporting PMT in which they propose a reasonable approach for estimating PMT.

Collecting Service Consumed Data

For special service consumed data collection considerations during the COVID-19 pandemic, please consult [Guide: NTD Reporting and COVID-19](#).

Transit agencies must report actual data on the Annual Report for all service data except UPT and PMT. Only Full Reporters report PMT data to the NTD. For these two data points, agencies may provide an estimate but only if the actual 100 percent data are not reliably collected and routinely processed. If an agency collects and routinely processes true UPT or PMT data, it must report the actual data on the Annual Report.

Transit agencies may collect data during the year by using drivers' logs, mobile data terminals, automatic passenger counters (APCs), manual passenger counters, and fareboxes. If a transit agency estimates UPT or PMT data, it must adhere to FTA requirements of estimation procedures, as described in the following sections.

100 Percent Counts of Unlinked Passenger Trips and Passenger Miles Traveled

Transit agencies must perform and routinely process reliable 100 percent counts of UPT and PMT to report these data. Transit agencies are not required to report these data if

either the transit agency does not routinely process these data, or it does not believe that the data are reliable.

Sometimes transit agencies performing 100 percent counts will miss passenger counts on some vehicle trips because of personnel problems or equipment failures. If these vehicle trips are 2 percent or less of the total, transit agencies may factor the data to account for the missing trips. However, if the vehicle trips with missing data exceed 2 percent of total trips, agencies must have a qualified statistician approve the factoring method.

Transit agencies must sample annually for modes of service where 100 percent counts of UPT are not conducted. This FTA requirement applies to all agencies regardless of the type of service provided and the size of their primary UZAs.

Transit agencies must sample every year (one-year sampling cycle) if their services meet the following requirements:

- The agency directly operates the service;
- The agency serves a primary UZA with population of 500,000 more; and
- The agency has VOMS of 100 or more across all directly operated modes.

Transit agencies are permitted to sample every three years (three-year sampling cycle) for a mode and TOS if:

- The agency collects 100 percent counts of UPT every year for the mode and TOS; and
- One of the following conditions is met:
 - The agency directly operates all modes, and the total VOMS is less than 100;
 - The agency serves a primary UZA with population of less than 500,000; or
 - The TOS is purchased transportation.

Automatic Passenger Counters

Some transit agencies use APCs for collecting UPT and PMT data through sampling or a 100 percent count. The use of APCs for NTD reporting requires FTA approval. If a transit agency fails to obtain FTA approval, FTA may not accept the reported APC-derived data.

FTA must approve the following for agencies to report APC data:

- APC benchmarking plan for the first year
- APC maintenance plan every three years, beginning in 2019

The APC benchmarking plan and maintenance plans must include:

1. Validation of the APC data for UPT and PMT data against a *manual sample*:
 - a. Agencies operating 30 or fewer active vehicles must sample at least 15 trips.
 - b. Agencies with greater than 30 active vehicles should sample, at least, the larger of 15 trips or half of the number of APC equipped vehicles, up to 50 trips. These numbers represent the smallest acceptable sample. Agencies may perform larger samples at their discretion.
 - c. The trips sampled for the manual sample do not need to be randomly selected and can be spread out over any period of time within the same year. The sample should include heavy ridership trips and at least one trip per vehicle type and APC model. For rail systems, a trip is a one-way train trip. These systems are only required to manually sample one car per train, and should compare the manual and APC counts on that car. Rail systems may station ride checkers on multiple cars per train at their discretion, but the sample will still count as just one train trip.
2. A description of the agency's APC system
3. A description of agency's sampling procedures
4. A list of trips that were flagged and rejected from the sample with explanations for each. The explanation cannot be that the trip was rejected because it was different from the manual data.
5. The percentage of trips that do not have valid APC data over the course of a typical year, either because the APC malfunctioned, the data were corrupted, the data failed a validation check, or for any other reason.
6. Descriptions of the differences (if any) in the set of distances between stops (e.g., interstop distances) the agency used to calculate PMT using manual and APC data. Ideally, the agency will use the same set of distances for both calculations.
7. The following metrics, both of which must be less than 5 percent:
 - a. Percent Difference of manual vs. APC UPT
 - b. Percent Difference of manual vs. APC PMT

Manual counts can be made using data collection staff or on-board cameras. To ensure accurate counts FTA recommends using a data collector at each door on heavily loaded trips. APC data should be processed to correct for anomalies as it would be in the reporter's normal data collection process. The objective is to compare manually collected data with processed APC data and demonstrate that they are equivalent or that any differences are justifiable.

Transit agencies applying to use APC data must submit the benchmarking plan (and its results after implementation) to FTA for approval. If FTA rejects an agency's APC system, the agency should reexamine its APC data collection procedures, make any needed adjustments, perform any needed maintenance on the system, and retest. FTA expects the sampling process to take less than a month; this should allow agencies to retest before the end of the year, thus ensuring that an agency that encounters problems in its APC testing can nonetheless provide an uninterrupted set of data to NTD. Agencies must also submit the results of the triennial maintenance plans to FTA for approval.

Each mode and type of service must certify its APCs individually unless they share fleets.

If, at any time, an agency installs new and substantially different APC equipment, the APCs must be recertified.

Estimation Methods for Unlinked Passenger Trips and Passenger Miles Traveled

Only Full Reporters report PMT data.

If 100 percent counts of UPT or PMT are not available and reliable, agencies must estimate and report UPT, or PMT based on statistical sampling. FTA requirements for sampling UPT and PMT for all modes and types of service are:

- Minimum confidence of 95 percent
- Minimum precision level of ± 10 percent

The required precision level (± 10 percent) applies to the annual total data that an agency reports. For Full Reporters reporting data for average day schedules, the precision levels for an average day will be larger than ± 10 percent if the sample size for the annual total was designed to meet ± 10 percent exactly.

Transit agencies may use any data sampling technique that meets the 95 percent confidence and ± 10 percent precision levels. Transit agencies may use different sampling techniques for each mode and TOS. If a transit agency samples, it must follow the sampling technique exactly. Agencies may oversample, as long as the oversampling is selected randomly. However, agencies must not collect a smaller sample than the chosen sampling plan prescribes. Additionally, agencies must not change the number of trips in the sample, except to randomly oversample, or the approaches for selecting trips that comprise the sample.

A transit agency may use one or more of the following sampling plans, each discussed below:

- FTA-approved sampling methods, and/or

- Alternative sampling techniques

Transit agencies must retain sampling documentation in their records for at least three years. In many cases, agencies need this information during their Triennial Review.

FTA-Approved Sampling Methods

To assist transit agencies with sampling, FTA has developed acceptable UPT and PMT sampling procedures for all modes. The [NTD Sampling Manual](#) includes definitions, sampling procedures, data recording procedures, annual report compilation, and sample selection information.

FTA issued the *NTD Sampling Manual* in 2009 to help transit agencies prepare sampling plans that are tailored to their operating environment. The manual covers the development of sampling plans for all modes. If data are not available for a particular mode, the manual provides default sampling templates. If data are available, then agencies may use customized sampling plans.

Alternative Sampling Methods

Transit agencies may use any other procedure to sample UPT or PMT data, as long as the procedure meets FTA confidence intervals and is approved by a qualified statistician. In the NTD, sampling plans created by agencies or statisticians are referred to as *alternative sampling methods*.

A qualified statistician can ensure that a sampling plan meets FTA statistical sampling requirements. FTA does not prescribe specific statistician qualifications. Instead, transit agencies must ensure that statisticians are qualified. The statistician may be an in-house staff person with a working knowledge of, 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 design the sampling technique to meet FTA confidence and precision levels.

Transit agencies must use this method to retain sampling documentation in their files. The documentation should include

- A description of the method that specifies the parameters used to estimate UPT (e.g., UPT per vehicle trip x number of vehicle trips operated) if a 100 percent count of UPT is not available or reliable, and PMT (e.g., PMT per vehicle trip x number of vehicle trips operated), and the rationale used to estimate the coefficient(s) of variation,

- A signed review of the technique by a qualified statistician, including a statement that the technique meets FTA confidence and precision levels, and
- A summary of the statistician’s education and experience that indicates that the statistician is qualified

Sampling for Purchased Transportation Types of Service

The FTA has developed additional reporting requirements for sampling purchased transportation types of service:

- Purchased transportation sellers may use different sampling techniques than those used by a transit agency for DO service; and
- A transit agency may apply one sample method to cover all purchased transportation services for a specific mode, or each purchased transportation contractor (seller of service) may use a separate sampling method.

Sampling Cycles

For special sampling cycle considerations during the COVID-19 pandemic, please consult the NTD Reporting Guide on <https://transit.dot.gov/ntd/manuals>.

FTA has set minimum one-year or three-year sampling cycles for transit agencies. The requirements are based on the TOS. For directly operated services, the requirements are further stratified by the size of the primary UZA and the number of VOMS directly operated across all modes.

Transit agencies must sample every year (one-year sampling cycle) if their services meet the following requirements:

- The agency directly operates the service;
- The agency serves a primary UZA with population of 500,000 more; and
- The agency has VOMS of 100 or more across all directly operated modes.

Agencies must sample annually if they do not have a 100 percent count of UPT.

Exhibit 40: Sampling Cycle Requirements

TOS	Primary UZA Population	Total VOMS for Modes	100% Count of UPT Conducted?	Mandatory Year
DO	≥ 500,000	≥ 100	Yes/No	Annually

TOS	Primary UZA Population	Total VOMS for Modes	100% Count of UPT Conducted?	Mandatory Year
DO	≥ 500,000	< 100	Yes	Triennially
DO	≥ 500,000	<100	No	Annually
DO	50,000 - 499,999	>0	Yes	Triennially
DO	50,000 - 499,999	>0	No	Annually
PT, TN, and TX	≥ 50,000	>0	Yes	Triennially
PT, TN, and TX	≥ 50,000	>0	No	Annually

Transit agencies are permitted to sample every three years (three-year sampling cycle) for a mode and TOS if

- The agency collects 100 percent counts of UPT every year for the mode and TOS; and
- One of the following conditions is met:
 - The agency directly operates all modes, and the total VOMS is less than 100;
 - The agency serves a primary UZA with population of less than 500,000; or
 - The TOS is purchased transportation.

If a transit agency wishes to sample every three years, it must collect sample data in FTA-defined mandatory years. **The next mandatory sampling year is Fiscal Year 2023. 2020 is no longer a mandatory sampling year.**

If a transit agency is a new Full Reporter, or if a transit agency starts a new mode or TOS, the agency must sample during the first report year, even if it is not a mandatory year.

[Reporting in Non-Mandatory Sampling Years: PMT Data for Full Reporters](#)

If a Full Reporter follows a three-year sampling cycle, it must estimate PMT data in a non-sampling year by multiplying the average trip length from the most recent mandatory year by the UPT for the current year. Full Reporters determine their average trip length (PMT/UPT) by mode and TOS during their mandatory sampling year for their average weekday schedule, average Saturday schedule (if applicable), average Sunday schedule (if applicable), and annual total.

Exhibit 41: Full Reporters: Using Average Trip Length to Estimate PMT Data

Example: A transit agency serves an urbanized area. The transit agency directly operates MB with 110 VOMS. What are the NTD reporting requirements for PMT data?

Solution: *The agency must sample if it is unable to collect PMT data on all trips. Its sampling options are:*

- *Conduct a 100 percent count of UPT in the current year, and estimate PMT data using the average trip factors from the prior mandatory sampling year; or*
- *Use a statistically valid sampling method to estimate PMT every year.*

The transit agency reports MB data using average trip length statistics from the most recent mandatory sampling year to estimate annual total data. During the current year, the transit agency performs a 100 percent count of the UPT. Based on this data, the agency calculates PMT for the mandatory sampling year as follows:

Data Element	Weekday	Saturday	Sunday	Annual Total
PMT	50,000,000	7,000,000	3,000,000	60,000,000
UPT	10,000,000	2,000,000	750,000	12,750,000
Average trip length	5.0	3.5	4.0	4.71

In the mandatory sampling year, the agency reports 60,000,000 PMT and 12,750,000 UPT for the annual total.

Estimated average trip length = PMT / UPT

Estimated PMT = average trip length × UPT

In future years, the agency may use the sampled average trip length to calculate PMT data. The following exhibit shows how an agency may determine PMT for a non-sampling year following the mandatory sampling year described above:

Data Element	Weekday	Saturday	Sunday	Annual Total
UPT (current year)	10,500,000	2,100,000	800,000	13,400,000

Data Element	Weekday	Saturday	Sunday	Annual Total
Average trip length (from the earlier mandatory year)	5.0	3.5	4.0	4.71
PMT (estimate for current year)	52,500,000 (5.0 x 10,500,000)	7,350,000 (3.5 x 2,100,000)	3,200,000 (4.0 x 800,000)	63,114,000 (4.71 x 13,400,000)

*In this non-mandatory sampling year, the agency reports **63,114,000 PMT** and **13,400,000 UPT**.*

Service Operated

Days Operated

Full Reporters must provide the following data:

- Days Operated (days that service was actually operated)
- Days Not Operated Due to Strikes (days that service would normally have operated but was not due to a transit labor strike)
- Days Not Operated Due to Officially Declared Emergencies (days that service would normally have operated but was not due to an officially declared emergency)

Within each of these categories, Full Reporters must report the total number of days operated for the weekday schedule, Saturday schedule, and Sunday schedule service. Many transit agencies operate different schedules on weekdays, Saturdays, and Sundays. An agency must report the number of days it operated during each schedule.

Transit agencies must report holiday service under the day that most closely reflects the service. For example, if an agency operates the Sunday schedule on Christmas Day, it must indicate that this is an additional day of Sunday service (regardless of the day on which the holiday falls).

A partial day operated counts as a day operated. Days in which all service, all day is cancelled for the given mode are not days operated.

Days Not Operated Due to Officially Declared Emergencies

This is the number of days that a transit agency does not operate due to emergencies, such as

- Floods
- Snowstorms, or
- Tornadoes

A person in authority (usually the mayor, county head, or governor) must officially declare an emergency.

Days Not Operated Due to Strikes

Full Reporters must provide data for the number of days that they do not operate due to transit labor strikes.

Peak Periods

The period of time when agencies provide additional services to handle higher passenger volume is referred to as a “peak period.” Peak period service begins when an agency increases the number of vehicles it operates and ends when the agency reduces the number of vehicles it operates to the midday level. If an agency operates the same number of vehicles all day, it does not have peak service. Peak periods are not the same as periods of increased fare rates based on time of day.

Full reporting agencies report Time Service Begins and Ends by the following periods:

- Average weekday schedule (whole day, weekday AM peak, weekday midday, and weekday PM peak, weekday other)
- Average Saturday schedule (whole day)
- Average Sunday schedule (whole day)

Time Service Begins

The time service begins is the time when the first revenue service vehicle leaves the garage or point of dispatch. Full Reporters report the beginning time for service on an average weekday, the weekday AM peak period, weekday midday period, and weekday PM peak period.

Time Service Ends

Time service ends is the time when the last revenue service vehicle returns to the garage or point of dispatch.

Average Weekday Time Periods

Full Reporters must report average weekday data using the following periods, if applicable:

- Weekday AM peak period
- Weekday midday period
- Weekday PM peak period
- Weekday other period

Full Reporters must provide data time service begins and ends except for the following modes: Aerial Tramway (TR), Demand Response (DR), Jitney (JT), and Público (PB). In addition, the following types of service Taxi (TX) and Transportation Network Company (TN) are exempt from this requirement.

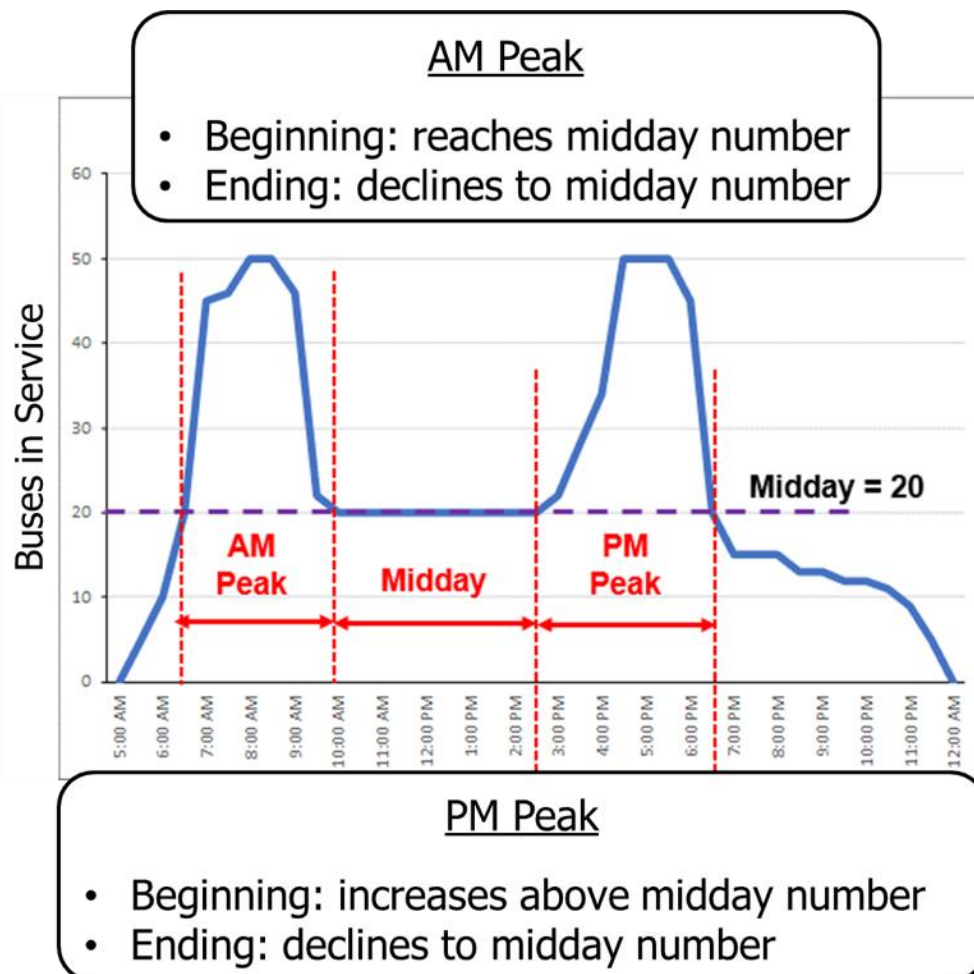
Exhibit 42: Full Reporters: Average Weekday Schedule Data

Average Weekday Data Item Breakdown by Time Period	Non-Rail Except Bus Modes and TB	Bus Modes and TB	Rail Modes
Time service begins	No	Yes	Yes
Time service ends	No	Yes	Yes
Vehicles in operation	No	Yes	N/A
Trains in operation	N/A	N/A	Yes
Passenger cars in operation	N/A	N/A	Yes

Exhibit 43: Classifying Vehicle Trips by Period

Example: An agency operates a Directly Operated Bus (MB/DO) service. The hours of operation for weekdays are from 5:00 AM to 12:00 AM. The AM Peak begins when the agency runs its midday number of vehicles (20). It ends when the number of buses declines back to the midday number. The PM Peak begins when the number of buses increases above the midday number and ends when the number of buses declines to the midday number. The Other period is the nighttime period before the AM Peak and after the PM Peak when fewer vehicles are operated than during the Midday period. Some transit agencies call services operated during this period evening, night, owl, or early morning services.

The following graph depicts the peak periods for the service.



Incidental Transit Service

Transit agencies provide incidental transit service, such as taxicabs or other vehicles, during times when existing transit services cannot meet passenger demand. These occurrences are infrequent, therefore, the NTD refers to the alternate transit service as “incidental” to the regular mode. Transit agencies must report data associated with incidental transit service on the NTD Annual Report, following the same reporting requirements as regular public transit services.

Incidental service includes the following:

- Service interruptions (e.g., vehicle breakdown): When a replacement vehicle is not available, a taxicab or an agency van might be used for this incidental service.
- Demand Response overflow service: When there are not enough vehicles to meet Demand Response requests, the agency may use taxis.
- An accident on rail services: Delayed rail passengers are transported to their destination using special buses.
- Bridge service: Transportation is provided on a different mode to accommodate a rail capital project or emergency repair to rail guideway or track. (See below for more details.)

Bridge Service Reporting Rules

When one reported mode provides incidental, substitute service for another, the agency must report the resulting operations under the mode providing the service. For example, if a heavy rail station is closed and the agency’s *existing* directly operated bus mode provides bridge service, the agency would report the operations under directly operated bus.

In cases where a temporary bus bridge uses a *new mode* or type of service, the reporting agency may wish to create that mode in the NTD in order to receive credit in the FTA formula apportionment programs. All reporting requirements set forth in this manual apply to a new mode or type of service added to the report as a result of bridge service.

Directional Route Miles, Fixed Guideway, and High Intensity Busway

For all Fixed Guideway and High Intensity Bus service, Directional Route Miles on form S-10 is sourced directly from the Reportable Segments (P-40) form on an agency’s profile. For mixed traffic service (MB, CB), agencies must calculate DRM as of the end of the Fiscal Year and enter it manually on the S-10 form.

For point-deviated services, agencies must use the most direct path to calculate DRM. For route-deviated services, agencies must report DRM of the scheduled route, disregarding any deviations.

Please see the “[Introduction: Transit Agency Profile Requirements](#)” section of this manual for more information.

Monthly Ridership Reporting (Form MR-20)

Full Reporters must report Monthly Ridership data for each mode of public transportation service that the agency operates. This information provides FTA with monthly trends in ridership and service supplied throughout the year. Agencies are required to report on all modes reported on an agency’s P-20 form based on the start and end dates for each mode.

The MR-20 form requires agencies to report the following data points:

- Unlinked Passenger Trips
- Actual Vehicle (Passenger Car) Revenue Hours
- Actual Vehicle (Passenger Car) Revenue Miles
- Vehicles Operated in Maximum Service

Please note, data fields for any given month will not appear until that month has ended.

Unlinked Passenger Trips

Please see the definition provided for Unlinked Passenger Trips in the “[Service Consumed](#)” section of this chapter.

If the transit agency uses a sampling method, the total UPT for a specific month should be estimated using the sample data collected during the month and the same procedure that the transit agency uses to estimate annual UPT. This approach may not meet FTA’s confidence and precision levels for annual data (+-10 percent precision for a 95 percent confidence level) but does meet FTA’s requirements for reporting monthly data on the Ridership Activity form (MR-20).

If the transit agency changes its sampling procedure, it should revise its reported UPT for the current year and the prior year using the new methodology. The transit agency should contact their Validation analyst for assistance in reporting the revised estimates for the prior year.

Actual Vehicle (Passenger Car) Revenue Hours

Please see above for the definition in the section “[Actual Vehicle Revenue, Passenger Car Revenue, and Train Revenue Hours and Miles.](#)”

Actual Vehicle (Passenger Car) Revenue Miles

Please see above for the definition in the section “[Actual Vehicle Revenue, Passenger Car Revenue, and Train Revenue Hours and Miles.](#)”

Monthly Vehicles Operated in Maximum Service (VOMS)

This is the number of revenue vehicles/passenger cars operated to meet the maximum service requirement during the month of service reported. VOMS excludes atypical days or one-time special events.

Please note that Monthly VOMS may be different than VOMS on the annual Service form (S-10). The difference between definitions is the period over which the maximum service requirement is applied—a month in the Ridership Activity form (MR-20) versus a fiscal year in the Service form (S-10).

SAFETY DATA REQUIREMENTS

Agencies must report safety and security data as part of the NTD report. Urban reporters completing a Full Report must submit monthly safety and security data to the NTD through a separate report package. For more information on full safety and security reporting, please refer to the *2020 NTD Safety & Security Policy Manual*. Reduced Reporters should consult the *Reduced Reporting Manual* for more information on what safety data to report. Both are available from the [NTD manuals web page](#).

ASSET INVENTORY DATA REQUIREMENTS

Transit Asset Management Performance Measure Targets (Form A-90)

Requirements for reporting performance targets and explanation of performance measure calculations for Transit Asset Inventory (TAM) Plans

Transit Agency Facilities (Forms A-10 and A-15)

Requirements for reporting information on buildings and structures, including condition assessment

Transit Way Mileage (Form A-20)

Requirements for reporting transit way mileage and rail guideway, power and signal, and track elements

Vehicles, Maintenance, and Fuel (Forms A-30 and A-35)

Requirements for reporting revenue and service vehicle inventory including condition assessment

Transit Asset Management Performance Measure Targets (Form A-90)

Transit agencies must report the next fiscal year performance targets to the NTD for assets for which they have capital replacement responsibility. Agencies report on their progress towards achieving a state of good repair for capital assets by submitting condition assessment and performance data. To support TAM planning, the NTD presents this data side-by-side with targets set in the prior year.

The TAM Final Rule defines a performance target as a quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by FTA (in this case, in the next fiscal year). Therefore, NTD reporters should contact appropriate personnel involved in TAM planning to make sure the targets they report are accurate.

An agency is required to report an asset to the NTD in the fiscal year that the agency begins using the asset for public transportation service. Agencies should not report assets that are being assembled, assets under construction, or assets that are in testing at the end of the fiscal year.

Transit agencies must report performance targets for the following categories:

Exhibit 44: Transit Asset Management Performance Targets

Category	What to Report
Rolling Stock	Percentage of revenue vehicles within a particular asset class that are expected ⁶ to meet or exceed their Useful Life Benchmark (ULB) Report one target for each vehicle type
Equipment	Percentage of service vehicles that are expected to meet or exceed their ULB Report one target for each vehicle type
Facilities	Percentage of facilities with a condition rating expected to rate below 3.0 on the FTA Transit Economic Requirements Model (TERM) scale (1=Poor to 5=Excellent)

⁶ According FTA's [Performance Management](#) web page, targets "connect a provider's strategic goals to the actions that the provider will take to reach those goals."

Category	What to Report
	Report one target for each facility type (Maintenance/Administration, Passenger/Parking)
Infrastructure	Percentage of guideway track miles expected to be operating under performance restrictions, by class Report one target for each rail mode

Capital Responsibility

An agency has direct capital responsibility for an asset if any of the following are true:

- The agency owns the asset,
- The agency jointly owns the asset with another entity, or
- The agency is responsible for replacing, overhauling, refurbishing, or conducting major repairs on an asset, or the cost of those activities is itemized as a capital line item in the agency's budget.

Performing minimal preventive maintenance work on an asset, like cleaning, does not in itself indicate direct capital responsibility for the asset. An agency must have direct capital responsibility or management or oversight responsibilities for the line item project.

Performance Target Categories

Rolling Stock

Rolling Stock performance targets should be set based on the percent of revenue vehicles that are expected to meet or exceed their Useful Life Benchmark. For each vehicle type reported across all modes, transit agencies must set an individual target.

Equipment

Equipment performance targets should be set based on the percent of service vehicles that are expected to meet or exceed their Useful Life Benchmark. Transit agencies must set a target for each applicable vehicle type:

- Automobiles,
- Trucks and Other Rubber Tire Vehicles, and
- Steel Wheel Vehicles

Please note, the Equipment category for performance targets does not include equipment that agencies own or use outside of service vehicles.

Facility

Facility performance targets should be set based on the percent of facilities that are expected to rate below 3 on the condition scale as defined in Exhibit 53.

Infrastructure

Transit agencies that operate or manage rail modes will be required to report performance targets for the percent of track segments expected to be operating under performance restrictions. For each rail mode, an individual target is required.

Performance Measure Calculations

Progress towards these targets will be calculated based on the reporting of the asset categories outlined above. Each category is further defined in Exhibit 45 while Exhibit 46 outlines the calculation used to generate the actual performance of each asset type.

Exhibit 45: Transit Asset Management Performance Targets

Asset Category	Report Asset Inventory	Report Asset Condition Assessment and Performance Targets
Passenger Station Facility	All passenger stations and facilities including Stations on ROW, bus terminals, and transfer stations Bus stops should NOT be inventoried	All passenger stations/facilities for which the agency has capital responsibility (Condition on 1 to 5 scale)
Maintenance or Administrative Facility	Count of all maintenance facilities used to support revenue service Detailed inventory of all facilities for which the agency has capital responsibility	All maintenance facilities for which the agency has capital responsibility (Condition on 1 to 5 scale)

Asset Category	Report Asset Inventory	Report Asset Condition Assessment and Performance Targets
Revenue Vehicles	All vehicles used in revenue service	All revenue vehicles for which the agency has capital responsibility (Useful Life Benchmark)
Service Vehicles	All service vehicles for which the agency has capital responsibility	All revenue vehicles for which the agency has capital responsibility (Useful Life Benchmark)

Per TAM Guidelines, targets should be set according to realistic expectations, available data, and expected financial resources from all sources over the upcoming year. During target setting, an agency needs to consider its ability to improve or maintain the state of its capital assets, as well as the perception of the intended audience when determining how high or low to set the target.

Exhibit 46: Performance Measure Calculations

Performance Measure	Numerator	Denominator
Rolling Stock	Total dedicated, active revenue vehicles that have met or exceeded the reported ULB with capital responsibility	Total dedicated, active revenue vehicles with capital responsibility and ULB reported
Equipment	Total service vehicles that have met or exceeded the reported ULB with capital responsibility	Total service vehicles with capital responsibility and ULB reported
Facilities	Total facilities with a rating of a 1 or 2 on the TERM scale, with capital responsibility	Total facilities with a condition assessment reported and with capital responsibility. This does not include facilities with “N/A” reported for their condition assessment
Infrastructure	Total Track Miles under Performance Restriction (revenue service) with capital responsibility	Total Track Miles used in Revenue Service with capital responsibility. This is equal to total tangent and curve revenue track minus revenue track with no capital responsibility

Agency Tiers

Transit agencies are broken down into two tiers that determine the reporting of performance targets — Tier I and Tier II.

Tier I Agencies

Tier I agencies are transit agencies that:

- Own, operate, or manage 101 vehicles or more in maximum service across all non-rail, fixed route modes or in any one non-fixed route mode.
- Own, operate or manage rail modes.

Tier I agencies are required to develop their own TAM Plan and report their own performance targets directly to the NTD.

Tier II Agencies

Tier II agencies are transit agencies that:

- Own, operate, or manage less than 101 vehicles in maximum service across all non-rail fixed route modes or in any one non-fixed route mode.
- Any subrecipients under the §5311 Formula Grants for Rural Areas, or any American Indian tribe.

Tier II agencies may participate in a group plan sponsor's TAM plan, in which the group plan sponsor will report the performance targets for all participants in the group. Tier II agencies may only participate in one group plan sponsor's TAM Plan. Any Tier II agency that chooses to opt out of a group plan sponsor's plan, must develop their own TAM plan, or participate in another group TAM Plan.

Narrative Report

Beginning in Report Year 2020, agencies are required to upload a narrative report to the NTD that outlines performance targets and their progress towards their targets. This narrative may include any changes in transit system conditions that may affect progress towards targets.

Group Plan Sponsors

Tier II agencies may participate in a Group Transit Asset Management (TAM) Plan that is coordinated by a group plan sponsor. In many cases, State DOTs will serve as group plan sponsors for their subrecipients. MPOs may also be considered group plan sponsors.

Tier II agencies must have a direct or indirect funding relationship with their chosen group plan sponsor. American Indian tribes have the option to select a sponsor that they do not receive funds from.

Existing NTD reporters must designate their group plan sponsor, if reporting as a Tier II agency. The agency will be prompted to declare and confirm their group plan sponsor every four years, following the TAM reporting cycle. Any new reporters that are required to report to the NTD per TAM legislation, must be added by their designated group plan sponsor.

Transit Agency Facilities

Station Criteria

Passenger stations are defined according to the mode(s) serving the station.

The following are passenger stations:

- All CR, HR, YR, MG, and AR rail passenger facilities
- All LR, CC, and SR passenger facilities that have platforms and/or serve track that is in a separate ROW (not in mixed-street traffic)
- All FB stops
- All transportation, transit or transfer centers, park-and-ride facilities, and transit malls if they have a structure for passengers for ticketing, information, restrooms, concessions, telephones, etc.
- All MB, RB, CB, and TB passenger facilities in a separate ROW that have a platform and/or structure
- All MB, RB, CB, and TB operated in mixed traffic that have a separate structure (simple shelters, lighting, signage, or ramps for accessibility alone are not enough to establish a passenger station)

Stations and Maintenance Facilities (Form A-10)

Transit agencies report data on

- The number of passenger stations, both accessible and non-accessible, in accordance with the ADA
- The number of elevators and escalators within passenger stations
- The number of maintenance facilities by size and ownership categories

Transit agencies reporting this information must separate data by mode and type of service (DO and PT). Transit agencies are not required to report this data for TN and TX types of service.

Passenger Stations

This section does not apply to Rural Reporters.

Transit agencies report passenger station information for fixed route, fixed schedule services (rail modes, bus modes, Trolleybus, Ferryboat, and Aerial Tramway). Each

agency must report data for all passenger stations that the agency uses, even if the agency does not own the stations.

Exhibit 47: Reporting Passenger Stations

Example: Coaster Transit Agency provides Bus (MB) service to a Ferryboat (FB) passenger station that Surf Transportation Authority owns. How should Coaster report the passenger station?

Solution: Coaster Transit Agency should report 1 passenger station while Surf Transportation Authority also reports 1 passenger station. Stations are reported by use, not ownership.

For rail modes, report the station in each rail mode and TOS that it is used. This may result in the “double counting” of some stations since they might be served by two rail modes (e.g., HR/DO and LR/DO) or two TOS (e.g., CR/DO and CR/PT). However, the “double-counting” rule does not apply when a station is served by rail modes and a non-rail mode, such as MB, CB or RB. In these cases, report the station only under the rail modes.

For example, you should report a station that serves CR, LR, and MB on the A-10 forms for CR and LR, but not the MB A-10 form.

For non-rail modes, report the station in each mode and TOS that it is used. This may result in the “double counting” of some stations, because two types of MB service (e.g., MB/DO and MB/PT) serve them, or because a combination of MB, CB and RB services serve them.

Americans with Disabilities Act of 1990 (ADA) Accessible Stations

Transit agencies must indicate if passenger stations meet ADA accessibility standards.

Accessible stations do not have physical barriers that prevent or restrict access by individuals with disabilities, including individuals who use wheelchairs. Transit agencies must identify accessible stations.

Americans with Disabilities Act of 1990 (ADA) Non-Accessible Stations

Non-accessible stations do not provide easy access (i.e., do not meet accessibility requirements for physical barriers, signage, and other aids) that enables individuals with disabilities, including individuals who use wheelchairs, to use public transit.

Escalators and Elevators

Transit agencies must report the number of escalators and elevators within the passenger stations. Passengers use these to transfer between levels in a station. Elevators and escalators exclude moving sidewalks.

Agencies should not report escalators and elevators that are used only for freight, transit staff, or as back-up if passenger escalators and elevators break down.

Maintenance Facilities

Transit agencies report maintenance facilities by

- Type — general purpose or heavy maintenance
- Ownership — owned or leased
- Size — the number of revenue vehicles that can be serviced

Agencies should not report maintenance facilities where third-party vendors perform services, such as a local gasoline service station or body shop.

Type

A general-purpose maintenance facility is a garage or building where mechanics perform routine maintenance and repairs. General-purpose maintenance facilities typically serve as operating garages where agencies store and dispatch vehicles for revenue service.

Larger transit agencies may perform engine and other major unit rebuilds. The FTA identifies facilities devoted exclusively to major rebuilds as heavy maintenance facilities.

Some transit agencies use the same facility for both general purpose and heavy maintenance. In these cases, agencies should report facilities they use for both purposes as general-purpose maintenance facilities.

Transit agencies must report general-purpose maintenance facilities by

- Ownership — owned or leased
- Size — the number of revenue vehicles that can be serviced

Transit agencies must report heavy maintenance facilities by ownership category. Agencies do not provide data on facility size for heavy maintenance facilities.

Ownership

Transit agencies must identify maintenance facility ownership based on the type of service (DO or PT).

For DO service, transit agencies must report if the facility is publicly owned or privately owned. Transit agencies identify if they own the facility, lease it from another public agency (such as a city highway department), or lease it from a private entity.

For PT service, agencies indicate if there is public or private involvement in the maintenance facility. Agencies must report data if the facility is owned by the service provider (PT contractor), owned by the public agency for the service provider, leased by the public agency for the service provider, or leased by the service provider.

Size

Agencies should report the size of the facility based on the maximum number of revenue vehicles that can be serviced and stored at one time. Size is a measure of the design capacity of the facility, not the number of revenue vehicles currently operated from the facility.

The FTA divides size into three categories based on the number of revenue vehicles that can be serviced:

- Under 200 vehicles
- 200–300 vehicles
- More than 300 vehicles

Exhibit 48: Facility Size

Example: The Coaster Transit Agency (CTA) operates 175 vehicles and owns a maintenance facility that can store 225 vehicles. What size of general-purpose maintenance facility should it report?

Solution: The CTA should report a general-purpose maintenance facility that serves 200–300 vehicles.

Shared Facilities

Some transit agencies share facilities between multiple modes or types of service. The most common arrangement is the operation of Bus and Demand Response vehicles in a single facility. For reporting purposes, these shared facilities must be allocated among the various modes or types of service using the facility.

Exhibit 49: Shared General Purpose Maintenance Facilities

Example: The Coaster Transit Agency (CTA) uses one of its general-purpose maintenance facilities for both Bus (MB) and Demand Response (DR) directly operated (DO) services and the DR purchased transportation (PT) service. How should the CTA report maintenance facilities?

Solution: *The CTA allocates the facility based on vehicles assigned.*

Mode	Vehicles Serviced	Percent of Total	Number of Facilities Reported:
MB/DO	240	82.8%	0.8
DR/DO	30	10.3%	0.1
DR/PT	20	6.9%	0.1
Total	290	100%	1.0

Transit Asset Management Facilities Inventory (Form A-15)

Transit agencies are required to report all passenger facilities used in revenue service, including passenger stations and parking facilities, regardless of capital responsibility.

Administrative and maintenance facilities are only reportable if the agency has capital responsibility for the facility and the transit use is greater than incidental. Use is incidental when 50 percent or less of the facility's physical space is dedicated to the provision of public transportation service. For maintenance facilities, agencies may use the number of transit vehicles serviced in the facility compared to all vehicles serviced in the facility to estimate this percentage. Facilities must have a structure; empty lots used for storage are not reportable. Substations should not be inventoried; these facilities are instead counted on Form A-20.

Agencies must provide condition assessments for passenger, administrative or maintenance facilities for which they have capital responsibility.

All reportable facilities must provide the following data points:

- Facility Type
- Year Built or Reconstructed as New — If a facility is constructed over the span of multiple years, this should reflect the end date of construction.

- Square Feet or Number of Parking Spaces
 - Agencies should report the best available measurement for the total number of square feet or parking spaces in a passenger or parking facility (or section of a facility).
 - Parking spaces are only reportable for facilities with a Facility Type of Parking Structure or Surface Parking Lot.
 - Agencies should use the following criteria to report square footage:
 - Underground Facilities: Report all areas under the roof, including mezzanines, platforms, and track.
 - Multilevel Facilities: Report all platforms and other floor areas under a roof.
 - Elevated Facilities: Report all platform and mezzanine space. Do not include track space.
 - At-Grade Facilities: Report building square footage (if applicable) and all platform area.
- Address
 - Agencies must report either Address, Latitude and Longitude coordinates, or both.

Shared Capital Responsibility

Transit agencies that share capital responsibility with another agency must report the amount of capital responsibility for each facility shared. Both agencies that share the capital responsibility will report the condition assessment for the asset. The agencies must determine their roles in conducting the assessment.

Primary, Secondary, and Private Mode

Transit agencies must report a primary mode for each facility. If a facility is utilized by more than one mode, agencies should report secondary modes for each mode that the facility is shared with. For example, if a shared facility hosts revenue vehicles for the operation of Bus (MB) and Demand Response (DR) vehicles but predominantly handles buses, then classify the facility as a Bus (MB) maintenance facility. If a facility is shared with a private mode or non-public transportation service, these should also be reported.

Private Modes

Transit agencies that serve multimodal passenger facilities with non-public transportation providers are required to report the non-public transportation modes with their facility asset information. Examples of these private modes include airports, Amtrak, and Intercity Bus.

A station is defined as multimodal if it serves more than one public transit mode operated by the reporting agency or another public transit agency, OR if it serves both a public transit and private mode, as defined in the table below.

Exhibit 50: Private Modes

Mode	Example
Private Water Transit	Passenger facility building is shared between a transit mode and a private ferry service. Shared space may include passenger waiting and ticket vending areas.
Private Rail Transit	Passenger facility building is shared between a transit mode and intercity passenger rail service (typically Amtrak). Shared space may include platforms, passenger waiting areas and ticket vending locations.
Airport/Private Bus Transit	Passenger facility building is shared between a transit mode and an airport, private bus provider, or the passenger facility provides connectivity to an airport. Connectivity may mean station and airport are connected directly via pedestrian overpasses, indirectly via airport shuttle buses, or directly with rail cars entering a station located in an airport building. Shared space for private bus providers may include passenger waiting areas, restrooms and ticket vending locations.

Facility Types

Each facility must be defined as a specific type. Facility types can be grouped into three categories:

- Administrative
- Maintenance
- Passenger/Parking

Subsection of a Larger Facility

A subsection of a larger facility is a section of a facility that varies in age from the rest of the main facility due to significant rebuilding, addition, or retrofitting. Agencies are encouraged to report sections of the facility in multiple entries to more accurately represent its age and function in the inventory. A facility may be reported as several subsections if the age varies throughout.

Facilities that are adjacent to one another must be reported separately.

Administrative and Maintenance Facility Type

Administrative buildings are the general administrative offices owned by a transit agency. Administrative buildings usually house executive management and support activities for overall transit operations, including accounting, finance, engineering, legal, safety, security, customer services, scheduling, and planning. Administrative buildings also include separate buildings for customer information or ticket sales that a transit agency owns and that are not part of passenger stations.

Maintenance facilities are those where routine maintenance and repairs, or heavy maintenance or unit rebuilds are conducted. Agencies must not report maintenance facilities where third-party vendors perform services, such as a local gasoline service or body shop.

Administrative and maintenance facilities are reportable if the agency has capital responsibility and the transit use is greater than incidental. For example, if the administrative office is in a building that has only incidental transit use (e.g., city hall), then it is not reportable.

Exhibit 51: Administrative and Maintenance Facility Types

Administrative or Maintenance Facility Type	Facility Type Description
<p>Maintenance Facility (Service and Inspection)</p>	<p>Maintenance facility where mechanics, machinists and other maintenance personnel perform preventive maintenance, daily service and inspection, and/or corrective maintenance activities on revenue vehicles to keep them in-service.</p> <p>Facilities generally contain maintenance bays, built- in or portable lifts and/or inspection pits, fuel pump islands, fuel storage tanks, bus wash systems, and brake testing lanes.</p> <p>Personnel inspect, repair, or replace some, but not all, vehicle components during the following activities:</p> <ul style="list-style-type: none"> • Clean interiors • Maintain cameras • Fill/replace fluids and lubricants • Replace filters • Replace/repair tires • Inspect suspensions and brakes • Inspect batteries, wheelchair lifts and ramps • Degrease engines • Perform minor body repairs and painting <p>Revenue vehicles may be stored overnight or between being placed into revenue service.</p>

Administrative or Maintenance Facility Type	Facility Type Description
Heavy Maintenance and Overhaul (Backshop)	<p>Maintenance facility where mechanics, machinists and other maintenance personnel perform heavy overhaul and other related rebuilding activities to help revenue vehicles reach their targeted service life. Activities usually occur at mid-life (i.e., mid-point of useful life) to refurbish, overhaul or replace major vehicle components. These components include, but are not limited to, the following:</p> <ul style="list-style-type: none"> • Engines, transmissions, or axles • Fareboxes, radios, and other electronics • Starters, alternators, and brake system components • Chassis parts and seats • Bearings
General Purpose Maintenance Facility/Depot	<p>Maintenance facility where mechanics and other maintenance department personnel, provide basic service readiness inspection (e.g., tire pressure, oil/fluid levels) and light repair (e.g., mirror replacement) or service (e.g., sweeping) on revenue. Revenue vehicles may be stored here overnight or between being placed into revenue service.</p>
Vehicle Washing Facility	<p>Stand-alone building or structure containing vehicle washer equipment.</p>
Vehicle Blow-Down Facility	<p>Stand-alone building or structure containing equipment for cleaning under-floor equipment of rail rolling stock.</p>
Vehicle Fueling Facility	<p>Stand-alone building or structure containing vehicle fuel dispensing equipment.</p>

Administrative or Maintenance Facility Type	Facility Type Description
Vehicle Testing Facility	Maintenance facility used for vehicle acceptance testing (after being received from manufacturer or overhauls or other maintenance activity).
Administrative Office / Sales Office	Facilities and offices which house the executive management and supporting activities for transit operations, with the exception of vehicle maintenance, that could include accounting, finance, engineering, legal, safety, security, customer services, scheduling and planning. These buildings may include customer information or ticket sale offices, which are owned by the transit agency but not part of passenger stations.
Revenue Collection Facility	<p>Facility where revenue collection personnel process electronic and/or cash fare payments. May include revenue counting equipment such as bill counters, coin scanners, and coin sorters. May also include or store the following revenue collection and monitoring equipment:</p> <ul style="list-style-type: none"> • Cameras and CCTV • Cash box repair areas • Alarm systems • Computerized probe for downloading e-transactions on GFI farebox • Vault compartment
Combined Administrative and Maintenance Facility	Any facility with combined functions of at least one of the administrative facilities listed above and one of the maintenance facilities listed above. If selected, describe specific facility in “Notes” field.

Administrative or Maintenance Facility Type	Facility Type Description
Other	Any administrative or maintenance facility that does not fit into one of the ten categories described above. If selected, describe specific facility.


Passenger and Parking Facility Types



Agencies must report all passenger stations and parking facilities that passengers use in revenue service. Parking facilities include park & ride lots as well as parking garages. Note that passenger and parking facilities are often collectively referenced as “passenger facilities.” Parking facilities used solely by employees are not reportable.

Parking facilities are those immediately adjacent to passenger facilities. Agencies must inventory parking facilities separately.



With the exception of Parking Structure or Surface Parking Lot, all other passenger facilities must meet the station criteria outlined in this manual. Please refer to the “[Station Criteria](#)” section of this chapter for further detail on criteria for specific modes.

Exhibit 52: Passenger and Parking Facility Types

Passenger or Parking Facility Type	Facility Type Description
<p>Bus Transfer Center</p> 	<p>Terminal station for several routes or a large mid-route transfer facility where passengers may connect between two or more fixed-route bus services. The station may or may not have off-street area for buses to pull in or turn around. Terminal may have a single rubber-tire mode, usually Motor Bus, but may be connection hub for bus, Commuter Bus, and/or Intercity Bus services. Transfer centers are structures that have a passenger waiting area. Some transfer centers have ticket vending machines or staffed ticketing booths. Simple shelters should not be reported.</p>

Passenger or Parking Facility Type	Facility Type Description
<p data-bbox="203 325 706 367">Elevated Fixed Guideway Station</p> 	<p data-bbox="771 325 1380 430">Station located above grade built on a viaduct, a steel or concrete structure, or on retained fill.</p> <p data-bbox="771 451 1404 514">Steel and reinforced concrete components in elevated structure can include:</p> <ul data-bbox="787 535 1047 850" style="list-style-type: none"> • Foundation • Piers • Retaining Walls • Beams • Stringers • Bearing pads • Expansion joints <p data-bbox="771 871 1421 1165">Passenger stations include stairs, elevators, and escalators to reach ticket mezzanines and/or train platforms. Elevated stations may have pedestrian overpasses to allow passengers to cross over the tracks before or after entering the station. Stations may include canopies or shelters, lighting, and signage.</p>
<p data-bbox="203 1197 706 1239">At-Grade Fixed Guideway Station</p> 	<p data-bbox="771 1344 1421 1491">Station located at street grade along a transit exclusive right-of-way. May include pedestrian overpasses to allow passengers to reach station.</p>

Passenger or Parking Facility Type	Facility Type Description
<p>Underground Fixed Guideway Station</p> 	<p>A passenger station typically consisting of a concrete structure built below grade, constructed by cut and cover, drill-and-blast, excavated, bored tunnel, or sunken underwater tube.</p> <p>Stations typically include sump pumps, ventilation systems, and lighting systems.</p>
<p>Simple At-Grade Platform Station</p> 	<p>Stops on-street or in street or highway medians. May be low-level platforms (serving low-floor vehicles) or raised platforms (serving high-floor vehicles). Typically includes shelters, canopies, lighting, signage, and/or ticket vending machines. Right-of-way leading up to the platform station is in mixed traffic. This station type is often served by LR and SR transit. For MB, CB, RB, and TB modes, a significant structure must be present. Does not include simple bus shelters.</p>
<p>Exclusive Platform Station</p> 	<p>Stops along the street or in street or highway medians that are separated from mixed traffic. May be low-level platforms (serving low-floor vehicles) or raised platforms (serving high-floor vehicles).</p> <p>Typically include shelters, canopies, lighting, signage, and/or ticket vending machines. Right-of-way leading up to the platform station is separated from automobile traffic. This station type is often served by LR and SR transit. For MB, CB, RB, and TB modes, a significant structure must be present. Does not include simple bus shelters.</p>

Passenger or Parking Facility Type	Facility Type Description
<p>Ferryboat Terminal</p> 	<p>Terminal station where passengers may board or alight from the ferryboat. Terminals may include canopies or shelters, lighting, and signage.</p>
<p>Surface Parking Lot</p> 	<p>A lot paved with asphalt, concrete, or permeable materials with parking spaces outlined by paint and other materials for demarcation. Typically includes lanes for vehicle circulation and is usually uncovered.</p>
<p>Parking Structure</p> 	<p>Single or multi-level parking structure built either underground (typically underneath a building or station), above grade, or both. Characterized by a street-level entrance with ramps to access parking spaces below the surface.</p>
<p>Other</p>	<p>Any passenger or parking facility that does not fit into one of the nine categories described above. If you select “Other,” describe specific facility and its functions in the “Notes” field.</p>

Condition Assessment

Transit agencies are required to report a condition assessment for all facilities for which they have capital replacement responsibility. The condition assessment is based on FTA's TERM scale. The scale is based on five values for assets:

Exhibit 53: TERM Scale

Rating	Condition	Description
5	Excellent	No visible defects, new or new near condition, may still be under warranty if applicable
4	Good	Good condition, but no longer new, may have some slightly defective or deteriorated component(s), but is overall functional
3	Adequate	Moderately deteriorated or defective components; but has not exceeded its useful life
2	Marginal	Defective or deteriorated component(s) in need of replacement, exceeded useful life
1	Poor	Critically damaged component(s) or in need of immediate repair; well past useful life

Assets are considered in good repair with a score of 3 or higher. With a score of 2 or lower, assets are not considered to be in the state of good repair backlog.

Agencies are not required to report condition assessments on facilities or stations that are under construction. Agencies must inventory existing facilities that are under construction if they are still using them in revenue service. A condition assessment is not required until construction is complete. Agencies may only report condition assessments that occurred during the fiscal year being reported on.

Primary and Secondary Rating Levels

In the [TAM Facility Performance Measure Reporting Guidebook: Condition Assessment Calculation](#), FTA outlines primary and secondary rating levels to assist in assessing facilities conditions. Primary levels describe large components of a facility, while secondary levels will detail the smaller components that make up the larger component. Secondary rating levels may assist in determine overall conditions for facilities that have varied conditions for the outlined features.

Examples of primary level features would include:

- Substructure
- Interiors
- Conveyance
- Plumbing

For the primary level, Substructure, secondary levels included may be elements such as:

- Foundations: walls, columns, pilings, etc.
- Basement: materials, insulations, slab, floor underpinnings

For a complete list of primary and secondary levels, please refer to the [FTA guidebook](#).

Equipment in Facilities

Agencies may choose to include equipment in facility condition assessments. If the equipment is integral to the building and is not typically moved from one facility to another, it should be inventoried and assessed as part of the facility. Equipment that is inventoried separately, should not be assessed as part of an agency's facilities. Please note, the Equipment target set for each agency refers to service vehicles only.

TERM Scale Reporting

The TERM scale condition assessments must be reported as integers. The overall ratings must be rounded to the nearest whole value following standard rounding guidelines – if the value is less than .5, the value would be rounded down, and if the value is .5 or greater, it would be rounded up.

Facilities condition assessments must be updated every four years at minimum. In Report Year 2020, agencies must report at least 75 percent of their facilities condition assessments, continuing to report a minimum of 25 percent annually until all condition assessments have been reported in Report Year 2021. For Group TAM Plans, the 25 percent annual minimum applies to the group as a whole and not to individual participants.

If an agency's requirement for the number of assessed facilities is between two whole numbers, the agency must round up. For example, if an agency has five facilities and must report 75 percent of their condition assessments in Report Year 2020, 75 percent would be 3.75 facilities, so the agency must report condition assessments for four of the five facilities.

Please refer to the FTA guidebook for more information on determining TERM scale ratings for facilities.

Transit Way Mileage (Form A-20)

Transit agencies that are Full Reporters must report data for the HIB or FG segments on which they operate. Transit agencies must collect data for rail modes and non-rail modes (listed below) that operate on HIB or FG:

- Bus (MB)
- Trolleybus (TB)
- Commuter Bus (CB)
- Bus rapid transit (RB)

Transit agencies provide information on the segment track and its construction for rail modes and lane mileage information for applicable non-rail modes.

Right-of-Way Classes

Transit way mileage reporting requirements vary by mode. The FTA recognizes that Commuter Bus (CB) and Bus (MB) modes may operate in the following types of ROW:

- **Fixed Guideway (FG).** Roadways that agencies reserve at all times (24 hours / 7 days per week) for public transportation vehicles. This type of ROW must meet safe operations and have strict enforcement.
- **High Intensity Busway (HIB).** Roadways that are either reserved at some times for transit use but open to mixed traffic at other times OR are reserved at some or all times for HOV operations (single-occupancy vehicles are prohibited).
- **Mixed-traffic ROW (Non-Fixed Guideway (NFG)).** Mixed-traffic ROW are normal streets and roads where transit vehicles operate. Public transportation shares these roadways with personal cars and trucks. Mixed-traffic ROW is the most common ROW public transportation uses.

Due to Federal statute, Aerial Tramway (TR) and Ferryboat service (FB) DRM are reportable as fixed guideway; FTA considers all Trolleybus (TB) and Bus Rapid Transit (RB) DRM as FG for funding eligibility.

Rail

The FTA defines fixed guideway as a separate ROW for the exclusive use of public transportation vehicles. By this definition, all transit way mileage for rail modes is on FG.

Transit agencies must report miles of track for all rail modes. If the track is at grade with cross traffic or at grade with mixed and cross traffic, agencies must report the number of crossings.

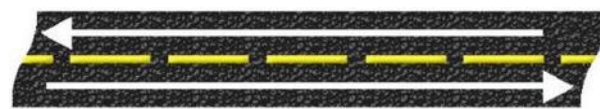
- **Track Miles** is the length of track to the nearest tenth of a mile for each segment. Agencies must measure miles of track without regard to traffic flow. Agencies must count all track, including yard track and sidings.
- **Number of Crossings** (for rail modes operating at grade) is the number of locations at which other traffic may cross the ROW. Grade crossings are any place where people or vehicles are intended to cross the tracks. This includes roads, bicycle crossings, and pedestrian crossings. For street-running track, count each cross street or crosswalk as a grade crossing (excludes driveways and parking lot entrances). For multiple crossings on one contiguous paved section of road, report one crossing.

Non-Rail Modes

The fixed route modes listed above may operate on their own FG, HIB, or with personal and commercial vehicles (mixed traffic ROW). For non-rail modes, transit agencies must report lane miles for three types of ROW:

- **Exclusive Fixed Guideway** – these segments are exclusive at all times, 24 hours per day, seven days per week;
- **Exclusive High Intensity Busway** – these segments are HOV lanes at all times, 24 hours per day, seven days per week or alternatively may be HOV lanes for a portion of the week and exclusive to transit for the remainder of the week; and
- **Controlled Access High Intensity Busway** – these segments may be exclusive to transit or function as HOV for a certain number of hours but are open to general traffic for some part of the week.

Example: This example depicts a two-lane road that is ten miles long with service in two directions. How should the agency report this segment?



Solution: The agency reports 20 lane miles.

Exhibit 54: Calculating Lane Miles

Lane miles are the length of a roadway (in miles) multiplied by the number of traffic lanes. The following exhibit gives examples for calculating lane miles for non-rail ROWs.

Exhibit 55: Calculating Lane Miles and Guideway Classifications

Examples	Solutions
Example 1: There is a HOV facility ten miles long with one traffic lane running northbound and one traffic lane running southbound. It operates under HOV restrictions all times.	10 miles for the northbound lane + 10 miles for the southbound lane = 20 lane miles, Exclusive HIB.
Example 2: There is reversible facility ten miles long with one traffic lane (operated north bound in the morning and south bound in the evening). During off-peak hours, it is open to all traffic.	There is only one lane, so the agency would report 10 lane miles, Controlled Access HIB.
Example 3: A busway (exclusive to transit vehicles at all times) is 3 miles long.	An agency using this busway would report 3 lane miles, Exclusive FG.

Guideway, Power and Signal Equipment, and Track (Rail Modes)

Transit agencies providing rail service are required to report on the specific types of guideway assets and power and signal equipment and on the specific types of track fixation assets in addition to the guideway class, miles of track, and crossings that has been historically required for all rail modes. Agencies must report on all track, including yard and side track.

The FTA collects data on the following three sections for all rail modes:

- Guideway elements
- Power and signal elements
- Track elements (special work assets)

For each guideway and power and signal elements reported, agencies must report either the percentage or quantity in an age group by decade of construction, ranging from Pre-1940 to 2020. For each section below, agencies will be required to report the following:

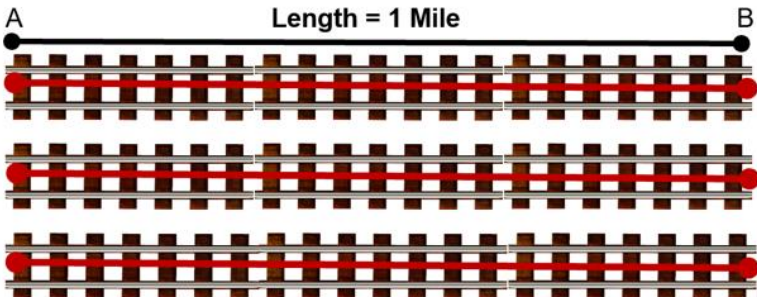
- Expected service years when new
 - This should represent the average number of service years for each element. Agencies may report their own expected service years specific to their agency's conditions and current environment.
- Transit agency capital responsibility

- Agencies will report the percentage for capital responsibility for each element reported.
- Agency with shared responsibility (if applicable)
 - Agencies with shared responsibility must report the other agency that shares capital responsibility for each element.

Guideway Elements

For each guideway element, agencies must report the amount of track miles.

Exhibit 56: Reporting Track Miles



Example: An agency has capital responsibility to maintain a corridor of guideway that is one mile from point A to point B. Three track railways operate over guideway. How would the agency report track miles for this section?

Solution: The agency would report three track miles. Track miles are the combined length of all track railways, even if they are parallel.

Guideway elements are reported according to the method of construction, as follows:

- At-Grade
 - Ballast (including expressway)
 - In-Street/embedded
- Elevated
 - Retained fill
 - Concrete
 - Steel viaduct or bridge
- Below-Grade
 - Retained cut

- Cut-and-cover tunnel
- Bored or blasted tunnel
- Submerged tube

Agencies must report the age group of each guideway element. This can be reported as a percentage of the total for each element, or agencies may report age based on track miles for each age group.

The age of each element should reflect the age of the foundation of the guideway such as the roadway or ballast. If the period of construction of an element spanned two age groups, agencies should determine a reasonable and consistent split between the two age groups and report accordingly. If there is no reasonable basis for a split, the age group should reflect the end date of construction.

Splitting Guideway

To mark the division between guideway categories, agencies divide at-grade guideway into “sections” with an endpoint wherever there is a station or a change in construction type.

Power and Signal Elements

As part of the transit guideway asset inventory, agencies are required to report power and signal elements used for their rail modes. Power signals and elements are listed below:

- Substation building
- Substation equipment
- Third rail/power distribution
- Overhead contact system/power distribution
- Train control and signaling

Agencies must report the quantity of substation buildings. Agencies must report substations that comprise multiple buildings as one single substation if the individual buildings or shells are working elements of the same substation. If the buildings serve different purposes and are not sub-components of one operation, then the agency must count each individually. For other categories of power and signal elements, the FTA does not require agencies to report the quantity, but agencies must indicate whether or not they have these assets.

Agencies that report Inclined Plane (IP) or Cable Car (CC) modes should report the associated motors and cables under Substation Equipment under the Power and Signal section.

Similar to guideway elements, agencies must report the age group for each power and signal element. This can be reported by quantity for each element or by percentage for each applicable age group.

Track Elements

Agencies must provide data on their track inventory. Linear assets are reported in three categories: Tangent, Curve, and Special Work Assets. Tangent and curve track are reported in track miles, in the following categories:

- Tangent – Revenue Service
- Curve – Revenue Service
- Non-revenue Service
- Revenue track – No Capital Replacement Responsibility

Special Work Assets are reported as the quantity of each category listed:

- Single turnout
- Lapped turnout
- Single crossover
- Double crossover
- Grade crossing
- Rail crossing
- Slip switch

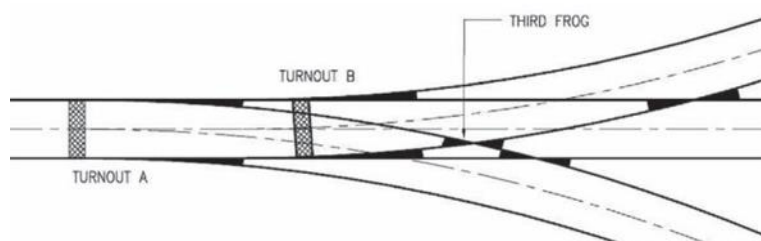
Single Turnout

An assembly of track components that collectively permit two tracks to merge with each other. The primary components of a turnout are the frog and the switch.



Lapped Turnout

A lapped turnout is a special type of turnout in which the switch rails for a second turnout will be placed between the switch and the frog of the initial turnout. Lapped turnouts are used to



achieve a more compact track layout in constrained locations, typically in a configuration that allows rail traffic to veer right or left in addition to proceeding straight ahead.⁷

Single Crossover

A single crossover consists of two turnouts positioned in two tracks that allow the vehicle to go from one track to the other. The two tracks are usually, but not always, parallel, and the turnouts are usually identical.



Double Crossover

A double crossover—sometimes called a *scissors crossover*—consists of two crossovers of opposite hand orientation superimposed upon each other. In addition to the four turnouts involved, a track crossing diamond is needed between the two main tracks.



Grade Crossing

A grade crossing is an intersection of a roadway and a rail right-of-way that cross each other at the same level (at grade). For street-running operations, each street intersection is considered a grade crossing (excludes driveways and parking lot entrances).



⁷ Engineering images from TCRP Report 155, *Track Design Handbook for Light Rail Transit* (2016).

Rail Crossing (Track Crossing)

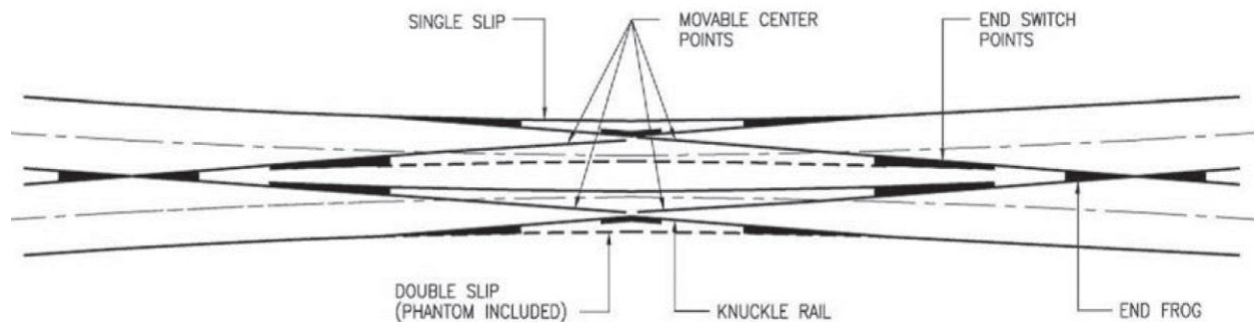
Track crossings permit two tracks to cross each other. Track crossings are commonly called either *crossing diamonds* or simply *diamonds* due to shape. The intersecting angle between the two tracks can be 90 degrees or less, but rigid crossings under approximately 10 degrees are rare.



If a track crosses two parallel tracks, as shown in the picture to the right, the agency should report two crossings. If there are two pairs of tracks that cross each other, the agency should report four crossings.

Slip Switch

A slip switch superimposes two switches and curved closure rails on top of an elongated track crossing. A slip switch may be installed to switch a train from one track to another at a flat angle crossing when space constraints make it impossible to provide separate



turnouts outside of the limits of the diamond. Both single and double slip switches are used in most transit operations. Agencies should not report switches if they are included as part of a single turnout or lapped turnout. Agencies should count each slip switch once, regardless of whether it is a single or a double slip switch.

In cases where agencies use freight assets to provide public transportation, they still are required to report these assets to the NTD. Agencies that share capital responsibility for track with a freight provider or other private entity are also required to provide data on the amount of track under performance restrictions.

Exhibit 57: Calculating Track Miles

Example 1: This example shows one segment of track that is one-mile long with service in two directions. How many miles of track can an agency report?



Solution: Track is measured without regard to routes or direction of travel. Agencies report this as one mile of track.

Example 2: This example shows a one-mile segment with inbound and outbound parallel tracks. How many miles of track should an agency report?



Solution: Track is measured without regard to routes or direction of travel. Agencies report this as two miles of track.

Performance Restriction

Agencies are required to report total track miles under performance restriction for which they have capital responsibility. A performance restriction is defined to exist on a segment of rail fixed guideway when the maximum permissible speed of transit vehicles is set to a value that is below the guideway's full-service speed. The performance restriction can be communicated through operating instructions, route signage, flaggers, or an agency's dispatch system. Performance restrictions may result from a variety of causes, including defects, signaling issues, construction zones, maintenance work, or other causes.

Performance restrictions must be recorded as of 9 a.m. on the first Wednesday of each month. If an agency does not operate at 9 a.m., they must record during the AM peak on the first Wednesday of each month. An annual average is reported to the NTD each year. Performance restrictions must be reported by mode and type of service.

While the FTA does not collect the causes or circumstances behind each performance restriction in the annual report forms, agencies may include these in their narrative report. Performance restrictions serve as the condition assessment for the infrastructure category that is calculated in annual targets.

For more information on calculating performance restrictions, please reference the [TAM Infrastructure Performance Measure Reporting Guidebook: Performance Restriction \(Slow Zone\) Calculation](#).

Exhibit 58: Reporting Performance Restrictions

A transit agency is experiencing high temperatures during the summer months. The agency issues an advisory warning for all Heavy Rail (HR) operators to reduce speed during the daylight hours. *How should an agency report this?*

The transit agency would not report a performance restriction in this case. A performance restriction must be specific to a section of track. If the agency cannot pinpoint the sections of track that need to be under a performance restriction during extreme weather conditions, it would not be considered a true performance restriction.

A transit agency has identified defects in several segments of their Commuter Rail (CR) track. The agency is conducting maintenance on these segments but has lowered the permissible speed from 40mph to 25mph. *How would an agency report this?*

The transit agency would include these segments of track in their total for track under performance restrictions since the defects in the track have caused the service to operate at a lower speed than the full-service speed.

Vehicles, Maintenance, and Fuel

All transit agencies reporting service data must provide information on revenue vehicles by mode and type of service. Rural reporters provide less detailed data.

Transit agencies must inventory all vehicles they use to provide public transportation that have not been sold or disposed of by the end of the fiscal year. Vehicles must be reported on the first fiscal year in which they become available for revenue service. This inventory identifies the vehicles in the total fleet and includes all revenue and service vehicles in the following situations.

- Vehicles in operation (i.e., providing revenue service)
- Vehicles awaiting sale or disposal
- Vehicles out for long-term repair
- Vehicles in storage
- Vehicles retained as part of an FTA-approved emergency contingency plan

For Commuter Rail service (CR), transit agencies must report data for both passenger cars and locomotives used to pull or push.

Transit agencies report revenue vehicle inventory data by groups or fleets. Agencies should group vehicles into fleets if they are identical in all aspects, including vehicle type, manufacture year, model, and funding source, etc.

Revenue Vehicle Inventory Data (Form A-30)

The FTA collects the following data from transit agencies that report revenue vehicle inventory information:

- Agency Fleet Identification
- Vehicle type
- Number of vehicles in total fleet
- Number of active vehicles in fleet
- Dedicated fleet
- Vehicle length
- Seating capacity
- Year of manufacture
- Ownership
- Funding source
- Number of emergency contingency vehicles
- ADA-accessible vehicles
- Useful Life Benchmark

Agency Fleet Identification

Transit agencies may report unique identifiers for each fleet in their inventory. This may be any characteristic or group identifier the agency uses to distinguish between vehicle fleets.

Vehicle Type

Transit agencies must report the vehicle type for each fleet of vehicles. Please see the list of vehicle types below:

Articulated Buses (AB) are extra-long (54 ft. to 60 ft.) buses with two connected passenger compartments. The rear body section is connected to the main body by a joint mechanism that allows the vehicles to bend when in operation for sharp turns and curves and yet have a continuous interior.

Automated Guideway Vehicle (AG): A vehicle used for Monorail/Automated Guideway mode (MG).

Automobile (AO) is a passenger car up to and including station wagons in size. Excludes minivans and anything larger.

Over-the-road bus (BR) is a bus characterized by an elevated passenger deck located over a baggage compartment.

Bus (BU) is a rubber-tired passenger vehicle powered by diesel, gasoline, battery or alternative fuel engines contained within the vehicle. Vehicles in this category do not include school buses or cutaways. This group does include minibuses such as a Sprinter.

Cable Car (CC) is a streetcar type of passenger vehicles operating by means of an attachment to a moving cable located below the street surface and powered by engines or motors at a central location not onboard the vehicles.

Cutaway (CU) is a transit vehicle is built on a van or truck chassis by a second stage manufacturer. The chassis is purchased by the body builder, a framework is built for the body, and then the body is finished for a complete vehicle. For example, a truck chassis may be used as the base for a small transit bus. Cutaways typically seat 15 or more passengers, and typically may accommodate some standing passengers.

Double Decker Bus (DB) is a high capacity bus having two levels of seating, one over the other, connected by one or more stairways. Total bus height is usually 13 to 14.5 feet, and typical passenger seating capacity ranges from 40 to 80 people.

Ferryboat (FB) is a vessel for carrying passengers or vehicles over a body of water. The vessels are generally steam or diesel-powered conventional ferry vessels. They may also be hovercraft, hydrofoil and other high-speed vessels.

Heavy Rail Passenger Car (HR) is a rail car:

- With motive capability
- Driven by electric power taken from overhead lines or third rails
- Configured for passenger traffic
- Usually operated on exclusive right-of-way (ROW)

Light Rail Vehicle (LR) is a rail car:

- With motive capability
- Usually driven by electric power taken from overhead lines
- Configured for passenger traffic
- Operated on exclusive rights-of-way (ROW) but sometimes on mixed traffic streets

Inclined Plan Vehicle (IP) is a special type of passenger vehicle operating up and down slopes on rails via a cable mechanism.

Minivan (MV) is a light duty vehicle having a typical seating capacity of up to seven passengers plus a driver. A minivan is smaller, lower and more streamlined than a full-sized van, but it is typically taller and has a higher floor than a passenger car. Minivans normally cannot accommodate standing passengers.

Commuter Rail Locomotive (RL) is a Commuter rail (CR) vehicle used to pull or push commuter rail (CR) passenger coaches. Locomotives do not carry passengers themselves.

Commuter Rail Passenger Coach (RP) is a Commuter rail (CR) passenger vehicle not independently propelled and requiring one or more locomotives for propulsion.

Commuter Rail Self-Propelled Passenger Car (RS) is a Commuter rail (CR) passenger vehicle not requiring a separate locomotive for propulsion.

School Bus (SB) is a passenger vehicle, which is designed to carry more than ten passengers in addition to the driver. School buses are used primarily for transporting pre-primary, primary or secondary school students either to such schools from home or from such schools to home.

Sports Utility Vehicle (SUV) (SV) is a high-performance four-wheel drive car built on a truck chassis. It is a passenger vehicle, which combines the towing capacity of a pickup truck with the passenger-carrying space of a minivan or station wagon. Most SUVs are designed with a roughly square cross-section, an engine compartment, a combined passenger and cargo compartment, and no dedicated trunk. Most mid-size and full-size SUVs have three rows of seats with a cargo area directly behind the last row of seats. Compact SUVs and mini SUVs may have five or fewer seats.

Trolleybus (TB) is a rubber-tired, electrically powered passenger vehicle operated on city streets drawing power from overhead lines with trolleys.

Aerial Tramway Vehicle (TR) is an unpowered passenger vehicle suspended from a system of aerial cables and propelled by separate cables attached to the vehicle suspension system. Engines or motors at a central location, not onboard the vehicle, power the cable system.

Van (VN) is an enclosed vehicle having a typical seating capacity of 8 to 18 passengers and a driver. A van is typically taller and with a higher floor than a passenger car, such as a hatchback or station wagon. Vans normally cannot accommodate standing passengers.

Vintage Trolley/Streetcar (VT) is a vintage or antique rail car originally manufactured before 1975, or a replica of this type of rail car built more recently. The vehicles are typically operated in mixed traffic right-of-way (ROW) but may also operate on exclusive rights-of-way (ROW).

[Appendix B: Asset Codes](#) provides a quick reference for abbreviations the NTD uses on the Annual Report for vehicle type.

Some transit agencies operate motor buses that look like trolleybuses. However, these replica trolleys do not share the same characteristics as true trolleybuses, such as drawing electrical power from overhead lines. If an agency operates replica trolleys, it must report the replicas as buses under the Bus (MB) mode.

Number of Vehicles in Total Fleet

Transit agencies must report the number of revenue vehicles in the total fleet at the end of the fiscal year. This total does not include supervisor or support vehicles. Total vehicles include both active and inactive vehicles held at the end of the fiscal year. Agencies report vehicles they sell or dispose of during their fiscal year and should indicate they have retired these vehicles.

Inactive vehicles are not readily available for revenue service. They include vehicles that are

- In storage
- Retained for emergency contingency purposes
- Out of service for an extended period of time for major repairs
- Awaiting sale or disposal

Transit agencies add vehicles to the inventory of Total Vehicles the first year they are used in transit service. Active Vehicles should include only the vehicles available to operate in revenue service. Active vehicles include spare vehicles and vehicles temporarily out of service for routine maintenance and minor repairs. Because the number of active vehicles includes spares, the number of active vehicles is typically greater than the number of VAMS.

Exhibit 59: Active and Inactive Vehicles

-Vehicle Inventory	Total Vehicles	Active Vehicles	Contingency	VAMS
Vehicles in Service	X	X	-	Yes
Spare Vehicles	X	X	-	Yes
Vehicles in Routine Maintenance/Minor Repairs	X	X	-	Yes
Vehicles in Rehabilitation/Major Repairs	X	-	-	No
Vehicles Awaiting Sale	X	-	-	No
Vehicles in Storage	X	-	-	No
FTA-Approved Contingency Vehicles	X	-	X	No
Vehicles Being Cannibalized for Parts	-	-	-	No
Vehicles Sold During Fiscal Year	-	-	-	No
Support Vehicles and Supervisor Vehicles	-	-	-	No
New Vehicles not yet in Service	X	-	-	No

Number of Active Vehicles in Fleet

Transit agencies must report the number of active vehicles in the fleet at year end. Active vehicles do not include emergency contingency vehicles.

If an agency were holding an entire fleet of vehicles until disposal, the agency would report the number of active vehicles for that fleet as zero.

Dedicated Fleet

The FTA defines dedicated vehicles as vehicles used exclusively for public transit service. Transit agencies that report directly operated service must report all vehicles under dedicated fleets.

In some cases, purchased transportation contractors do not use a dedicated fleet for public transit services. Transit agencies reporting this service must report such vehicles as non-dedicated. Transit agencies report limited data for non-dedicated fleets. Non-Dedicated fleets should encompass a representative sample of the vehicles used to provide the service. For TN and TX types of service, spares should not be included in this sample.

Vehicle Length

Transit agencies must report the vehicle length for each fleet of vehicles in feet.

Seating Capacity

The NTD captures seating capacity for each vehicle fleet. This is the actual number of seats onboard the vehicle and does not include the driver's seat except for Vanpool (VP) where the driver is typically a passenger. Manufacturers generally cite this information in the specification of the vehicle.

Year of Manufacture

Transit agencies must report the year of manufacture for the vehicles. The year of manufacturer is the year that the vehicles were built, not the model year.

Exhibit 60: Year of Manufacture vs. Model Year

Example: A fleet of 20 buses is manufactured in 2015. The model year of the 20 buses is 2016. What is the year of manufacture for purposes of NTD reporting?

Solution: Report the year of manufacture as 2015 as this is the year in which the vehicles were built.

Ownership

Transit agencies must indicate what type of entity owns the revenue vehicles and the ownership type. Ownership types include

- Owned outright by a public agency

- Owned outright by a private entity
- True lease by a public agency
- True lease by a private entity
- Lease under a lease purchase agreement by a public agency
- Lease under a lease purchase agreement by a private entity
- Leased or borrowed from related parties by a public agency
- Leased or borrowed from related parties by a private entity

Owned Outright

Owned outright indicates that a public agency or private entity owns the vehicles. Owned outright also includes safe harbor leasing agreements where only the tax title is sold.

True Lease

Under a **true lease** the public agency or private entity does not own the vehicle. Typically, at the end of the lease, the entity leasing the vehicle returns it to the leasing company. When the public agency or private entity returns the leased vehicle, it often enters into a new lease agreement, usually for a new vehicle.

In some cases, true leases include the option to purchase the vehicle at the end of the lease. When the agency buys the vehicle, vehicle ownership becomes **owned outright**.

Public transit agencies generally do not enter into true leases for revenue vehicles. However, should a transit agency enter into a true lease with a private entity for a Vanpool program, it should report the arrangement as a true lease. If the agency does not have a true lease, it should report the vehicles as owned outright by a private entity.

Lease Purchase Agreement

Under a **lease purchase agreement**, the public agency or private entity acquires the vehicle by making all lease payments. The public agency or private entity owns the vehicle when it makes all payments, at which the ownership type changes to **owned outright**.

Leased or Borrowed from Related Parties

Leased or borrowed from related parties usually involves two government entities. Sometimes, another public agency (e.g., a State) owns the vehicles and either leases them or provides them at no cost to the transit agency (e.g., local grantee).

Please see Appendix B, "[Asset Codes](#)," for the acronyms the NTD uses on the Annual Report for ownership type.

Funding Source

Agencies must indicate the funding source used to purchase or lease vehicles using the following options:

- Urbanized Area Formula Program (§5307)
- Formula Grants for Rural Areas (§5311)
- Enhanced Mobility of Seniors & Individuals with Disabilities (§5310)
- Other Federal funds
- Non-Federal public funds
- Non-Federal private funds.

Please see Appendix B, “[Asset Codes](#),” for the abbreviations the NTD uses on the Annual Report for funding sources.

Number of Emergency Contingency Vehicles

FTA normally requires that agencies dispose of vehicles when they replace them with FTA-funded vehicles. However, FTA may permit a transit agency to keep the vehicles in an inactive fleet to be used in the event of natural disasters. Agencies must request FTA approval of an Emergency Contingency Plan for keeping replaced vehicles.

Agencies must report the number of vehicles in an approved FTA Emergency Contingency Plan. They must report the emergency contingency vehicles as an inactive fleet.

ADA-Accessible Vehicles

Agencies must identify active vehicles that meet ADA requirements for accessibility.

Useful Life Benchmark

ULB is the expected lifecycle of a capital asset for a particular transit agency’s operating environment, or the acceptable period of use in that environment. Agencies must report a ULB for all fleets for which they have capital replacement responsibility.

FTA has outlined default ULB for each vehicle type. If a transit agency selects ULBs that differ from FTA’s default values, the NTD analyst may request supporting documentation.

Please see the table below for default ULB’s for common vehicle types.

Exhibit 61: Revenue Vehicle Default Useful Life Benchmarks

Vehicle Type	Default ULB (in years)
Articulated Bus (AB)	14
Automated Guideway Vehicle (AG)	31
Automobile (AO)	8
Over-the-road Bus (BR)	14
Bus (BU)	14
Cable Car (CC)	112
Cutaway Bus (CU)	10
Double Decked Bus (DB)	14
Ferryboat (FB)	42
Heavy Rail Passenger Car (HR)	31
Inclined Plane Vehicle (IP)	56
Light Rail Vehicle (LR)	31
Monorail Vehicle (MO)	31
Minivan (MV)	8
Commuter Rail Locomotive (RL)	39
Commuter Rail Passenger Coach (RP)	39
Commuter Rail Self-Propelled Passenger Car (RS)	39
School Bus (SB)	14
Streetcar (SR)	31
Sports Utility Vehicle (SV)	8
Trolleybus (TB)	13
Aerial Tramway (TR)	12

Vehicle Type	Default ULB (in years)
Van (VN)	8
Vintage Trolley (VT)	58

Capital Responsibility for Revenue Vehicles

Transit agencies indicate whether they have capital responsibility for each revenue vehicle fleet. If the transit agency leases the vehicles but must pay a certain percent annually to eventually own the assets, such as lease-to-own arrangements, the agency should report the status of capital responsibility as of the end of the fiscal year.

In the case of leased or borrowed from related parties agreements, the lessee does not have to report ULB for these assets, as they do not have capital responsibility. It is typically the lessor that would report this condition assessment.

Agencies that have true leases are not required to report ULB for these revenue vehicles since the agency does not have capital responsibility.

Autonomous Vehicle Fleets

Transit agencies indicate whether fleet vehicles are autonomous. An autonomous vehicle is one “capable of performing all driving functions without human input under certain conditions.”

Revenue Vehicle Inventory – Additional Requirements for Urban Reporters

Full and Reduced Reporters operating in Urbanized Areas must also report the following, by fleet:

- Year of rebuild
- Manufacturer
- Model
- Standing capacity
- Total miles on active vehicles
- Average lifetime miles per active vehicle

Year and Type of Last Renewal

Transit agencies must report the year of renewal and type of renewal for the vehicles, if applicable. An agency must report the year of renewal if it performs work on a vehicle to extend its useful life or ensure the useful life is reached. The following renewal types must be reported:

- Mid-Life Vehicle Overhaul
- Life-Extending Rebuild

Mid-Life Vehicle Overhaul is the systematic replacement or upgrade of vehicle systems with a useful life less than the useful life of the entire vehicle in a programmed manner. Overhaul is performed as a planned or concentrated preventive maintenance activity and is intended to enable the vehicle to perform to the end of the original useful life.

Life-Extending Rebuild is a capital activity associated with rolling stock that occurs at or near the end of a unit of rolling stock's useful life. This results in an extended useful life for the unit consistent with the extent of the rebuild.

For example, an agency may rebuild a bus with a useful life of 12 years to extend its useful life to 17 years.

If an agency rebuilds a portion of a vehicle fleet that it reports to the NTD, it must divide the fleet and report the rebuilt vehicles separately. Agencies can only group vehicles into a fleet on the Annual Report if the vehicles are identical. Agencies should not update the original funding source in the event of a rebuild.

Manufacturer

Agencies should report the company that manufactured the vehicle. Some vehicles may have more than one manufacturer. For example, cutaway vehicles have two manufacturers: the manufacturer of the chassis and the manufacturer of the body. Transit agencies must report the manufacturer of the body.

Please see Appendix B, "[Asset Codes](#)," for the acronyms the NTD uses on the Annual Report for manufacturer type.

Model

Transit agencies must report the model name for a vehicle as the model that the vehicle manufacturer provides. The Vehicle Identification Number (VIN) is not the model.

Agencies are not required to report vehicle models for automobiles, vans, minivans, and sport utility vehicles.

Exhibit 62: Manufacturer vs. Model

Example: Transit Agency A has a fleet of cutaway vehicles built on Ford F-350 chassis. The bodies were manufactured by El Dorado. El Dorado lists the vehicles as being Aerotech models. What does the agency report as the manufacturer and the model?

Solution: The agency must report the body manufacturer. Transit Agency A reports El Dorado (EDN) as the manufacturer and Aerotech as the model.

Standing Capacity

Transit agencies must report the standing capacity of the vehicle fleet. This is the maximum number of people that a transit agency allows (by policy) to stand on the vehicle at one time.

If local policy prohibits standing, the agency will report zero for standing capacity. In the unlikely event that there is no local policy on the maximum number of standees, the agency should report the rated standing capacity as provided by that vehicle's manufacturer.

Total Miles on Active Vehicles

Agencies must report the total miles each vehicle fleet was driven during the fiscal year. The total miles on active vehicles include

- Actual vehicle miles (including deadhead and revenue miles)
- The other miles incurred or driven during the reporting period such as mileage from
 - Operator training
 - Moving vehicles between and within maintenance facilities/garages

Average Lifetime Mileage per Active Vehicle

Transit agencies must report the average lifetime miles on its vehicles at the end of the fiscal year.

Average lifetime miles are the average mileage, since the date of manufacture, on active vehicles at fiscal yearend. Average lifetime miles always begin with the original date of manufacture, even if an agency has rebuilt a vehicle.

Exhibit 63: Total Miles and Average Lifetime Mileage per Active Vehicle

Example: A transit agency operates Bus (MB) service with a fleet of 8 vehicles. The odometer/hubometer readings for each vehicle and the vehicle status at fiscal year-end (FYE) 2016 are below. All buses have the same vehicle type, fuel type, ownership code, funding source, year of manufacture, manufacturer code, model number, and capacity (seating and standing). How does the agency report Total Miles During the Period and Average Lifetime Miles per Active Vehicle?

Vehicle Number	Odometer Reading at 2015 Fiscal Year End	Odometer Reading at 2016 Fiscal Year End	Mileage During 2016 Fiscal Year	Status at 2016 Fiscal Year End
1	35,005	72,188	37,183	In revenue operation
2	47,410	98,442	51,032	In revenue operation
3	20,115	25,776	5,661	Out for six weeks for body work
4	140,020	190,290	50,270	In revenue operation
5	38,732	68,333	29,601	Out for six weeks for body work
6	150,043	155,747	5,704	Emergency contingency vehicle
7	40,555	79,676	39,121	In revenue operation
8	30,080	60,045	29,965	Spare used in operation

Solution: Determine active vehicles at 2016 FYE:

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

report average lifetime mileage per active vehicle and total mileage on active vehicles during the period:

*Average lifetime mileage per active vehicle: **(72,188 + 98,442 + 190,290 + 79,676 + 60,045) / 5 vehicles = 100,128 miles***

*Total mileage on active vehicles during period: **(37,183 + 51,032 + 50,270 + 39,121 + 29,965) = 207,571 miles***

Revenue Vehicle Inventory – Additional Requirements for Rail Mode Operators

Full Reporters operating rail modes must also report the following, by rail mode fleet (including passenger car fleets). Agencies do not report these data points for rail systems subject to Federal Railroad Administration (FRA) safety oversight, such as commuter rail systems.

Total Vehicles with Event Data Recorders

Report the total number of fleet vehicles equipped with event data recorders according to IEEE 1482.1 standard.

Total Vehicles with Emergency Lighting System Design

Report the total number of fleet vehicles with systems that meet the minimum performance criteria for emergency lighting specified by APTA RT-S-VIM-20-10 standard.

Total Vehicles with Emergency Signage

Report the total number of fleet vehicles with systems that meet the minimum performance criteria for the design of emergency signage specified by APTA RT-S-VIM-021-10 standard.

Total Vehicles with Low-Location Emergency Path Marking

Report the total number of fleet vehicles with systems that meet the minimum performance criteria for low-location exit path marking specified by APTA RT-S-VIM-022-10 standard.

Energy Consumption: Full Reporter Requirements

This section applies to Full Reporters only.

Full Reporters must provide data on the type and amount of fuel that they use to propel their revenue vehicles. Full Reporters must report this information for all modes and types of service except for the TX and TN Types of Service. The NTD reporting system provides energy choices for rail and non-rail modes.

If none of the energy choices fit, agencies must select other fuel (OR). If agencies select OR, the FTA requires documentation of what type of energy the revenue vehicles use.

Agencies that use a fuel mixture must report the amount of fuel consumed in each category.

Rail Modes

The FTA classifies rail propulsion methods by the following energy types:

- Kilowatt hours of propulsion power (EP)
- Gallons of diesel fuel (DF)
- Gallons of biodiesel (BD)
- Gallons of liquefied petroleum gas (LPG) (LP)
- Gallons of liquefied natural gas (LNG) (LN)
- Gallons of other fuel (OR)

Non-Rail Modes

Non-rail revenue vehicles may use the following energy types:

- Kilowatt hours of propulsion power (EP)
- Kilowatt hours to charge batteries (EB)
- Gallons of diesel fuel (DF)
- Gallons of biodiesel (BD)
- Gallons of gasoline (GA)
- Gallons of liquefied petroleum gas (LPG) (LP)
- Gallons of liquefied natural gas (LNG) (LN)
- Gallons of methanol (MT)
- Gallons of ethanol (ET)
- Gallons of compressed natural gas (CNG) (CN)
- Gallons of bunker fuel (low grade of diesel fuel often used in ferryboat operations) (BF)

- Gallons of kerosene (KE)
- Gallons of other fuel (OR)
- Gallons of hydrogen (HY)

Please see Appendix B, "[Asset Codes](#)," for the acronyms the NTD uses on the Annual Report for fuel types.

Hybrid Vehicles

Hybrid vehicles consume liquid fuel as their primary energy source and supplement the combustion engine with an electric motor charged by the motion of the vehicle. If agencies use hybrid vehicles, they must report the primary fuel source (typically gasoline or diesel).

Dual Fuel

A vehicle that uses more than one source of energy is called dual fuel. This includes plug-in hybrids that consume both liquid fuel and electricity from an external outlet. It does not include hybrids that charge their batteries using systems onboard the vehicle. For dual fuel vehicles, agencies should report both fueling types (e.g., gasoline and electric battery for a plug-in hybrid).

Compressed Natural Gas/Hydrogen Conversion

If an agency uses compressed natural gas (CNG), the agency must report the fuel in gallon equivalents of either gasoline or diesel fuel, as applicable, based on what type of fuel the revenue vehicle would use if it were not powered by CNG. Transit agencies should contact the supplier of the CNG for the correct conversion factors. If an agency cannot obtain the conversion factor from the supplier, it can use the exhibit below.

Biodiesel Fuel

If an agency has a vehicle fleet that uses biodiesel fuel, it should report the fuel type as diesel fuel.

Exhibit 64: Compressed Natural Gas Conversion Factors

1 Therm = 100,000 British Thermal Units (BTU)

Gallon equivalents of diesel (#2 grade) = Number of BTU / 138,000

Gallon equivalents of gasoline = Number of BTU / 114,000

Gallon equivalent of gasoline = 5.66 pounds

Gallon equivalent of diesel (#2 grade) = 5.42 pounds

Exhibit 65: Compressed Natural Gas Conversion

Examples	Solutions
<p>Example 1: A transit agency has one small bus for Demand Response service that uses CNG fuel. It buys 5,000 therms of CNG. The transit agency decides that if the bus was not using CNG the most likely fuel used would be DF. The energy supplier reports that their conversion rate is 1.42 Therms to 1 diesel gallon equivalent.</p>	<p>$5,000 \text{ therms} \div 1.42 = 3,521 \text{ equivalent gallons of diesel fuel (DF)}$</p>
<p>Example 2: A transit agency has one eight-passenger van for Demand Response (DR) service that uses CNG fuel. It buys 600 pounds of CNG. The transit agency decides that if the van was not using CNG, the most likely fuel used would be gasoline (GA). The energy supplier does not provide a conversion factor.</p>	<p>$600 \text{ pounds} \times 5.66 \text{ gallons per pound} = 3,396 \text{ equivalent gallons of gasoline (GA)}$</p>

Vanpool: Estimating Fuel Usage and Cost

The best way to collect data on fuel usage and cost is to use a fuel card program that automatically sends these data to the agency. However, many Vanpool operators rely on drivers' reports for their data on fuel usage and cost. These reports can be unreliable and result in poor data quality. Thus, some Vanpool operators may wish to estimate these data instead. The following method for estimating these data would be acceptable for reporting to NTD.

1. **Determine the fuel efficiency of each vehicle group in the Vanpool fleet.**
Agencies should group together vehicles that are known to have the same fuel efficiency. Agencies must have a separate fuel efficiency calculation at least for each make/model of vehicle in their fleet. In some cases, vehicles of the same make/model, but different years may be grouped together. However, if the model changed significantly between model years (e.g., the 2012 model has a bigger engine than the 2011 model) agencies cannot group these years of vehicle together. Manufacturer's specifications of fuel efficiency tend to be overly optimistic. Instead agencies must use their own data to determine fuel efficiency. The agency should use at least one month of reliable data on miles traveled and fuel used during regular Vanpool service to calculate fuel efficiency rates.
2. Track the miles traveled by each vehicle.
3. Divide miles traveled by fuel efficiency to estimate fuel used.
4. Use externally available data to estimate the cost of fuel per gallon. There are several websites such as gasbuddy.com and fuelgaugereport.aaa.com that publish reports on fuel prices by State and city. Agencies should use one of these sources to determine average fuel cost per gallon. Agencies must use data that are updated at least every month, and that break down prices geographically at least by State. Agencies may use a finer level of detail than this.
5. Separate out fuel taxes from fuel cost. Several online sources publish these data. Fuel taxes are usually applied on a per-gallon basis.
6. Multiply fuel used by cost per gallon to estimate fuel cost. Agencies should make sure to use both fuel used and cost per gallon data by month and region, or a finer level of detail.
7. Multiply fuel used by tax per gallon to estimate tax cost.

Exhibit 66: VP Estimating Fuel Usage and Cost

Example: A transit agency operates a 3-vehicle Vanpool for one month in February 2015, in Virginia. Two vehicles are the same make/model/year and the third vehicle is distinct. The agency divides these vehicles into vehicle group A and vehicle group B.

Solution:

1. *The agency collected the following information during the months when the transit agency received regular, reliable reports from the drivers:*

Group A has traveled 2,000 miles and used 150 gallons of gasoline. Group B has traveled 1,200 miles and used 80 gallons of gasoline. Calculate the fuel efficiency for each group:

- **Group A:** 2000 miles / 150 gallons = 13.3 mpg
- **Group B:** 1200 miles / 80 gallons = 15 mpg

In February 2015 group A travels 1,600 vehicle miles, including 100 miles for personal use. Group B travels 900 vehicle miles, with no personal use. This means 1,500 and 900 miles are reported in NTD.

The transit agency divides the miles travelled by the fuel efficiency to estimate the fuel used.

- **Group A:** 1,500 miles / 13.3 mpg = 112.78 gallons gasoline
- **Group B:** 900 miles / 15 mpg = 60 gallons gasoline
- **Total:** 112.78 gallons + 60 gallons = 172.78 gallons of gasoline

The transit agency determines that average fuel cost in Virginia for February 2015 is \$2.284 per gallon of regular gasoline.

Federal tax is \$0.184 per gallon of gasoline. According to dmv.virginia.gov, Virginia state tax is \$0.162 per gallon of gasoline. Thus, the total tax per gallon is:

- **Total:** \$0.184 + \$0.162 = \$0.346 tax per gallon
- **Fuel cost only:** \$2.284 - \$0.346 = \$1.938 fuel cost per gallon

The transit agency uses the average fuel cost determined in step 5 to calculate the cost of fuel used by its vehicles.

- 172.78 gallons * \$1.938 = \$334.85 spent on fuel during February 2015.

The transit agency determines total tax on fuel as follows:

- 172.78 gallons * \$0.346 = \$59.78 spent on tax during February 2015.

The transit agency reports 172.78 gallons of gasoline used, \$334.85 spent on fuel, and \$59.78 spent on fuel taxes.

Service Vehicle Inventory (Form A-35)

Transit agencies must report the number of service vehicles in the total fleet at the end of the fiscal year. Agencies must only report service vehicles for which they have capital replacement responsibility. Transit agencies are required to report data on service vehicles, or vehicles which do not carry passengers. Agencies report service vehicle inventory data by groups or fleets. Agencies should group vehicles into fleets if they are

identical in all aspects, including vehicle type, manufacture year, primary mode, etc. Service vehicles must not be used in revenue service to be reported on the A-35.

Service vehicles must be self-propelled and either road-worthy or major pieces of construction equipment to be reportable to the NTD. Examples of reportable service vehicles include: automobiles used by supervisors or maintenance staff, wreckers, tow trucks, work trains, tampers, diggers, etc. Flatbed train cars, golf carts, and fork lifts are not considered reportable service vehicles.

If an agency uses service vehicles that are pulled from a non-dedicated pool of agency owned vehicles that are not specific (or assigned) to transit, the agency should report a representative sample fleet of vehicles they typically use to support service.

Service Vehicle Inventory Data

The NTD collects the following data on service vehicles:

- Vehicle Type
- Primary Mode
- Secondary Mode(s)
- Total Vehicles
- Useful Life Benchmark
- Year of Manufacture
- Transit Agency Capital Responsibility
- Estimated Cost
- Year Dollars of Estimated Cost

Vehicle Type

Service Vehicles can be categorized into three vehicle types:

- Automobiles - Passenger cars, including station wagons. Excludes SUVs (crossovers and traditional SUVs), vans, minivans, and pickup trucks.
- Trucks and other rubber-tired vehicles - A self-propelled motor vehicle designed for the transportation of property or special purpose equipment or passengers., This vehicle category includes heavy-duty rubber-tired vehicles as well as pickup trucks, vans, SUVs (crossovers and traditional SUVs), and minivans.
- Steel wheel vehicles - In rail systems, vehicles with the specially designed cast or forged steel, essentially cylindrical element that rolls on the rail, carries the weight, and provides guidance for rail vehicles. Steel wheel vehicles exclude vehicles that are equipped for both road (rubber tires) and rail.

Modes

Agencies must report a primary mode for each fleet. If service vehicles are used across multiple modes, the agency must report one mode as the primary and then indicate the secondary modes for each fleet.

Total Vehicles

Transit agencies must report the number of service vehicles in the total fleet at the end of the fiscal year. Total vehicles include both active and inactive vehicles held at the end of the fiscal year.

Useful Life Benchmark

Useful Life Benchmark is the expected lifecycle of a capital asset for a particular transit agency's operating environment, or the acceptable period of use in service that environment. FTA has outlined default ULBs for service vehicle types. If a transit agency selects ULBs that differ from FTA's default values, the agency must submit documentation supporting their agency specific ULBs for approval. Please see the table below for default ULB's for service vehicle types.

Exhibit 67: Service Vehicle Default Useful Life Benchmarks

Vehicle Type	Default ULB (in years)
Automobile (AO)	8
Trucks and Other Rubber Tire Vehicles	14
Steel Wheel Vehicles	25

Year of Manufacture

Transit agencies must report the year of manufacture for the vehicles. The year of manufacturer is the year that the vehicles were built, not the model year.

Capital Responsibility for Service Vehicles

Transit agencies report service vehicle fleets for which they own or have direct capital responsibility. Agencies report the degree of capital responsibility for each fleet as a percentage. If the transit agency leases the vehicles but must pay a certain percent

annually to eventually own the assets, such as lease-to-own arrangements, the agency should report the value for capital responsibility as of the end of the fiscal year.

Estimated Cost

For each service vehicle fleet, agencies must report the full cost to replace the fleet with a comparable set of vehicles. A reasonable estimate should reflect the current asset type, allowing for moderate increases in cost due to inflation or improvements in technology. The field should not reflect planning, but rather actual current estimated cost. The cost estimate should include “soft costs” such as unallocated contingencies or finance charges. The dollar figure should represent the agency’s most recent estimate of the full cost to replace these assets. If no recent cost estimate has been developed, then the agency may report the original cost of the asset.

Year Dollars of Estimated Cost

Agencies are required to report the year corresponding to dollar value reported for estimated cost for each fleet.

RESOURCE DATA REQUIREMENTS

Employees (Form R-10)

A summary of how to collect and report employee work hours

Maintenance Performance (Form R-20)

A summary of how to collect and report revenue vehicle mechanical system failures

Employees (Form R-10)

Full Reporters provide employee data for directly operated services only. These agencies must report two employee data items: the hours that all employees work during the year and the number of employees at the end of the year. Transit agencies report data by type of employee (full-time vs. part-time and operators vs. non-operators) and labor classification (operating and capital).

Type of Employees

The FTA defines an employee as a person whose salary the agency reports under the Labor object class (Salaries and Wages). Typically, this means that the transit agency writes the payroll checks and provides an Internal Revenue Service Form W-2: Wage and Tax Statement for the employee. People that a temporary employment agency employs are not employees of the transit agency.

Transit agencies may have two different types of employees: full-time and part-time. Transit agencies must categorize employees by full-time and part-time based on local policy. Generally, human resource departments use these definitions to classify each employee.

Full-time employees typically work a minimum number of hours, such as at least 30 hours per week or 1,500 hours per year. Full-time employees usually receive a full benefits package.

Full-time employees working part of their time in a function or mode are not part-time employees. For example, a full-time mechanic may repair Bus (MB) and Demand Response (DR) vehicles. The transit agency must report that mechanic as a full-time worker for both MB and DR modes.

Part-time employees work less than the minimum number of hours required for full-time employees and usually do not receive benefits. Often, agencies pay part-time employees at a lower rate than full-time employees.

Transit agencies must also categorize employees as operators and non-operators.

Operators are employees whose primary responsibility is the operation of revenue vehicles. This includes drivers, conductors, and ferry boat crews.

Non-operators are employees whose primary responsibility does not include the operation of revenue vehicles. A few examples are mechanics, schedulers, and managers.

In some cases, employees may perform work outside their primary responsibilities. For example, an operator on light duty may answer phones in the customer service office. This person is still considered an operator, so his hours are reported as an operator, but in the General Administration function rather than Vehicle Operations.

Exhibit 68: Who is an Employee?

The following persons would be considered employees:

An individual who has completed his/her scheduled assignment.

An individual on extended sick leave.

An individual temporarily disabled and assigned to another position.

An individual who has left the transit agency through separation or retirement but who continues to receive a paycheck from the transit agency and whose position has not been refilled.

An individual on a paid leave of absence.

An individual on an unpaid leave of absence of a prolonged duration, as long as he/she is retained on the benefits program and retains his/her job security rights.

The following persons would NOT be considered employees:

An individual working temporarily on a service contract (expense object class (5020) services).

An individual employed by an entity, either private or public, that has a contract with the transit agency to perform specific services (e.g., management services, clerical).

An individual under contract to another company but working on the transit agency's premises (e.g., temporary clerical services).

Employee Work Hours and Actual Person Counts

Transit agencies must collect employee work hours and an actual person count. Employee work hours include all work performed during the report year. The actual person count of employees only includes employees at the end of the fiscal year.

Employee Work Hours

Employee work hours are the total hours an agency's employees worked during the fiscal year. Agencies may hire new employees or existing employees may leave during the year. Regardless of when employees begin or leave their jobs, transit agencies must report the total work hours to the NTD. Transit agencies may determine employee work hours from payroll records.

Transit agencies must report the actual work hours for each employee. In some cases, employees working overtime may receive a pay rate of 1.5 times the normal rate. In these situations, transit agencies must report the actual hours worked, not the equivalent number of straight-time pay hours. For example, a driver works 10 hours and is paid the equivalent of 11 straight-time pay hours ($8 + (1.5 \times 2) = 11$). The agency should report 10 actual work hours for this driver.

Example: A transit agency has a full-time employee. The agency paid the employee for 2,080 hours of work. Of the 2,080 hours, she spent 80 hours on vacation, 24 on sick leave, 40 on holidays, and 16 on personal leave. The remaining 1,920 was her time actually working. How many hours should the transit agency report?

Solution: The agency must report the hours actually worked: 1,920.

Exhibit 69: Hours Worked

Work hours are typically less than the total hours paid by agencies to their employees. Transit agencies may pay employees for hours associated with fringe benefits, such as holiday time and sick leave. For example, agencies may pay a full-time employee for approximately 2,080 total hours in a report year. However, the actual work hours may be 1,700 to 1,800 of the 2,080 hours.

Actual Person Count

Transit agencies must report the actual person count of employees as of the end of the fiscal year. This is typically straightforward; however, transit agencies may encounter unique situations, such as when an employee is on a paid leave of absence at the end of the year.

Transit agencies must report the total number of hours worked during the year, but the actual person count should only include personnel receiving paychecks at the agency's fiscal year end.

Allocation of Persons and Hours

Transit agencies must allocate work hours and person counts among labor classifications and modes if an employee works on more than one of the following:

- Functions
- Modes
- Type of services

Payroll records should enable a transit agency to allocate hours using a reasonable and consistent approach from year to year. Transit agencies must report employees to two decimal places (e.g., an employee spending 33 percent of his/her time on bus vehicle operations should be 0.33 employees under MB Vehicle Operations).

Exhibit 70: Work Hours and Allocated Person Count

Example: A transit agency has a full-time employee who performs vehicle maintenance on both DO and PT services. How should the agency report the data?

Mode	Type of Service	Full-Time Non-Operator Work Hours
DR	DO	900
DR	PT	600
MB	PT	300
Total		1,800

Solution: Prorate the employee using the number of hours worked per mode.

Mode	Type of Service	Full-Time Non-Operator Work Hours	Calculation of Employee	Full-Time Non-Operator Count
DR	DO	900	900 / 1,800	0.50
DR	PT	600	600 / 1,800	0.30
MB	PT	300	300 / 1,800	0.20
Total		1,800		1.00

The employee works 50 percent of his/her time on DR DO, 30 percent on DR PT, and 20 percent on MB PT. The agency does not report the data associated with the DR PT or MB PT service. Therefore, the agency reports half an employee (0.5) and the 900 hours worked under DR DO.

Labor Classification

The FTA classifies labor into two categories: operating and capital.

Operating Labor

The FTA defines operating labor as the personnel necessary to carry out the day-to-day requirements for providing transit service. Transit agencies report operating labor in four functions:

- Vehicle operations
- Vehicle maintenance
- Facility maintenance
- General administration

The USOA outlines these functions. For more information, see the [USOA guide](#) available on the NTD website.

Capital Labor

Capital labor is the personnel involved in the purchase of equipment (e.g., buses, shelters) and construction of facilities (e.g., garages, guideway, stations). The work activities for capital labor are design and engineering, purchase, land acquisition/relocation, construction, rehabilitation, and management of capital grants and projects.

Maintenance Performance (Form R-20)

This section applies to Full Reporters only.

Taxi and Transportation Network Company Types of Service do not provide maintenance performance (e.g., mechanical system failure) data.

Full Reporters must provide data on mechanical system failures for revenue vehicles. Revenue vehicle system failures are mechanical problems that occur when

- A vehicle does not complete its scheduled revenue trip, or
- A vehicle does not start its next scheduled revenue trip

A transit agency must count each system failure as it occurs even if the agency immediately substitutes another vehicle and no revenue service is lost. Additionally, an agency must report a failure even if the agency later determines there is no actual problem with the vehicle.

For rail modes, a failure of a passenger car that is part of a train is counted even though the train continues in service. A transit agency will close the car and require its passengers to ride in other cars.

Disruptions caused by a traffic collision, natural disaster, or vandalism are not considered mechanical failures. The NTD only collects data on mechanical failures onboard the transit vehicle. Do not report failures of systems off of the vehicle, or on service (non-revenue) vehicles. For electrically propelled services, do not count failures of off-vehicle power or signaling systems.

Do not include mechanical failures that occur in the yard or grounds of the maintenance facility during pull-out operations in the count of mechanical failures. The counting of mechanical failures starts after a revenue vehicle departs from the yard or grounds of the maintenance facility.

The FTA separates system failures into the following categories:

- Major mechanical system failures are those that limit actual vehicle movement or create safety issues
- Other mechanical system failures

Major Mechanical System Failures

Major mechanical system failures are failures of some mechanical element of the revenue vehicle not caused by a collision, natural disaster, or vandalism and a vehicle from

completing or starting a scheduled revenue trip because actual movement is limited or because of safety concerns. Examples of major bus failures include breakdowns of

- Brakes
- Doors
- Engine cooling systems
- Steering, axles, suspension

Agencies must classify a failure as major if it results in a safety hazard or if the vehicle is disabled. This means that a major mechanical system failure does not have to be expensive or difficult to repair in order to meet the definition; it could be inexpensive or easy to repair, such as a flat tire.

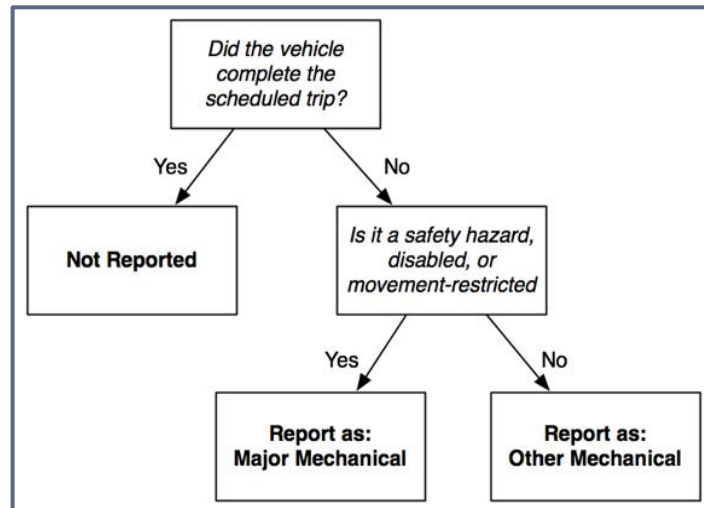


Exhibit 71: Revenue Vehicle System Failure

A number of factors can affect the number of major mechanical system failures that an agency incurs, such as local operating conditions, vehicle type, and effectiveness of the maintenance program. However, transit agencies must uniformly report data on major mechanical failures to ensure consistency in the NTD database.

Other Mechanical System Failures

Other Mechanical System Failures are failures of some other mechanical element of the revenue vehicle not caused by a collision, natural disaster, or vandalism, but, because of local agency policy, prevents the revenue vehicle from completing a scheduled revenue trip or from starting the next scheduled revenue trip even though the vehicle is physically able to continue in revenue service.

Common examples include breakdowns of

- Fareboxes
- Wheelchair lifts
- Heating, ventilation, and air conditioning (HVAC) systems

Exhibit 72: Examples of Revenue Vehicle System Failure

Examples	Solutions
<p>Example 1: The air conditioning on a Hamlet Transit Agency bus fails while carrying passengers in revenue service. The driver determines that he is unable to repair the problem and calls for a backup because it is a hot day.</p>	<p>Hamlet reports this event as an “other” mechanical system failure. Faulty air conditioning is not a major mechanical system failure because the bus could physically continue in revenue service without working HVAC and would not pose a safety concern.</p>
<p>Example 2: During layover, a Hamlet Transit Agency bus experiences an engine cooling system failure. The agency tows the bus to the garage and dispatches a backup bus immediately. The next trip departs on time.</p>	<p>Hamlet reports this event as a major mechanical system failure because the bus could not physically operate to start its next scheduled trip.</p>
<p>Example 3: The brakes stick on a Hamlet Transit Agency bus. The driver radios for help from the mobile repair unit. The unit adjusts the brakes during the scheduled layover for the bus in time for the bus to start and complete its next scheduled trip.</p>	<p>Hamlet does not report this event because the bus started and completed its next scheduled trip.</p>
<p>Example 4: The front axle breaks on a Hamlet Transit Agency bus on its scheduled pullout from the garage to the beginning of the bus route. A tow truck tows the bus to the garage and the Agency sends a replacement vehicle.</p>	<p>Hamlet reports this event as a major mechanical systems failure because the bus could not start its next scheduled trip.</p>
<p>Example 5: While deadheading back to the dispatching point at the end of the day, an electrical system problem activates the wheelchair lift on a Hamlet Transit Agency van. The lift is stuck in the extended position and the van has to be towed to the garage.</p>	<p>Hamlet does not report the event since the van completed all of its scheduled trips for the day.</p>
<p>Example 6: A substation that provides power to Hamlet Transit Agency's light rail experiences a temporary failure. Rail service halts and several scheduled trips are not performed.</p>	<p>Hamlet does not report this incident, since the failure occurred off of the vehicle.</p>

Examples	Solutions
<p>Example 7: A vehicle mirror breaks making it unsafe to operate. Another vehicle is replaced.</p>	<p>Since the vehicle was unsafe to operate, Hamlet reports it as a major mechanical failure.</p>
<p>Example 8: On a 6-car Heavy Rail train, one of the doors fails, making one car unable to carry passengers, while the other 5 are still operable. The agency does not remove the train from service, but the one car with the faulty door no longer carries passengers.</p>	<p>Since one car is unable to provide service, this is a major mechanical failure of one vehicle.</p>
<p>Example 9: A driver complains that the brakes are not functioning properly. The agency removes the vehicle from revenue service. Later on, a mechanic checks the brakes and determines that there is no issue.</p>	<p>Solution: Since the agency removed the vehicle from service, this is a major mechanical failure.</p>

FEDERAL FUNDING DATA REQUIREMENTS

Reporting Federal Funding Allocation Data (Form FFA-10)

A summary of the importance of data allocation and its uses

NTD Serve Rules

An overview of NTD requirements for data allocation

Reporting Allocation Methods

A summary of the different allocation methods for Federal funding data

Federal Funding Data for Fixed Guideway and High Intensity Busway

Reporting requirements for fixed guideway and high intensity busway Federal funding data

Reporting Federal Funding Allocation Data (Form FFA-10)

Transit agencies must report data by mode and service type for the urbanized and rural areas they serve. These data are an important part of NTD reporting because they directly affect the amount of funding FTA apportions to each area. FTA uses this information to support the §5307, §5337, §5339, and §5311 formula funding programs. The reported data are:

- UPT
- VRM
- VRH
- OE
- PMT (Full Reporters only)
- DRM (Fixed Guideway and High Intensity Bus only)

These data are defined in the “[Financial Data Requirements](#)” and “[Service Date Requirements](#)” sections of this manual. Data reported on the FFA-10 must be consistent with data reported in these modules.

NTD Serve Rules

Agencies report annual service data for each mode and type of service they operate. The “[Service Data Requirements](#)” section of this manual describes policies related to service data in detail.

In addition to agency-wide service totals, FTA requires reporters to report service totals and operating expenses for each of the individual areas the agency serves – urban or rural. Reporters use FFA forms to allocate service and operating expense totals into subtotals for each served area. Reporting by area is critical because it affects the amount of funding FTA apportions to each area.

Serving an Area

Transit agencies must follow *serve rules* when reporting data for Federal funding. *Serve rules* determine how an agency may report data among the urbanized and rural areas it serves.

The FTA defines “serving an area” as operating a transit service that has a trip end (origin or destination) in that specific urbanized or rural area. Transit agencies must analyze each

service that they operate and determine if it serves one or multiple urbanized or rural areas. Agencies must report data based on the results of these analyses.

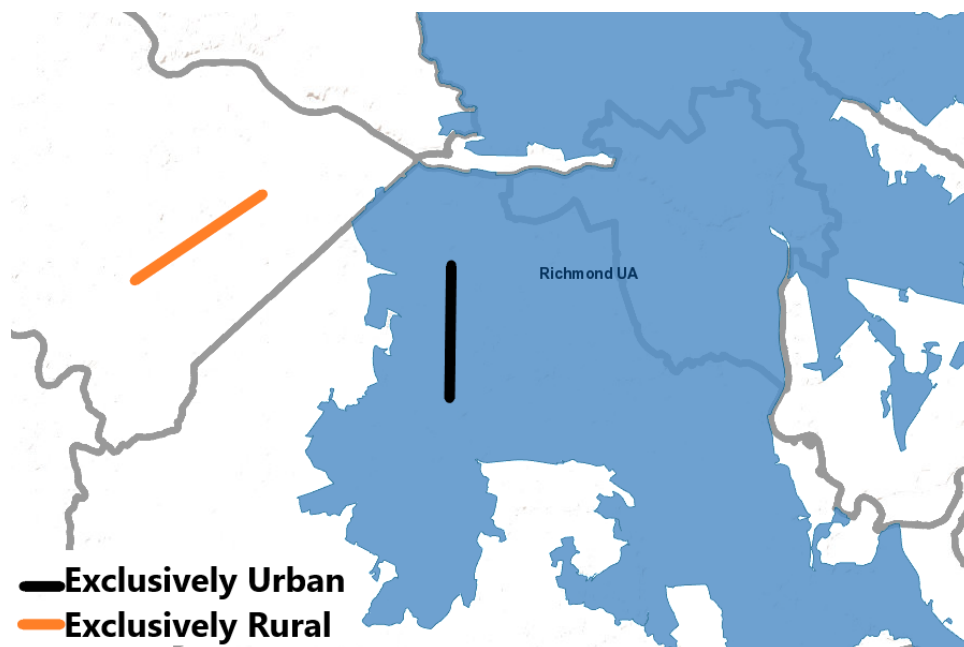
The following exhibits use images from the U.S. Census Bureau. The Census Bureau uses the abbreviation “UA” to signify urbanized areas. Urbanized areas are blue, rural areas are white, and grey lines designate county boundaries.

Serving One Area

If a transit service operates entirely within one urbanized or rural area, then the transit agency must report the data for the service in that specific service area. The transit agency has no reporting discretion and must follow this reporting rule.

Exhibit 73: Service in One Area

Exclusive Urban or Rural Service: A trip occurs entirely within one urbanized area (exclusively urban) or entirely outside of one urbanized area (exclusively rural).



Solution: In both cases, the transit agency reports all data to the area it serves.

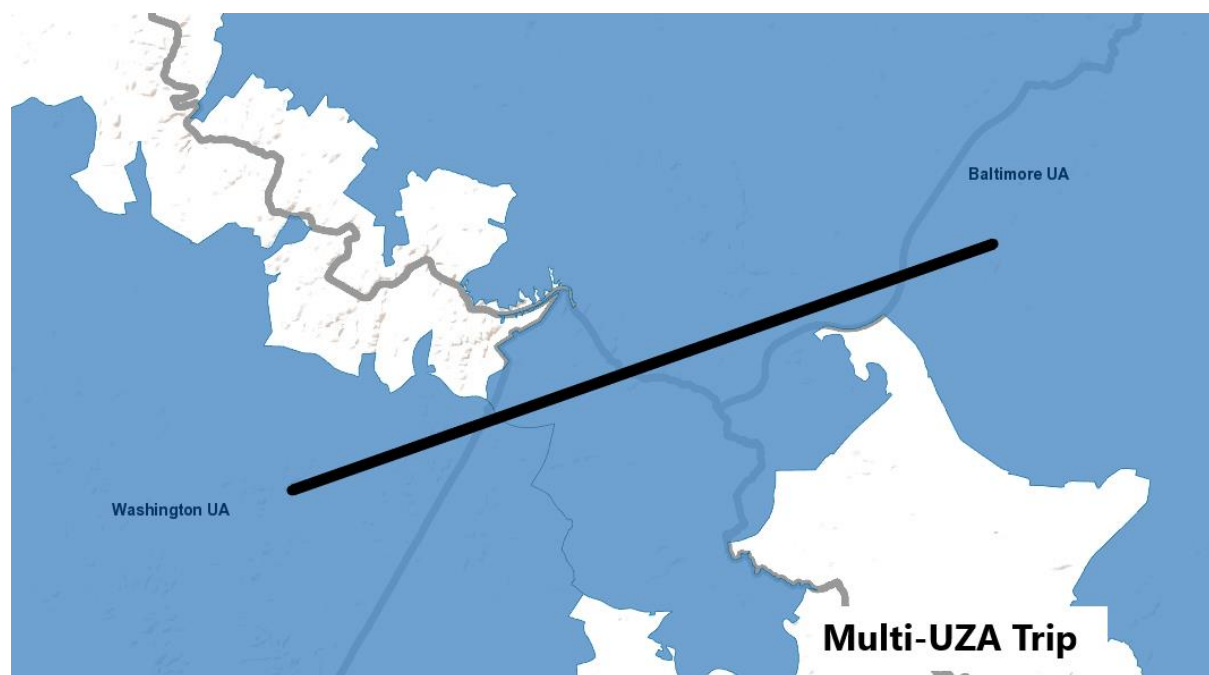
Serving Multiple Areas

If a transit service operates in two or more urbanized or rural areas, then the transit agency has two reporting options:

- If the transit agency determines that the primary intent of the transit service is to serve the travel needs of one urbanized or rural area, then the transit agency reports all Federal funding data to this one area; or
- If the transit agency determines that the intent of the transit service is to serve the travel needs of all or some of the urbanized and rural areas in which it operates, then the transit agency allocates its Federal funding data to the urbanized and rural areas it serves using a reasonable and consistent method.

**Exhibit 74: Service in Two Areas: Urbanized Area to Urbanized Area
(Multi-UZA Trip)**

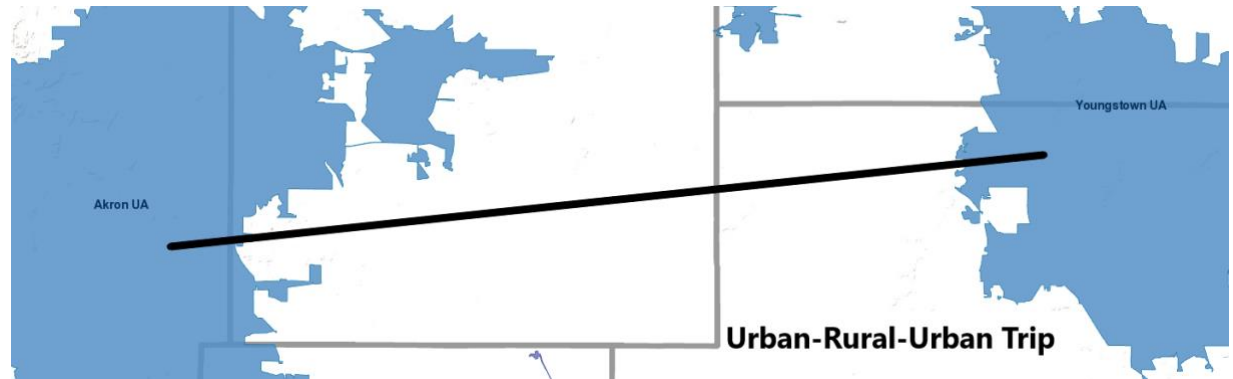
Example: One trip end is in the Washington urbanized area and the other trip end is in the Baltimore urbanized area.



Solution: The agency may report all data to its primary urbanized area or allocate data between the two urbanized areas.

Exhibit 75: Service in Three Areas: Two Urbanized Areas and a Rural Area

Example: Both trip ends are in urbanized areas, and the trip enters a rural area.



Solution: The agency may report all data to its primary urbanized area, or it may allocate between the urbanized and rural areas.

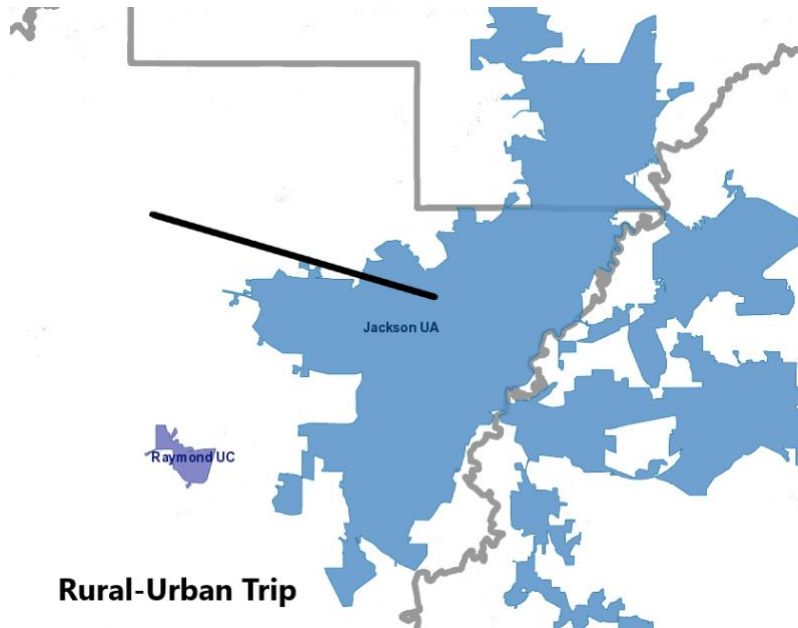
§5311 Reporting Rules

The NTD has specific reporting rules for agencies operating between urbanized and rural areas and using funds from the rural program (§5311):

- **If §5311 funding is the only FTA funding used to support the service**, the transit agency must report all Federal funding data for the service to the rural area;
- **If the service is supported by §5311 operating or capital funding and §5307 capital funding**, the transit agency must report all Federal funding data for the service to the rural area; and
- **If the service is supported by §5311 operating or capital funding and §5307 operating funding**, the transit agency must allocate Federal funding data to the urbanized and rural areas in proportion to the §5307 and §5311 operating funding applied to the service.

Exhibit 76: Service in Two Areas: Urban and Rural Trips

Example: One trip end is in an urbanized area and the other trip end is in a rural area. The agency receives both §5311 and §5307 funding for operations.



Solution: The agency must allocate data to the urbanized and rural areas using the proportion of §5311 and §5307 operating funds that it used to provide the service.

Commuter Service Federal Funding Allocation

Commuter Rail Federal Funding Data

Commuter Rail (CR) systems provide service to multiple urbanized areas. To account for the nature of CR service, transit agencies should use PMT to determine the maximum amount of service they may allocate to one urbanized area.

If a CR passenger either boards or alights in an urbanized area, the transit agency may allocate the respective PMT to that urbanized area. The agency should then calculate the ratio of that UZA's PMT to the total CR PMT and use this ratio to determine how to allocate other Federal funding data statistics to that UZA. The transit agency should follow this method to allocate the remaining data statistics by any remaining urbanized areas that they serve. By successively applying this procedure, the transit agency will maximize the amount of service by UZA.

Intercity Service

Intercity service is not attributable to an urbanized area. Intercity service that meets the statutory definition of public transportation at 49 U.S.C 5302 is reportable to the NTD as public transportation service. However, only the portion that is located within the boundaries of an urbanized area may be attributable to that urbanized area.

Reporting Allocation Methods

Transit agencies may use the following methods to allocate Federal funding data among multiple urbanized and rural areas:

- Actual Data
- Vehicle Revenue Miles, or
- Other

Transit agencies use the Actual Data method when they directly record the values for each data item by urbanized and rural areas.

Transit agencies choose the Vehicle Revenue Miles method (passenger car revenue miles for rail modes) when they record actual Vehicle Revenue Miles and then use that data as a factor to allocate other Federal funding data. This is the most common allocation method used by transit agencies.

Transit agencies may use an alternative method of data allocation, which is termed “Other.” Transit agencies must provide documentation that demonstrates the reasonableness of their data allocation methods for review by the FTA. One such method is using Vehicle Revenue Hours among different urbanized and rural areas.

Transit agencies should use consistent allocation methods and must explain any changes in methodology.

Federal Funding Data for Fixed Guideway and High Intensity Busway

Rail modes, ferryboat, aerial tramway, trolleybus, bus rapid transit, and certain bus and commuter bus modes qualify for funding in 5307 and 5337 programs for fixed guideway and high intensity bus. Agencies report additional data on these fixed segments for this purpose, including VRM, PMT, OE, and DRM.

Multiple Operators or Types of Service on FG/HIB Segments

Multiple NTD reporters or types of service may operate over an FG or HIB segment. Transit agencies must report all VRM, PMT, and OE for all service operated over the segments.

FTA apportions Federal funds to DRM once. Therefore, only the transit agency that claims the Directional Route Miles should report DRM data to the NTD. Local transit agencies and authorities must determine who claims the DRM for multiple providers or service types. Transit agencies must report DRM consistently on an annual basis. Agencies should decide which transit system and mode would claim the segment before proposing the segment to the NTD.

Fixed Guideway & High Intensity Busway in the State of Good Repair Program

For the State of Good Repair Program, transit agencies must report the portion of the actual Vehicle Revenue Miles and Directional Route Miles on fixed guideway or high intensity bus segments in each UZA that are greater than or equal to seven Federal fiscal years old. Transit agencies must use their schedules and internal records to determine the revenue miles on these segments.

A fixed guideway or high intensity bus segment is eligible for the State of Good Repair Program when revenue service is operated over the segment for seven years and the segment has been reported to NTD for seven consecutive fiscal years. For example, if a transit agency reported that revenue service started on a new segment by October 1, 2013, the segment becomes eligible for the State of Good Repair Program for the FFY 2021 (which begins October 1, 2020). On its 2020 report, the agency should report VRM and DRM as over seven years old. The 2020 NTD report will provide this information to the FTA for the 2022 apportionment.

Reporting Fixed Guideway and High Intensity Busway for Bus Modes

If a transit agency operates on FG or HIB segments that meet the eligibility criteria for funding, the transit agency must report data for FG or HIB and NFG operations.

- Segments must have controlled access ROW or exclusive ROW;
- Segments must serve travel corridors with unfavorable levels of service (LOS) (D, E or F, as defined the “[Introduction: Transit Agency Profile Requirements](#)” section of this manual);

- Travel on those segments must have restricted hours during which single occupancy vehicles (SOVs) are prohibited from using any segment.
- Segments on high-speed facilities (expressways) shared with vanpools or carpools must be safely operated.

All transit agencies that operate on FG or HIB segments must report Federal funding data for the respective segment(s). Agencies that claim the segments also report data for the DRM of the segments.

Reporting Example

The following exhibit provides an example of NTD requirements for reporting fixed guideway and high intensity busway segment data:

Exhibit 77: FG/HIB Segments

Example: An agency operates Bus (MB) service in two UZAs. It operates on 20 DRM of fixed guideway and 50 DRM of high intensity busway, both spread across the two UZAs. It provided 20,000,000 VRM of service.

Solution: *The agency determines that 75 percent of its service operated in UZA A, while 25 percent operated in UZA B. The agency chooses to allocate based on VRM and reports 15,000,000 (75 percent of 20,000,000) VRM in UZA A and 5,000,000 (25 percent of 20,000,000) VRM in UZA B.*

Fixed Guideway DRM Reporting:

The agency then determines that 12 DRM of its fixed guideway serve UZA A and 8 DRM serve UZA B. The agency reports 12 DRM in UZA A and 8 DRM in UZA B. The agency collects data during the year to determine the number of VRM on FG/HIB segments. On the 12 miles of FG DRM in UZA A, the agency reports 550,000 VRM; on the 8 miles FG DRM in UZA B, it reports 450,000 VRM.

Actual Method	UZA A	UZA B
FG DRM	12	8
VRM	550,000	450,000

State of Good Repair Reporting:

All 8 miles of FG in UZA B are 7 years old or older, and the agency reports the 450,000 VRM for the State of Good Repair Program.

Six of the 12 miles of FG in UZA A are 7 years old or older. The agency determines that of the 550,000 VRM on this FG, 200,000 were on segments more than 7 years old. It reports 200,000 VRM for the State of Good Repair program.

Of the 50 HIB DRM, 30 are 7 years old or older. The agency finds that 15 of these serve UZA A and 15 serve UZA B, so it reports 15 in both UZA A and UZA B. The agency determines that it operated 2,000,000 VRM on the HIB DRM that is more than 7 years old. The agency reports 1,100,000 VRM in UZA A and 900,000 VRM in UZA B.

Actual Method	UZA A	UZA B
FG DRM	6	8
FG VRM	200,000	450,000
HIB DRM	15	15
HIB VRM	1,100,000	900,000

DECLARATIONS AND REQUESTS

CEO Certification (Form D-10)

Requirements for the Annual Report CEO Certification

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An overview of waivers that transit agencies may request

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A summary of the two auditor reviews that the FTA requires for specific reporter types

Requests

A summary of requests that transit agencies may submit to the NTD

CEO Certification (Form D-10)

Transit agencies must submit a CEO Certification with the Annual Report. Through this certification, the CEO endorses and attests to the accuracy of the data in the Annual Report.

Transit agencies determine which person acts as the CEO for NTD reporting purposes. Typically, the CEO is the principal executive in charge of and responsible for the transit agency. The reporter types that must submit a CEO Certification are as follows:

- Full Reporter
- Reduced Reporting
- Separate Service

Agencies that are public service providers may designate any of the following personnel as the CEO for NTD reporting purposes:

- Transit authority general manager
- Transit authority administrator
- County or city government department head
- State Department of Transportation division head
- Council of Governments, commission or transit district executive director
- City-sponsored Demand Response system executive director, or
- Whomever the transit agency board designates to authorize the NTD Annual Report

Private operators may designate any of the following personnel as the CEO for NTD reporting purposes:

- Senior operations manager (site-specific), or
- An officer (e.g., the president or vice president or a corporate-level controller)

Certification Requirements

Each transit agency CEO must complete a CEO Certification every report year. The following exhibit details exactly what the CEO is certifying through this document.

Exhibit 78: CEO Certification Requirements

The CEO must:

- Certify the accuracy of the data the transit agency submits in the overall report
- Certify the accuracy of the Federal funding allocation data used in §5307, §5337, §5339, and §5311 formula funding programs
- Attest to the independent auditor reviews of both financial data and Federal funding data (if applicable), and
- Describe the procedures that the transit agency uses to estimate or collect actual Passenger Miles Traveled and unlinked passenger trip data by mode and type of service

The CEO must certify that all data in the NTD Annual Report are accurate and that the transit agency collects and reports the data in accordance with NTD definitions.

During the validation process, the CEO documents that he or she concurs with revisions to the transit agency's report and retains a copy of the revisions in the transit agency's files.

Transit Agencies Serving Large UZAs

If a transit agency serves an UZA with a population of 200,000 or more, the CEO must also certify that:

- The data FTA uses for the apportionment of Urbanized Area Formula, State of Good Repair, and Bus and Bus Facilities Programs are accurate; and
- There is documentation of procedures and internal controls to ensure data accuracy.

Independent Auditor Statement for Financial Data (IAS-FD)

An independent auditor must determine if a transit agency's accounting system meets FTA requirements. After this review, the transit agency must submit an IAS-FD completed by the independent auditor.

The IAS-FD must be updated every 10 years. If a transit agency has met this requirement within the last ten fiscal years including the current report year and has not changed its accounting system, it is exempt for the current report year.

The CEO verifies one of the following:

- The transit agency provided an IAS-FD for the current report year;
- FTA approved an IAS-FD within 10 prior fiscal years and the transit agency's accounting system remains unchanged; or
- FTA granted a waiver for the IAS-FD for the current report year.

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

If an agency serves a large UZA and operates 100 vehicles or more in annual maximum service across all modes and types of service, an independent auditor must conduct an additional review annually. Upon completion of this review, the independent auditor would issue an IAS-FFA. If applicable, the CEO must certify that the transit agency completed this annual independent auditor review and confirm the following:

- The name of the auditor and date of the review
- Any negative findings
- How the agency is addressing any negative findings

Passenger Miles Traveled Data

The CEO must describe the transit agency's procedures for collecting or estimating PMT for each mode and type of service. Transit agencies must collect or estimate data using a consistent and reasonable method. Transit agencies must report 100 percent counts if the data are available and reliable. Otherwise, transit agencies may use one of the following methods for determining PMT:

- Alternative sampling procedure that meets 95 percent confidence and ± 10 percent precision levels as determined by a qualified statistician (estimated data)
- By using the trip length from the last mandatory sampling year (as described in the CEO certification) multiplied by the unlinked passenger trip data from the current report year (estimated data)
- Another method that is explained by the CEO and approved by FTA, or
- NTD Sampling Method

Purchased transportation providers may use different data collection or estimation procedures. The CEO must certify PMT data by each contract as well.

Unlinked Passenger Trip Data

The CEO must also describe UPT data collection or estimation procedures for each mode and type of service. Transit agencies may use one of the following methods for determining UPT:

- 100 percent count (actual data)
- Alternative sampling procedure that meets 95 percent confidence and ± 10 percent precision levels determined by a qualified statistician (estimated data)
- Another method that is explained by the CEO and approved by FTA, or
- NTD Sampling Method

Additional Certification Requirements for Agencies Using APCs

On the CEO Certification (D-10) form, agencies must indicate whether they used Automatic Passenger Counters (APCs) to collect Unlinked Passenger Trips (UPT) and/or Passenger Miles Traveled (PMT) for NTD reporting.

Agencies must also report their method for using APC data to generate NTD figures as follows:

- If the agency randomly selected a predetermined number of vehicle trips and sampled the trips using APCs, the agency reports the sampling method (either NTD Sampling Method or Alternative Sampling Procedure).
- If the APCs collected valid data on more than 98 percent of all annual revenue service trips, the agency reports 100 percent count.
- If the agency used all available, valid APC data, but this was less than 98 percent of trips, the agency must have a statistically valid procedure for scaling up the APC data to an annual total. In this case, the agency reports “Used all available APC data, which was less than 98 percent of trips.”

Note that agencies using APCs for NTD reporting must follow the requirements identified in the [“Service Data Requirements \(Forms S-10 and MR-20\): Collecting Service Consumed Data”](#) section of this manual.

Waivers

Transit agencies must report data in conformance with NTD reporting requirements. If an agency does not follow these requirements, FTA can issue a Failure to Report finding. For more information on reporting failures, see the [“Introduction: Data Use and Funding”](#) section of this manual.

However, extenuating circumstances occur that prevent transit agencies from meeting all or specific NTD reporting requirements. In these cases, transit agencies may request a one-time waiver from these requirements.

Transit agencies must request waivers 60 days prior to the Annual Report due date. FTA approves waivers on a case-by-case basis and does not automatically approve a request.

In most cases, FTA only approves waivers for the current fiscal year. Transit agencies must file additional requests for future report years.

To request a waiver, a transit agency must submit a letter from the CEO for the current report year that describes the situation that prevents the agency from submitting data in accordance with NTD standards.

The FTA will not approve a waiver request based on cost, personnel, or data collection problems, loss of records, or unexplained undue burden.

An approved waiver does not affect a transit agency’s funding eligibility for §5307, §5311, §5337, or §5339 funding, but it may affect the amount of funding the agency’s UZA (s) receive. In a large urbanized area or a rural area, the amount of funding may decrease because FTA may not include specific data in formula funding programs. In a small UZA (between 50,000 and 200,000 population), funding may change because FTA may exclude transit agency data from the factors used to determine eligibility for STIC funding.

Waiver Types

Transit agencies may request the following waivers:

- Data
- Reporting
- Passenger Miles Traveled sampling
- Independent Auditor Statement for Financial Data

Data Waiver

A transit agency may request a data waiver for a specific data point or set of data that it did not collect per NTD reporting requirements. The agency may offer a different method to estimate data, or it may request to zero (not report) the data for the current report year.

Reporting Waiver

A transit agency may request a reporting waiver if it is unable to complete the Annual Report for the current report year. FTA will not accept a partially completed report. If the FTA approves a reporting waiver, it will not apportion any Federal funding based on the transit agency's NTD data for that report year.

Passenger Miles Traveled Sampling Waiver

Transit agencies must sample PMT data on either a triennial or an annual basis, depending on reporting type. If a transit agency does not sample during a mandatory sampling year, it may request a waiver to either estimate or zero (not report) PMT data. For more information on PMT Sampling, see the "[Service Data Requirements: Service Consumed](#)" section of this manual.

Independent Auditor Statement for Financial Data Waiver

Urban NTD reporters may request an IAS-FD waiver in their first year of reporting. If approved by FTA, the waiver is good for one year and the transit agency must submit the IAS-FD in the following report year.

Auditor Statements

The FTA requires that an independent auditor review certain reporter types and provide an Independent Auditor Statement (IAS). An IAS is a letter that an official representative from an independent public account or other independent entity (such as a State audit agency) signs.

The independent auditor must confirm that the transit agency data conforms to NTD requirements. If an auditor finds an issue, the auditor must explain the discrepancy in the IAS. Auditors must identify the auditing firm name and location, and sign and date the IAS.

There are two Independent Auditor Statements:

- Independent Auditor Statement for Financial Data
- Independent Auditor Statement for Federal Funding Allocation Data

Independent Auditor Statement for Financial Data

Full Reporters, Urban Reduced Reporters, and Separate Service transit agencies must file an initial IAS-FD. For this statement, the auditor must determine if the transit agency accounting system meets FTA requirements. The FTA does not allow agencies to use an audit from the OMB Circular A-133 Single Audit Act.

Business papers, records and reports, and the procedures that an agency uses to record transactions and report their effects are the “accounting system.” The term “accounting system” does not refer to the hardware or software program transit agencies use. Therefore, the accounting system remains the same, even when hardware or software upgrades or changes.

A transit agency must provide an IAS-FD to the NTD in the first year it reports as an Urban Reporter and every ten reporter years thereafter. In the interim, if a transit agency has met the IAS requirements in the prior year and has not changed its accounting system, FTA waives the annual IAS-FD. Instead, FTA requires the CEO to certify annually that the agency’s financial data continue to meet NTD requirements. FTA may require a new review if a transit agency substantially changes its financial data reporting method.

The transit agency must file the Annual Report on time even if the IAS-FD is incomplete. If extenuating circumstances cause a delay of the IAS-FD, the CEO must provide documentation explaining the late auditor review. The transit agency must complete the IAS-FD no later than the date of the last report revision. The FTA may issue a Failure to Report finding if a transit agency does not submit an IAS-FD when required.

Independent Auditor Requirements

For the IAS-FD, the auditor must review all financial forms to ensure that:

- The transit agency’s accounting system follows the USOA;
- The transit agency’s accounting system follows accrual accounting or uses a directly translatable method; and
- All financial data are in accordance with NTD requirements.

The auditor must state in the IAS-FD if he or she finds that any data do not conform to NTD requirements and describe the discrepancies.

FTA Approval

FTA will approve the IAS-FD if the agency complies with one of the following conditions:

- The transit agency adopts the USOA; or
- The transit agency
 - Uses an internal accounting system other than the accounting system prescribed by the USOA;
 - Uses the accrual method of accounting or a directly translatable method; and
 - Directly translates the system and accounting categories, using a clear audit trail, to the accounting treatment and categories the USOA specifies.

IAS-FD Template

FTA provides a template of the IAS-FD in [Appendix A](#). The FTA does not require agencies to use the exact format set forth in Appendix A; however, the independent auditor must address each item in the template. If the auditor follows the provided template closely, the statement will meet FTA requirements.

Independent Auditor Statement for Federal Funding Allocation Data

Transit agencies that serve a primary large UZA (an urbanized area with 200,000 or more in population) and report more than 100 VOMS across all modes and types of service must provide an annual IAS-FFA. For this statement, an independent auditor must review all NTD data that FTA uses to apportion funds for §5307, §5337, §5339, and §5311 formula programs. The FTA requires the IAS-FFA annually.

A transit agency must provide an IAS-FFA the first year it reaches the 100 VOMS threshold. Transit agencies must complete the IAS-FFA before FTA closes the Annual Report. FTA may issue a Failure to Report finding if a transit agency does not submit an IAS-FFA. Transit agencies must keep IAS-FFA statements on file for FTA Triennial Review.

If a transit agency revises Federal funding data during the validation process, the agency must document that both the CEO and independent auditor concur with the revisions. Additionally, the transit agency must retain a copy of the revisions. As long as the CEO and independent auditor concur with the revisions, the FTA does not require an additional IAS-FFA.

Independent Auditor Requirements

The independent auditor must review Federal funding data by mode and type of service. Federal funding data include fixed guideway and high intensity busway Directional Route Miles, Vehicle Revenue Miles, Vehicle Revenue Hours, Passenger Miles Traveled, Unlinked Passenger Trips, Operating Expenses, and the commencement date of revenue service.

The independent auditor must include the following:

- Assurance that a system exists to record and gather data on a continuing basis;
- Assurance the transit agency maintains the system for recording data in accordance with NTD definitions, i.e. the transit agency is measuring the correct data and has no systematic errors;
- Assurance that source documents are available to support the reported data and the transit agency maintains the system for FTA review and audit purposes for a minimum of three years following FTA's receipt of the NTD Annual Report. The data must be fully documented and securely stored;
- Assurance that there is a system of internal controls to ensure the accuracy of the data collection process and the recording system and that reported documents are unaltered;
- Assurance that a supervisor reviews and signs documents as required;
- Assurance that the data collection methods are those that FTA suggests; or, FTA or a qualified statistician approved the methods as being equivalent in quality and precision. Transit agencies must document and follow the collection methods;
- Assurance that deadhead miles, computed by taking the difference between the reported total actual vehicle miles data and the reported total actual VRM data, are accurate;
- Documentation that reported data have undergone analytic review to ensure that they are consistent with prior reporting periods and other facts known about transit agency operations;
- Documentation of the specific documents reviewed and tests performed; and
- Documentation of how the transit agency reports purchased transportation fare revenues and contract expenditures. For example, fare revenues must include all fare revenues pertaining to purchased transportation service, and the agency reports the buyer's contract expenditures net of (not including) the purchased transportation fare revenues.

IAS-FFA Template

The FTA provides a template of the IAS-FFA in [Appendix A](#). The FTA does not require agencies to use this suggested format; however, the independent auditor must address each item in the template.

Suggested Procedures

FTA provides a suggested list of procedures to satisfy the requirements of the IAS-FFA review. If an auditor does not use one of the suggested procedures, he or she must replace it with an alternative procedure that addresses the intent of the suggested procedure.

Exhibit 79: Federal Funding Allocation Data Review Suggested Procedures

FTA has specified and agreed to a set of procedures for the independent auditor to perform to satisfy the requirements of the Federal Funding Allocation data review. Several of the procedures below require the auditor to select a random sample of documents or data. The procedures do not specify the selected number (i.e., the percentage of the total documents/data). The auditor should use professional judgment to determine the percentage that will enable the auditor to make the required assurances.

The source documents and other records (such as data summaries) may be in the form of digital data files. The auditor should ensure that these files are securely stored and that a contingency plan is in place to ensure that the transit agency retains source documents for a minimum of three years.

- a. The procedures to be applied to each applicable mode and type of service (TOS) (DO, PT, TN, and TX) are: Obtain and read a copy of written system procedures for reporting and maintaining data in accordance with NTD requirements and definitions set forth in 49 CFR Part 630, Federal Register, dated January 15, 1993, and as presented in the *2020 NTD Policy Manual*. If there are no procedures available, discuss the procedures with the personnel assigned responsibility for supervising the NTD data preparation and maintenance.
- b. Discuss the procedures (written or informal) with the personnel assigned responsibility for supervising the preparation and maintenance of NTD data to determine:
 - The extent to which the transit agency followed the procedures on a continuous basis; and
 - Whether these transit personnel believe such procedures result in accumulation and reporting of data consistent with NTD definitions and requirements set forth in 49 CFR Part 630, Federal Register, dated January 15, 1993, and as presented in the *2020 NTD Policy Manual*.

- c. Ask these same personnel about the retention policy that the transit agency follows as to source documents supporting NTD data reported on the Federal Funding Allocation Statistics form.
- d. Based on a description of the transit agency's procedures from items (A) and (B) above, identify all the source documents that the transit agency must retain for a minimum of three years. For each type of source document, select three months out of the year and determine whether the document exists for each of these periods.
- e. Discuss the system of internal controls. Inquire whether separate individuals (independent of the individuals preparing source documents and posting data summaries) review the source documents and data summaries for completeness, accuracy, and reasonableness and how often these individuals perform such reviews.
- f. Select a random sample of the source documents and determine whether supervisors' signatures are present as required by the system of internal controls. If supervisors' signatures are not required, inquire how personnel document supervisors' reviews.
- g. Obtain the worksheets used to prepare the final data that the transit agency transcribes onto the Federal Funding Allocation Statistics form. Compare the periodic data included on the worksheets to the periodic summaries prepared by the transit agency. Test the arithmetical accuracy of the summaries.
- h. Discuss the procedure for accumulating and recording Passenger Miles Traveled (PMT) data in accordance with NTD requirements with transit agency staff. Inquire whether the procedure is one of the methods specifically approved in the *2020 NTD Policy Manual*.
- i. Discuss with transit agency staff (the auditor may wish to list the titles of the persons interviewed) the transit agency's eligibility to conduct statistical sampling for PMT data every third year. Determine whether the transit agency meets NTD criteria that allow transit agencies to conduct statistical samples for accumulating PMT data every third year rather than annually. Specifically:
 - According to the 2010 census, the public transit agency serves an UZA with a population less than 500,000.
 - The public transit agency directly operates fewer than 100 revenue vehicles in all modes in annual maximum revenue service (VOMS) (in any size UZA).
 - Service purchased from a seller is included in the transit agency's NTD report.
 - For transit agencies that meet one of the above criteria, review the NTD documentation for the most recent mandatory sampling year (2017) and determine that statistical sampling was conducted and meets the 95 percent confidence and ± 10 percent precision requirements.
 - Determine how the transit agency estimated annual PMT for the current report year.

- j. Obtain a description of the sampling procedure for estimation of PMT data used by the transit agency. Obtain a copy of the transit agency's working papers or methodology used to select the actual sample of runs for recording PMT data. If the transit agency used average trip length, determine that the universe of runs was the sampling frame. Determine that the methodology used to select specific runs from the universe resulted in a random selection of runs. If the transit agency missed a selected sample run, determine that a replacement sample run was random. Determine that the transit agency followed the stated sampling procedure.
- k. Select a random sample of the source documents for accumulating PMT data and determine that the data are complete (all required data are recorded) and that the computations are accurate. Select a random sample of the accumulation periods and re-compute the accumulations for each of the selected periods. List the accumulations periods that were tested. Test the arithmetical accuracy of the summary.
- l. Discuss the procedures for systematic exclusion of charter, school bus, and other ineligible vehicle miles from the calculation of actual Vehicle Revenue Miles (VRM) with transit agency staff and determine that they follow the stated procedures. Select a random sample of the source documents used to record charter and school bus mileage and test the arithmetical accuracy of the computations.
- m. For actual VRM data, document the collection and recording methodology and determine that deadhead miles are systematically excluded from the computation. This is accomplished as follows:
 - If actual VRMs are calculated from schedules, document the procedures used to subtract missed trips. Select a random sample of the days that service is operated, and re-compute the daily total of missed trips and missed VRMs. Test the arithmetical accuracy of the summary.
 - If actual VRMs are calculated from hubodometers, document the procedures used to calculate and subtract deadhead mileage. Select a random sample of the hubodometer readings and determine that the stated procedures for hubodometer deadhead mileage adjustments are applied as prescribed. Test the arithmetical accuracy of the summary of intermediate accumulations.
 - If actual VRMs are calculated from vehicle logs, select random samples of the vehicle logs and determine that the deadhead mileage has been correctly computed in accordance with FTA definitions.
- n. For rail modes, review the recording and accumulation sheets for actual VRMs and determine that locomotive miles are not included in the computation.
- o. If fixed guideway or High Intensity Busway Directional Route Miles (FG or HIB DRM) are reported, interview the person responsible for maintaining and

reporting NTD data whether the operations meet FTA definition of fixed guideway (FG) or High Intensity Busway (HIB) in that the service is:

- Rail, Trolleybus (TB), Ferryboat (FB), or Aerial Tramway (TR); or
 - Bus (MB, CB, or RB) service operating over exclusive or controlled access rights-of-way (ROW); and
 - Access is restricted;
 - Legitimate need for restricted access is demonstrated by peak period level of service D or worse on a parallel adjacent highway; and
 - Restricted access is enforced for freeways; priority lanes used by other HOV (i.e., Vanpools (VP), carpools) must demonstrate safe operation.
- p. Discuss the measurement of FG and HIB DRM with the person reporting NTD data and determine that the he or she computed mileage in accordance with FTA definitions of FG/HIB and DRM. Inquire of any service changes during the year that resulted in an increase or decrease in DRMs. If a service change resulted in a change in overall DRMs, re-compute the average monthly DRMs, and reconcile the total to the FG/HIB DRM reported on the Federal Funding Allocation Statistics form.
- q. Inquire if any temporary interruptions in transit service occurred during the report year. If these interruptions were due to maintenance or rehabilitation improvements to a FG segment(s), the following apply:
- Report DRMs for the segment(s) for the entire report year if the interruption is less than 12 months in duration. Report the months of operation on the FG/HIB segments form as 12. The transit agency should document the interruption.
 - If the improvements cause a service interruption on the FG/HIB DRMs lasting more than 12 months, the transit agency should contact its NTD validation analyst to discuss. FTA will make a determination on how to report the DRMs.
- r. Measure FG/HIB DRM from maps or by retracing route.
- s. Discuss whether other public transit agencies operate service over the same FG/HIB as the transit agency. If yes, determine that the transit agency coordinated with the other transit agency (or agencies) such that the DRMs for the segment of FG/HIB are reported only once to the NTD on the Federal Funding Allocation form. Each transit agency should report the actual VRM, PMT, and Operating Expense (OE) for the service operated over the same FG/HIB.
- t. Review the FG/HIB segments form. Discuss the Agency Revenue Service Start Date for any segments added in the 2020 report year with the persons reporting NTD data. This is the commencement date of revenue service for each FG/HIB segment. Determine that the date reported is the date that the agency began revenue service. This may be later than the Original Date of Revenue Service if the transit agency is not the original operator. If a segment was added for the

2020 report year, the Agency Revenue Service Date must occur within the transit agency's 2020 fiscal year. Segments are grouped by like characteristics. Note that for apportionment purposes, under the State of Good Repair (§5337) and Bus and Bus Facilities (§5339) programs, the 7-year age requirement for fixed guideway/High Intensity Busway segments is based on the report year when the segment is first reported by any NTD transit agency. This pertains to segments reported for the first time in the current report year. Even if a transit agency can document an Agency Revenue Service Start Date prior to the current NTD report year, FTA will only consider segments continuously reported to the NTD.

- u. Compare Operating Expenses with audited financial data after reconciling items are removed.
- v. If the transit agency purchases transportation services, interview the personnel reporting the NTD data on the amount of purchased transportation-generated fare revenues. The purchased transportation fare revenues should equal the amount reported on the Contractual Relationship form.
- w. If the transit agency's report contains data for purchased transportation services and the procedures in this auditor's review were not applied to the purchased transportation services, obtain a copy of the IAS-FFA regarding data for the purchased transportation service. Attach a copy of the statement to the report. Note as a negative finding if the purchased transportation services were not included in this auditor's review, and the transit agency also does not have a separate Independent Auditor's Statement for the purchased transportation data.
- x. If the transit agency purchases transportation services, obtain a copy of the purchased transportation contract and determine that the contract specifies the public transportation services to be provided; the monetary consideration obligated by the transit agency or governmental unit contracting for the service; the period covered by the contract (and that this period overlaps the entire, or a portion of, the period covered by the transit agency's NTD report); and is signed by representatives of both parties to the contract. Interview the person responsible for retention of the executed contract and determine that copies of the contracts are retained for three years.
- y. If the transit agency provides service in more than one UZA, or between an UZA and a non-UZA, inquire of the procedures for allocation of statistics between UZAs and non-UZAs. Obtain and review the FG segment worksheets, route maps, and urbanized area boundaries used for allocating the statistics, and determine that the stated procedure is followed and that the computations are correct.
- z. Compare the data reported on the Federal Funding Allocation Statistics Form to data from the prior report year and calculate the percentage change from the prior year to the current year. For actual VRM, PMT or OE data that have increased or decreased by more than 10 percent, or FG DRM data that have increased or decreased. Interview transit agency management regarding the specifics of

operations that led to the increases or decreases in the data relative to the prior reporting period.

- aa. The auditor should document the specific procedures followed, documents reviewed, and tests performed in the work papers. The work papers should be available for FTA review for a minimum of three years following the NTD report year. The auditor may perform additional procedures, which are agreed to by the auditor and the transit agency, if desired. The auditor should clearly identify the additional procedures performed in a separate attachment to the statement as procedures that were agreed to by the transit agency and the auditor but not by FTA.

Requests

Transit agencies may experience changes and events during a report year that affect the Annual Report. In these cases, agencies may file a request. Requests can include:

- Fiscal Year End Change Requests,
- Extension Requests,
- Fixed Guideway and HIB Requests, or
- Special Requests for either Strikes or Natural Disaster Hold Harmless Adjustment.

Fiscal Year End Change Requests

Agencies must notify the NTD of changes to their Fiscal Year. FTA will determine the period to be covered by the report, which will typically be a 12-month period ending on the new Fiscal Year end date.

Extension Requests

Transit agencies may request a 30-day extension of the annual report deadline (e.g., extend the annual report deadline of October 31 to November 30). Typically, the FTA approves extension requests due to extenuating circumstances, such as:

- Natural Disasters,
- Audits, and
- Medical Leave

Transit agencies must request an extension through the NTD system prior to the annual report due date. FTA does not automatically grant extension requests.

FTA does not grant extensions due to time constraints or unawareness of reporting requirements.

Fixed Guideway and High Intensity Busway Requests

Transit agencies may change routes and expand or reduce service. For agencies that report service on fixed guideway or high intensity busway, changes may have a large effect on segment data. Transit agencies may request to modify, add, or delete segments.

Transit agencies must request fixed guideway changes or additions (and submit any necessary supporting documentation) at least 60 days prior to the Annual Report due date. FTA approves changes on a case-by-case basis and does not automatically approve a request.

Modifying Existing Segment Data

If a transit agency identifies a change that will make data more accurate, the FTA may alter the existing segment data. The agency must make a request, then the FTA will consider segment changes on a case-by-case basis.

In the request, agencies must

- Identify the segment by its segment code and name; and
- Describe the requested changes. (This description must provide the existing and requested values for each change in a data field.)

In its request, a transit agency must describe the reason for each change. In many cases, agencies request a segment modification because of a change in service. However, some transit agencies may have identified inaccurate data that they want to correct. If an agency requests a change because of a correction, the agency must provide detailed support for the correction and an explanation for why it submitted incorrect data in the prior year's report.

If an agency requests to change the length of a segment, it must attach detailed maps depicting the exact measurement.

Transit agencies may adjust the following information without prior FTA approval:

- One-way/Two-way — This is a service characteristic of how transit services operate over the segment, either one-way or two-way operations. This generally does not change.

- **Out-of-Revenue-Service Date** — This is the date that a transit agency stops operating transit service on a segment. An agency should only report this information if it discontinues service. Agencies should not include temporary reconstructions; instead, transit agencies must document any temporary segment closures.

The following adjustments require FTA approval:

- **Urbanized Area change** — The NTD uses the most current U.S. Census to create UZAs in the NTD system. Boundaries should not change unless the U.S. Census Bureau changes them. Therefore, segments should not change UZA location.
- **Segment Name** — An agency should name a segment using conventional standards that make the segment readily identifiable. Segment names do not usually change.
- **Begins At and Ends At** — These are the beginning and ending points of the segment. Beginning and ending points do not change. If an agency discontinues service on a portion of a segment or extends the segment, it should add new segments. (See below for more information.)
- **Length** — The agency reports the physical length of the segment to the nearest hundredth of a mile. Length should not change unless the segment was incorrectly measured or in the wrong location (UZA) in the prior report year.
- **Segment Type (Bus (MB) and Commuter Bus (CB) and BRT (RB) only)** — There are six categories describing the physical construction of the segment. This should not change unless an agency reconstructed the segment, and its category has changed or the segment allows HO/T lane operation.
- **Peak LOS (CB, MB, RB only)** — Peak level of service (LOS) is periodically updated by State and local highway agencies. Agencies should check for updates to LOS information.
- **Safe Operation (CB, MB, RB only)** — This usually does not change, but agencies should review periodically.
- **Hours Prohibited (CB, MB, RB and Trolleybus (TB) only)** — This usually does not change, but agencies should review periodically.
- **Enforcement Hours (CB, MB, RB only)** — This usually does not change, but agencies should review periodically.
- **Original Date of Revenue Service** — This is the date that public transit service was first operated on the segment by any transit agency. This date should not change.

- Agency Revenue Service Start Date — This is the date that a transit agency started operating revenue service. This date should not change.
- Out-of-Revenue-Service Date — If a transit agency stopped operating transit service on the segment during the year, the agency should report the date that the agency no longer operated service (i.e., the day after the last date of revenue service). Other transit agencies may continue to operate on this segment.
- TOS Claimed — This only applies if a transit agency operated both DO and PT services for the same mode on the same segment in the NTD Annual Report. If an agency adds a segment to both TOSs, the agency must identify the segment on both Annual Reports on the fixed guideway form as either DO or PT — only one TOS can claim a segment. If there is a change in service, the agency may need to correct the TOS claimed. For example: During the prior year an agency operated both PT and DO on a segment and reported the TOS claimed as PT. However, the agency now only operates DO on that segment. The agency will need to change the TOS claimed to DO.
- NTD Agency Claiming Segment — This usually does not change unless agreed to by all the transit agencies operating service over the segment.
- Statutory BRT.
- Shoulder Lane (CB, MB, RB only) — This identifies whether the segment is a shoulder lane.

Adding Pre-Existing and New Segment Data

Agencies may add segments to the Annual Report that either are new to the NTD or exist in another agency's report. If a transit agency uses a segment that already exists in the NTD, the agency should request to add that segment to its Annual Report. However, if it is a new segment to the NTD, the transit agency must submit an official request to create the segment.

When creating new segments, transit agencies must provide documentation that supports reported data:

- A map showing the location and endpoints of the segment
- An engineering diagram including mile markers, to calculate the length of the segment
- A news article or press release announcing the opening date of the segment

- For bus modes, a schedule or route map showing that your agency operates on the segment
- For bus modes, a photograph or other documentation showing whether the segment is bus-only or HOV, and whether it is physically or visually separated from other traffic lanes.

For apportionment purposes, FTA bases the 7-year age requirement for FG and HIB segments on the first report year that any transit agency reports the segment to the NTD. An agency must report the segment to the NTD for seven continuous report years before it meets the seven-year age requirement for the State of Good Repair program.

Reporting Multiple Modes or Types of Service on FG or HIB Segments

Transit agencies must report all FG and HIB segments for all modes and types of service. It is possible that different modes or types of service operate on the same tracks or lanes. In these cases, the following rules apply:

- Agencies must report the appropriate segments for each mode and type of service, even if more than one mode operates over some or all of the same segments.
- Agencies may enter multiple purchased transportation contracts for the same mode of service. In these cases, agencies should only report the segments once for that mode and type of service.
- If a seller files a separate Annual Report, the seller reports all segments that it operates on, even if the buyer of service operates some or all of the same segments.

Deleting Segment Data

Transit agencies must contact the NTD for FTA approval to delete segments. However, if a transit agency no longer operates service on a certain segment that is on the Annual Report, the agency should report an Out of Revenue Service Date. This indicates that the transit agency terminated service on this segment for a particular mode and type of service. If a transit agency ends service on a segment on the last day of its fiscal year, it must report the Out of Revenue Service Date as the first day of the following fiscal year. If a segment is temporarily out of service for rehabilitation or reconstruction for less than 12 months, you should not enter an Out of Revenue Service date. If a segment is out of service for rehabilitation, reconstruction, or some other temporary stoppage of service for more than 12 months, you should contact your NTD analyst. FTA will determine case-by-case how you should report these DRM.

Hold-Harmless Requests

FTA may make hold-harmless adjustments to data used in the apportionment to offset negative events (described below) that affected a transit agency's data during the year. Hold-harmless adjustments are not automatic; a transit agency must make a request to receive any assistance through an adjustment.

If FTA approves a hold-harmless adjustment request, a transit agency must still file the Annual Report and report actual data for the year. FTA would make the hold-harmless adjustment by adjusting the data for apportionment purposes only as described below. All publicly available NTD data would reflect the actual service data, as reported by the transit agency for the year.

Strikes Hold-Harmless Adjustment

During the year, a transit agency may experience a strike that suspends or negatively affects transit service. In this case, the CEO of the transit agency may make a hold-harmless request to FTA. The request should identify:

- The mode or modes affected;
- The exact time and date that the strike began;
- The exact time and date that the strike ended;
- Supporting documentation (e.g., published news reports) for the duration of the strike; and
- Estimates of the impacts of the lost service on the data items used in the apportionment.

If FTA grants the hold-harmless request, it will apportion funds based on adding the estimates of impacts of the lost service to the reported annual totals. The CEO should indicate in the hold-harmless request that the agency is requesting FTA to make this apportionment adjustment.

FTA grants a hold-harmless request for one year only. If a strike extends across two report years, separate hold-harmless requests for each report year must be submitted for approval.

Natural Disaster Hold-Harmless Adjustment

If a transit agency suffers a significant decrease in transit service due to a natural or manufactured disaster, the agency or the designated recipient for the urbanized area may make a hold harmless request.

The request must demonstrate that the transit agency meets the following criteria:

- A Federal disaster declaration is in place for at least a portion of the agency's service area for all or part of the report year;
- The decrease in transit service is a direct result of the disaster; and
- The decrease in transit service is temporary; thus, the reduced transit service levels are not reflective of the true transit needs of the area.

If FTA grants the hold-harmless request, it will apportion funds based on the agency's prior report year Annual Report. The hold-harmless request should indicate that it is requesting FTA to make this apportionment adjustment.

FTA grants a hold-harmless request for one year only. If a natural disaster extends across two report years, separate hold-harmless requests for each report year must be submitted for approval.

Appendix A: AUDIT TEMPLATES

Independent Auditor Statement for Financial Data

Instructions: *The IAS-FD file copy should be on the independent auditor's letterhead and should be kept on file by the transit agency.*

The Board of Trustees
Transit Agency Name

In connection with our regular examination of the financial statements of **[agency name]**, for the fiscal year ended **[date]**, on which we have reported separately under **[date of auditor's statement]**, we have also reviewed the reporting forms listed below and included in the report for the fiscal year ended **[date]**, required under Title 49 U.S.C. 5335(a), for conformity in all material respects with the requirements of the Federal Transit Administration (FTA) as set forth in its applicable National Transit Database (NTD) Uniform System of Accounts (USOA). Our review for this purpose included such tests of the accounting records and such other auditing procedures as we considered necessary in the circumstances. We did not make a detailed examination such as would be required to determine that each transaction has been recorded in accordance with the USOA.

[Select one of the following two paragraphs for inclusion in your Statement:]

The accounting system from which this NTD report is derived follows the accounting system prescribed by the USOA. The same accounting system has been adopted and was used to compile this NTD report.

or

The accounting system from which this NTD report is derived is other than the accounting system prescribed by the USOA but uses the accrual basis of accounting and is directly translated, using a clear audit trail, to the accounting treatment and categories specified by the USOA. The same internal accounting system has been adopted and was used to compile this NTD report.

[Submit a list of the specific financial forms on which audited data are reported:]

- Sources of Funds – Funds Earned and Funds Expended form
- Uses of Capital form
- Operating Expenses forms
- Reduced Reporting – Small Systems

Based on our review, the accompanying reporting forms identified above conform in all material respects with the accounting requirements of FTA as set forth in its USOA.

Signed:

Title:

City:

Date:

Independent Auditor Statement for Federal Funding Allocation Data

Instructions: *The IAS-FFA file copy should be on the independent auditor's letterhead and should be kept on file by the transit agency.*

The Board of Trustees
Transit Agency Name

FTA has established the following standards with regard to the data reported to it in the Federal Funding Allocation Statistics form of the transit agency's annual National Transit Database (NTD) report:

- A system is in place and maintained for recording data in accordance with NTD definitions. The correct data are being measured and no systematic errors exist.
- A system is in place to record data on a continuing basis, and the data gathering is an ongoing effort.
- Source documents are available to support the reported data and are maintained for FTA review and audit for a minimum of three years following FTA's receipt of the NTD report. The data are fully documented and securely stored.
- A system of internal controls is in place to ensure the data collection process is accurate and that the recording system and reported comments are not altered. Documents are reviewed and signed by a supervisor, as required.
- The data collection methods are those suggested by FTA or otherwise meet FTA requirements.
- The deadhead miles, computed as the difference between the reported total actual vehicle miles data and the reported total actual VRM data, appear to be accurate.
- Data are consistent with prior reporting periods and other facts known about transit agency operations.

We have applied the procedures to the data contained in the accompanying FFA-10 form for the fiscal year ending **[date]**. Such procedures, which were agreed to and specified by FTA in the Declarations section of the 2020 *NTD Policy Manual* and were agreed to by the transit agency, were applied to assist you in evaluating whether the transit agency complied with the standards described in the first paragraph of this part and that the information included in the NTD report Federal Funding Allocation Statistics form for the fiscal year ending **[date]** is presented in

conformity with the requirements of the Uniform System of Accounts (USOA) and Records and Reporting System; Final Rule, as specified in 49 CFR Part 630, Federal Register, dated January 15, 1993, and as presented in the 2020 *NTD Policy Manual*. Additional procedures performed (if any), which are agreed to by the transit agency but not by FTA, are described in a separate attachment to this report. This report is intended solely for your information and for FTA and should not be used by those who did not participate in determining the procedures. The procedures were applied separately to each of the information systems used to develop the reported actual VRM, FG DRM, PMT, and OE of **[transit agency name]** for the fiscal year ending **[date]** for each of the following modes:

[List each mode by type of service (TOS) (directly operated (DO) or purchased transportation (PT)).]

The following information and findings came to our attention as a result of performing the procedures described in the attachments to this report:

[Itemize all information and findings. If none, so state.]

In performing the procedures, except for the information and findings described above, the information included in the NTD report on the Federal Funding Allocation Statistics form for the fiscal year ending **[date]** is presented fairly, in all material respects, with the requirements of the USOA and Records and Reporting System; Final Rule, as specified in 49 CFR Part 630, Federal Register, dated January 15, 1993, and as presented in the 2020 *NTD Policy Manual*.

Signed:

Title:

City:

Date:

Appendix B: ASSET CODES

Ownership Codes

LPPA	Leased under lease purchase agreement by a public agency
LPPE	Leased under lease purchase agreement by a private entity
LRPA	Leased or borrowed from related parties by a public agency
LRPE	Leased or borrowed from related parties by a private entity
OOPA	Owned outright by public agency (includes safe harbor leasing agreements where only the tax title is sold)
OOPE	Owned outright by private entity (includes safe harbor leasing agreements where only the tax title is sold)
TLPA	True lease by a public agency
TLPE	True lease by a private entity

Vehicle Type

AB	Articulated bus
AG	Automated guideway vehicle
AO	Automobile
BR	Over-the-road bus
BU	Bus
CC	Cable car
CU	Cutaway
DB	Double decker bus
FB	Ferryboat
HR	Heavy Rail passenger car
IP	Inclined plane vehicle
LR	Light Rail vehicle
MV	Minivan
RL	Commuter Rail locomotive
RP	Commuter Rail passenger coach
RS	Commuter Rail, self-propelled passenger car
SB	School bus
SV	Sports utility vehicle (SUV)
TB	Trolleybus
TR	Aerial tramway vehicle
VN	Van
VT	Vintage trolley/Streetcar

Funding Sources

UA	Urbanized Area Formula Program (§5307)
OF	Other Federal funds
NFPA	Non-Federal public funds
NFPE	Non-Federal private funds
RAFP	Formula Grants for Rural Areas (§5311)
EMSID	Enhanced Mobility for Seniors and Individuals with Disabilities (§5310)

Rail Manufacturer Codes

ABB	Asea Brown Boveri Ltd.	GEC	General Electric Corporation
ACF	American Car and Foundry Company	GMC	General Motors Corporation
AEG	AEG Transportation Systems	GTC	Gomaco Trolley Company
ALS	ALSTOM Transport	HIT	Hitachi
ALW	ALWEG	HSC	Hawker Siddeley Canada
AMI	Amrail Inc.	HYU	Hyundai Rotem
ASK	AAI/Skoda	INE	Inekon Group, a.s.
BBB	Blue Bird Corporation	JCC	Jewett Car Company
BEC	Brookville Equipment Corporation	JHC	John Hammond Company
BFC	Breda Transportation Inc.	KAW	Kawasaki Rail Car Inc.
BLM	Boise Locomotive Works	KIN	Kinki Sharyo USA
BOM	Bombardier Corporation	MAF	Mafersa
BUD	Budd Company	MBB	M.B.B.
BVC	Boeing Vertol Company	MBR	Mahoney Brothers
CAF	Construcciones Auxiliar de Ferrocarriles	MKI	American Passenger Rail Car Company
CBR	Carter Brothers	MPT	Motive Power Industries
CSC	California Street Cable Railroad Company	MSR	Market Street Railway
CVL	Canadian Vickers Ltd.	PCF	PACCAR (Pacific Car and Foundry Company)
DHI	Daewoo Heavy Industries	PST	Pullman-Standard
DWC	Duewag Corporation	PTC	Perley Thomas Car Company
FCH	Ferries and Cliff House Railway	RHR	Rohr Corporation
		SDU	Siemens Mass Transit Division

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SFB	Société Franco-Belge de Matériel	TCC	Tokyu Car Company
SFM	San Francisco Muni	USR	US Railcar
SLC	St. Louis Car Company	UTD	UTDC Inc.
SOF	Soferval	WAM	Westinghouse-Amrail
SOJ	Sojitz Corporation of America	WLH	W. L. Holman Car Company
SUM	Sumitomo Corporation	ZZZ	Other (Describe)

Non-Rail Manufacturer Codes

AAI	Allen Ashley Inc.	CBC	Collins Bus Corporation (form. Collins Industries Inc./COL)
ABI	Advanced Bus Industries	CBW	Carpenter Industries LLC (form. Carpenter Manufacturing Inc.)
ACF	American Car and Foundry Company	CCC	Cable Car Concepts Inc.
ACI	American Coastal Industries	CCI	Chance Bus Inc. (formerly Chance Manufacturing Company/CHI)
AEG	AEG Transportation Systems	CEQ	Coach and Equipment Manufacturing Company
AII	American Ikarus Inc.	CHA	Chance Manufacturing Company
ALL	Allen Marine, Inc.	CHR	New Chrysler
ALX	Alexander Dennis Limited	CMC	Champion Motor Coach Inc.
AMD	AMD Marine Consulting Pty Ltd	CMD	Chevrolet Motor Division — GMC
AMG	AM General Corporation	CVL	Canadian Vickers Ltd.
AMT	AmTran Corporation	DAK	Dakota Creek Industries, Inc.
ARB	Arboc Mobility LLC	DER	Derecktor
ASK	AAI/Skoda	DIA	Diamond Coach Corporation (formerly Coons Mfg. Inc./CMI)
ATC	American Transportation Corporation	DKK	Double K, Inc. (form. Hometown Trolley)
AZD	Azure Dynamics Corporation	DMC	Dina/Motor Coach Industries (MCI)
BBB	Blue Bird Corporation	DTD	Dodge Division — Chrysler Corporation
BFC	Breda Transportation Inc.	DUC	Dutcher Corporation
BIA	Bus Industries of America	DUP	Dupont Industries
BLN	Blount Boats, Inc.	EBC	EIDorado Bus (EBC Inc.)
BOM	Bombardier Corporation	EBU	Ebus, Inc.
BOY	Boyertown Auto Body Works		
BRA	Braun		
BRX	Breaux's Bay Craft, Inc.		
BYD	Build Your Dreams, Inc.		

EDN	El Dorado National (formerly El Dorado/EBC/Nat. Coach/ NCC)	MER	Ford or individual makes
EII	Eagle Bus Manufacturing	MNA	Mitsubishi Motors; Mitsubishi Motors North America, Inc.
ELK	Elkhart Coach (Division of Forest River, Inc.)	MOL	Molly Corporation
FDC	Federal Coach	MTC	Metrotrans Corporation
FIL	Flyer Industries Ltd (aka New Flyer Industries)	MVN	Mobility Ventures
FLT	Flxette Corporation	NAB	North American Bus Industries Inc. (form. Ikarus USA Inc./IKU)
FLX	Flexible Corporation	NAT	North American Transit Inc.
FRC	Freightliner Corporation	NAV	Navistar International Corporation (also known as International/INT)
FRD	Ford Motor Corporation	NBB	Nichols Brothers Boat Builders
FRE	Freeport Shipbuilding, Inc.	NBC	National Mobility Corporation
FSC	Ferrostaal Corporation	NCC	National Coach Corporation
GCC	Goshen Coach	NEO	Neoplan - USA Corporation
GCA	General Coach America, Inc.	NFA	New Flyer of America
GEO	GEO Shipyard, Inc.	NIS	Nissan
GIL	Gillig Corporation	NOV	NOVA Bus Corporation
GIR	Girardin Corporation	OBI	Orion Bus Industries Ltd. (formerly Ontario Bus Industries)
GLF	Gulf Craft, LLC	OCC	Overland Custom Coach Inc.
GLH	Gladding Hearn	OTC	Oshkosh Truck Corporation
GLV	Glaval Bus	PCI	Prevost Car Inc.
GMC	General Motors Corporation	PLY	Plymouth Division-Chrysler Corp.
GML	General Motors of Canada Ltd.	PRO	Proterra, Inc.
GOM	Gomaco	PST	Pullman-Standard
HMC	American Honda Motor Company, Inc.	PTE	Port Everglades Yacht & Ship
HSC	Hawker Siddeley Canada IKU — Ikarus USA Inc.	RIC	Rico Industries
HYU	Hyundai Rotem	SBI	SuperBus Inc.
INT	International	SHI	Shepard Brothers Inc.
IRB	Renault & Iveco	SCC	Sabre Bus and Coach Corp. (form. Sabre Carriage Comp.)
KIA	Kia Motors	SPC	Startrans (Supreme Corporation)
KKI	Krystal Koach Inc.	SPC	Supreme Corporation
MAN	American MAN Corporation	SPR	Spartan Motors Inc.
MBZ	Mercedes Benz	SSI	Stewart Stevenson Services Inc.
MCI	Motor Coach Industries International (DINA)	STE	Steiner Shipyards, Inc.
MDI	Mid Bus Inc.	STR	Starcraft

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SUB	Subaru of America or Fuji Heavy Industries Ltd.
SUL	Sullivan Bus & Coach Limited
SVM	Specialty Vehicle Manufacturing Corporation
TBB	Thomas Built Buses
TEI	Trolley Enterprises Inc.
TMC	Transportation Manufacturing Company
TOU	Tourstar
TOY	Toyota Motor Corporation
TRN	Transcoach
TRT	Transteq
TRY	Trolley Enterprises
TTR	Terra Transit
TTT	Turtle Top
VAN	Van Hool N.V.
VOL	Volvo
VTH	VT Halter Marine, Inc. (includes Equitable Shipyards, Inc.)
WCI	Wheeled Coach Industries Inc.
WDS	Washburn & Doughty Associates, Inc.
WOC	Wide One Corporation
WTI	World Trans Inc. (also Mobile—Tech Corporation)
WYC	Wayne Corporation (form. Wayne Manufacturing Company/WAY)
ZZZ	Other (Describe)

Fuel Codes

BD	Biodiesel
BF	Bunker fuel (low grade of diesel fuel often used in ferryboat operations)
CN	Compressed natural gas (CNG)
DF	Diesel fuel
DU	Dual fuel
EB	Electric battery
EP	Electric propulsion
ET	Ethanol
GA	Gasoline
HD	Hybrid diesel
HG	Hybrid gasoline
HY	Hydrogen
KE	Kerosene
LN	Liquefied natural gas (LNG)
LP	Liquefied petroleum gas (LPG)
MT	Methanol

Appendix C: APC CERTIFICATION CHECKLIST

General Guidelines:

- Different modes and types of service should be sampled separately.
- A wide range of trips provides the best sample – passenger load is an important consideration.
- Sample all types of APC model, as the technology may perform differently.
- Make sure to include all vehicle models/configurations in the sample. The error rate of the APCs could be different depending on door geometry.

APC Checklist:

Your APC Certification Report should include the following:

- Your APC vendor
- The date your APC system was installed (can be approximate)
- The NTD Report Year in which you plan to begin reporting APC data
- The mode and type of service that will use APC data
- The number of vehicles in the fleet
- The number of these that are APC-equipped
- The number of trips you sampled for your benchmarking study
- A description of how you selected the trips to sample
- A description of your survey procedure, including information such as whether you used video or sent in-person ride checkers, and how many checkers you had on each vehicle
- Confirmation that you plan to repeat the benchmarking survey in Fiscal Year 2022
- The percentage of trips during your last fiscal year that did not return valid APC data for any reason (can be a reasonable estimate based on a sample)
- A list of common reasons why a trip would not return valid APC data
- A description of your method for using APC data to determine annual totals
- The total manually collected UPT in the sample

- The total APC-collected UPT in the sample
- The total manually collected PMT in the sample
- The total APC-collected PMT in the sample

Appendix D: VANPOOL QUESTIONNAIRE

1. How is your Vanpool advertised to the public?

The program is advertised to the public through (check all that apply):

- Agency website URL: _____
- Other website URL: _____
- Promotional materials (posters, brochures, billboards, signs)
- Media Advertising
- Employer fairs
- Other (describe): _____

2. Are there direct relationships between your agency and specific employers for any vans to be reported to the NTD?

- There are no direct relationships with employers for any of the vans in our program, all vans are open to the public and none are restricted to particular employers.
- There are direct relationships with employers for any of the vans in our program, as follows: *(describe relationships)*

3. Who is responsible for ride-matching individuals to vans with available seats? How is this ride-matching conducted? (i.e. how are vans with available seats made known to the public, and how are these seats filled?)

- Online matching service via agency website
- Online matching service at regional ridesharing website
- Online matching service at State ridesharing website
- Third party lessor/provider is responsible
- Lessor/Provider: _____
- Other (please describe): _____

4. What branding is used in the advertising of the Vanpool program, and who pays these costs?

The name of the Vanpool program is: _____

Name of agency paying the advertising and branding costs: _____

Description of the advertising and branding costs (e.g., developing the brand name, logo, van decals): _____

5. What branding is used on the Vanpool vehicles themselves?

Vanpool Program name: _____

If there is a third-party vehicle lessor (e.g., Enterprise, State DOT), is their name also on the vehicle?

- Yes
- No
- N/A

6. Are third parties (i.e. other than your agency and the riders) used in providing the Vanpool service? If so, for each third party, please provide the following:

Name of the third-party: _____

Length of contract is [number of months]: _____

Contract start date is [month, day, year]: _____

Contract is competitively bid.

- Yes
- No
- N/A

If "No," describe how you select contractors:

Terms of arrangement (i.e., what third party services/costs do you pay for?)

- Administrative costs
- Marketing, promotion, and advertising
- Other (please describe): _____

Who is responsible for the different aspects of the service such as marketing, promotion, and advertising costs for the Vanpool program, the ride-matching services, fuel costs, maintenance costs, insurance costs, capital cost for replacement of vehicles, and capital costs for replacement of facilities?

7. How are the rider costs in the Vanpool established, and by whom? How are rider costs tracked?

- Our agency establishes Vanpool fares
- A third-party lessor/provider establishes Vanpool fares
- We use vans provided by our agency and a third party

Please describe the process for establishing rider costs:

Third party name(s) (if applicable): _____

- Our agency requires each Vanpool to record rider costs

If so, describe review procedures:

- Third party requires each Vanpool to record rider costs

If so, state third party and describe review procedures:

Appendix E: SHARED MOBILITY PARTNERSHIPS WITH TNCs

If your agency reports to the NTD and contracts with a Transportation Network Company (TNC) for on-demand, [shared mobility service](#), you may be able to include data for this service in your NTD report under the Transportation Network Company (TN) type of service. The shared mobility service must meet all criteria for public transportation as codified in 49 U.S.C. §5302(14).

What is a TNC?

The General Services Administration’s Office of Government-Wide Policy defines a TNC as “a corporation, partnership, sole proprietorship, or other entity, that uses a digital network to connect riders to drivers affiliated with the entity in order for the driver to transport the rider using a vehicle owned, leased, or otherwise authorized for use by the driver to a point chosen by the rider.”⁸

What kind of shared mobility service is reportable to the NTD?

You may report shared mobility service if it is

- **regular, continuing, shared-ride** surface transportation service that is open to the general public or a segment of the general public defined by age, disability, or low income.

What kind of shared mobility service is **not** reportable to the NTD?

If a ride-hailing service is part of your trip planning platform, but you do not operate it under contract with the provider, you should not report it to the NTD.

You should not report pilot projects, chartered bus service, intercity bus, sightseeing service, school bus service, courtesy shuttles for patrons of one or more specific establishments, and intra-terminal/facility shuttles.

What do you mean by “operated under contract”?

If your agency contracts with a TNC for public transit, then the service must meet FTA’s definition of [Purchased Transportation](#).

⁸ Federal Travel Regulation; Transportation Network Companies (TNC), Innovative Mobility Technology Companies, and Reporting Travel, Transportation, and Relocation Costs, 83 FR 602 §300-3.1 (2018)

What do you mean by “shared-ride”?

Shared-ride service exists when the TNC groups passengers together based on passenger origins and destinations. Neither the driver of the revenue vehicle nor the passenger can decline additional passengers when there is room for them. Not every trip needs to be a shared ride for a provider to be considered a shared-ride operator, but all reported rides should involve an active attempt to share rides.

What do you mean by “regular and continuing” service?

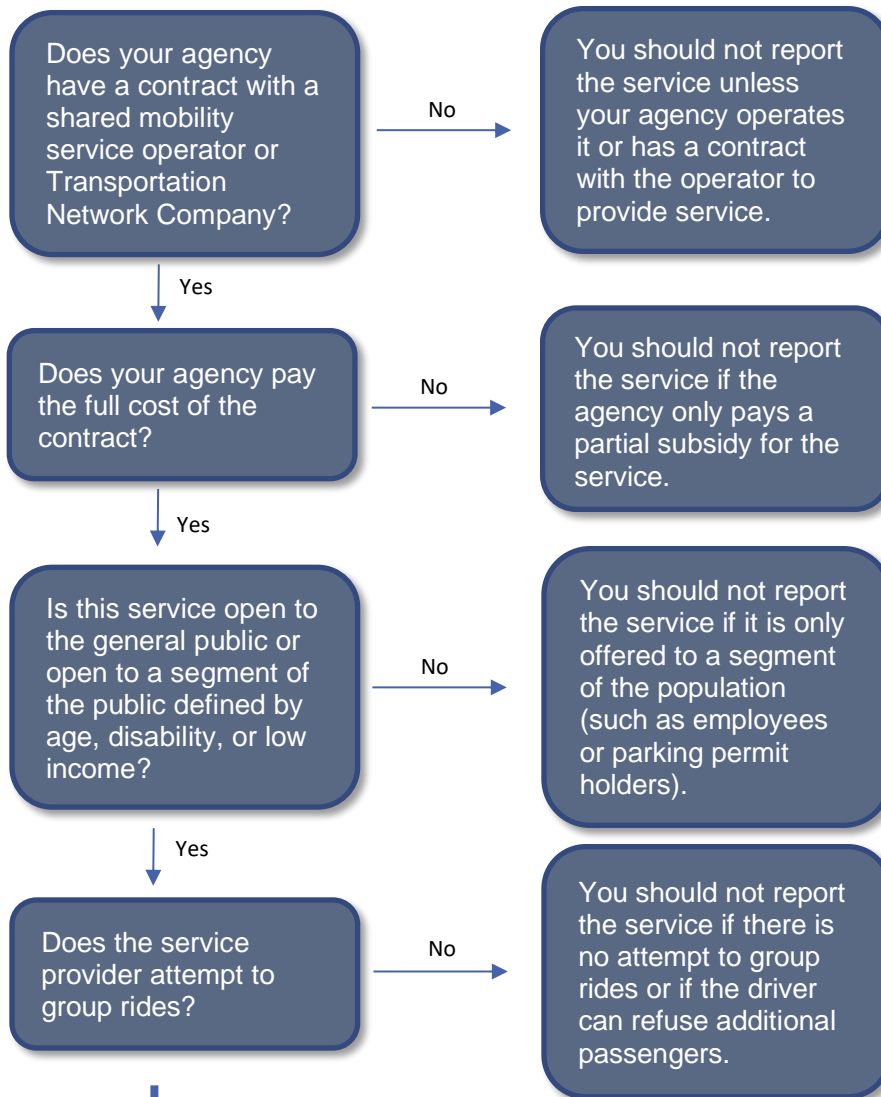
“Regular and continuing” refers to service that operates on a schedule during specified hours during the week and weekend. Services that operate on an ad hoc basis (e.g., only for special events) are not regular and continuing. Time-limited pilot projects are not regular and continuing either.

What information do I report to the NTD?

If the shared mobility service meets NTD reporting requirements, you will report financial, service, and asset data. The level of detail of the report will depend on whether your agency is a Full or Reduced Reporter. You will need to work with your contracted TNC to gather data points such as Unlinked Passenger Trips (UPT), Vehicle Revenue Miles (VRM), Vehicle Revenue Hours (VRH), passenger fares, operating expenses, sources of revenue, and information regarding the assets used to provide the service.

Shared Mobility NTD Reporting Eligibility

Agencies reporting to the NTD that have partnered with on-demand, shared mobility services may refer to the chart and examples below to see if their service is reportable to the NTD.



You may report mobility service operated under contract to a transit agency if the following apply:

- Your agency pays the full cost of the contracted service (less fares).
- The service is available to the general public.
- The service is regular and continuous.
- The operator attempts to group rides to create shared-ride service.
- Drivers and passengers cannot refuse additional passengers if there is available seating capacity.
- If there is a party with 2 or more dependents and there is available capacity in a revenue vehicle, then the stated party must be allowed to book a ride.

Example 1: A transit agency contracts a ride-hailing service to provide a first/last mile solution within the community. Passengers can use a mobile app to request a ride to/from any location within the service area.

Solution: This service would be eligible for NTD reporting if

- the agency is paying the full cost of service (less fares),
- drivers and passengers cannot refuse additional passengers if there is available seating capacity, and
- the service operator is attempting to group all rides to facilitate shared-ride service.

Example 2: A transit agency contracts a ride-hailing service to help offset parking demand at their more heavily used passenger stations. Passengers with parking permits for these stations receive 10 free rides per month via the ride-hailing service to encourage less use of parking inventory.

Solution: This service would not be eligible for NTD reporting because it is limited to a segment of the general public (permit holders) not defined by age, disability, or low-income.

Example 3: A transit agency contracts a ride-hailing service to provide on-demand service to its paratransit riders. Riders receive a limited number of subsidized, on-demand rides per month. Customers are not guaranteed an exclusive ride.

Solution: This service would be eligible for NTD reporting if

- the agency is paying the full cost of service (less fares),
- drivers and passengers cannot refuse additional passengers if there is available seating capacity, and
- the service operator is attempting to group all rides to facilitate shared-ride service.

GLOSSARY

A

Accrual Accounting, 14, 15, 59, 61, 228

The Generally Accepted Accounting Principles (GAAP) requires that all financial data in the NTD Annual Report follow accrual accounting principles. Agencies record revenues when they earn them, regardless of whether they actually receive the revenue in the same fiscal year, and agencies record expenditures as soon as they owe an entity, regardless of if they pay the funds for the expenditure in the same fiscal year., 14

Active Vehicles, 131, 150, 179, 182, 183, 186, 190, 191, 192

Active Vehicles should include only the vehicles available to operate in revenue service. Active vehicles include spare vehicles and vehicles temporarily out of service for routine maintenance and minor repairs. Because the number of active vehicles includes spares, the number of active vehicles is typically greater than the number of VAMS., 131

Actual Person Count, 203, 204

The actual person count of employees only includes employees at the end of the fiscal year., 203

Actual Service, 113, 115, 116, 241

Actual service data are the statistics of the services actually provided during the fiscal year of the transit agency. Actual service data excludes scheduled service that did not occur (e.g., missed trips, service interruptions due to strikes, emergency shutdowns, etc.), 241

ADA Accessible Vehicles, 186

Public transportation revenue vehicles which, in compliance with ADA requirements, do not restrict access, are usable, and provide allocated space and/or priority seating for individuals who use wheelchairs, and which are accessible using lifts or ramps., 186

ADA-Related Unlinked Passenger Trips, 128

The number of passenger boardings on public transportation vehicles for complementary paratransit services (DR mode) associated with or attributed to the ADA compliance requirements., 128

Administrative and Maintenance Facility Type, 159, 160

Administrative buildings are the general administrative offices owned by a transit agency. Administrative buildings usually house executive management and support activities for overall transit operations, including accounting, finance, engineering, legal, safety, security, customer services, scheduling, and planning. Administrative buildings also include separate buildings for customer information or ticket sales that a transit agency owns and that are not part of passenger stations. Maintenance facilities are those where routine maintenance and repairs, or heavy maintenance or unit rebuilds are conducted. Agencies must not report maintenance facilities where third-party vendors perform services, such as a local gasoline service or body shop., 159

Administrative Office/Sales Office, 159

Facilities and offices which house the executive management and supporting activities for transit operations, with the exception of vehicle maintenance. This could include accounting, finance, engineering, legal, safety, security, customer services, scheduling, and planning. These buildings may include customer information or ticket sale offices, which are owned by the transit agency but are not part of passenger stations., 159

Aerial Tramway, 27, 39, 139, 152, 169, 181, 187, 217, 234, B-248

Aerial Tramway is a system of aerial cables with suspended vehicles. The vehicles are propelled by separate cables attached to the vehicle suspension system and powered by engines or motors at a central location not onboard the vehicle., 27

Airport/Private Bus Transit, 158

A passenger facility building is shared between a transit mode and an airport, private bus provider, or the passenger facility provides connectivity to an airport. Connectivity may mean station and airport are connected directly via pedestrian overpasses, indirectly via airport shuttle buses, or directly with rail cars entering a station located in an airport building. Shared space for private bus providers may include passenger waiting areas, restrooms and ticket vending locations., 158

Alaska Railroad, 27, 28, 52, 86, 114, 122, 152

The Alaska Railroad is a public transportation system in Alaska that shares vehicles and facilities with freight rail operations., 27

Americans with Disabilities Act of 1990 non-accessible, 5, 30, 35, 52, 76, 77, 80, 102, 128, 152, 153, 179, 186

Non-accessible stations do not provide easy access (i.e., do not meet accessibility requirements for physical barriers, signage, and other aids) that enables individuals with disabilities, including individuals who use wheelchairs, to use public transit., 152

Articulated Bus, 179, 187, B-248

Articulated Buses are extra-long (54 ft. to 60 ft.) buses with two connected passenger compartments. The rear body section is connected to the main body by a joint mechanism that allows the vehicles to bend when in operation for sharp turns and curves and yet have a continuous interior., 179

Automobile, 127, 129, 147, 165, 180, 187, 189, 198, 199, B-248

A passenger car up to and including station wagons in size. Excludes minivans and anything larger., 127

Auxiliary Transportation Funds, 69

Transit agencies earn auxiliary transportation revenues (4140) from activities closely related to the provision of transit service, such as concessions (station concessions and vehicle concessions), advertising revenues, ID card fees for travel on the transit agency's services (seniors, persons with disabilities, employees), fare evasion, and park-and-ride lot fines., 69

Average Lifetime Miles, 190, 191

Average lifetime miles, also referred to as average lifetime mileage, is the average mileage since the date of manufacture on active vehicles at fiscal yearend. Average lifetime miles always begin with the original date of manufacture, even if an agency has rebuilt a vehicle., 188

B

Bridge, Tunnel, and Highway Tolls, 73

Another source of funds raised for transit is from tolls collected on bridges, tunnels, or highways (4260). Typically, transit agencies that have the power to impose these fees are multipurpose transportation agencies that operate and own these facilities., 73

Bus (Mode), 27, 28, 33, 39, 40, 43, 44, 45, 47, 86, 99, 117, 123, 125, 136, 140, 141, 152, 153, 156, 157, 165, 169, 182, 191, 202, 205, 206, 219, 234, 238, 239

A transit mode using rubber-tired passenger vehicles operating on fixed routes and schedules over roadways. Vehicles are powered by a motor and fuel or electricity stored on board the vehicle. Transit agencies must report any route-deviated or point-deviated service as MB., 27

Bus (Vehicle Type), 180, 187, B-248

A rubber-tired passenger vehicle powered by diesel, gasoline, battery or alternative fuel engines contained within the vehicle. Vehicles in this category do not include school buses or cutaways. This group does include minibuses such as a Sprinter., 187

Bus Rapid Transit, 27, 28, 38, 39, 40, 43, 44, 45, 47, 86, 117, 123, 152, 153, 165, 169, 217, 234, 238, 239

A fixed-route bus system that operates over 50 percent of its route in a separated ROW dedicated for transit use during peak period, has defined stations that are accessible for persons with disabilities, offers shelter from the weather, provides information on schedules and routes, uses active signal priority in separated guideway and either queue-jump lanes or active signal priority in non-separated guideway, offers short headway, bidirectional service for at least a 14-hour span on weekdays and a 10-hour span on weekends, and applies a separate and consistent brand identity to stations and vehicles., 27

Buyer, 7, 15, 34, 35, 36, 51, 53, 54, 55, 56, 57, 66, 89, 90, 101, 230, 240

A buyer is a transit agency that pays another entity to perform transit service., 7

C

Cable Car (Mode), 27, 39, 173

A type of railway propelled by moving cables located beneath the street. While popular at the turn of the last century, currently the only operational system is in San Francisco., 27

Cable Car (Vehicle Type or Mode), 86, 152, B-248

Cable Car (Vehicle Type), 29, 180, 187

A streetcar type of passenger vehicle operating by means of an attachment to a moving cable located below the street surface and powered by engines or motors at a central location not onboard the vehicles., 180

Capital Asset, 3, 18, 23, 24, 55, 59, 81, 82, 105, 106, 107, 111, 146, 186, 199

Capital Assets (1210) include land, improvements to land, easements, buildings, building improvements, vehicles, machinery, equipment, works of art and historical treasures, infrastructure,

and all other tangible or intangible assets that have useful lives over one year. Value of the capital assets includes the capitalized expenses associated with that asset which typically include acquisition costs and improvement costs and are adjusted for depreciation and asset impairment. See USOA 7.1.2.1, Capital Assets, for additional information., 3

Capital Expenses, 21, 58, 59, 60, 65, 82, 83, 85, 86, 87, 88, 91

The expenses that are related to purchasing a capital asset or making an improvement to a capital asset that materially increases its value or useful life. Capital expenses XE "Capital Expenses" include the acquisition cost of a capital asset including the cost of delivery, installation, and any modifications to the asset(s). FTA defines capital as an asset having a useful life of more than one year. See USOA 3.0, Capital Expenses, for additional information on capital expenses., 59

Capital Lease, 102, 105, 106, 109, 110

A lease is considered a capital lease if it meets any of the following four criteria at its inception (the earlier of the date of the lease agreement or commitment). These criteria are transfer of ownership, bargain purchase option, lease term, and minimum lease payments., 102

Capital Maintenance Expense, 82

Capital maintenance expenses are operating expenses that a transit agency pays with §5307 capital funds., 82

Capital Responsibility, 147, 148, 149, 150, 156, 157, 159, 171, 172, 176, 177, 188, 198, 199

An agency has direct capital responsibility for an asset if the agency owns the asset, the agency jointly owns the asset with another entity, or the agency is responsible for replacing, overhauling, refurbishing, or conducting major repairs on an asset, or the cost of those activities is itemized as a capital line item in the agency's budget., 147

Cash and Cash Equivalents, 104, 107

Cash and Cash Equivalents (1110) include short-term, highly liquid investments that the agency can readily convert to known amounts of cash for the liquidation of transit agency abilities, including special deposits for which a current liability exists. Cash and cash equivalents include the cash, working funds, special deposits, and temporary cash investments. See USOA 7.1.1.1, Cash and Cash Equivalents, for additional information., 104

Casualty and Liability Costs, 93, 95, 96

These are the expenses a transit agency incurs for loss protection. If a transit agency is liable for

someone's loss, then the agency must report all applicable compensation under this object class. Casualty and Liability Costs (5050) include physical damage insurance premiums, recovery of physical damage losses for public liability and property damage insurance premiums, insured and uninsured public liability and property damage settlement payouts and recoveries, other corporate insurance premiums (e.g., fidelity bonds, business records insurance) and self-insurance costs., 96

Chief Executive Officer, 11, 16, 26, 222, 223, 224, 225, 226, 228, 229, 241

The principal executive in charge of and responsible for the transit agency., 11

Chief Executive Officer Certification, 10, 16, 221, 222, 223, 224, 225

Transit agencies must submit a CEO Certification with the Annual Report. Through this certification, the CEO endorses and attests to the accuracy of the data in the Annual Report., 10

Combined Administrative and Maintenance Facility, 162

Any facility with combined functions of at least one of the administrative facilities., 162

Commuter Bus, 6, 27, 29, 33, 39, 40, 43, 44, 45, 47, 52, 86, 117, 123, 141, 152, 153, 163, 165, 169, 217, 234, 238, 239

A local, fixed-route bus transportation that primarily connects outlying areas with a central city and operates predominantly in one direction during peak periods. It has limited stops in outlying areas, limited stops in the central city, and at least five miles of closed-door service., 6

Commuter Rail, 6, 27, 29, 30, 31, 39, 52, 86, 114, 121, 122, 152, 153, 178, 179, 181, 192, 216, B-248

An electric-or diesel-propelled railway for urban passenger train service consisting of local travel which operates between a central city and outlying areas. Service must be operated on a regular basis by or under contract with a transit operator for transporting passengers within UZAs or between urbanized areas and outlying areas. Commuter Rail is generally characterized by multi-trip tickets, specific station-to-station fares, railroad employment practices, relatively long distances between stops, and only 1 to 2 stations in the central business district. Note that an intercity rail service is excluded from Commuter Rail except for the portion of service that is operated by or under contract with a public transit agency for predominantly local., 6

Commuter Rail Locomotive, 181, 187, B-248

A Commuter Rail Locomotive is a CR vehicle used to pull or push CR passenger coaches.

Locomotives do not carry passengers themselves., 181

Commuter Rail Passenger Coach, 181, 187, B-248

A Commuter Rail Passenger Coach is a CR passenger vehicle not independently propelled and requiring one or more locomotives for propulsion., 181

Commuter Rail Self-Propelled Car, 181, 187, B-248

A Commuter Rail Self-Propelled Passenger Car is a CR passenger vehicle not requiring a separate locomotive for propulsion., 181

Competitively Bid Contract, 53, 54

Competitive contracts include sealed bids, requests for proposals, and two-step procurement. Agencies must report a contract as competitively bid if the contract was competitively procured and later negotiated during subsequent option years., 54

Condition Assessment, 4, 23, 24, 145, 146, 148, 150, 156, 157, 167, 168, 177, 188

Transit agencies are required to report a condition assessment for all facilities for which they have capital replacement responsibility. The condition assessment is based on FTA's TERM scale., 4

Contract Capital Leasing Expenses, 55

The expenses that the seller charges the buyer for the use of its capital assets, whether they are owned or leased by the seller., 55

Contributed Services, 81

In-kind services received by the reporting agency from another entity or person where there is no payment for the services. In the past, Contributed Services (4610) was reported as a directly generated fund. However, since there is no actual cost for the contributed service, change has been made to include the value of the service as non-added revenue instead. An example of a contributed service is when a retired lawyer provides pro-bono legal services to the local transit agency., 81

Controlled Access High Intensity Bus, 170

Controlled Access High Intensity Busway – these segments may be exclusive to transit or function as HOV for a certain number of hours but are open to general traffic for some part of the week., 170

Cost Allocation Method, 61, 62, 64, 92

The purpose of cost allocation is to determine the total costs incurred to produce a specific product or deliver a specific service. In the NTD, transit agencies report the total cost incurred to operate each mode of transit service. This information helps facilitate comparisons of the operating characteristics of modes at different agencies and

of a single mode over time. Sound cost allocation procedures will also improve the accuracy of financial data reported to transit agency governing boards and the public. This is also consistent with GAAP., 61

Cost Pool, 63

Groups of costs that are consumed in a similar manner., 63

Cutaway, 180, 187, 189, 190, B-248

A transit vehicle that is built on a van or truck chassis by a second stage manufacturer. The chassis is purchased by the body builder, a framework is built for the body, and then the body is finished for a complete vehicle. For example, a truck chassis may be used as the base for a small transit bus., 180

D

Days Not Operated Due to Officially Declared

Emergencies, 137, 138

This is the number of days that a transit agency does not operate due to emergencies, such as floods, snowstorms, or tornadoes. A person in authority (usually the mayor, county head, or governor) must officially declare an emergency., 137

Days Not Operated Due to Strikes, 137, 138

Days that service would normally have operated but was not due to a transit labor strike., 137

Days Operated, 125, 137, 138

Days that service was actually operated., 137

Deadhead (Miles and Hours), 114, 115, 116, 117, 123, 126, 190, 230, 233, A-245

When transit vehicles are deadheading, they operate closed-door and do not carry passengers. Deadhead includes leaving or returning to the garage or yard facility to or from the starting or ending point of revenue service, changing routes, and instances when the driver does not have the duty to carry passengers. Deadhead does not include revenue service or additional activities such as charter service, school bus service, operator training, fueling, and maintenance testing., 114

Dedicated Fleet, 179, 184

Vehicles used exclusively for public transit service. Transit agencies that report directly operated service must report all vehicles under dedicated fleets., 179

Demand Response, 27, 30, 52, 89, 97, 102, 114, 118, 121, 123, 124, 125, 127, 128, 139, 141, 155, 156, 157, 195, 202, 205, 206, 222

A transit mode operating on roadways in response to requests from passengers or their agents to the transit operator, who groups rides together when possible and dispatches a vehicle to provide the rides. Vehicles do not operate over a fixed route or on a fixed schedule unless temporarily satisfying a special transit need. Many transit systems operate DR service to meet the requirements of the ADA., 27

Direct Cost, 61, 62

Costs that are directly identifiable to one or more mode, type of service, and function of transit service., 61

Directional Route Miles, 37, 38, 39, 40, 41, 42, 141, 142, 169, 212, 217, 218, 219, 220, 230, 233, 234, 240

The total mileage in each direction that public transportation vehicles travel in revenue service. DRM includes a measure of the route path over a facility or roadway (which does not include any data related to the service carried on the facility, such as number of routes, vehicles, or Vehicle Revenue Miles), and a measure with regard to direction of service (which does not include the number of traffic lanes or rail tracks existing in the ROW)., 42

Directly Generated Funds, 66, 102

Funds that a transit agency earns from non-governmental sources. Transit agencies may earn these funds from passenger fares, funds related to transit, funds unrelated to transit, and dedicated funds, (applicable to transit agencies that are independent political entities and have the ability to impose taxes)., 58

Directly Levied Tax, 72

If a transit agency is an independent political entity and has the legal authority to impose a dedicated tax, the NTD refers to this tax as a directly levied tax., 72

Dispatch Point, 114, 115, 117, 118, 209

The location where a driver receives his or her schedule to provide revenue service., 114

Double Crossover, 174, 175

A double crossover, sometimes called a scissors crossover, consists of two crossovers of opposite hand orientation superimposed upon each other. In addition to the four turnouts involved, a track crossing diamond is needed between the two main tracks., 174

DUNS Number, 26

The DUNS is a system developed and regulated by Dun & Bradstreet (D&B) which assigns a unique nine-digit numeric identifier to a single business entity. All grant applicants for new or renewal

awards on or after October 1, 2003 must have a DUNS number., 26

E

Emergency Contingency Vehicles, 121, 179, 183, 186

Emergency contingency vehicles are inactive revenue vehicles that have reached the end of their useful life. Rather than requiring agencies to dispose of the inactive vehicles FTA allows them to retain the vehicles to be used in the event of local emergencies (floods, earthquakes, etc.). FTA allows for this exception only if the vehicles are a part of an FTA approved emergency contingency plan., 121

Employee, 5, 15, 34, 49, 56, 62, 63, 69, 93, 94, 95, 104, 107, 108, 127, 163, 201, 202, 203, 204, 205, 206

An employee is any of the following—an individual who has completed his/her scheduled assignment, an individual on extended sick leave, an individual temporarily disabled and assigned to another position, an individual who has left the transit agency through separation or retirement but who continues to receive a paycheck from the transit agency and whose position has not been refilled, an individual on a paid leave of absence, or an individual on an unpaid leave of absence of a prolonged duration, as long as he/she is retained on the benefits program and retains his/her job security rights., 5

Employee Work Hours, 201, 203, 204

The total hours an agency's employees worked during the fiscal year., 201

Exclusive Fixed Guideway, 170

These segments are exclusive at all times, 24 hours per day, seven days per week., 170

Exclusive High Intensity Bus, 170

These segments are HOV lanes at all times, 24 hours per day, seven days per week or alternatively may be HOV lanes for a portion of the week and exclusive to transit for the remainder of the week., 170

Expansion (Fleet), 83

The acquisition of revenue vehicles for expansion of transit service., 83

F

Failure to Report, 10, 11, 226, 228, 229

FTA may issue a Failure to Report if an agency fails to submit a report, submits a late report, submits an incomplete report, or fails to respond to validation questions., 226

Fare Assistance, 67

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., 67

Fare Revenue Collection Equipment, 85, 88

Fare revenue collection equipment includes turnstiles, fareboxes, automated fareboxes and related software, moneychangers, and fare dispensing machines., 85

Federal Government Funds, 8, 9, 24, 42, 58, 76, 186, 211, 212, 214, 215, 216, 217, 218, 219, 223, 227, 229, 230

Transit agencies typically receive Federal funds on a cost-reimbursement basis., 76

Ferryboat, 27, 30, 39, 52, 67, 68, 86, 127, 129, 152, 153, 166, 169, 180, 187, 193, 217, 234, B-248

This mode carries passengers over a body of water., 27

Ferryboat (Vehicle Type), 180

A vessel for carrying passengers or vehicles over a body of water. The vessels are generally steam or diesel-powered conventional ferry vessels. They may also be hovercraft, hydrofoil and other high-speed vessels., 180

Fixed Guideway, 19, 27, 28, 29, 30, 31, 32, 33, 37, 38, 39, 40, 42, 44, 46, 47, 78, 79, 141, 164, 165, 169, 170, 171, 177, 211, 212, 217, 218, 219, 220, 230, 233, 234, 235, 236, 237, 239, 240

A public transportation facility using and occupying a separate ROW for the exclusive use of public transportation, using rail, using a fixed catenary system, or is used for a passenger ferry system or a Bus Rapid Transit system., 19

Fixed Guideway Directional Route Miles, 38, 39, 219, 220, 235, A-246

Fixed guideway DRM is the mileage in each direction that public transportation vehicles travel in revenue service on fixed guideway., 38

Flexible Funding Programs, 77

Programs that allow the transfer of funds to an FTA program to be used for transit projects, 77

Fringe Benefits, 62, 63, 90, 93, 94, 204

The expenses for employment benefits or services that an agency provides to its employees in addition to basic wages. Typical benefits include costs related to providing or making contributions to employment taxes, retirement plans, pension plans, medical plans, dental plans, life insurance and short-term disability plans, unemployment insurance, workers' compensation insurance, uniform and work clothing allowances (typically for drivers and security personnel), and tool allowances for mechanics., 62

FTA Capital Program Funds (§5309), 78

A discretionary program that provides capital assistance for new fixed guideway or other major investment systems., 78

FTA Clean Fuels Program (§5308), 77, 79

Section 5308 was a formula program that supported the use of alternative fuels. Projects were eligible in air quality maintenance or nonattainment areas for ozone or carbon monoxide for both urbanized and rural areas., 77

FTA Enhanced Mobility of Seniors and Individuals with Disabilities Formula Program (§5310), 24, 77, 79, 186

A formula program that provides capital assistance to State and local governments and private nonprofit groups to meet the transportation needs of elderly individuals and individuals with disabilities., 24, 79

FTA Formula Grants for Rural Areas (§5311), 9, 19, 76, 78

Section 5311, or the Formula Grants for Rural Areas Program, provides capital, operating, and planning assistance for public transportation operated in rural areas. FTA classifies rural areas using the most recent decennial U.S. census to determine populations less than 50,000., 9

FTA Metropolitan Planning (§5303), 77, 79

Section 5303 supports cooperative, continuous, and comprehensive planning programs for making transportation investment decisions in UZAs. These funds are allocated to MPOs. Local elected officials designate these funds to carry out urban transportation and planning processes., 77

FTA Public Transportation on Indian Reservations Program, Tribal Transit Program, 9

Section 5311(j) of the FAST Act, Public Law 114-94 (December 4, 2015), authorizes the Public Transportation on Indian Reservations Program (Tribal Transit Program (TTP)) for Fiscal Years (FY) 2016-2020. The TTP is a set-aside from the Formula Grants for Rural Areas program but now consisting of both a formula program and competitive grant program subject to the availability of appropriations., 9

FTA Recipient ID, 26

An FTA recipient identification number is the four-digit number assigned to your agency for the FTA electronic grant making system – TrAMS (Transit Award Management System)., 26

FTA Small Transit Intensive Cities Formula, 8, 226

A provision in the FTA Urbanized Area Formula program (Section 5307) to distribute funds to urbanized areas under 200,000 population. For UZAs with a population under 200,000, Congress apportions 2.0 percent of §5307 funds according to

the STIC formula. Under the STIC formula, FTA provides funds to the smaller UZAs that have an average level of service equivalent to or greater than the average level of service of larger UZAs with populations between 200,000 and 1,000,000., 8

FTA Urbanized Area Program (§5307), 8, 18, 77

Section 5307, or the Urbanized Area Formula Grants, provides capital, operating, and planning assistance for public transportation operated in UZAs., 8

Full-Time Employees, 202

Full-time employees typically work a minimum number of hours, such as at least 30 hours per week or 1,500 hours per year. Full-time employees usually receive a full benefits package., 202

Function, 45, 60, 61, 62, 63, 64, 90, 91, 92, 94, 95, 96, 97, 98, 99, 100, 101, 159, 162, 166, 170, 188, 202, 203, 205, 206

Activities a transit agency performs. Object classes are expense categories., 90

Funds Dedicated to Transit at Their Source, 75

These are funds from local taxes, tolls, and fees that the government entity institutes to support transit programs and projects. These funds may also include bridge, tunnel, and highway tolls., 75

Funds Expended (Applied), 65, 103

Funds applied are costs that a transit agency incurs when there is a monetary transaction to cover the expense. For example, agencies must pay for interest expenses, leases, and rentals., 103

Funds Expended on Operations - FTA Transit in the Park (§5320), 77, 80

Congress discontinued this grant in the MAP-21 legislation. Section 5320 was a program for preserving parklands and enhancing visitor enjoyment. FTA, the U.S. Department of Interior, and the U.S. Department of Agriculture Forest Service administered this grant jointly., 80

Funds not Applied, 103

Funds not applied means that there is not a transfer of money. Typically, these are values that use accounting principles, such as depreciation of vehicles and amortization of intangibles., 103

Accounting, Purchasing and Stores, Real Estate Management, Customer Relations, Promotion, Market Research, Planning and General Engineering, Preliminary Capital Project Planning, Risk Management, Safety, Human Resources, Legal, Information Technology, Office Management, General Management, and General Function., 91

General Purpose Maintenance Facility/Depot, 156, 161

A maintenance facility where mechanics and other maintenance department personnel provide basic service readiness inspection (e.g., tire pressure, oil/fluid levels) and light repair (e.g., mirror replacement) or service (e.g., sweeping) on revenue. Revenue vehicles may be stored here overnight or between being placed into revenue service., 156

Governmental Accounting Standard Board, 16

GASB is affiliated with the FASB and specializes in government agencies in the United States. In the event of a conflict between the FASB and GASB pronouncements, the GASB rule prevails for governmental entities., 16

Grade Crossing, 31, 170, 174, 175

An intersection of a roadway and a rail right-of-way that cross each other at the same level (at grade). For street-running operations, each street intersection is considered a grade crossing (excludes driveways and parking lot entrances)., 31

Group Plan Sponsor, 17, 24, 151

An agency who reports performance targets and other TAM data on behalf of Tier II agencies, who choose to participate in a group plan., 17

Guideway, 5, 28, 32, 39, 85, 141, 145, 147, 171, 172, 173, 174, 177, 180, 206, B-248

Guideway includes the buildings and structures dedicated for transit operations such as at-grade, elevated and subway structures, tunnels and bridges, track and power systems for rail modes, and paved highway lanes dedicated to fixed-route modes. Guideway does not include passenger stations and transfer facilities, bus pull-ins, or communication systems., 28

G

General Administration, 91, 92, 95, 96, 97, 98, 99, 100, 101, 203, 206

The General Administration function includes wages, salaries, and expenses incurred to perform and support administrative activities. Sub-functions under General Administration include Finance and

H

Heavy Maintenance and Overhaul (Backshop), 161

A maintenance facility where mechanics, machinists, and other maintenance personnel perform heavy overhaul and other related rebuilding activities to help revenue vehicles reach their targeted service life. Activities usually occur at

mid-life (i.e., mid-point of useful life) to refurbish, overhaul or replace major vehicle components., 161

Heavy Rail, 27, 30, 31, 39, 52, 62, 86, 89, 141, 152, 153, 178, 180, 187, 210

An electric railway that operates service in exclusive right-of-way. The service is often provided by long trains of six to eight cars or more that travel relatively short distances between stops within a city and the immediate suburbs. The Nation's traditional subway systems are classified as HR., 27

Heavy Rail (Mode) or Heavy Rail Passenger Car (Vehicle Type), 89, 141, 152, 153, 178, 187, 210

Heavy Rail Passenger Car, 27, 39, 52, 62, 86, 152, 153, 178, 180, 187, B-248

A rail car with motive capability, driven by electric power taken from overhead lines or third rails, configured for passenger traffic, and usually operated on exclusive ROW., 180

High Intensity Motorbus, 37, 39, 40, 42, 44, 46, 47, 169, 170, 171, 218, 219, 220, 233, 234, 236, 240

The FAST Act defines HIB as public transportation that is provided on a facility with access for other high-occupancy vehicles. HIB differs from FG in that non-transit vehicles are permitted to operate on the facility. This category also includes lanes that are dedicated to transit only during certain hours or on certain days, or that are dedicated to both transit vehicles and taxis., 37

High Occupancy Toll Lane (HO/T), 43, 44, 45, 46, 47

HO/T allows single occupancy vehicles to pay a toll to access HOV lanes., 43

Hybrid Rail, 27, 31, 52, 86, 152

Hybrid Rail systems primarily operate routes on the national system of railroads but do not operate with the characteristics of Commuter Rail. This service typically operates Light Rail-type vehicles as diesel multiple-unit trains (DMUs)., 27

Hybrid Vehicle, 194

Hybrid vehicles consume liquid fuel as their primary energy source and supplement the combustion engine with an electric motor charged by the motion of the vehicle., 194

I

Inactive Vehicles, 121, 182, 183, 199

Vehicles that are not readily available for revenue service. This includes vehicles that are in storage, retained for emergency contingency purposes, out of service for an extended period of time for major repairs, or are awaiting sale or disposal., 121

Incidental Service, 141

Incidental service includes 1. service interruptions, e.g., vehicle breakdown 2. when a replacement vehicle is not available and a taxicab or an agency van may be used for this incidental service, 3. Demand Response overflow service, when there are not enough vehicles to meet Demand Response requests and the agency may use taxis, 4. an accident on rail services when delayed rail passengers are transported to their destination using special buses, and 5. bridge service, which is when transportation is provided on a different mode to accommodate a rail capital project or emergency repair to rail guideway or track., 141

Inclined Plane (Vehicle Type or Mode), 39

Inclined Plane (Mode), 31, 173

A railway that operates on steep slopes and grades with vehicles powered by moving cables., 31

Inclined Plane (Vehicle), 27, 181, 187

A special type of passenger vehicle operating up and down slopes on rails via a cable mechanism., 27

Independent Auditor Statement, 10, 223, 224, 226, 227, 228, 229, 231, 235, A-243, A-245

A letter that an official representative from an independent public account or other independent entity (such as a State audit agency) signs. The independent auditor must confirm that the transit agency data conforms to NTD requirements. If an auditor finds an issue, the auditor must explain the discrepancy in the IAS. Auditors must identify the auditing firm name and location, and sign and date the IAS. There are two Independent Auditor Statements, Independent Auditor Statement for Financial Data and Independent Auditor Statement for Federal Funding Allocation Data., 10

Independent Auditor Statement for Federal Funding Allocation Data, 224, 228, 229, A-245

For this statement, an independent auditor must review all NTD data that FTA uses to apportion funds for §5307, §5337, §5339, and §5311 formula programs. FTA requires the IAS-FFA annually., 224

Independent Auditor Statement for Financial Data, 223, 226, 227, 228, A-243

For the IAS-FD, the auditor must review all financial forms to ensure that the transit agency's accounting system follows the USOA, the transit agency's accounting system follows accrual accounting or uses a directly translatable method, and all financial data are in accordance with NTD requirements. The auditor must state in the IAS-FD

if he or she finds that any data do not conform to NTD requirements and describe the discrepancies., 223

Information Systems, 85, 87, 88, A-246

Information systems include computers, monitors, printers, scanners, data storage devices, and associated software that support transit operations. Associated software may include general office, accounting, scheduling, planning, vehicle maintenance, nonvehicle maintenance, and customer service programs., 85

J

Joint Expenses or Shared Costs, 61, 62, 63

Costs that are commonly or jointly used to provide two or more modes of transit service., 62

L

Labor, 56, 93, 94, 107, 137, 138, 202, 205, 206

Labor (5010) expenses arise from the performance of work by employees. Labor expenses include pay and allowances that employees receive for work they perform., 56

Lane Miles, 170, 171

The length of a roadway (in miles) multiplied by the number of traffic lanes. The following exhibit gives examples for calculating lane miles for non-rail ROWs., 170

Lapped Turnout, 174, 176

A special type of turnout in which the switch rails for a second turnout will be placed between the switch and the frog of the initial turnout. Lapped turnouts are used to achieve a more compact track layout in constrained locations, typically in a configuration that allows rail traffic to veer right or left in addition to proceeding straight ahead., 174

Layover/Recovery Time, 113

Usually agencies schedule layover/recovery time at the end of each trip. Layover time typically ranges from 10 to 20 percent of the running time. Transit agencies use this time to provide the operator a break or to give the operator an opportunity to get service back on schedule if it was running late., 113

Leased or Borrowed from Related Parties by a Private Entity, 185, B-247

Leased or borrowed from related parties usually involves two government entities. Sometimes another public agency, (e.g., a State) owns the vehicles and either leases them or provides them

at no cost to the transit agency (e.g., local grantee)., 185

Leased or Borrowed from Related Parties by a Public Entity, B-247

Leased or borrowed from related parties usually involves two government entities. Sometimes, another public agency (e.g., a State) owns the vehicles and either leases them or provides them at no cost to the transit agency (e.g., local grantee)., B-247

Level of Service, 8, 44, 45, 218, 234, 238

A measure of how traffic moves on the roadway and is expressed in terms of traffic conditions. Agencies must report the peak period LOS for the lanes next to the CB, MB, or RB segments or in the travel corridor, traveling in the same direction or directions as the segment. Specifically, the agency must report the peak period LOS for priority lanes on a multilane highway, exclusive lanes parallel to a multilane highway but physically separated from the general traffic lanes, or corridors served by a stand-alone high occupancy- roadway not open to general traffic., 8

Light Rail, 27, 31, 39, 52, 62, 83, 86, 152, 153, 165, 175, 180, 209, B-248

An electric railway that operates in mixed traffic or intersects with roadways at grade crossings. The service is characterized by short trains of one to four passenger cars that travel relatively short distances between stops within a city and the immediate suburbs, low or high platform loading, and vehicle power drawn from an overhead electric line via a trolley or a pantograph., 27

Light Rail Vehicle, 180, 187

A rail car with motive capability, usually driven by electric power taken from overhead lines, configured for passenger traffic, and operated on exclusive ROW, but sometimes on mixed traffic streets., 180

Local Government Funds, 74

State government funds and local government funds pay a portion of the costs to provide transit service. This includes operating assistance, such as general operating assistance to support service for all classes of passengers, fare assistance, reimbursements of payments for taxes, interest, snow removal, maintenance, security costs, special demonstration project assistance, and capital assistance., 74

M

Maintenance Buildings, 85, 86, 87, 89, 92

Maintenance buildings include garages, shops, operations centers, and equipment that enhance maintenance, such as diagnostic equipment., 85

Maintenance Facility (Service and Inspection), 160

Where mechanics, machinists, and other maintenance personnel perform preventive maintenance, daily service and inspection, and/or corrective maintenance activities on revenue vehicles to keep them in-service. Facilities generally contain maintenance bays, built-in or portable lifts and/or inspection pits, fuel pump islands, fuel storage tanks, bus wash systems, and brake testing lanes., 160

Major Mechanical System Failure, 207, 208, 209

Failures of some mechanical element of the revenue vehicle not caused by a collision, natural disaster, or vandalism and a vehicle from completing or starting a scheduled revenue trip because actual movement is limited or because of safety concerns. Examples of major bus failures include breakdowns of brakes, doors, engine cooling systems, steering, axles, and suspension., 207

MAP-21/FAST Act Bus & Bus Facilities Formula (§5339), 79

Section 5339 is a formula program that finances capital projects to replace, rehabilitate, and purchase buses and related equipment, and to construct bus-related facilities., 79

MAP-21/FAST Act State of Good Repair (§5337), 9, 79

A formula program that replaced the Fixed Guideway Modernization program. This grant provides capital assistance to maintain fixed guideway and high intensity bus systems in a state of good repair., 9

Materials and Supplies (504), 95

Expenses a transit agency incurs for tangible items intended for immediate use. Materials and Supplies include Fuel and Lubricants (5031) and Tires and Tubes (5032), (please note that this includes tires and tubes that are purchased or leased), and Other Materials and Supplies (5039)., 95

Miles of Track, 170, 171, 177

The length of track to the nearest tenth of a mile for each segment. Agencies must measure miles of track without regard to traffic flow. Agencies must count all track, including yard track and sidings., 170

Miles of Track - At Grade - Mixed and Cross Traffic, 170

An intersection of a roadway and a rail right-of-way that cross each other at the same level (at grade)., 170

Minivan, 180, 181, 187, 189, 198, B-248

A light duty vehicle having a typical seating capacity of up to seven passengers, plus a driver. A minivan is smaller, lower and more streamlined than a full-sized van, but it is typically taller and has a higher floor than a passenger car. Minivans normally cannot accommodate standing passengers., 180

Miscellaneous Expenses, 93, 101

Expenses the USOA does not classify in other expense object classes. Miscellaneous expenses include dues and subscriptions, travel and meeting expenses, bridge, tunnel, and highway tolls, entertainment expenses, charitable donations, fines and penalties, and bad debt expense., 93

Mode/TOS, 25, 26, 57

FTA requires agencies to report most data by mode and type of service. Transit agencies must begin reporting modal information as soon as they have a commitment to build the mode (e.g., commitment date). A variety of transit modes are operated in the United States., 26

Model, 64, 131, 146, 179, 184, 188, 189, 190, 191, 196, 199, C-254

Transit agencies must report the model name for a vehicle as the model that the vehicle manufacturer provides. The VIN is not the model., 189

Monorail/Automated Guideway, 5, 27, 32, 39, 86, 152, 180, 187

An electrically powered mode that operates in an exclusive guideway. The service is characterized by either Monorail systems with automated or human-operated vehicles straddling a single guideway or by people mover systems with automated operation over relatively short distances., 5

Multimodal Passenger Facilities, 158

A station is defined as multimodal if it serves more than one public transit mode operated by the reporting agency or another public transit agency, OR if it serves both a public transit and private mode., 158

Multimodal Stations, 158

A station is defined as multimodal if it serves more than one public transit mode operated by the reporting agency or another public transit agency, or if it serves both a public transit and private mode., 158

N

Narrative Report, 151, 177

Beginning in Report Year 2019, agencies are required to upload a narrative report to the NTD that outlines performance targets and their progress towards their TAM Performance Measure Targets. This narrative may include any changes in transit system conditions that may affect progress towards targets., 151

National Transit Database, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 30, 33, 34, 36, 37, 40, 42, 46, 47, 48, 49, 51, 52, 56, 59, 60, 61, 68, 72, 73, 74, 76, 78, 82, 85, 89, 90, 93, 96, 97, 99, 101, 102, 115, 116, 126, 127, 129, 130, 132, 133, 136, 141, 144, 146, 151, 176, 177, 182, 184, 185, 186, 189, 193, 194, 195, 197, 198, 204, 206, 207, 208, 211, 212, 215, 217, 218, 219, 221, 222, 223, 224, 225, 226, 227, 228, 229, 230, 231, 232, 234, 235, 236, 238, 239, 240, 241, A-243, A-245, A-246, C-254, D-256, E-259, E-260, E-262

In 1974, Congress established the NTD program to collect financial, operating, and asset information on transit agencies. Congress based the NTD program on the FARE, a project initiated by the transit industry and funded by the UMTA., 2

Non-Dedicated Vehicles, 36

A pool of agency-owned vehicles that are not specific (or assigned) to transit., 36

Non-Fixed Guideway, 169, 218

A normal street or road where transit vehicles operate. Public transportation shares these roadways with personal cars and trucks. Mixed-traffic ROW is the most common ROW public transportation uses., 169

Non-public Transportation Revenues, 68

Agencies may provide transit services that are not public transportation (4130). Typically, these services are infrequent and may include school bus service, charter service, freight service, and sight-seeing service., 68

Non-UZA, 52, 235

A non-urbanized area is defined as a rural area or non-UZA., 52

NTD Identification Number, 25, 26, 50

FTA assigns each reporter a unique five-digit NTD Identification Number, which is to be used in all NTD reports and correspondence. The first digit of the NTD ID corresponds to the FTA Region where the reporter is located (e.g., 9##### indicates Region IX)., 25

Number of Active Vehicles in Fleet, 183

The number of active vehicles in the fleet at year end., 183

Number of Crossings, 170

The number of locations at which other traffic may cross the ROW. Grade crossings are any place where people or vehicles are intended to cross the tracks. This includes roads, bicycle crossings, and pedestrian crossings. For street-running track, count each cross street or crosswalk as a grade crossing. For multiple crossings on one contiguous paved section of road, report one crossing., 170

O

Object Class, 58, 61, 81, 90, 93, 94, 95, 96, 101, 102, 103, 107, 108, 109, 110, 202, 203

Functions are the activities a transit agency performs, and object classes are expense categories., 110

Operating Expenses, 53, 56, 57, 58, 59, 61, 69, 82, 87, 89, 90, 97, 98, 99, 101, 102, 212, 230, 235, A-244, E-260

The expenses associated with the operation of the transit agency and classified by function or activity, and the goods and services purchased. The basic functions and object classes are defined in Section 5.2 and 6.2 of the USOA. These are consumable items with a useful life of less than one year and an acquisition cost less than the lesser of the capitalization level established by the government unit for financial statement purposes, or \$5,000., 53

Operating Labor, 206

The personnel necessary to carry out the day-to-day requirements for providing transit service. Transit agencies report operating labor in four functions — vehicle operations, vehicle maintenance, facility maintenance, and general administration., 206

Operators, 20, 21, 62, 70, 88, 93, 94, 115, 120, 178, 192, 195, 202, 218, 222

Operators are employees whose primary responsibility is the operation of revenue vehicles. This includes drivers, conductors, and ferry boat crews., 20

Organization-Paid Fares, 66, 67

Organization-paid fares are paid by an organization rather than by the passenger. Organization-paid fares also include funds for rides given along special routes for which a beneficiary of the service may guarantee funds. Organization-paid fares may result from agreements between the reporter and an agency or organization that pays a set amount in return for unlimited and/or reduced fare transit service for the persons covered by the agreement. Examples of

organization-paid fares are discussed in the USOA., 66

Other Agency Revenues, 69, 70, 82, 106

Other Agency Revenues (4150) include investment earnings, interest income, revenues earned from sales of maintenance services on property not owned or used by the transit agency, rentals of revenue vehicles to other operators, rentals of transit agency buildings, property and real estate to other organizations, parking fees generated from parking lots not normally used as park-and-ride locations, donations, student fees (when the agency is a university), grants from private foundations, development fees, rental car fees, sale of surplus electricity, sale of fuel, sale of assets in excess of the asset's book value, and sale of carbon credits., 69

Other Costs Incurred by the Buyer, 53, 56

The buyer also incurs costs that vary depending on the terms of the contract. All contracts require some oversight by the buyer to ensure that the terms of the contract are being met and to support payments to the seller. Examples of these costs incurred by the buyer include labor and office space costs for employees providing contractual oversight. See USOA 6.5, Other Costs Incurred by the Buyer, for additional information., 53

Other Dedicated Funds, 72, 73

These are revenues dedicated to transit other than taxes or tolls (4290). These are often fees imposed on the public by the transit agency. Examples include vehicle licensing and registration fees, driver's license fees, communications access fees and surcharges, and lottery and casino proceeds., 72

Other Mechanical System Failures, 208

These are failures of some other mechanical element of the revenue vehicle not caused by a collision, natural disaster, or vandalism, but, because of local agency policy, prevents the revenue vehicle from completing a scheduled revenue trip or from starting the next scheduled revenue trip even though the vehicle is physically able to continue in revenue service. Common examples include breakdowns of fareboxes, wheelchair lifts, and HVAC systems., 208

Other Reconciling Items, 102, 103

These are expenses incurred by the buyer. Agencies must report costs that are classified as Reconciling Items (e.g., leasing costs or interest costs) in this category. Typically, these costs reflect leasing or depreciation expenses for the

buyer's capital. The costs also may include interest expenses., 102

Overhaul, 87, 161, 189

Mid-Life Vehicle Overhaul is the systematic replacement or upgrade of vehicle systems with a useful life less than the useful life of the entire vehicle in a programmed manner. Overhaul is performed as a planned or concentrated preventive maintenance activity and is intended to enable the vehicle to perform to the end of the original useful life., 87

Over-the-Road Bus, 180, 187, B-248

A bus characterized by an elevated passenger deck located over a baggage compartment., 180

Owned Outright by a Private Entity, 185, B-247

Indicates that a private entity owns the vehicles. Owned outright also includes safe harbor leasing agreements where only the tax title is sold., 185

Owned Outright by a Public Agency, 184, B-247

Indicates that a public agency owns the vehicles. Owned outright also includes safe harbor leasing agreements where only the tax title is sold., 184

P

Park-and-Ride Parking Revenue, 69

This is the revenue from parking fees paid by passengers who drive to park-and-ride facilities to use transit service., 69

Part-Time Employees, 202

Part-time employees work less than the minimum number of hours required for full-time employees and usually do not receive benefits., 202

Passenger and Parking Facility Types, 163

Parking facilities include park and ride lots as well as parking garages. Note that passenger and parking facilities are often collectively referenced as passenger facilities., 163

Passenger Car Hours, 116

The hours that passenger cars travel while in revenue service and while deadheading. Actual passenger car hours include the miles during layover and recovery time but exclude the hours and miles from charter services, operator training, fueling, and vehicle maintenance testing., 116

Passenger Car Miles, 114

The miles that passenger cars are scheduled to or actually travel while in revenue service (actual passenger car revenue miles XE "Passenger Car Revenue Miles") plus deadhead miles., 114

Passenger Car Revenue Hours, 114

The hours that passenger cars are scheduled to or actually travel while in revenue service. Passenger

car revenue hours include layover and recovery time but exclude deadhead, operator training, charter services, and vehicle maintenance tests., 114

Passenger Car Revenue Miles, 114, 123, 217

The miles that passenger cars are scheduled to or actually travel while in revenue service. Passenger car revenue miles exclude deadhead, operator training, vehicle maintenance tests, 217

Passenger Fares, 57, 66, 67, 68, E-260

Passenger fares include revenues earned from carrying passengers. This applies equally to DO and PT services. Generally, fares are the amounts paid by the rider to use transit services and include the base fare, zone premiums, express service premiums, extra cost transfers, and quantity purchase discounts applicable to the passenger's ride., 57

Passenger Miles Traveled, 8, 9, 17, 69, 129, 130, 131, 132, 133, 134, 135, 136, 137, 212, 216, 217, 218, 223, 224, 225, 226, 227, 230, 232, 233, 234, 235, A-246, C-255

PMT is the sum of the distances each passenger traveled during the year., 17

Pass-Through Funds, 74

Funds that a transit agency (often known as a designated recipient) receives from a government entity (e.g., FTA) and gives to another transit agency. These funds are not used to fund the designated recipient's transit service. These funds are used to fund the services provided by the agency ultimately receiving the funds., 74

Personal Vehicles in Service, 127

Personal vehicles in service—the number of personal vehicles routinely used by the agency. Personal Vehicles used for service are not included in any asset forms., 127

Predominant Use Rule, 88

Some capital projects apply to more than one mode or type of service or project category. Transit agencies must report a capital project based on the predominant use. Agencies determine predominant use for mode and type of service by identifying the primary reason why the project was constructed or acquired and using a reasonable measure to determine the predominant use., 88

Private Rail Transit, 158

A passenger facility building that is shared between a transit mode and intercity passenger rail service (typically Amtrak). Shared space may include platforms, passenger waiting areas and ticket vending locations., 158

Private Water Transit, 158

A passenger facility building that is shared between a transit mode and a private ferry service. Shared space may include passenger waiting and ticket vending areas., 158

Public Transportation, 3, 4, 5, 7, 8, 9, 10, 18, 20, 23, 24, 28, 33, 35, 37, 38, 39, 50, 68, 70, 80, 103, 113, 126, 127, 128, 142, 146, 156, 157, 158, 169, 176, 178, 217, 235, E-259

Also referred to as transit or mass transportation. Public transportation is defined by law at 49 U.S.C. §5302(14) and means regular, continuing shared-ride surface transportation services that are open to the general public or open to a segment of the general public defined by age, disability, or low income and does not include intercity passenger rail transportation provided by the entity described in chapter 2431 (or a successor to such entity). It also does not include intercity bus service, charter bus service, school bus service, sightseeing service, courtesy shuttle service for patrons of one or more specific establishments, or intra-terminal or intra-facility shuttle services., 38

Público, 27, 32, 139

Públicos are comprised of passenger vans or small buses operating with fixed routes but no fixed schedules in Puerto Rico. Públicos are a privately owned and operated public transit service., 27

Purchased Transportation, 7, 17, 18, 33, 34, 35, 36, 53, 54, 55, 57, 63, 64, 66, 70, 82, 89, 90, 93, 96, 97, 99, 101, 128, 130, 134, 135, 152, 153, 155, 156, 184, 205, 206, 225, 230, 231, 235, 239, 240, A-246, E-259, E-260

A purchased transportation service that is provided to a public transit agency or governmental unit by a public or private transportation provider and does not meet the definitions of either Purchased Transportation – Taxi (TX) or Purchased Transportation – Transportation Network Company (TN). Transit agencies report service as PT when they do not directly operate the service. In these cases, the contractor operates the transit vehicles and provides the transit service., 7

Purchased Transportation Fare Revenues, 54, 55, 230, 235

For each contractual relationship, report the total fare revenues associated with the contract being reported. If the service provider retains all fare revenues as part of the contractual payment, report Fares Retained by Seller. If the seller delivers all fare revenues to the buyer, report Fares Retained by Buyer. If the seller retains some fares and the buyer retains the rest, report Fares Retained by Buyer, and report Direct Payment as

the sum of the actual payment to the seller, and the fares retained by the seller., 54

R

Rail Crossing, 174, 176

Track crossings permit two tracks to cross each other. Track crossings are commonly called either *crossing diamonds* or simply *diamonds* due to shape. The intersecting angle between the two tracks can be 90 degrees or less, but rigid crossings under approximately 10 degrees are rare. If a track crosses two parallel tracks, the agency should report two crossings. If there are two pairs of tracks that cross each other, the agency should report four crossings., 174

Rebuild, 83, 87, 188, 189

Life-Extending Rebuild is a capital activity associated with rolling stock that occurs at or near the end of a unit of rolling stock's useful life. This results in an extended useful life for the unit consistent with the extent of the rebuild., 83

Revenue Collection Facility, 162

Facility where revenue collection personnel process electronic and/or cash fare payments. May include revenue counting equipment such as bill counters, coin scanners, and coin sorters. May also include or store the following revenue collection and monitoring equipment, 162

Revenue Service, 17, 36, 37, 38, 39, 40, 113, 114, 115, 116, 119, 121, 122, 126, 138, 139, 148, 149, 150, 154, 156, 160, 161, 163, 167, 174, 178, 182, 198, 202, 207, 208, 209, 210, 218, 225, 230, 232, 234, 238, 239, 240

A transit vehicle is in revenue service when it is providing public transportation and is available to carry passengers. Non-public transportation activities, such as exclusive school bus service and charter service are not considered revenue service. Revenue service includes both fare and fare-free services., 39

Revenue Time, 114

For DR 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 or have interruptions in service such as lunch breaks or vehicle fueling and servicing., 114

Running Time, 113

The time it takes a transit vehicle to travel from the beginning to the end of a transit route. A transit agency's passenger timetable typically shows the running times for trips it operates., 113

S

Safe Operation, 40, 45, 46, 169, 234, 238

Safe operation requirements ensure safe travel and apply to high-speed, priority lanes (e.g., on freeways, expressways, and high-speed facilities) that bus modes (CB, MB, and RB) use. Safe operations require some indication of separation for safe access between free-flowing HOV lanes and congested, unrestricted lanes., 40

Scheduled Service, 113, 115, 116, 120, 121, 123, 124

Scheduled service is the total service to be provided for picking up, transporting, and discharging passengers. Full Reporters provide these data using internal transit agency planning documents (e.g., run paddles and public timetables). Scheduled service does not consider service interruptions or special additional services., 113

Scheduled Vehicle Revenue Miles, 123

The vehicle revenue miles computed from the scheduled service. It includes only the scheduled vehicle revenue miles from the whole trip. Scheduled VRM does not include deadhead; operator training; maintenance testing; school bus and charter services; service interruptions, 123

School Bus Service, 5, 70, 103, 113, 126, E-259

School bus service is not open to the public. Instead, the service serves students exclusively., 5

School Tripper, 126

School bus service does not include additional trips, called school trippers, that a transit agency may operate on an existing route to meet the daily or seasonal demands of traveling students., 126

Seating Capacity, 33, 179, 180, 181, 184, E-262

This is the actual number of seats onboard the vehicle and does not include the driver's seat except for VP where the driver is typically a passenger. Manufacturers generally cite this information in the specification of the vehicle., 184

Seller, 15, 34, 35, 36, 51, 53, 54, 55, 56, 66, 89, 101, 134, 232, 240

A seller (provider) provides transit service on behalf of the agency and may be a public or private entity., 15

Service Area, 23, 48, 51, 52, 213, 242, E-262

Service area is a measure of transit service in terms of population served and area coverage (square miles) Bus mode service area is defined as three-fourths of a mile on each side of a fixed route. Transit agencies report the entire area that the mode serves., 23

Service Consumed, 112, 127, 129, 142, 225, 227

The amount of service actually used by passengers and which is measured by unlinked passenger trips and passenger miles traveled., 112

Service Supplied, 112, 113, 142

The amount of service scheduled or actually operated. Service supplied is measured in vehicles, miles and/or hours that were operated., 112

Service Vehicles, 85, 87, 91, 146, 147, 148, 149, 168, 178, 197, 198, 199

Service vehicles must be self-propelled and either road-worthy or major pieces of construction equipment to be reportable to the NTD. Service vehicles include supervisor vans, tow trucks, mobile repair trucks, transit police cars, and staff cars. Service vehicles must be self-propelled and either road-worthy or major pieces of construction equipment to be reportable to the NTD., 85

Services, 2, 5, 6, 7, 23, 24, 30, 33, 34, 35, 36, 37, 52, 55, 63, 66, 67, 68, 69, 70, 74, 77, 78, 80, 81, 83, 84, 86, 89, 92, 93, 94, 95, 96, 102, 103, 105, 108, 113, 114, 115, 116, 117, 118, 119, 123, 124, 125, 126, 128, 130, 134, 138, 140, 141, 142, 152, 153, 154, 156, 159, 162, 163, 184, 202, 203, 205, 207, 235, 237, 239, B-251, D-257, E-259, E-260

Services (5020) are the expenses for labor and other work that outside organizations provide. Usually, services from an outside organization are a substitute for in-house employee labor. The Services object class includes management services, professional services, advertising services, and temporary labor services of personnel who are not employees of a transit agency, the governmental body, or the multifunctional organization., 2

Sightseeing Service, 5, 6, 70, 103, E-259

A sightseeing service that an agency provides primarily for the enjoyment of sights and sounds during the ride or for enjoyment of the ride itself and that may include narration and round trips without disembarking the vehicle., 5

Single Crossover, 174, 175

A single crossover consists of two turnouts positioned in two tracks that allow the vehicle to go from one track to the other. The two tracks are usually, but not always, parallel, and the turnouts are usually identical., 174

Single Turnout, 174, 176

An assembly of track components that collectively permit two tracks to merge with each other. The primary components of a turnout are the frog and the switch., 174

Slip Switch, 174, 176

A slip switch superimposes two switches and curved closure rails on top of an elongated track crossing. A slip switch may be installed to switch a train from one track to another at a flat angle crossing when space constraints make it impossible to provide separate turnouts outside of the limits of the diamond. Both single and double slip switches are used in most transit operations. Agencies should not report switches if they are included as part of a single turnout or lapped turnout. Agencies should count each slip switch once, regardless of whether it is a single or a double slip switch., 176

Special Item, 71, 75, 102

Special items are events or transactions that are either unusual in nature or infrequent, but not both., 71

Sponsored Service, 33, 128

Sponsored service is paid in whole or in part by a third party who, in many cases, handles trip arrangements. Common sponsored services include Medicaid, Meals-On-Wheels, Head Start, The Arc of the United States, shelter workshops, and independent living centers., 128

Sports Utility Vehicle, 181, 187, B-248

A high-performance four-wheel drive car built on a truck chassis. It is a passenger vehicle, which combines the towing capacity of a pickup truck with the passenger-carrying space of a minivan or station wagon. Most SUVs are designed with a roughly square cross-section, an engine compartment, a combined passenger and cargo compartment, and no dedicated trunk. Most mid-size and full-size SUVs have three rows of seats with a cargo area directly behind the last row of seats. Compact SUVs and mini SUVs may have five or fewer seats., 181

Standing Capacity, 188, 190

The maximum number of people that a transit agency allows (by policy) to stand on the vehicle at one time., 188

State Government Funds, 74

State government funds and local government funds pay a portion of the costs to provide transit service, including Operating assistance. This includes general operating assistance to support service for all classes of passengers, fare assistance, reimbursements of payments for taxes, interest, snow removal, maintenance and security costs, special demonstration project assistance, and Capital assistance. State sources may provide funding from general revenues of the State

government, State transportation fund, and extraordinary and special items., 74

Streetcar Rail, 27, 32, 52, 86, 152, 165, 187

Streetcar Rail systems predominantly operate routes on streets in mixed traffic. This service typically operates with one- or two-car trains powered by overhead catenaries and has frequent stops., 27

System, 4, 5, 11, 14, 15, 16, 18, 23, 26, 27, 28, 29, 31, 35, 37, 38, 47, 51, 59, 61, 62, 67, 88, 102, 128, 131, 132, 151, 161, 173, 177, 181, 192, 193, 201, 207, 208, 209, 218, 222, 223, 224, 228, 229, 230, 231, 232, 236, 238, A-243, A-245, A-246, C-254

A system is a group of devices or objects that form a network for distributing something or serving a common purpose (e.g., telephone, data processing systems)., 26

T

Taxes, 49, 64, 66, 72, 73, 74, 75, 93, 94, 96, 104, 105, 106, 108, 109, 110, 196, 197

Taxes (5060) are the charges and assessments levied against a transit agency by Federal, State, and local governments. Transit agencies must report any applicable income taxes, property taxes, fuel and lubricant taxes, electric propulsion power taxes, or vehicle licensing and registration fees., 49

Taxi, 27, 34, 35, 38, 39, 66, 70, 96, 97, 115, 123, 135, 139, 152, 184, 193, 207, 231

A special type of service operated through taxicab providers with a system in place to facilitate ride sharing. TX services do not use dedicated vehicles. Voucher Programs are not considered public transportation., 27

Time Service Begins, 138, 139

The time when the first revenue service vehicle leaves the garage or point of dispatch., 138

Time Service Ends, 139

The time when the last revenue service vehicle returns to the garage or point of dispatch., 139

Total Actual Train Hours, 116

Train Hours for the reported time., 116

Total Miles on Active Vehicles during the Period, 188, 190

The total miles accumulated during the period on all active vehicles, based on the end of period inventory., 188

Total Vehicles, 150, 182, 183, 192, 198, 199

Total vehicles include both active and inactive vehicles held at the end of the fiscal year. Agencies report vehicles they sell or dispose of

during their fiscal year and should indicate they have retired these vehicles. Transit agencies add vehicles to the inventory of Total Vehicles the first year they are used in transit service., 199

Track Crossing, 175, 176

See Rail Crossing., 175

Train Hours, 116

The hours and miles that trains travel while in revenue service plus deadhead hours. Actual train hours and miles include hours from layover and recovery time but exclude hours and miles from charter services, operator training, and vehicle maintenance testing., 116

Train Miles, 116

The hours and miles that trains travel while in revenue service plus deadhead hours. Actual train hours and miles include hours from layover and recovery time but exclude hours and miles from charter services, operator training, and vehicle maintenance testing., 116

Transportation Network Company, 34, 35, 36, 66, 70, 96, 97, 115, 123, 135, 139, 152, 184, 193, 207, 231, E-259

A special type of service provided by a transportation network company on behalf of a public transportation agency using nondedicated vehicles. The service is dispatched by the transportation network company using a mobile application., 36

Trolleybus, 27, 32, 39, 40, 47, 86, 139, 152, 165, 169, 181, 187, 217, 234, 238, B-248

A fixed-route service that uses manually steered, rubber-tired passenger vehicles powered by electric current from overhead wires using trolley poles. Rubber-tired replica trolleys or historic trolleys powered by an onboard motor are not included in this mode., 27

True Lease by a Private Entity, 185, B-247

Under a true lease the public agency or private entity does not own the vehicle. Typically, at the end of the lease, the entity leasing the vehicle returns it to the leasing company. When the public agency or private entity returns the leased vehicle, it often enters into a new lease agreement, usually for a new vehicle., 185

True Lease by a Public Agency, 185, B-247

Under a true lease the public agency or private entity does not own the vehicle. Typically, at the end of the lease, the entity leasing the vehicle returns it to the leasing company. When the public agency or private entity returns the leased vehicle, it often enters into a new lease agreement, usually for a new vehicle., 185

Type of Renewal, 189

The year in which work is performed to extend the useful life of a vehicle (Life-Extending Rebuild) or ensure the useful life is reached (Mid-Life Vehicle Overhaul)., 189

Type of Service, 26, 34, 35, 39, 40, 42, 56, 57, 61, 62, 63, 69, 88, 89, 92, 130, 132, 134, 135, 136, 141, 153, 155, 177, 178, 205, 206, 212, 223, 224, 225, 230, 231, 239, 240, A-246, C-254

Agencies report two types of service to NTD — DO and PT., 26

Type of Service Directly Operated, 34, 66, 134, 135, 140, 152, 153, 155, 156, 205, 206, 231, 239, A-246

Transit agencies report service as directly operated if they use their own employees to operate the transit vehicles. Agencies that directly operate service typically employ drivers, schedulers, dispatchers, and street supervisors., 34

Typical Day, 123, 124

A typical day is a day when a transit agency operates its normal, regular schedule, does not provide extra service to meet demands for special events such as conventions, parades, or public celebrations, and does not operate significantly reduced service because of unusually bad weather (e.g., snow storms, hurricanes, tornadoes, earthquakes) or major public disruptions (e.g., terrorism)., 123

U

Unlinked Passenger Trips, 17, 21, 63, 69, 127, 128, 129, 130, 131, 132, 133, 134, 135, 136, 137, 142, 212, 225, 230, C-254, C-255, E-260

The number of passengers who board public transportation vehicles. Passengers are counted each time they board vehicles no matter how many vehicles they use to travel from their origin to their destination., 17

Urbanized Area, 3, 8, 9, 10, 22, 25, 29, 33, 39, 40, 42, 51, 52, 76, 77, 79, 130, 134, 135, 136, 186, 188, 213, 214, 215, 216, 217, 218, 219, 220, 223, 224, 226, 229, 232, 235, 238, 242

The U.S. Census Bureau defines UZAs based on incorporated places (e.g., cities, towns, villages) and their adjacent areas. The U.S. Census Bureau considers a densely populated area of 50,000 people or more to be an urbanized area. In addition, at least 35,000 people must be permanent residents who do not live on a military installation. UZAs do not conform to congressional districts, city or county lines, or any other political boundaries., 8

Useful Life, 24, 25, 59, 83, 84, 121, 146, 147, 149, 161, 167, 189

The expected lifetime of property, or the acceptable period of use in service. Useful life of revenue rolling stock begins on the date the vehicle is placed in revenue service and continues until it is removed from service., 24

Useful Life Benchmark, 146, 147, 149, 150, 179, 186, 187, 188, 198, 199

The expected lifecycle of a capital asset for a particular transit agency's operating environment, or the acceptable period of use in that environment., 146

Utilities, 62, 93, 95

Utilities (5040) covers payments made to utility companies for the purchase of energy or services, such as electricity, water and sewer, natural gas and other fuels for heating, internet service, telephone, and garbage collection., 62

V

Van, 32, 33, 54, 55, 141, 180, 181, 188, 195, 209, B-248, D-257

An enclosed vehicle having a typical seating capacity of 8 to 18 passengers and a driver. A van is typically taller and with a higher floor than a passenger car, such as a hatchback or station wagon. Vans normally cannot accommodate standing passengers., 33

Vanpool, 27, 33, 52, 53, 54, 55, 67, 68, 95, 115, 121, 123, 127, 129, 184, 185, 195, 196, 234, D-256, D-257, D-258

Vanpool operates as a ride sharing arrangement, providing transportation to a pre-arranged group of individuals. To be considered public transportation, Vanpool programs must use vehicles with a minimum seating capacity of seven people, including the driver, use vehicles for which 80 percent of the yearly mileage come from commuting, be open to the public (any vans that are restricted by rule to particular employers are not public transportation), be actively engaged in advertising the Vanpool service to the public and in matching interested members of the public to vans with available seats, and be publicly sponsored. A publicly sponsored service is directly operated by a public entity., 55

Vehicle Blow-Down Facility, 161

Stand-alone building or structure containing equipment for cleaning underfloor equipment of rail rolling stock., 161

Vehicle Fueling Facility, 161

Stand-alone building or structure containing vehicle fuel dispensing equipment., 161

Vehicle Maintenance, 53, 62, 87, 88, 91, 97, 98, 99, 100, 101, 116, 162, 205

The Vehicle Maintenance function includes wages, salaries, and expenses incurred during all activities related to keeping revenue vehicles and service vehicles operational and in good repair, including administrative and clerical support. Subfunctions under vehicle maintenance include servicing and fueling vehicles, inspection, maintenance, repair of vehicles, and administration of vehicle maintenance, 53

Vehicle Operations, 6, 91, 92, 95, 97, 98, 99, 100, 101, 203, 205

The Vehicle Operations function includes wages, salaries, and expenses related to all activities associated with dispatching and running vehicles to carry passengers, including management and administrative and clerical support. Sub-functions under Vehicle Operations include revenue vehicle operation, scheduling, dispatching and supervising, ticketing and fare collection, security, and transportation administration., 6

Vehicle Revenue Hours, 9, 113, 114, 115, 117, 118, 119, 212, 217, 230, E-260

The hours that vehicles are scheduled to or actually travel while in revenue service. Vehicle revenue hours include layover/recovery time. Vehicle revenue hours exclude deadhead, operator training, vehicle maintenance testing, and school bus and charter services., 9

Vehicle Revenue Miles, 9, 10, 21, 37, 43, 113, 114, 115, 117, 118, 119, 123, 125, 212, 217, 218, 219, 220, 230, 233, 234, 235, A-245, A-246, E-260

The miles that vehicles are scheduled to or actually travel while in revenue service. Vehicle revenue miles include layover/recovery time and exclude deadhead, operator training, vehicle maintenance testing, and school bus and charter services., 9

Vehicle Testing Facility, 162

Maintenance facility used for vehicle acceptance testing (after being received from manufacturer or overhauls or other maintenance activity)., 162

Vehicle Type, 131, 146, 147, 179, 182, 186, 187, 191, 198, 199, 208, B-248

The form of passenger conveyance used., 131

Vehicle Washing Facility, 161

Stand-alone building or structure containing vehicle washer equipment., 161

Vehicles Available for Annual Maximum Service, 120, 121, 122, 182, 183

The number of revenue vehicles a transit agency has available to meet its annual maximum service requirement. VAMS include spares (revenue vehicles used to accommodate routine maintenance and repair operations, and to replace vehicles in scheduled service that breakdown or are involved in accidents), and vehicles in or awaiting maintenance., 120

Vehicles Operated in Annual Maximum Service, 19, 53, 57, 121, 122, 130, 134, 135, 136, 143, 229, 232

The number of revenue vehicles an agency operates to meet the annual maximum service requirement. Agencies count their annual VOMS during the peak season of the year on the busiest day that they provide service. In most cases, this is the number of scheduled vehicles because most transit agencies have enough vehicles to operate the scheduled service. VOMS excludes atypical days or one-time special events for non-DR modes., 121

Vintage Trolley, 182, 188

Vintage Trolley/Streetcar, 182

A vintage or antique rail car originally manufactured before 1975, or a replica of this type of rail car built more recently. The vehicles are typically operated in mixed traffic ROW but may also operate on exclusive or controlled access ROW., 182

Voluntary NTD Reporter, 18, 24

Transit agencies, public or private, that are not obligated by Federal statute to report to the NTD., 24

W

Weekday AM Peak Period, 138, 139

The period of time when agencies provide additional services to handle higher passenger volume is referred to as a peak period. Peak period service begins when an agency increases the number of vehicles it operates and ends when the agency reduces the number of vehicles it operates to the midday level., 139

Weekday Midday Period, 138, 139

The period of time when agencies provide additional services to handle higher passenger volume is referred to as a peak period. Peak period service begins when an agency increases the number of vehicles it operates and ends when the agency reduces the number of vehicles it operates to the midday level., 139

Weekday Other Period, 138, 139

The period of time when agencies provide additional services to handle higher passenger volume is referred to as a peak period. Peak period service begins when an agency increases the number of vehicles it operates and ends when the agency reduces the number of vehicles it operates to the midday level., 139

Working Data, 14

Pre-submission (working data stage) validation — while reporting agencies enter data, the online reporting system executes an automated review of data prior to report submission., 14

Y

Year Manufactured, 179, 184, 198, 199

Transit agencies must report the year of manufacture for the vehicles. The year of manufacturer is the year that the vehicles were built, not the model year., 184

Year of Renewal, 189

The year a mid-life vehicle overhaul or life-extending rebuild is performed., 189

Programa para la Planificación de la Transportación en Áreas Metropolitanas y a nivel Estatal, incluyendo Áreas No-Metropolitanas - **Sección 5303 / 5304**

¿QUIÉNES SON ELEGIBLES?

La ACT es el receptor designado de los fondos de este programa. Los municipios, las autoridades estatales y la Organización Metropolitana de Planificación (MPO, por sus siglas en inglés) son sub-receptores elegibles.

FINANCIAMIENTO

La aportación federal es del 80% del costo total, el restante 20% debe ser provisto por el municipio o la agencia participante.



Fuente: Imagen <https://www.cnv.org/>

PROPÓSITO

El programa proporciona financiación para el desarrollo de planes a largo plazo para la planificación del transporte multimodal, de forma cooperativa, continua y comprensiva, tanto para las áreas metropolitanas como al resto de las áreas no-metropolitanas. Las actividades de planificación que reciben fondos de este programa tienen el objetivo de viabilizar la toma de decisiones y la programación sobre proyectos de transportación a tono con las necesidades y objetivos presentados en los planes de transportación a largo plazo preparados por la Autoridad de Carreteras y Transportación (ACT) y avalados por la Administración Federal del Transporte Colectivo (FTA, por sus siglas en inglés) y la Administración Federal de Carreteras (FHWA por sus siglas en inglés).

PROCEDIMIENTO PARA SOLICITAR

Las entidades elegibles que les interese recibir fondos para llevar a cabo actividades de planificación de la transportación tienen que completar un formulario de solicitud de propuesta. La fecha para solicitar y completar la solicitud es publicada anualmente en un aviso público, en los principales periódicos del país, y a través de comunicación escrita a los municipios y agencias. En caso de que un ciudadano en particular desee someter una petición, deberá hacerla a través de su Municipio o directamente a ACT. Una vez se reciban todas las peticiones, serán evaluadas según la prioridad, cumplimiento de los requisitos y disponibilidad de fondos. Se le solicitará una certificación en la cual indique que tiene los fondos para pagar el 20% del pareo local.

“Desarrollar un sistema de transporte multimodal conlleva un proceso de planificación amplio, completo, extenso y comprensivo.”

¿QUÉ ACTIVIDADES SON ELEGIBLES?

- 1 Plan, diseño o trabajo de ingeniería que promueva o mejoren los accesos y la movilidad **peatonal y ciclista** a las paradas y en los alrededores de las estaciones de transporte público.
- 2 Planes integrales y comprensivos que aborden la planificación del uso de suelo con la transportación.
- 3 Plan para el manejo de la congestión y análisis de conformidad de la calidad del aire.
- 4 Plan de evacuación y transportación de emergencia
- 5 Participación ciudadana en el proceso de planificación de la transportación pública.
- 6 Elaboración de planes de transportación a largo plazo.
- 7 Estudios para mejoras a la transportación o evaluación de proyectos de transportación existentes, incluye: estudios relacionados con la administración, operación, mantenimiento del sistema.
- 8 Plan, diseño o evaluación de un centro de transportación multimodal.
- 9 Estudios de ubicación de terminales de carros públicos.
- 10 Estudio de viabilidad (financiación) y de necesidades para establecer un sistema de transportación pública local y/o regional.

Otros asuntos importantes

Todo subreceptor (municipio o agencia) de fondos federales tendrá dos años, a partir de la fecha en que se firma el Acuerdo Interagencial para completar la actividad de planificación para la cual se le separó los fondos. Es responsable de cumplir con el proceso estatal y federal de solicitud de servicios (“Procurement Process”) y de adjudicación de contratos por servicios. Este contrato deberá incluir las debidas Cláusulas Federales. El municipio o agencia completará informes trimestrales que entregará a la Oficina de Coordinación Federal de ACT; y llenará anualmente, mientras tenga asignado fondos federales, el documento de Certificaciones y Garantías Federales (*Federal Certification and Assurances*).

¿QUÉ NUEVOS REQUISITOS TRAJO MAP-21?

En octubre de 2012 entró en vigor la nueva Ley Federal de Transportación llamada “Moving Ahead for Progress in the 21st Century” (MAP-21). Entre los cambios que trajo MAP-21 se encuentran: un aumento significativo de fondos en mejorar la condición de los sistemas de transportación colectiva existentes; mayor poder a FTA para fortalecer la seguridad de los sistemas de transportación colectiva; agilizar los procesos para el desarrollo de nuevos proyectos de transporte colectivos en carriles exclusivos; se consolidaron programas, entre otros cambios. Para más información visita <http://www.fta.dot.gov/map21/>



Fuente: <http://ccc-consult.objective.com>

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Federal Transit
Administration



AUTORIDAD DE CARRETERAS Y TRANSPORTACION

PROGRAMA POR FÓRMULA PARA LAS ÁREAS URBANIZADAS- SECCIÓN 5307

La Administración Federal de Transportación Colectiva (FTA, por sus siglas en inglés) autoriza fondos a las Áreas Urbanizadas mayores de 50,000 habitantes para proyectos de mejoras capitales y planificación relacionados a la transportación pública colectiva y “Job Access and Reverse Commute (JARC)”, incluyendo gastos de operación en circunstancias determinadas. El programa constituye una inversión básica en la mejora y revitalización de los sistemas de transportación colectiva en las áreas urbanizadas del País, que dependen del transporte público para mejorar la movilidad y reducir la congestión.



¿QUIÉNES SON ELEGIBLES?

Las entidades públicas en las áreas urbanizadas que tenga autoridad legal para recibir y administrar fondos Federales y los proveedores privados de servicios de transportación que reciban fondos Federales a través de cualquier agencia pública designada.

FINANCIAMIENTO

La aportación federal para los proyectos elegibles puede alcanzar hasta un 80% de su costo total y con una aportación local de un 20%. Los Municipios de las Áreas Urbanizadas Menores de 200,000 Habitantes (UZA, por sus siglas en inglés) pueden solicitar Asistencia Operacional, cuyo financiamiento federal es 50% y el pareo local es 50%.

ACTIVIDADES ELEGIBLES

Los fondos se pueden utilizar para el financiamiento de:

1. Construcción de las instalaciones de transportación pública (que incluye los estudios ambientales, adquisición de terreno y diseño).
2. Construcción de cobertizos y rótulos para paradas.
3. Gastos de mantenimiento preventivo.
4. Mejoras a las instalaciones de transportación pública.
5. Adquisición, reemplazo y/o rehabilitación de los vehículos de transportación pública, incluyendo los vehículos Paratránsito.
6. Instalaciones de mantenimiento.
7. Equipo de radio y/o comunicación.
8. Sistema de seguridad a las instalaciones de transportación pública.
9. Rampas para ascender sillas de ruedas a vehículos de transportación pública.
10. Compra de equipo de apoyo, por ejemplo, computadoras, “hardware”, “software”.



11. Servicios de transportación tipo machina “Shuttle”.
12. Servicios de transportación en horario nocturno y fines de semana.
13. Expansión ruta fija de transportación pública.
14. Servicio de transportación Llame y Viaje.
15. Aspectos relacionados al transporte en bicicleta.
16. Promoción de los servicios de transportación en itinerarios de trabajos no tradicionales, etc.

PROCEDIMIENTO PARA SOLICITAR

Anualmente se publica, en los principales periódicos del país, un aviso para el público en general sobre la disponibilidad de los fondos federales y la fecha límite para radicar solicitudes y la dirección en la cual deben dirigir las mismas.

Además, mediante comunicación escrita, se invita a los alcaldes y jefes de agencia a expresar sus necesidades de transportación pública. Las mismas se someten a la Autoridad de Carreteras y Transportación (ACT) en la Oficina de Coordinación Federal (OCF), a la siguiente dirección **PO Box 42007 San Juan, Puerto Rico 00940**.

En caso de que un ciudadano en particular desee someter una petición, deberá hacerla a través de un Municipio o ACT. Para más información sobre este y otros Programas visite el siguiente enlace: <https://act.dtop.pr.gov/coordinacion-federal/>

ASISTENCIA TÉCNICA

La OCF tiene el personal especializado y disponible para brindarle el asesoramiento técnico de necesitar completar los documentos y formularios para radicar su petición.

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PROGRAMA PARA MEJORAR LA MOVILIDAD DE LAS PERSONAS DE EDAD AVANZADA Y/O CON IMPEDIMENTO – SECCIÓN 5310

¿Quiénes son elegibles?

Las entidades privadas sin fines de lucro registradas en el Departamento de Estado de Puerto Rico. Además, las entidades públicas cuya función es coordinar u ofrecer servicios a las personas de edad avanzada y/o con impedimentos y las entidades públicas que certifiquen que en su área de servicio no está disponible una entidad de las antes mencionadas para ofrecer el servicio.

La Administración Federal de Transportación Colectiva (FTA, por sus siglas en inglés) provee fondos por fórmula para mejorar la movilidad de las personas de edad avanzada y/o con impedimento, con el propósito de atender las necesidades especiales de los ciudadanos que dependen del transporte más allá de los servicios tradicionales de la transportación pública, en la cual el transporte es insuficiente, inapropiado o no esté disponible. Además, el programa proporciona fondos a proyectos:

- 1 Que excedan los requisitos de la *Americans with Disabilities Act* (Ley ADA).
- 2 Que mejoren el acceso al servicio de ruta fija y reduzcan la dependencia del Sistema Complementario de Paratrásito.
- 3 Que sean alternativas a la transportación pública.

FINANCIAMIENTO

La aportación federal para los proyectos elegibles puede alcanzar hasta un 80% de su costo total y con una aportación local de un 20%.

ACTIVIDADES ELEGIBLES

El programa provee fondos para los siguientes servicios de transportación:

- Suscripción (servicios de Transportación con un propósito determinado).
- Llame y viaje “dial a ride”
- Ruta fija (servicios en un área limitada)
- Instalaciones de mantenimiento
- Equipo de radio y/o comunicación

FACILIDADES PARA PASAJEROS

- Compra e instalación de bancos, refugios y otras comodidades para pasajeros.



”.



FACILIDADES Y EQUIPOS DE APOYO

- Compra de equipo de apoyo, por ejemplo, computadoras, “hardware” y “software”.
- Sistema de transportación inteligente relacionado a tránsito (*Transit-related Intelligent Transportation Systems, ITS*)
- Sistema de envío
- Sistemas de cobro de tarifas (*Fare collection systems*)
- Promoción de los servicios de transportación en itinerarios de trabajo no-tradicionales

PROCEDIMIENTO PARA SOLICITAR

Anualmente se publica, en los principales periódicos del país, un aviso para el público en general sobre la disponibilidad de los fondos federales y la fecha límite para radicar solicitudes y la dirección en la cual deben dirigir las mismas.

Además, mediante comunicación escrita, se invita a los alcaldes y jefes de agencia a expresar sus necesidades de transportación pública. Las mismas se someten a la Autoridad de Carreteras y Transportación (ACT) en la Oficina de Coordinación Federal (OCF), a la siguiente dirección **PO Box 42007 San Juan, Puerto Rico 00940**.

En caso de que un ciudadano en particular desee someter una petición, deberá hacerla a través de un Municipio o a la ACT. Para más información sobre este y otros Programas visite el siguiente enlace: <https://act.dtop.pr.gov/coordinacion-federal/>

ASISTENCIA TÉCNICA

La OCF de ACT tiene el personal especializado y disponible para brindarle el asesoramiento técnico de necesitar completar los documentos y formulario.

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Federal Transit
Administration

PROGRAMA POR FÓRMULA PARA LAS ÁREAS RURALES – SECCIÓN 5311

La Administración Federal de Transportación Colectiva (FTA, por sus siglas en inglés) autoriza fondos al programa rural (Sección 5311) para financiar proyectos de mejoras a la transportación colectiva en las áreas no urbanizadas, con una población menor de 50,000 habitantes. El programa constituye una inversión básica en la mejora y revitalización de los sistemas de transportación colectiva en las áreas rurales del país, que dependen del transporte público para mejorar la movilidad.

¿QUIÉNES SON ELEGIBLES?

Las entidades públicas del área rural no urbanizada que tenga autoridad legal para recibir y administrar fondos federales y los proveedores privados de servicios de transportación que reciban fondos federales a través de cualquier agencia pública designada.

MUNICIPIOS INCLUIDOS EN ESTE PROGRAMA:

1. Adjuntas
2. Coamo
3. Culebra
4. Comerío
5. Jayuya
6. Maricao
7. Orocovis
8. Patillas
9. Santa Isabel
10. Utuado
11. Vieques

FINANCIAMIENTO

La aportación regional para los proyectos elegibles puede alcanzar hasta un 75% de su costo total, 15% en Programa de autobuses Interurbano “Intercity Bus Program” y con una aportación a los costos administrativos de un 10%.



ACTIVIDADES ELEGIBLES:

Los proyectos elegibles van dirigidos principalmente a personas de edad avanzada y personas discapacitadas, pero no restringe el servicio a otros miembros de la población. Los fondos se pueden utilizar para el financiamiento de:

1. Construcción de instalaciones de transportación pública (que incluye los estudios ambientales, adquisición de terrenos y diseño)
2. Construcción de cobertizos, rótulos para paradas
3. Gastos de asistencia operacional
4. Gastos de mantenimiento preventivo
5. Mejoras a las instalaciones de transportación pública
6. Adquisición, reemplazo y/o rehabilitación de los vehículos de transportación pública, incluyendo los vehículos de paratransito.
7. Instalaciones de mantenimiento
8. Equipo de radio y/o comunicación
9. Sistema de seguridad a las instalaciones públicas
10. Rampas para ascender sillas de ruedas a vehículos de transportación pública
11. Compra de equipo de apoyo, por ejemplo, computadoras, “hardware” y “software”
12. Servicios de transportación tipo machina “shuttle”
13. Servicios de transportación en horario nocturno y fines de semana
14. Expansión de ruta fija de transportación pública
15. Servicios de transportación de Llame y Viaje
16. Aspectos relacionados al transporte en bicicleta
17. Promoción de los servicios de transportación en itinerarios de trabajo no-tradicionales

PROGRAMA DE AUTOBUSES INTERURBANOS

Cada estado tiene que pasar no menos de un 15 % de su distribución anual para el desarrollo y soporte de transporte de autobuses, a menos que puedan certificar, que después de consultar a los proveedores de servicios de autobuses interurbanos, que las necesidades de autobuses interurbanos del estado se están cumpliendo adecuadamente.

FINANCIAMIENTO

La participación federal es del 80% para los proyectos de capital y el 50% de asistencia de operación. Todos los proyectos, independientemente de su propósito o fuente de financiamiento, requieren una planificación temprana, coordinada y completa. Se recomienda un enfoque integral, a nivel federal y estatal, con el fin de lograr que las inversiones de transporte se maximicen y los recursos se usen eficaz y eficientemente.



PROCEDIMIENTO PARA SOLICITAR:

Anualmente se publica, en los principales periódicos del país, un aviso informando sobre la disponibilidad de los fondos federales y la fecha límite para radicar solicitudes y la dirección a la cual deben dirigirse.

Mediante comunicación escrita, se invita a los alcaldes y jefes de agencia a expresar sus necesidades de transportación pública. Las solicitudes deben dirigirse a la Autoridad de Carreteras y Transportación (ACT), Oficina de Coordinación Federal (OCF), a la siguiente dirección: **P.O. Box 42007 San Juan, Puerto Rico 00940** En caso de que un ciudadano en particular desee someter una petición, deberá hacerla a través de un Municipio o ACT. Para más información sobre este y otros Programas visite el siguiente enlace:

<https://act.dtop.pr.gov/coordinacion-federal/>

ASISTENCIA TÉCNICA:

La OCF de ACT tiene el personal especializado y disponible para brindarle el asesoramiento técnico de necesitar completar los documentos y formularios para radicar su petición.



Federal Transit
Administration

Contacto: Sonia Montañez Colón, Directora Interina
Oficina de Coordinación Federal (OCF)

Teléfono: (787) 721-8787 Ext. 1600/ 1601/ 1750

Website: <https://act.dtop.pr.gov/coordinacion-federal/>

Email: ocf@dtop.pr.gov

BUS AND BUS FACILITIES – SECCIÓN 5339

La Administración

Federal de Transportación Colectiva (FTA, por sus siglas en inglés) provee fondos por fórmula para reemplazar, rehabilitar y comprar autobuses y equipo relacionados. Así también para la construcción de instalaciones relacionadas a los autobuses.

¿QUIÉNES SON ELEGIBLES?

Los receptores directos y autoridades gubernamentales locales que operan o distribuyen fondos para la operación de la ruta fija de autobuses. Además, los subreceptores como las agencias públicas o entidades privadas sin fines de lucro que se dedican a la transportación pública, incluyendo a las organizaciones que proveen servicios a un segmento de la población en general, por edad, discapacidad o bajos ingresos.

FINANCIAMIENTO

La aportación federal para los proyectos elegibles puede alcanzar hasta un 80% de su costo total y con una aportación local de un 20%.

ACTIVIDADES ELEGIBLES:

Los fondos se pueden utilizar para el financiamiento de:

1. Proyectos de reemplazo, rehabilitación y compra de autobuses y vans (Paratransit, Mini-vans).
2. Expansión del servicio de transportación.
3. Equipo relacionado con autobuses y vans.
4. Construcción de instalaciones relacionadas a los autobuses.
5. Mantenimientos de autobuses.
6. Mantenimiento de las instalaciones relacionadas:
 - Instalaciones administrativas
 - Instalaciones de transferencia
 - Centro de transportación
 - Terminales Intermodales
 - Estaciones de “Park ride”
7. Adquisición e instalación de cobertizos y de Rótulos de Paradas.
8. Adquisición de cajas de tarifas (“fare boxes”)
9. Equipo de accesorio y misceláneo como las unidades de móviles de radio



10. Adquisición de computadoras
11. Equipo de garaje (herramientas)



PROCEDIMIENTO PARA SOLICITAR:

Anualmente se publica un aviso para el público en general en los principales periódicos del país, sobre la disponibilidad de los fondos federales y la fecha límite para radicar solicitudes y la dirección a donde deben dirigir las mismas.

Además, mediante comunicación escrita, se invita a los alcaldes y jefes de agencia a expresar sus necesidades de transportación pública. Las mismas se someten a la Autoridad de Carreteras y Transportación (ACT) en la Oficina de Coordinación Federal (OCF), a la siguiente dirección **PO Box 42007 San Juan, Puerto Rico 00940.**

En caso de que un ciudadano en particular desee someter una petición, deberá hacerla a través de un Municipio o del DTOP y/o ACT. Para más información sobre este y otros Programas visite el siguiente enlace: <https://act.dtop.pr.gov/coordinacion-federal/>

ASISTENCIA TÉCNICA:

La OCF de ACT tiene el personal especializado y disponible para brindarle el asesoramiento técnico de necesitar completar los documentos y formularios para radicar su petición.

Contacto: Sonia Montañez, Directora Interina
Oficina de Coordinación Federal (OCF)

Teléfono: (787) 721-8787 Ext. 1600/ 1601/ 1750

Website: <https://act.dtop.pr.gov/coordinacion-federal/>

Email: ocf@dtop.pr.gov





GENERAL INFORMATION

Sub -Recipient Name:

Funding Source: Section 5307 Section 5310 Section 5311 Section 5339

Sub-recipient Representative:

Personnel conducting compliance visit:

Date of compliance:

ORGANIZATIONAL

Brief of description of sub recipient service:

RESULTS OF THE REVIEW

Total of Deficiencies:

Description of Deficiencies (include regulation citation)

Measures to Prevent Recurrence(s):

Is a Corrective Action Plan (CAP) required: Yes No

Project Date of CAP Completion:

Received by:

REVIEW AREAS

Overview

The PRHTA is responsible for monitoring sub-recipients and contractors to ensure that all fiscal, federal, and programmatic responsibilities are fulfilled. The purpose of this Compliance Review report is to provide an internal control mechanism designed to review performance over a period and to evaluate compliance of sub-recipients and contractors funded with federal funds.

Monitoring also allows jurisdictions to provide technical assistance to help subrecipients and contractors comply with applicable laws and regulations, improve technical skills, increase capacity, and stay updated on regulations.

Intermodal – Transit Division will be responsible for monitoring sub-recipients and contractors no less than twice per contract year and more often should it be necessary.

The review will include a physical on-site visit at the location where the sub-recipients and contractors maintain the project records.

Areas for monitoring sub-recipients and contractors shall include:

- | | |
|------------------------------------|----------------------------------|
| 1. Legal | 8. ADA |
| 2. Technical Capacity | 9. Title VI |
| 3. Financial Management | 10. Equal Employment Opportunity |
| 4. Procurement | 11. Drug and Alcohol Program |
| 5. DBE | 12. Safety and Security |
| 6. Satisfactory Continuing Control | 13. Public Comment |
| 7. Maintenance Program | |

Citation References. The ___ public transportation program operates under transit provisions including, but not limited to the following:

Federal Transit Administration (FTA): www.fta.dot.gov/

Code of Federal Regulations (CFR): www.access.gpo.gov/nara/cfr/cfr-table-search.html United States Code (USC): www4.law.cornell.edu/uscode/

Process. The Compliance Monitoring and Site Visit process include the following:

1. Pre-Site Visit Activities: A copy of the document checklist and the Compliance Monitoring Questionnaire will be sent to sub-recipients prior to the scheduled site visit. **Sub-recipients will be asked to submit certain documents in advance as part of the desk review.** PRHTA Staff will review this documentation prior to the on-site compliance monitoring site/visit.
2. Entrance Interview: The entrance interview conveys the purpose and focus of the visit and to inform the sub-recipient of specific tasks to be completed during the visit, specifically activities outlined on the Compliance Questionnaire.
3. Compliance Monitoring: PRHTA staff will conduct on on-site visit to verify that documentation, policies, and procedures supports the reviewer's observations and conclusions.
4. Exit Interview: The exit interview provides PRHTA and the sub-recipient an opportunity to review findings and/or provide the necessary recommendations to improve the administration of program(s).

REVIEW AREAS

1. LEGAL

Legal	YES	NO	N/A
1. Is the sub-recipient designated as the body legally responsible for the overall organization, management, and operation of the transportation system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Does the sub-recipient have an authorizing resolution passed by a governing body?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Did the sub-recipient promptly notified____and FTA of any legal matters that may affect the FTA? If yes, please list details including date, name of complainant and summary of allegation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Did the sub-recipient promptly notified____and FTA of any instances relating to false claims under the False Claims Act or fraud?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Did the sub-recipient use only non-appropriated funds for any lobbying activities and did the agency file the disclosure form to FTA?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. TECHNICAL CAPACITY

Sub Recipient Oversight	YES	NO	N/A
1.Determine if the sub-recipient is eligible to receive assistance under federal award programs.: <input type="checkbox"/> Private non-profit organizations. <input type="checkbox"/> State or local governmental authorities <input type="checkbox"/> Operators of public transportation services			
2. Is there a signed lobbying certification on file from sub-recipients entering into agreements exceeding \$100,000?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Was the sub-recipient ever suspended, debarred, ineligible or voluntarily excluded from participation in federally assisted transactions or procurement before entering into agreements exceeding \$25,000? (Check SAM, Collect certification)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Is sub-recipient compliant with federal requirements and performance goals, and provide for evaluation of sub-recipient risk of noncompliance with those requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Project Management (TPO)	YES	NO	N/A
5. Does the sub-recipient provide administrative and management oversight of project implementation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Does the sub-recipient monitor activities(technical inspection and supervision of construction project, technology project, planning projects) under the award to assure schedules are met and other performance goals are achieved? Has the sub -recipient maintain project work schedules? Does sub-recipient ensure conformity to aplicable statutes, codes, etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. What is the sub-recipient process for determining the applicability of, and ensuring compliance with, all Federal requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Are sub -recipient expenditures within the latest approved award budget? If projects are not on budget, what are the reasons justified in writing?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Is the sub-recipient using force account labor for any FTA-funded capital project, did it comply with FTA requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

REVIEW AREAS

Project Management (TPO) cont.	YES	NO	N/A
10. Are there transit management or service contractors? If yes, are there written policies, procedures and plans that address the following:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Site visit checklist(s)/reports, Vehicle/facility checklist reports applicable to FTA requirements 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Standardized monitoring forms/processes that are consistent with FTA/___ 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Timely notification on any significant issues follow up on findings and improvement 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Identification of the individual responsible for conducting the monitoring 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Award Management	YES	NO	N/A
11. Has the sub-recipient submitted milestone progress reports (MPRs)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. How often is the sub-recipient required to submit MPRs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Does the MPR contain a narrative of activity status and any problems encountered in implementation, specification preparation, bid solicitation, resolution of protests, or third-party contract awards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14. If there were schedule changes, is there: <ul style="list-style-type: none"> • An explanation of why scheduled milestones or completion dates were not met? • Identification of problem areas and a narrative on how the problems will be solved? • A discussion of the expected impacts and the efforts to recover from the delays? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15. Does the recipient ensure timely expenditure of funds and close out of awards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3. FINANCIAL MANAGEMENT

	YES	NO	N/A
1. Does sub-recipient meet A- 133 threshold of \$750,000 across all Federal Programs? (If No, please skip to question 4 or 5 depending on program)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Does the sub-recipient have comprehensive policies and procedures in place for managing awards and internal control? Does the policies and procedures address internal control practices to prevent waste, loss and misuse of federal funds? Have policies and procedures been updated to reflect any changes to federal regulatory requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Has the sub-recipient conducted the required Single Audit, and submitted to _____? When? Choose date from calendar	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. If there were findings in audits related to FTA or US DOT programs, was a copy of the audit and the SF-SAC submitted to the FTA regional office?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

REVIEW AREAS

Financial Management	YES	NO	N/A
5. If there were findings associated with the audit, has the sub-recipient completed a corrective action plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Has 3 years – or longer financial plan been submitted to ___? (5307 Program only)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Does the sub-recipient have financial resources to provide local share? Is the amount eligible for operating assistance calculated in compliance with FTA guidance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Does the recipient receive operating assistance from FTA? Do amounts for which reimbursement is sought exclude ineligible costs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Has the sub-recipient complied with requirements for charging indirect costs to FTA awards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Does the sub-recipient have an approved CAP and/or ICRP?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Was the annual CAP and/or ICRP proposal submitted to the cognizant agency in accordance with the agency's requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Are requests for reimbursements reviewed to ensure that only allowable expenses have been submitted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4. PROCUREMENT

Policies and Procedures	YES	NO	N/A
1. Does the sub-recipient have written procurement policies and procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If yes, answer question #2			
2. Do procurement policies and procedures provide for and/or address the following:			
• Written standards of conduct	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Review of procurement requests to avoid duplicative or unnecessary purchases	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Written procurement history (rationale for the method of procurement, selection of contract type, contractor selection or rejection, and the basis for the contract	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Written protest procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Written selection procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Full and open competition	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Prohibition of geographic preferences	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• DBE participation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Third Party Contracts	YES	NO	N/A
3. Does the sub-recipient ensure that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Does the recipient conduct oversight of third party contractors to ensure performance in accordance with contract terms?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. If the recipient awarded revenue contracts during the review period did it use a competitive process for the award, as applicable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

REVIEW AREAS

Third Party Contracts cont.	YES	NO	N/A
6. Did the recipient approve, evaluate, and document change orders to procurements?			
7. Are contracts limited to five years for any rolling stock or replacement parts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Were any rolling stock or repair parts purchased? If yes, are term limits for each of these contracts less than or equal to five years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Were any other goods or services purchased? If yes, <ul style="list-style-type: none"> a. If the sub-recipient used micro-purchase procedures, was it done in accordance with requirements? b. If the sub-recipient used small purchase procedures, was it done in accordance with requirements? c. If the sub-recipient used sealed bid procedures, was it done in accordance with requirements? d. If the sub-recipient used competitive proposal procedures, was it done in accordance with requirements? e. Did the sub-recipient include written justification of any non-competitive or sole source procurements in the procurement file? f. If the sub-recipient had awarded a contract to a single bidder, did it appropriately determine that the item was available only from a single source? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Is a cost or price analysis performed in connection with every procurement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Does the recipient procure A&E services in accordance with 49 U.S.C. §5325(b)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Did the recipient base the quantity or amount of options on its reasonably foreseeable need?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Did the recipient evaluate option prices included in solicitations prior to contract award?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FTA Required Clauses	YES	NO	N/A
14. Did the sub-recipient include applicable federal clauses in FTA-funded procurements exceeding the micro-purchase limit and construction contracts over \$2,000?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15. Did the recipient include required lobbying certifications in solicitations and receive signed certifications from contractors as part of bid responsiveness in procurements over \$100,000?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16. If the recipient included liquidated damages in its procurements, did it specify the rate in the contract, based on a calculation and rationale?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5. DBE

Disadvantaged Business Enterprise (DBE)	YES	NO	N/A
1. Did the organization receive more than \$250,000 in federal funds? If yes, did the sub-recipient submit a DBE Program for approval? Does the DBELO have direct and independent access to the CEO?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Was a Semi-Annual Form "Uniform Report of DBE Awards completed and forwarded to the ___ district by the prescribed reporting period? Reporting Period: May 15 (Oct. 1 - Mar 31) and Nov. 10 (April 1 - Sept. 30). Are the uniform reports completed accurately?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

REVIEW AREAS

Disadvantaged Business Enterprise (DBE) cont.	YES	NO	N/A
3. For each of the past three completed Federal fiscal years, if the sub-recipient's DBE achievements (based on contract awards) were below the overall goal for the applicable year, did the sub-recipient complete the required shortfall analysis and corrective action plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Can documentation ("good faith efforts") be presented that DBE's have had the maximum opportunity to compete for and perform contracts and subcontracts financed in whole or in part with FTA funds? Examples of Good Faith Efforts include, but not limited to: a. Ensuring DBE's are aware of contracting opportunities by advertising for DBE on your website, focus groups, meetings, news, events, journals, etc. b. Soliciting disadvantaged businesses by fax, e-mail, and telephone; and Documenting proof of all good faith outreach performed by DBE Good Faith on your behalf	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Has the sub-recipient certified that they have visited the work site and to ensure that work committed to DBEs is performed by DBEs? (49 CFR 26.37)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Did the sub-recipient submit its goal on time? Has the recipient implemented steps to meet the maximum feasible portion of its overall goal race-neutrally?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

6. Satisfactory Continuing Control

Satisfactory Continuing Control	YES	NO	N/A
1. Does the sub -recipient maintain adequate records on the status of real property and submit required reports and notifications to _____?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. If real property was acquired, were all actions, including just compensation, property or properties under litigation, administrative settlements, and condemnation for each parcel reported?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Does the sub- recipient maintain control over FTA-funded equipment and ensure equipment and property are being used for its intended purpose?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Was equipment withdrawn from use and disposed of in accordance with 2 CFR 200 and FTA requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Does the sub-recipient have incidental uses of any FTA-funded real property?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Did the sub-recipient follow FTA requirements for incidental use of real property?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Are bus fleets managed in accordance with FTA requirements for spare ratios and contingency fleets?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Does the recipient have flood insurance for any FTA-funded buildings located in areas that have been identified as having special flood hazards and in which the sale of flood insurance has been made available under the National Flood Insurance Act of 1968	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inventory	YES	NO	N/A
9. When was the last physical inventory completed? Date: Choose date from calendar	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Have there been any changes to the status of real property and/or equipment since the last physical inventory? If yes, was _____ notified in writing?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Was an accurate inventory list been provided to _____ as per checklist?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

REVIEW AREAS

Inventory			
11. Does sub-recipient meet the mandatory spare ratio of 20%? (If greater than 50 vehicles?) Spare Ratio = Total Peak Hour Vehicle Requirement/Spare Vehicles	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

7. MAINTENANCE PROGRAM

	YES	NO	N/A										
1. Does the sub-recipient have a written maintenance plan for FTA-funded assets (Vehicles, facilities, and equipment) that includes:													
<ul style="list-style-type: none"> Periodic preventive maintenance inspections and scheduled services including wheelchair lifts, ramps, kneeler, public address systems, voice announcement systems, specific mission critical and safety items 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>										
<ul style="list-style-type: none"> Warranty compliance and recovery 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>										
<ul style="list-style-type: none"> Provisions for wheel-chair lifts and other accessible equipment 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>										
<ul style="list-style-type: none"> Management of maintenance resources 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>										
<ul style="list-style-type: none"> Standards for maintenance subcontractors 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>										
2. Vehicle Inspections and Checklists ____staff will inspect maintenance logbooks with service schedules (based on fleet size) and respond to questions 13-17 outlined below.													
<table border="1"> <thead> <tr> <th colspan="2">Inspection Sample Size</th> </tr> <tr> <th>Fleet size</th> <th>Log Books Inspected</th> </tr> </thead> <tbody> <tr> <td>1-5</td> <td>1</td> </tr> <tr> <td>6-15</td> <td>2</td> </tr> <tr> <td>16+</td> <td>3</td> </tr> </tbody> </table>	Inspection Sample Size		Fleet size	Log Books Inspected	1-5	1	6-15	2	16+	3			
Inspection Sample Size													
Fleet size	Log Books Inspected												
1-5	1												
6-15	2												
16+	3												
3. Are pre-trip inspections conducted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>										
4. Does the PM plan describe the inspection procedures for each item listed on the inspection of servicing ____checklist?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>										
5. Does the schedule indicate when (according to mileage or time) each service is scheduled to be performed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>										
6. Does the schedule indicate the date/mileage when services were performed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>										
7. Using the vehicle maintenance log with the service schedule and pre-trip inspection checklist compare when a service was due vs. when service was performed. Is the correlation reasonable? (10 percent +/-) Was the DVR accurate?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>										
8. Are warranty claims pursued prior to seeking reimbursement from ? What is the sub-recipients system for identifying and tracking warranty issues and recovering warranty claims?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>										
Maintenance Resources	YES	NO	N/A										
9. Does the maintenance plan address the following? <ul style="list-style-type: none"> Goals and objectives Adequate resources (Organizational structure, staffing levels, training, experience) Performance reports/maintenance management reporting system 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>										

REVIEW AREAS

Maintenance Procedures for Accessible Equipment	YES	NO	N/A
10. When a lift is discovered to be inoperative, is the vehicle out of service and repaired before the beginning of the vehicle's next service day? If there is no spare vehicle available to take the place of a vehicle with an inoperable lift, entity may keep the vehicle in service with an inoperable lift for no more than five days (if the entity serves an area of 50,000 or less population) or three days (if the entity serves an area of over 50,000 population) from the day on which the lift is discovered to be inoperative. CFR Part 37.163	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Facility/ Equipment Inspection			
11. Was a facility/equipment/real property purchased_____using FTA funds? If yes,is there a facility/equipment maintenance program that include:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a. An organization and assignment of responsibility for facility and equipment maintenance, and			
b. A series of inspections and routine maintenance actions designed to ensure proper care and maximize useful service life of facilities and equipment, and			
c. A record-keeping system that maintains adequate permanent records of maintenance and inspection activity for buildings and equipment.			
Maintenance Review			
PRHTA staff will conduct random maintenance inspection of buses to ensure proper functionality. (See Appendix 1)			

8. ADA

ADA-General	YES	NO	N/A
1. Does the sub-recipient track, resolve, and respond to ADA-related complaints? Does the sub-recipient have procedures in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Do the procedures provide for the prompt and equitable resolution of complaints, including a procedure for responding to complaints and tracking the responses?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Have any ADA Complaints been filed with_____ or FTA?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Does the recipient retain ADA-related complaints for at least one year and a summary of all ADA-related complaints for at least five years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Does the sub-recipient monitor contracted service or service provided by another public entity on the sub-recipient's behalf for compliance with the U.S. Department of Transportation (US DOT) ADA regulations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Does the sub-recipient follow ADA provision of service requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. How does the sub-recipient implement the reasonable modification process?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Securement, Lift, Availability and Access	YES	NO	N/A
8. Does the sub-recipient accommodate individuals who rely on accessible equipment when that equipment is inoperative?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Is there a policy that covers the securement of mobility devices?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Are publicized services made in accesible formats (i.e., large print, TOO, Braille, audio tape)? How does the sub-recipient honor the request for accessible formats?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Is there a written policy on service animals?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

REVIEW AREAS

Securement, Lift, Availability and Access cont.	YES	NO	N/A
12. Is adequate time allotted for the embarking and disembarking of passengers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Is the lift/kneel feature functional?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Training and Service Equivalency	YES	NO	N/A
14. Is training provided to agency personnel and subcontractors for the safe operation of vehicles, accessibility equipment, and the proper treatment of persons with disabilities? Number of staff trained this year:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15. Using the same type of service (i.e., fixed route, paratransit, demand response), is the fare and service provided to a disabled passenger the same as the fare that is charged to a non-disabled passenger?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16. Are trips prioritized for any purpose?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17. Are fares charged for Personal Care Attendants?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18. How does the sub-recipient ensure there is no pattern or practice of trip denials? Untimely pick-ups? Missed trips? Excessively long trips?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19. How are trip denials recorded?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Facilities	YES	NO	N/A
20. Does the facility(s) have at least one accesible entrance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
21. Are bathrooms and water fountains provided and accessible?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
22. Are public and common use areas accessible?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
23. Have any facilities been constructed or modified? If yes, were the modifications in accordance with 49 CFR Part 37, "ADA Accessibility Guidelines?"	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ADA - Complementary Paratransit	YES	NO	N/A
24. Is the sub-recipient a fixed route service provided?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If no, skip questions 15-25. If yes, do you have a Complementary Para-transit Plan? When was the plan updated? Choose date from calendar			
25. Does the recipient provide ADA complementary paratransit service to out-of-town visitors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
26. If the recipient has a no-show/late cancellation policy for ADA complementary paratransit service, does it meet the ADA complementary paratransit service requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27. Does the recipient limit the availability of service to ADA paratransit eligible individuals?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
28. Does the sub-recipient's eligibility determination process meet ADA complementary paratransit service requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
29. Is there an appeals process? Does the process allow the applicant the opportunity to be heard and to present formation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
30. Is next day service provided?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
31. Are trips scheduled within one hour of the requested trip time?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
32. Are fares no more than twice the fixed route fare?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
33. Is service provided within 3/4 mile of fixed routes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

REVIEW AREAS

ADA - Complementary Paratransit cont.	YES	NO	N/A
34. Are fares charged for Personal Care Attendants?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
35. Is service available during the same hours and days as fixed route?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
36. Does subscription service exceed 50 percent (unless there is non-subscription capacity)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Route Deviation Service			
To be considered demand responsive, the service must deviate for the general public, not just persons with disabilities. If deviations are restricted to a group, the service ceases to be a form of demand-responsive service for the general public.			
37. Is general route deviation service open to the general public? Is route deviation service used as your method for demand-responsive service?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a. Does the service deviate for people with and without disabilities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Is the service publicly advertised as route deviation service?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
38. Does the service have characteristics similar to those of a demand responsive service? Examples include:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a. Response time	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Fares	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Geographic area of service	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Hours and days of service	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Restrictions or priorities based on trip purpose	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Availability of information and reservations capability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Any constraints on capacity or service availability.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Observation Check			
39. PRHTA staff should observe a minimum of one of the following sub-recipient functions. It is recommended the ansit agency be contacted prior to completing any of the following:			
<input type="checkbox"/> Riding the service			
<input type="checkbox"/> Observing transit agency reservation service			
<input type="checkbox"/> Observing transit agency scheduling			
<input type="checkbox"/> Observing transit agency dispatching			
<input type="checkbox"/> Observing ADA complementary paratransit eligibility process			
Description of the observation results:			
Comments:			

REVIEW AREAS

9. TITLE VI

Complaints and Lawsuits	YES	NO	N/A
1. Are there complaint policies and procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are procedures for filing complaints (organization name, phone numbers, etc.) readily accessible to riders, employees, and applicants?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Were any transit related lawsuits/complaints filed within the past year? If yes, does the review of lawsuits/complaints denote a pattern of discrimination? If yes, provide the following information: Date the lawsuit/complaint was filed Name and address of the complainant A summary of the allegation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Are complaints documented and are they assigned to the appropriate transit staff for investigation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Do riders, employees, and applicants have the option to file a complaint with organizations other than the sub-recipient? If so, who:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. What is the name and title of the person in the organization responsible for ensuring Civil Rights requirements are fulfilled? Name: _____ Title _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Title VI Program	YES	NO	N/A
7. Does the sub-recipient have a Title VI Program consisting of the following elements:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Title VI Notice to the Public, including a list of locations where the notice is posted and the following contents:			
a. a statement that the agency operates programs without regard to race,color, or national origin;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. a description of the procedures that members of the public should follow to request additional information on the recipient's Title VI obligations:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. a description of the procedures that members of the public shall follow to file a Title VI discrimination complaint against the recipient.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Title VI Complaint Procedures (i.e., instructions to the public regarding how to file a Title VI discrimination complaint	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Title VI Complaint Form	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. List of transit-related Title VI investigations, complaints, and lawsuits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Public Participation Plan, including information about early and continuous outreach methods to engage minority and limited English proficient populations (LEP) in the identification of social, economic, and environmental impacts of proposed transportation decisions, as well as a summary of outreach efforts made since the last Title VI Program submission.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

REVIEW AREAS

Limited English Proficiency (LEP)	YES	NO	N/A
8. To ensure meaningful access to programs and activities, transit providers shall use the information obtained in the Four Factor Analysis to determine the specific language services that are appropriate to provide. Were the following Four Factors (e.g. Four Factor Analysis) used to determine which language assistance services are appropriate?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a. The number or proportion of LEP persons eligible to be served or likely to be encountered by the program or recipient.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. The frequency with which LEP persons meet the program.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. The nature and importance of the program, activity, or service provided by the program to people's lives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. The resources available to the recipient for LEP outreach, as well as the costs associated with that outreach.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Are vital documents (schedules, brochures, etc.) provided in languages other than English? Examples of vital documents include an-ADA complementary paratransit eligibility application, a Title VI complaint form, notice of a person's rights under Title VI, and other documents that provide access to essential services.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. How are minority organizations/communities notified of public meetings, program opportunities, new or a change in service (i.e., hours of service, delivery points) using the media, city, and council representatives, etc.?).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

10. EQUAL EMPLOYMENT OPPORTUNITY

	YES	NO	N/A
1. Does the sub-recipient employees 100 or more transit-related employees? If yes, has the organization received more than \$1 million in capital or operating assistance or more than \$250,000 in planning assistance in the previous federal fiscal year? If so, is there an EEO program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Does the sub-recipient employees 50-99 transit-related employees? If so, is there an abbreviated EEO program? If yes, has the organization received more than \$1 million in capital or operating assistance or more than \$250,000 in planning assistance in the previous federal fiscal year?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Does the abbreviated EEO program include the following elements?			
a. Statement of Policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Policy Dissemination Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Designation of Personnel Responsibility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Assessment of Employees Practices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Monitoring and Reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

REVIEW AREAS

EQUAL EMPLOYMENT OPPORTUNITY	YES	NO	N/A
4. Are the required posters/materials listed below placed in conspicuous places (lunchrooms, building entry, lobby, etc.) and made available to employees and applicants?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a. EEO Policy Statement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Equal Employment Opportunity (EEO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Family and Medical Leave Act (FMLA) of 1993	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Employee Polygraph Protection Act	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Fair Labor Standards Act (FLSA)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is there an EEO Program Plan in accordance with FTA Circular 4704.1 EEO and include the following elements:			
a. Designation of personnel responsibilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Workforce Utilization Analysis	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Goals and timetables	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Assessment of past employment practices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Proposed remedies for problem areas	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Monitoring and reporting system.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A formal EEO Plan requires designation of personnel responsibilities, a workforce analysis (including an identification of areas of underutilization), goals and timetables, an assessment of past employment practices, proposed remedies for problem areas, and a monitoring and reporting system.			
Underutilization Analysis. The purpose of the utilization analysis is to identify those job categories where underutilization and/or concentration of women or minorities exist in relation to their availability in the relevant labor market. It is also to establish the framework for goals and timetables and other affirmative actions to correct employment practices that may have contributed to any underutilization or concentration.			
5. Were specific percentage and numerical goals with timetables created to correct any underutilization of specific affected classes of persons identified in a workforce utilization analysis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Were goals set in the previous submission met? If not, explain.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

REVIEW AREAS

11. DRUGS AND ALCOHOL PROGRAM

	YES	NO	N/A
1. Does the sub-recipient have a board-adopted drug and alcohol misuse policy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Is there a Drug and Alcohol testing program for safety sensitive employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Is transit service subcontracted? If yes, how do you monitor subcontractors with safety sensitive employees to ensure drug and alcohol testing programs are administered in accordance with the regulations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Do contractors and subcontractors with safe sensitive employees have drug and alcohol testing programs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Does the drug policy contain the following information:			
a. Approval by governing board or other "final authority" for the subrecipient	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Identity of contact person, office, or position	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Employee categories to be tested – safety sensitive positions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Prohibited behavior	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Testing circumstances	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Testing procedures – consistent with 49 CFR 40, as amended	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Required participation by employee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. Behavior that constitutes refusal to submit to a test	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i. Consequences for an employee who has a verified positive test result	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
j. Consequences for an employee found to have an alcohol concentration of 0.02 or greater, but less than 0.04	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
k. Any program elements in addition to those required by FTA defined	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Does the sub-recipient maintain drug and alcohol program records in a secure location with controlled access?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Was drug awareness program performed in the past year?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Are drug test records maintained for specified period?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Do all medical review officers, substance abuse professionals, breath alcohol technicians, and collectors in the drug and alcohol testing program have the required qualifications?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Have contractors, lessees, and subcontractors with safety-sensitive employees filed annual MIS reports with the recipient? Have subrecipients with safety-sensitive employees filed annual MIS reports with the recipient?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

REVIEW AREAS

Drug Free Workplace	YES	NO	N/A
11. Does the sub-recipient have a written policy as prescribed by the Drug-Free Workplace? Date_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Is it distributed periodically to all employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Does the sub-recipient have an on-going drug awareness program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14. Does the sub-recipient ensure that all covered employee receive the required 60 minutes of training?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15. Does the recipient ensure that all supervisors or other officials responsible for making reasonable suspicion determinations receive the required 60 minutes of training on drug use and 60 minutes of training on alcohol misuse?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16. Has the sub-recipient notified its employees that the unlawful manufacture, distribution dispensing, possession, or use of a controlled substance is prohibited in the workplace? How? How are vendors monitored?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17. Have employees been notified of the dangers of drug abuse and any available drug counseling, rehabilitation, and employee assistance programs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18. Have they been notified of their responsibility to report any criminal drug statute conviction for a violation occurring in the workplace to the sub-recipient within five days?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19. Has the sub-recipient notified employees of the sanctions that they might be subject to for violation of the Drug-Free Workplace requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Collection Sites	YES	NO	N/A
20. Does the sub-recipient have on file the qualifications for the following:			
a. Medical Review Officers (MROs)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Substance Abuse Professionals (SAPs)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Screening Test Technicians (STTs) Breath Alcohol Technicians (BATs)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Collectors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

12. SAFETY AND SECURITY -5307 SUB RECIPIENT

Security Expenditures	YES	NO	N/A
1. Does the sub-recipient utilize one percent of its Section 5307 expenditures for transit security? If no, please explain why funds are not used for this purpose.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Does the sub-recipient keep a log of all safety and security assets?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

REVIEW AREAS

13. PUBLIC COMMENT ON FARE INCREASES AND MAJOR SERVICE REDUCTIONS

Public Comment	YES	NO	N/A
1. Does the sub-recipient have written procedures on fare increases or major services reductions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Has the sub-recipient increased fares or had any major service reductions since the last review?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. If yes, did the sub-recipient follow its public comment procedures on fare increases and major service reductions (request copies of public notices related to fare increases and major service reductions).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

This checklist has been reviewed for section completeness:

	Name	Signature	Date
FCO Director			

REVIEW AREAS

General Vehicle Condition Checklist (____ use only) BUS # _____

1. Exterior condition (Paint Condition / Body Damage / Cleanliness)
 Excellent Good Fair Poor Needs Immediate
Attention

Comments:

2. Lights, Mirrors, Glass (Breaks, Cracks, Not Functioning Lights)
 Excellent Good Fair Poor Needs Immediate
Attention

Comments:

3. Interior (Upholstery, Safety Belts, Floor, Door Operation, Lights, Cleanliness)
 Excellent Good Fair Poor Needs Immediate
Attention

Comments:

4. Engine Running (Difficulty Starting, Excessive Noise, Visible Exhaust, Noticeable Odors (other than diesel exhaust), Evidence of Oil Leaks on Ground)
 Excellent Good Fair Poor Needs Immediate
Attention

Comments:

5. Tires (Visibly worn, Sidewall Cuts or Cracks, Appear Under Inflated)
 Excellent Good Fair Poor Needs Immediate
Attention

Comments:

6. Wheelchair Lift / Ramp (Operates Properly, No Exposed Hazards, Cleanliness)
 Excellent Good Fair Poor Needs Immediate
Attention

Comments:

7. Safety (loose items in driver and passenger compartment, etc.)

Comments: _____

Guía para Radicar Propuestas para Solicitar Fondos de los Programas de la *Federal Transit Administration* (FTA)

SECCIÓN 5303/5304

ACTIVIDADES ELEGIBLES	Documentos requeridos
<ol style="list-style-type: none"> 1. Planes integrales y comprensivos que aborden la planificación del uso de suelo con la transportación. 2. Planes de seguridad y de manejo de emergencias. 3. Estudios para mejoras a la transportación o evaluación de proyectos de transportación existentes, incluye: estudios relacionados con la administración, operación y mantenimiento del sistema. 4. Plan, diseño o trabajo de ingeniería que promueva o mejoren los accesos y la movilidad peatonal y ciclista en las paradas y en los alrededores de las estaciones de transporte público. 5. Plan para el manejo de la congestión y análisis de conformidad con la calidad del aire. 6. Elaboración de planes de transportación a largo plazo. 7. Plan, diseño o evaluación de un centro de transportación multimodal. 8. Estudio de viabilidad (financiación) y de necesidades para establecer un sistema de transportación pública local y/o regional. 	<ul style="list-style-type: none"> <input type="checkbox"/> Describir el problema o situación a la cual atiende el proyecto solicitado. <input type="checkbox"/> Justificación y beneficios del proyecto. (Incluir Plan de Ordenación Territorial del Municipio, de tener uno vigente) <input type="checkbox"/> Estimado Independiente de Costos y/ cotizaciones

Guía para Radicar Propuestas para Solicitar Fondos de los Programas de la *Federal Transit Administration* (FTA)

SECCIÓN 5307

ACTIVIDADES ELEGIBLES	DOCUMENTOS REQUERIDOS
<p>1. Reemplazo y/o expansión de flota de vehículos</p> <p>2. Rehabilitación y/o reparación de flota de vehículos</p> <p>3. Asistencia operacional (Solo aplica a receptores y subreceptores bajo UZA.)</p> <p>4. Adquisición de equipos relacionados a la flota de vehículos (<i>GPS, Security System, Passenger Counter</i> etc.)</p> <p>5. Construcción, renovación y mejoras (diseño, ingeniería y construcción) Ej. Terminales, aceras, paradas entre otras facilidades.</p> <p>6. Adquisición de cobertizos y rótulos de paradas. Validar si son cobertizos prefabricados.</p> <p>7. Terminales y talleres de mantenimiento</p> <p>8. Ciclo Vías- Los proyectos de ciclovías deben ser divididos en fases.</p> <ul style="list-style-type: none"> ● Fase 1 – Incluye diseño, ingeniería y cualquier permiso ambiental. ● Fase II- Implantación y construcción <p>Importante: Los proyectos de ciclovías pueden ser financiados siempre y cuando tengan acceso directo a un sistema de transportación colectiva (a un radio de 0.5 millas de un terminal o parada).</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Incluir nombre del proyecto <input type="checkbox"/> Justificación y beneficios del proyecto <input type="checkbox"/> Incluir Estudio de Transportación (De tenerlo disponible) <input type="checkbox"/> Estimado Independiente de Costos <input type="checkbox"/> <i>Fleet Status Report</i> actualizado <input type="checkbox"/> Describir el problema o situación a la cual atiende el proyecto solicitado. <input type="checkbox"/> NEPA Checklist <input type="checkbox"/> Desglose de los costos de proyectos y sus fases. (<i>Cost Breakdown</i>) <input type="checkbox"/> Incluir narrativa del presupuesto <input type="checkbox"/> Incluir datos sobre la necesidad identificada. <ul style="list-style-type: none"> <input type="checkbox"/> Incluir la vida útil de artículos mayores de \$5,000.00 <input type="checkbox"/> Localización de proyecto <input type="checkbox"/> Número de usuarios atendidos <input type="checkbox"/> Información de rutas y servicio <input type="checkbox"/> Estadísticas de servicio <input type="checkbox"/> Personal o dependencia encargada de dirigir el proyecto. <input type="checkbox"/> Describir cómo se realizará su proceso de adquisición de servicios o <i>procurement</i>. <input type="checkbox"/> <i>Milestones Progress Reports</i> <ul style="list-style-type: none"> ○ <i>Request for Proposals (RFP)/Request for Bids (RFB)</i> ○ <i>Contract Awarded</i> ○ <i>Contract Completed</i>

Guía para Radicar Propuestas para Solicitar Fondos de los Programas de la *Federal Transit Administration* (FTA)

Importante: Proyectos de Construcción

- Todo proyecto de diseño y construcción debe presentar *NEPA Checklist*. No se programarán proyectos sin *NEPA Checklist*.
- De tener la fase de diseño completada. Debe presentar diseño, descripción y especificaciones del Proyecto de Construcción.
- Proyecto de construcción deberán dividirse en fases. Ej. (1) Adquisición de Terrenos, (2) Diseño e Ingeniería, (3) Construcción.
- Adquisición de Terrenos deberán seguir las guías de la Circular *Award Management Requirements Circular* (5010.1E).
<https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/regulations-and-guidance/fta-circulars/58051/5010-1e-circular-award-management-requirements-7-16-18.pdf>
- En los casos de proyecto de construcción de considerar o incluir espacios comerciales u otras actividades no relacionadas al sistema de transportación, el recipiente y/o subrecipiente debe iniciar el proceso de *Incidental Uses* para estas actividades.

Guía para Radicar Propuestas para Solicitar Fondos de los Programas de la *Federal Transit Administration* (FTA)

SECCIÓN 5339

ACTIVIDADES ELEGIBLES	DOCUMENTOS REQUERIDOS
<p>1. Adquisición de vehículos de reemplazo o nuevos.</p> <p style="padding-left: 20px;">a. Ruta Fija</p> <p style="padding-left: 20px;">b. Ruta Paratránsito</p> <p style="padding-left: 20px;">c. Vehículos de apoyo</p> <p style="padding-left: 20px;">d. Cumplimiento con Ley ADA</p> <p>2. Adquisición de cobertizos y rótulos de paradas.</p> <p>3. Construcción y mejoras estructurales a instalaciones. (diseño, ingeniería y construcción) <i>Ej. Terminales, aceras, paradas entre otras facilidades.</i></p> <p>4. Equipo relacionado con autobuses y/o facilidades.</p> <p style="padding-left: 20px;">a. Tecnología de geolocalización, sistemas de información, sistemas de comunicación, herramientas, cajas de tarifa (“fareboxes”), Cámaras de Seguridad.</p> <p>5. Mantenimiento preventivo a las facilidades y/o flota de vehículos.</p> <p>6. Adquisición de equipo para la administración del programa</p>	<p><input type="checkbox"/> Incluir nombre del proyecto</p> <p><input type="checkbox"/> Justificación y beneficios del proyecto</p> <p><input type="checkbox"/> Incluir Estudio de Transportación (De tenerlo disponible)</p> <p><input type="checkbox"/> Estimado Independiente de Costos</p> <p><input type="checkbox"/> <i>Fleet Status Report</i> actualizado</p> <p><input type="checkbox"/> Describir el problema o situación a la cual atiende el proyecto solicitado.</p> <p><input type="checkbox"/> NEPA Checklist</p> <p><input type="checkbox"/> Desglose de los costos de proyectos y sus fases. (<i>Cost Breakdown</i>)</p> <p><input type="checkbox"/> Incluir narrativa del presupuesto</p> <p><input type="checkbox"/> Plan de Mantenimiento Preventivo</p> <p><input type="checkbox"/> Incluir datos sobre la necesidad identificada.</p> <p style="padding-left: 40px;"><input type="checkbox"/> Incluir la vida útil de artículos mayores de \$5,000.00</p> <p style="padding-left: 40px;"><input type="checkbox"/> Localización de proyecto</p> <p style="padding-left: 40px;"><input type="checkbox"/> Número de usuarios atendidos</p> <p style="padding-left: 40px;"><input type="checkbox"/> Información de rutas y servicio</p> <p style="padding-left: 40px;"><input type="checkbox"/> Estadísticas de servicio</p> <p style="padding-left: 40px;"><input type="checkbox"/> Personal o dependencia encargada de dirigir el proyecto.</p> <p><input type="checkbox"/> Describir cómo se realizará su proceso de adquisición de servicios o <i>procurement</i>.</p> <p><input type="checkbox"/> Evidencia de gastos y/o estimados. (Mantenimiento)</p> <p><input type="checkbox"/> Indicar si la actividad de mantenimiento preventivo será realizada por el subreceptante <i>in house</i> o por un tercero.</p>

Guía para Radicar Propuestas para Solicitar Fondos de los Programas de la *Federal Transit Administration* (FTA)

<p>a. Computadoras, programas (“Software”), contadores de pasajeros, “scanner” para diagnóstico de vehículos, etc.</p>	<p><input type="checkbox"/> Descripción de ubicación de los equipos. Indicar quién estará a cargo del sistema, entre otros. (Adquisición de cámara y/o equipo de seguridad)</p> <p><input type="checkbox"/> <i>Milestones Progress Reports</i></p> <ul style="list-style-type: none"> ○ <i>Request for Proposals (RFP)/Request for Bids (RFB)</i> ○ <i>Contract Awarded</i> ○ <i>Contract Completed</i>
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Importante: Proyectos de Construcción

- Todo proyecto de diseño y construcción debe presentar *NEPA Checklist*. No se programarán proyectos sin *NEPA Checklist*.
- De tener la fase de diseño completada. Debe presentar diseño, descripción y especificaciones del proyecto de construcción.
- Proyecto de construcción deberán dividirse en fases. Ej. (1) Adquisición de Terrenos, (2) Diseño e Ingeniería, (3) Construcción.
- Adquisición de Terrenos deberán seguir las guías de la circular *Award Management Requirements Circular* (5010.1E).
<https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/regulations-and-guidance/fta-circulars/58051/5010-1e-circular-award-management-requirements-7-16-18.pdf>
- En los casos de proyecto de construcción de considerar o incluir espacios comerciales u otras actividades no relacionadas al sistema de transportación, el recipiente y/o subrecipiente debe iniciar el proceso de *Incidental Uses* para estas actividades.

Guía para Radicar Propuestas para Solicitar Fondos de los Programas de la *Federal Transit Administration* (FTA)

SECCIÓN 5310

ACTIVIDADES ELEGIBLES	Documentos requeridos
<ol style="list-style-type: none"> 1. Reemplazo y/o expansión de flota de vehículos. 2. Mantenimiento preventivo y rehabilitación de la flota de vehículos. 3. Costos de inspección y pruebas de vehículos. 4. Costo de servicios bajo contrato, arrendamiento o cualquier arreglo con un tercero 5. Computadoras, sistemas de información, sistema de cobro de tarifas, geolocalización, etc. 6. Asistencia operacional 7. Llama y Viaje <p><u>Los proyectos deben estar acorde con el Human Services Coordinated Plan</u></p>	<ul style="list-style-type: none"> <input type="checkbox"/> Completar Formulario Sección 5310 <input type="checkbox"/> Endosos: <ul style="list-style-type: none"> <input type="checkbox"/> Departamento de Familia <input type="checkbox"/> Oficina del Procurador de Personas de Edad Avanzada <input type="checkbox"/> Anuncio Público <input type="checkbox"/> Justificación y beneficios del proyecto <input type="checkbox"/> Incluir Estudio de Transportación (De tenerlo disponible) <input type="checkbox"/> Estimado Independiente de Costos <input type="checkbox"/> Fleet Status Report actualizado <input type="checkbox"/> Describir el problema o situación a la cual atiende el proyecto solicitado. <input type="checkbox"/> Indicar si la actividad de mantenimiento preventivo será realizada por el subreceptante (“in-house”) o un tercero. <ul style="list-style-type: none"> <input type="checkbox"/> Desglose de los costos de proyectos y sus fases. (“Cost Breakdown”) <input type="checkbox"/> Incluir narrativa del presupuesto <input type="checkbox"/> Plan de Mantenimiento Preventivo <input type="checkbox"/> Evidencia de gastos y/o estimados. (Mantenimiento) <input type="checkbox"/> Incluir datos sobre la necesidad identificada. <ul style="list-style-type: none"> <input type="checkbox"/> Incluir la vida útil de artículos mayores de \$5,000.00 <input type="checkbox"/> Localización de proyecto <input type="checkbox"/> Número de usuarios atendidos

Guía para Radicar Propuestas para Solicitar Fondos de los Programas de la *Federal Transit Administration* (FTA)

	<ul style="list-style-type: none"> <input type="checkbox"/> Información de rutas y servicio <input type="checkbox"/> Estadísticas de servicio <input type="checkbox"/> Personal o dependencia encargada de dirigir el proyecto. <input type="checkbox"/> Describir cómo se realizará su proceso de adquisición de servicios o <i>procurement</i>. <input type="checkbox"/> Descripción de ubicación de los equipos. Indicar quién estará a cargo del sistema, entre otros. (Adquisición de cámara y/o equipo de seguridad) <input type="checkbox"/> <i>Milestones Progress Reports</i> <ul style="list-style-type: none"> <input type="checkbox"/> <i>Request for Proposals (RFP)/Request for Bids (RFB)</i> <input type="checkbox"/> <i>Contract Awarded</i> <input type="checkbox"/> <i>Contract Completed</i>
<p>8. Proyectos de 5310 no tradicionales</p> <ul style="list-style-type: none"> a. Programas de conductores voluntarios (Costos de reclutamiento, seguridad, administración, coordinación, reembolso de millaje) b. Adiestramientos c. Rampas, Mejoras de Acceso y Equipo de Seguridad d. Compra e instalación de cobertizos, bancos y otros 	<ul style="list-style-type: none"> <input type="checkbox"/> Incluir nombre del proyecto <input type="checkbox"/> Describir el problema o situación a la cual atiende el proyecto solicitado. <input type="checkbox"/> NEPA Checklist <input type="checkbox"/> Incluir Estudio de Transportación (de tenerlo disponible) <input type="checkbox"/> Estimado Independiente de Costos <input type="checkbox"/> Desglose de los costos de proyectos y sus fases. (<i>Cost Breakdown</i>) <input type="checkbox"/> Incluir narrativa del presupuesto <input type="checkbox"/> Incluir datos sobre la necesidad identificada. <ul style="list-style-type: none"> <input type="checkbox"/> Incluir la vida útil de artículos mayores de \$5,000.00 <input type="checkbox"/> Localización de proyecto <input type="checkbox"/> Número de usuarios atendidos <input type="checkbox"/> Información de rutas y servicio <input type="checkbox"/> Estadísticas de servicio

Guía para Radicar Propuestas para Solicitar Fondos de los Programas de la *Federal Transit Administration* (FTA)

	<ul style="list-style-type: none"><input type="checkbox"/> Personal o dependencia encargada de dirigir el proyecto.<input type="checkbox"/> Describir cómo se realizará su proceso de adquisición de servicios o <i>procurement</i>.<input type="checkbox"/> <i>Milestones Progress Reports</i><ul style="list-style-type: none">○ <i>Request for Proposals (RFP)/Request for Bids (RFB)</i>○ <i>Contract Awarded</i>○ <i>Contract Completed</i>
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Guía para Radicar Propuestas para Solicitar Fondos de los Programas de la *Federal Transit Administration* (FTA)

SECCIÓN 5311

ACTIVIDADES ELEGIBLES	DOCUMENTOS REQUERIDOS
<p>1. Reemplazo y/o expansión de flota de vehículos.</p> <p>2. Rehabilitación y/o Reparación de flota de vehículos</p> <p>3. Asistencia Operacional</p> <p>4. <i>Intercity Bus Program</i></p> <p>5. Adquisición de Equipos relacionados a la flota y/o facilidades (GPS, " Security System", "Passenger Counter" etc.)</p> <p>6. Construcción, renovación y mejoras (diseño, ingeniería y construcción) Ej. Terminales, aceras, paradas entre otras facilidades.</p> <p>7. Adquisición de cobertizos y rótulos de paradas. Validar si son cobertizos prefabricados.</p> <p>8. Terminales y talleres de mantenimiento</p> <p>9. Ciclo Vías- Los proyectos de ciclovías deben ser divididos en fases.</p> <ul style="list-style-type: none"> ● Fase I - Diseño, ingeniería y cualquier permiso ambiental ● Fase II - Implantación y construcción. <p>Importante: Estos proyectos pueden ser financiados siempre y cuando tengan acceso directo a un sistema de transportación colectiva (a un radio de 0.5 millas de un terminal o parada).</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Incluir nombre del proyecto <input type="checkbox"/> Justificación y beneficios del proyecto <input type="checkbox"/> Incluir Estudio de Transportación (De tenerlo disponible) <input type="checkbox"/> Estimado Independiente de Costos <input type="checkbox"/> <i>Fleet Status Report</i> actualizado <input type="checkbox"/> Describir el problema o situación a la cual atiende el proyecto solicitado. <input type="checkbox"/> <i>NEPA Checklist</i> <input type="checkbox"/> Desglose de los costos de proyectos y sus fases. (<i>Cost Breakdown</i>) <input type="checkbox"/> Incluir narrativa del presupuesto <input type="checkbox"/> Incluir datos sobre la necesidad identificada. <ul style="list-style-type: none"> <input type="checkbox"/> Incluir la vida útil de artículos mayores de \$5,000.00 <input type="checkbox"/> Localización de proyecto <input type="checkbox"/> Número de usuarios atendidos <input type="checkbox"/> Información de rutas y servicio <input type="checkbox"/> Estadísticas de servicio <input type="checkbox"/> Personal o dependencia encargada de dirigir el proyecto. <input type="checkbox"/> Describir cómo se realizará su proceso de adquisición de servicios o <i>procurement</i>. <input type="checkbox"/> <i>Milestones Progress Reports</i> <ul style="list-style-type: none"> ○ <i>Request for Proposals (RFP)/Request for Bids (RFB)</i> ○ <i>Contract Awarded</i> ○ <i>Contract Completed</i>

Guía para Radicar Propuestas para Solicitar Fondos de los Programas de la *Federal Transit Administration* (FTA)

Importante: Proyectos de Construcción

- Todo proyecto de diseño y construcción debe presentar *NEPA Checklist*. No se programarán proyectos sin *NEPA Checklist*.
- De tener la fase de diseño completada. Debe presentar diseño, descripción y especificaciones del Proyecto de Construcción.
- Proyecto de construcción deberán dividirse en fases. Ej. (1) Adquisición de Terrenos, (2) Diseño e Ingeniería, (3) Construcción.
- Adquisición de Terrenos deberán seguir las guías de la *Circular Award Management Requirements Circular* (5010.1E).
<https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/regulations-and-guidance/fta-circulars/58051/5010-1e-circular-award-management-requirements-7-16-18.pdf>
- En los casos de proyecto de construcción de considerar o incluir espacios comerciales u otras actividades no relacionadas al sistema de transportación, el recipiente y/o subrecipiente debe iniciar el proceso de *Incidental Uses* para estas actividades.

Departamento de Transportación y Obras Públicas (DTOP)
 Autoridad de Carreteras y Transportación (ACT)
 Administración Federal de Transportación Colectiva (FTA, por sus siglas en inglés)

"The preparation of this report has been financed in part through a grant from the U. S. Department of Transportation, under the Federal Transit Act as codified in 49USC 5301, et.seq., and related laws".

Informe del Estado Financiero

1. Municipio _____

2. Núm. del Proyecto _____

3. Período del Informe:
 Desde _____ Hasta _____

4. % del Proyecto Completado _____

5. Funciones	Cantidad Total (100%)	Aportación Federal (80%)
a. Costo Total autorizado del Proyecto.		
b. Gastos incurridos reembolsados.		
c. Balance (línea a menos línea b).		
d. Gastos incurridos no reembolsados.		
e. Balance disponible a solicitar.		

Certifico que examiné este informe, que realmente se efectuaron los gastos mencionados en el mismo, que no han sido reclamados anteriormente y están de acuerdo con los récords y libros de contabilidad del Proyecto.

 Director
 Oficina de Finanzas

 Fecha

Department of Transportation and Public Works (DTPW)
 Highway and Transportation Authority (HTA)
 Federal Transit Administration (FTA)

"The preparation of this report has been financed in part through a grant from the U. S. Department of Transportation, under the Federal Transit Act as codified in 49USC 5301, et.seq., and related laws".

Periodic Progress Report

1. Subgrantee _____ 2. Project No. _____
 3. Reporting Period: From _____ To _____ 4. % of Project Completed _____
 5. Project Starting Date: _____

6. Activity/Tasks	7. Percent of Work Completed	8. Check which box below best describes the status of each activity:	
		On Schedule	Not on Schedule

9. For each activity not on Schedule, complete Variance Report form (RPT 82-90)

 Director
 Federal Program Office

 Date

Department of Transportation and Public Works (DTPW)
Highway and Transportation Authority (HTA)
Federal Transit Administration (FTA)

"The preparation of this report has been financed in part through a grant from the U. S. Department of Transportation, under the Federal Transit Act as codified in 49USC 5301, et.seq., and related laws".

Variance Report

1. Subgrantee _____ **2. Project No.** _____

3. Reporting Period:
From _____ To _____ **4. Project Starting Date:** _____

5. What is the delayed activity?	
6. What caused the delay?	
7. What corrective action do you plan to take?	
8. How long has the project been delayed?	
9. Will the delayed activity affect the projected total cost of the project?	<p style="text-align: center;">Yes No</p> <p style="text-align: center;">[_____] [_____]</p> <p>If yes, what is the total cost overrun of the project?</p> <p>_____</p>

SUB-RECIPIENT OVERSIGHT PROTOCOL FEDERAL COORDINATION OFFICE



SUB-RECIPIENT OVERSIGHT PROTOCOL

Program Oversight

To comply with FTA requirements, the Puerto Rico Highway and Transit Authority (PRHTA) is responsible for conducting consistent monitoring visits of its subrecipients to determine level of performance and compliance with required federal regulations and identify areas of need for support and technical assistance, provided via trainings, visits, written communications and telephone assistance.

PRHTA assesses and evaluates its subrecipients' management practices and their compliance with program and administrative requirements in the various areas stated in 49 U.S.C. chapter 53 through its monitoring reviews. This helps PRHTA gauge its recipients' areas and level of need. This information drives the agency's technical assistance effort and its reporting requirements to the FTA. PRHTA follows the specific monitoring processes, procedures and regulatory guidance contained in the FTA Comprehensive Review Guide for Triennial Reviews.

The Monitoring Process:

- The monitoring process incorporates the full cycle of grants for subrecipient monitoring.
- The approach emphasizes both advising the subrecipient of their responsibilities and assessing compliance.
- The PRHTA monitoring process comprises desk monitoring and/or site monitoring, depending on the degree of compliance of the subgrantee.

The activities encompassed in the monitoring review include:

1. FTA Subrecipient Funding Agreement Execution
2. Ongoing FTA subrecipient monitoring including monthly invoice reviews and review of quarterly reporting requirements.
3. Formal compliance reviews – desk and on site
4. Closeout report with a table of findings and a recommended Corrective Action Plan

The monitoring instrument used is the Puerto Rico Highway and Transportation Authority (PRHTA) Oversight Review Checklist.

The areas monitored include:

- 1) Legal
- 2) Financial Management
- 3) Technical Capacity
- 4) Satisfactory Continuing Control
- 5) Maintenance Program
- 6) Procurement
- 7) Disadvantage Business Enterprise (DBE)
- 8) Title VI
- 9) The American with Disabilities Act (ADA) implementation
- 10) Equal Opportunity Employment Act implementation
- 11) School Bus
- 12) Charter Bus
- 13) Drug & Alcohol Program

The documentation reviewed/solicited includes:

- Maintenance Record
- Drug and Alcohol Process
- Drug and Alcohol Testing Records
- Title IV Complaint Process and Plan
- ADA Compliance (Complaint Process and Plan)
- Insurance Policies
- Travel Log
- Driver's Trainings evidence
- Single Audit Report
- Driver's License
- Route Schedule
- Established Routes
- DBE
- EEO

Formal Compliance Reviews

All FTA subrecipients shall receive a desktop review and a formal on-site compliance review every three years using the PRHTA Oversight Review Checklist.

These reviews will consist of the following activities performed by the grant manager in coordination with the Federal Coordination Office (FCO) Director:

- a) Notification of Review to the recipient
- b) Desk review of submitted documents
- c) On site Review if needed
- d) Completion of Oversight Review Checklist by the Grant Manager
- e) Verification of Completion of the Oversight Review Checklist by the FCO Director
- f) Compliance Review Report submission to the subrecipient
- g) Corrective Action Monitoring

Subrecipients will be reviewed against the FTA requirements for each area as outlined in the table below.

Compliance	Basic Requirement
Legal	The sub-recipient must promptly notify the Puerto Rico Highway and Transportation Authority of legal matters and additionally notify the US DOT Office of Inspector General (OIG) of any instances relating to false claims under the False Claims Act or fraud. Recipients must comply with restrictions on lobbying requirements.
Financial Management and Capacity	The sub-recipient must demonstrate the ability to match and manage FTA gran funds, cover cost increases and operating deficits, cover maintenance and operational costs for FTA funded facilities and equipment, as well as conduct a Single Audit if applicable.
Technical Capacity	The sub-recipient must be able to implement FTA funded projects in accordance with the grant application, Master Agreement, and all applicable laws and regulations, using sound management practices.
Satisfactory Continuing Control	The subrecipient must ensure that FTA-funded property will remain available to be used for its originally authorized purpose throughout its useful life until disposition.
Maintenance	The subrecipient must keep federally funded vehicles, equipment and facilities in good operating condition. Recipients must keep Americans with Disabilities Act (ADA) accessibility features on all vehicles, equipment, and facilities in good operating order.
Procurement	Subrecipients use their own procurement procedures that reflect applicable state and local laws and regulations, provided that the process ensures competitive procurement and the procedures conform to applicable federal law, including 49 CFR Part 18 (specifically Section 18.36) and FTA Circular 4220.1F, "Third Party Contracting Guidance".
Disadvantaged Business Enterprise (DBE)	The sub-recipient must comply with 49 CFR Part 26 to ensure nondiscrimination in the award and administration of DOT-assisted contracts. Subrecipients also must create a level playing field on which DBE's can compete fairly for DOT-assisted contracts.

Title VI	The sub recipient must ensure that no person shall, on the gounds of race, color, or national origin, be excluded from participating in, or be denied the benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance without regard to whether specific projects or services are federally funded. The recipient must ensure that all transit services and related benefits are distributed in an equitable manner.
Americans with Disabilities Act (ADA)	Title II and III of the Americans with Disabilities Act of 1990 provide that no entity shall discriminate against an individual with a disability in connection with the provision of transportation service. The law sets forth specific requirements for vehicle and facility accessibility and the provision of service, including complementary paratransit service.
Equal Employment Opportunities (EEO)	The sub-recipient must ensure that no person in the United States shall on the grounds of race, color, religion, national origin, sex, age, or disability be excluded from participating in or denied the benefits of or be subject to discrimination in employment under any project, program, or activity receiving Federal financial assistance under the Federal transit laws. (Note: Equal Employment Opportunity Commission’s regulation only identifies/recognizes religion and not creed as one of the protected groups.)
School Bus	Subrecipients are prohibited from providing school bus service in competition with private school bus operators unless the service qualifies and is approved by the Federal Transit Administration (FTA) Administrator under an allowable exemption. Federally funded equipment or facilities cannot be used to provide exclusive bus service.
Charter Bus	Sub-recipients are prohibiting from using federally funded equipment and facilities to provide charter service if a registered private charter operator expresses interest in providing the service. Recipients can operate community-based charter services pursuant to certain regulatory exceptions.
Drug and Alcohol Program	Subrecipients receiving Section 5307, 5309, 5311, or 5339 funds that have safety-sensitive employees must have a drug and alcohol testing program in place for such employees.

Review of Submitted Documents:

Before On-site Review:

- Information Request: The Federal Coordination Office will request relevant documentation in advance of the site visit based on the requirements. The Compliance Review Document List indicates the relevant documents for each area. The requested documents will be determined by the review areas applicable to each subrecipient. The

Subrecipient's documentation should be received at the Federal Coordination Office of the PRHTA two weeks prior to the site visit to allow for appropriate review.

- Review Documentation: The Federal Coordination Office will review all submitted documents. The team will record which documents were received and if there were performance or information gaps in meeting the FTA requirements in each area and notify the subgrantee to ensure these areas are covered during the onsite review.

On-Site Review:

The Federal Coordination Office will coordinate the on-site reviews.

The on-site reviews will focus on performance gaps identified during the pre-site visit documentation review, changes in policies and procedures, risk-based assessment of grant management areas, and federally funded procurements. Documents, vehicles and facilities will be evaluated.

Depending on the scope and depth of the program the on-site reviews may last from one to two days and encompass the following:

- Entrance Conference – the first meeting of the site visit between the Federal Coordination Office and subrecipient. The Federal Coordination Office will introduce themselves, present an overview of the compliance review objectives and process, and confirm arrangements for the review (documents requested, staff interviews, projects or federally funded assets to be inspected,). The subrecipient will have the opportunity to raise any issues they would like to discuss.
- Interviews and Review of Outstanding documentation – To cover any outstanding questions or gaps from the desk review.
- Visit and Inspect Federally Funded Facilities, Vehicles and Other Major Assets including:
 - observing the condition of facility and equipment,
 - reviewing preventive maintenance records for a sample of federally funded revenue vehicles and facilities,
 - verifying that the subrecipient has equipment control procedures and reviewing procurement files and other documentation to confirm that the subrecipient has effective and comprehensive oversight procedures.
- Preliminary findings of deficiency – During the review, the Federal Coordination Office will check all FTA requirements and tabulate the findings. This is done to help identify the preliminary findings and ensure all areas are covered while on site.
- Exit Conference – The site visit will conclude with an exit conference during which the Federal Coordination Office will debrief the subrecipient team on the observations made and the next steps in the process.

Findings:

The table below indicates the headings used to document findings and an example finding:

Municipality:

Site Visit Date:

Finding Report:

Area	Finding	Deficiency	Corrective Action (Recommended)	Corrective Action
Title VI	A written process for Title VI Program does not exist.	We have identified that the Municipality does not have a written process of Title VI. Does not comply with 49CFR, section 21.9 (d)	Develop a written process for Title VI, in compliance with FTA requirements. An example for this process has been attached.	

Each finding will be accompanied by a corrective action that must be completed by the subrecipient to bring the project into compliance with FTA requirements. The corrective actions, along with timescales for completion, form a corrective action plan which the subrecipient will be monitored on. Corrective actions may include developing new policies and procedures, training staff, maintaining appropriate documentation, disseminating policies, ensuring implementation of policies and monitoring of staff performance to ensure compliant policies are followed.

Corrective actions will be specific, measurable, and assignable to the subrecipient to ensure the deficiency is removed. The timescale given for the corrective action will be realistic but also enable the deficiency to be addressed as quickly as possible. All corrective actions should be completed within 90 days of the date of the final report.

If a finding stems from a one-off event, example not completing an equity analysis for a past fare or service change, since it is too late to undertake the analysis as the change has occurred, the subrecipient will instead be asked to submit procedures ensuring the requirement is not missed in the future. If this is done, the finding would not be carried in future compliance reviews.

Compliance Review Report:

Based on the findings noted, the Federal Coordination Office will develop a report indicating all performance gaps identified in the relevant compliance areas because of the review. The draft report should be sent to the subrecipient for comment within 60 business days after the date of the site visit.

Between the site visit and date of the draft report the subrecipient can submit to the Federal Coordination Office documentation that will be considered in the draft report. Thus,

- If the documentation provides clarification that the subrecipient was compliant at the time of the site visit, reference to the finding should be removed.
- If the documents provide evidence that a finding has been corrected since the site visit, the finding should be listed in the draft report, but noted as closed.

The subrecipient will be sent the FTA Compliance Review Report and corrective action plan within 60 days of the date of the site visit and will have 60 business days to comment on the corrective actions planned or recommended.

The FTA Compliance Review Report will be submitted to the PRHTA Federal Coordination Office for transmittal to the subrecipient. (See appendix A)

Corrective Action Monitoring:

The PRHTA Federal Coordination Office will be responsible for tracking the status of all corrective actions and determining when all corrective action requirements have been met within the agreed timeframe. Progress should be reported to the Grants Manager. If a subrecipient does not deliver the corrective actions in the agreed timeframe, future payments may be withheld, or additional funding may not be provided.

Prior to submission of the inspection/ compliance report to the sub recipient; the FCO Director will review the oversight checklist for verification of the reviewed section.

APPENDIX A



Date _____

Hon
Mayor
Municipality of _____

INSPECTION / COMPLIANCE REPORT

Dear Mayor _____:

On _____, staff from the Federal Coordination Office visited the Municipality of _____ to conduct an inspection of the federally funded equipment and facilities administered with Federal Transit Administration (FTA) funds. This inspection determines whether your municipality is managing FTA-funded programs in accordance with 49 U.S.C. Chapter 53 (Provisions of Federal Transit Law and our Interagency Agreement). During this visit, relevant documentation regarding to technical, legal, and financial capacity, ADA, Civil Rights among others were evaluated to determine compliance with the federal requirements for equipment financed with funds from the FTA.

A findings report reflecting the monitored areas, identifying deficiencies, evidence obtained, recommended corrective is attached. Please provided a corrective action plans for the said deficiencies.

We will appreciate your response within thirty (30) working days of receipt of this communication. If you have any questions about the review, discussion topics, or revised documentation, you may contact (787) 721-8787 Ext. 1600 or 1601.

Cordially,

Sonia Montañez Colón
Director
Federal Coordination Office





RESULTS OF THE REVIEW

Sub -Recipient Name: _____

Funding Source: Section 5307 Section 5310 Section 5311 Section 5339

PRHTA is the Puerto Rico’s designated Recipient to administer and distribute funds granted by the Federal Transit Administration (FTA) for transportation-related projects. As part of its Recipient functions, PRHTA is subject to a Triennial Review conducted by the FTA, which is a comprehensive oversight to monitor whether a Recipient is administering its FTA-funded programs in accordance with Federal transit law provisions under 49 U.S.C. Chapter 53.

The PRHTA will follow the Desk Review with an On-Site/Virtual review process, which consist of site visits to the Subrecipient’s place of business. During this process, PRHTA representatives and the Subrecipient discuss outstanding issues, examine FTA-funded facilities and equipment, and review additional documents.

As part of the sub recipient oversight program, the PRHTA has develop a structured oversight process. A summary of the Review Area is provided in the table below.

<i>Review Area</i>	<i>Deficiencies</i>	<i>Submitted document</i>	<i>Corrective Actions</i>
<i>Legal</i>			
<i>Technical Capacity</i>			
<i>Financial management</i>			
<i>Procurement</i>			
<i>DBE</i>			
<i>Satisfactory Continuing Control</i>			
<i>Maintenance</i>			
<i>ADA</i>			
<i>Title VI</i>			
<i>Equal Employment Opportunity</i>			
<i>Drugs and Alcohol Program</i>			
<i>Safety and Security</i>			
<i>Public Comment</i>			





OMB APPROVAL NO:
2105-0510
Expiration Date: 10/31/2021

Appendix F

UNIFORM CERTIFICATION APPLICATION
DISADVANTAGED BUSINESS ENTERPRISE (DBE) /
AIRPORT CONCESSION DISADVANTAGED BUSINESS ENTERPRISE (ACDBE)
49 C.F.R. Parts 23 and 26

Roadmap for Applicants

1. Should I apply?

You may be eligible to participate in the DBE/ACDBE program if:

- The firm is a for-profit business that performs or seeks to perform transportation related work (or a concession activity) for a recipient of Federal Transit Administration, Federal Highway Administration, or Federal Aviation Administration funds.
- The firm is at least 51% owned by a socially and economically disadvantaged individual(s) who also controls it.
- The firm's disadvantaged owners are U.S. citizens or lawfully admitted permanent residents of the U.S.
- The firm meets the Small Business Administration's size standard and DBE/ACDBE size standards—
<https://www.transportation.gov/DBEsizestandards>

2. How do I apply?

First time applicants for DBE certification must complete and submit this certification application and related material to the certifying agency in your home state and participate in an on-site interview conducted by that agency. The attached document checklist can help you locate the items you need to submit to the agency with your completed application. If you fail to submit the required documents, your application may be delayed and/or denied. Firms already certified as a DBE do not have to complete this form, but may be asked by certifying agencies outside of your home state to provide a copy of your initial application form, supporting documents, and any other information you submitted to your home state to obtain certification or to any other state related to your certification.

3. Where can I send my application? [INSERT UCP PARTICIPATING MEMBER CONTACT INFORMATION]

4. Who will contact me about my application and what are the eligibility standards? A transportation agency in your state that performs certification functions will contact you. The agency is a member of a statewide Unified Certification Program (UCP), which is required by the U.S. Department of Transportation. The UCP is a one-stop certification program that eliminates the need for your firm to obtain certification from multiple certifying agencies within your state. The UCP is responsible for certifying firms and maintaining a database of certified DBEs and ACDBEs, pursuant to the eligibility standards found in 49 C.F.R. Parts 23 and 26.

5. Where can I find more information?

U.S. DOT—<https://www.transportation.gov/civil-rights> (This site provides useful links to the rules and regulations governing the DBE/ACDBE program, questions and answers, and other pertinent information)

SBA—Small Business Size Standards matched to the North American Industry Classification System (NAICS):
<http://www.census.gov/eos/www/naics/> and <http://www.sba.gov/content/table-small-business-size-standards>.

In collecting the information requested by this form, the Department of Transportation (Department) complies with the provisions of the Federal Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a). The Privacy Act provides comprehensive protections for your personal information. This includes how information is collected, used, disclosed, stored, and discarded. Your information will not be disclosed to third parties without your consent. The information collected will be used solely to determine your firm's eligibility to participate in the Department's Disadvantaged Business Enterprise Program as defined in 49 C.F.R. §26.5 and the Airport Concession Disadvantaged Business Enterprise Program as defined in 49 C.F.R. §23.3. You may review DOT's complete Privacy Act Statement in the Federal Register published on April 11, 2000 (65 FR 19477).

Under 49 C.F.R. §26.107, dated February 2, 1999 and January 28, 2011, if at any time, the Department or a recipient has reason to believe that any person or firm has willfully and knowingly provided incorrect information or made false statements, the Department may initiate suspension or debarment proceedings against the person or firm under 2 C.F.R. Parts 180 and 1200, No procurement Suspension and Department, take enforcement action under 49 C.F.R. Part 31, Program Fraud and Civil Remedies, and/or refer the matter to the Department of Justice for criminal prosecution under 18 U.S.C. 1001, which prohibits false statements in Federal programs.



**INSTRUCTIONS FOR COMPLETING THE
DISADVANTAGED BUSINESS ENTERPRISE (DBE)
AIRPORT CONCESSIONS DISADVANTAGED BUSINESS ENTERPRISE (ACDBE)
UNIFORM CERTIFICATION APPLICATION**

NOTE: All participating firms must be for-profit enterprises. If your firm is not for profit, then you do NOT qualify for the DBE/ACDBE program and should not complete this application. If you require additional space for any question in this application, please attach additional sheets or copies as needed, taking care to indicate on each attached sheet/copy the section and number of this application to which it refers.

Section 1: CERTIFICATION INFORMATION

A. Basic Contact Information

- (1) Enter the contact name and title of the person completing this application and the person who will serve as your firm's contact for this application.
- (2) Enter the legal name of your firm, as indicated in your firm's Articles of Incorporation or charter.
- (3) Enter the primary phone number of your firm.
- (4) Enter a secondary phone number, if any.
- (5) Enter your firm's fax number, if any.
- (6) Enter the contact person's email address.
- (7) Enter your firm's website addresses, if any.
- (8) Enter the street address of the firm where its offices are physically located (not a P.O. Box).
- (9) Enter the mailing address of your firm, if it is different from your firm's street address.

B. Prior/Other Certifications and Applications

- (10) Check the appropriate box indicating whether your firm is currently certified in the DBE/ACDBE programs, and provide the name of the certifying agency that certified your firm. List the dates of any site visits conducted by your home state and any other states or UCP members. Also provide the names of state/UCP members that conducted the review.
- (11) Indicate whether your firm or any firms owned by the persons listed has ever been denied certification as a DBE/ACDBE, 8(a), or Small Disadvantaged Business (SDB) firm, or state and local MBE/WBE firm. Indicate if the firm has ever been decertified from one of these programs. Indicate if the application was withdrawn or whether the firm was debarred, suspended, or otherwise had its bidding privileges denied or restricted by any state or local agency, or Federal entity. If your answer is yes, identify the name of the agency, and explain fully the nature of the action in the space provided. Indicate if you have ever appealed this decision to the Department and if so, attach a copy of USDOT's final agency decision(s).

Section 2: GENERAL INFORMATION

A. Business profile:

- (1) Give a concise description of the firm's primary activities, the product(s) or services the company provides, or type of construction. If your company offers more than one product/service, list primary product or service first (attach additional sheets if necessary). This description may be used in our UCP online directory if you are certified as a DBE.

- (2) If you know the appropriate NAICS Code for the line(s) of work you identified in your business profile, enter the codes in the space provided.
- (3) State the date on which your firm was established as stated in your firm's Articles of Incorporation or charter.
- (4) State the date each person became a firm owner.
- (5) Check the appropriate box describing the manner in which you and each other owner acquired ownership of your firm. If you checked "Other," explain in the space provided.
- (6) Check the appropriate box that indicates whether your firm is "for profit." **If you checked "No," then you do NOT qualify for the DBE/ACDBE program** and should not complete this application. All participating firms must be for-profit enterprises. Provide the Federal Tax ID number as stated on your firm's Federal tax return.
- (7) Check the appropriate box that describes the type of legal business structure of your firm, as indicated in your firm's Articles of Incorporation or similar document. If you checked "Other," briefly explain in the space provided.
- (8) Indicate in the spaces provided how many employees your firm has, specifying the number of employees who work on a full-time, part-time, and seasonal basis. Attach a list of employees, their job titles, and dates of employment, to your application.
- (9) Specify the firm's gross receipts for each of the past three years, as stated in your firm's filed Federal tax returns. You must submit complete copies of the firm's Federal tax returns for each year. If there are any affiliates or subsidiaries of the applicant firm or owners, you must provide these firms' gross receipts and submit complete copies of these firm(s) Federal tax returns. Affiliation is defined in 49 C.F.R. §26.5 and 13 C.F.R. Part 121.

B. Relationships and Dealings with Other Businesses

- (1) Check the appropriate box that indicates whether your firm is co-located at any of its business locations, or whether your firm shares a telephone number(s), a post office box, any office space, a yard, warehouse, other facilities, any equipment, financing, or any office staff and/or employees with any other business, organization or entity of any kind. If you answered "Yes," then specify the name of the other firm(s) and fully explain the nature of your relationship with these other businesses by identifying the business or person with whom you have any formal, informal, written, or oral



agreement. Provide an explanation of any items shared with other firms in the space provided.

- (2) Check the appropriate box indicating whether any other firm currently has or had an ownership interest in your firm at present or at any time in the past. If you checked yes, please explain.
- (3) Check the appropriate box that indicates whether at present or at any time in the past your firm:
 - (a) ever existed under different ownership, a different type of ownership, or a different name;
 - (b) existed as a subsidiary of any other firm;
 - (c) existed as a partnership in which one or more of the partners are/were other firms;
 - (d) owned any percentage of any other firm; and
 - (e) had any subsidiaries of its own.
 - (f) served as a subcontractor with another firm constituting more than 25% of your firm's receipts.

If you answered "Yes" to any of the questions in (3)(a-f), you may be asked to explain the arrangement in detail.

Section 3: MAJORITY OWNER INFORMATION

Identify all individuals or holding companies with any ownership interest in your firm, providing the information requested below (if your firm has more than one owner, provide completed copies of this section for each owner):

A. Identify the majority owner of the firm holding 51% or more ownership interest

- (1) Enter the full name of the owner.
- (2) Enter his/her title or position within your firm.
- (3) Give his/her home phone number.
- (4) Enter his/her home (street) address.
- (5) Indicate this owner's gender.
- (6) Identify the owner's ethnic group membership. If you checked "Other," specify this owner's ethnic group/identity not otherwise listed.
- (7) Check the appropriate box to indicate whether this owner is a U.S. citizen or a lawfully admitted permanent resident. If this owner is neither a U.S. citizen nor a lawfully admitted permanent resident of the U.S., then this owner is NOT eligible for certification as a DBE owner.
- (8) Enter the number of years during which this owner has been an owner of your firm.
- (9) Indicate the percentage of the total ownership this person holds and the date acquired, including (if appropriate), the class of stock owned.
- (10) Indicate the dollar value of this owner's initial investment to acquire an ownership interest in your firm, broken down by cash, real estate, equipment, and/or other investment. Describe how you acquired your business and attach documentation substantiating this investment.

B. Additional Owner Information

- (1) Describe the familial relationship of this owner to each other owner of your firm and employees.
- (2) Indicate whether this owner performs a management or supervisory function for any other business. If you checked "Yes," state the name of the other business and this owner's function/title held in that business.

- (3) (a) Check the appropriate box that indicates whether this owner owns or works for any other firm(s) that has any relationship with your firm. If you checked "Yes," identify the name of the other business, the nature of the business relationship, and the owner's function at the firm.
 - (b) If the owner works for any other firm, non-profit organization, or is engaged in any other activity more than 10 hours per week, please identify this activity.
- (4) (a) Provide the personal net worth of the owner applying for certification in the space provided. Complete and attach the accompanying "Personal Net Worth Statement for DBE/ACDBE Program Eligibility" with your application. Note, complete this section and accompanying statement only for each owner applying for DBE qualification (i.e., for each owner claiming to be socially and economically disadvantaged).
- (b) Check the appropriate box that indicates whether any trust has been created for the benefit of the disadvantaged owner(s). If you answered "Yes," you may be asked to provide a copy of the trust instrument.
- (5) Check the appropriate to indicate whether any of your immediate family members, managers, or employees, own, manage, or are associated with another company. Immediate family member is defined in 49 C.F.R. §26.5. If you answered "Yes," provide the name of each person, your relationship to them, the name of the company, the type of business, and whether they own or manage the company.

Section 4: CONTROL

A. Identify the firm's Officers and Board of Directors

- (1) In the space provided, state the name, title, date of appointment, ethnicity, and gender of each officer.
- (2) In the space provided, state the name, title, date of appointment, ethnicity, and gender of each individual serving on your firm's Board of Directors.
- (3) Check the appropriate box to indicate whether any of your firm's officers and/or directors listed above performs a management or supervisory function for any other business. If you answered "Yes," identify each person by name, his/her title, the name of the other business in which s/he is involved, and his/her function performed in that other business.
- (4) Check the appropriate box that indicates whether any of your firm's officers and/or directors listed above own or work for any other firm(s) that has a relationship with your firm. (e.g., ownership interest, shared office space, financial investments, equipment leases, personnel sharing, etc.) If you answered "Yes," identify the name of the firm, the individual's name, and the nature of his/her business relationship with that other firm.

B. Duties of Owners, Officers, Directors, Managers and Key Personnel

- (1), (2) Specify the roles of the majority and minority owners, directors, officers, and managers, and key personnel who are responsible for the functions listed for the firm. Submit résumés for each owner and non-owner identified below. State the name of the individual, title, race



and gender and percentage ownership if any. Circle the frequency of each person's involvement as follows: "always, frequently, seldom, or never" in each area.

Indicate whether any of the persons listed in this section perform a management or supervisory function for any other business. Identify the person, business, and their title/function. Identify if any of the persons listed above own or work for any other firm(s) that has a relationship with this firm (e.g. ownership interest, shared office space, financial investment, equipment, leases, personnel sharing, etc.) If you answered "Yes," describe the nature of his/her business relationship with that other firm.

C. Inventory: Indicate firm inventory in these categories:

(1) Equipment and Vehicles

State the make and model, and current dollar value of each piece of equipment and motor vehicle held and/or used by your firm. Indicate whether each piece is either owned or leased by your firm or owner, whether it is used as collateral, and where this item is stored.

(2) Office Space

State the street address of each office space held and/or used by your firm. Indicate whether your firm or owner owns or leases the office space and the current dollar value of that property or its lease.

(3) Storage Space

State the street address of each storage space held and/or used by your firm. Indicate whether your firm or owner owns or leases the storage space and the current dollar value of that property or its lease. Provide a signed lease agreement for each property.

D. Does your firm rely on any other firm for management functions or employee payroll?

Check the appropriate box that indicates whether your firm relies on any other firm for management functions or for employee payroll. If you answered "Yes," you may be asked to explain the nature of that reliance and the extent to which the other firm carries out such functions.

E. Financial / Banking Information

State the name, City and State of your firm's bank. Identify the persons able to sign checks on this account. Provide bank authorization and signature cards.

Bonding Information. State your firm's bonding limits both aggregate and project limits.

F. Sources, amounts, and purposes of money loaned to your firm, including the names of persons or firms guaranteeing the loan.

State the name and address of each source, the name of person securing the loan, original dollar amount and the current balance of each loan, and the purpose for which each

loan was made to your firm. Provide copies of signed loan agreements and security agreements

G. Contributions or transfers of assets to/from your firm and to/from any of its owners or another individual over the past two years:

Indicate in the spaces provided, the type of contribution or asset that was transferred, its current dollar value, the person or firm from whom it was transferred, the person or firm to whom it was transferred, the relationship between the two persons and/or firms, and the date of the transfer.

H. Current licenses/permits held by any owner or employee of your firm.

List the name of each person in your firm who holds a professional license or permit, the type of permit or license, the expiration date of the permit or license, and issuing State of the license or permit. Attach copies of licenses, license renewal forms, permits, and haul authority forms.

I. Largest contracts completed by your firm in the past three years, if any.

List the name of each owner or contractor for each contract, the name and location of the projects under each contract, the type of work performed on each contract, and the dollar value of each contract.

J. Largest active jobs on which your firm is currently working.

For each active job listed, state the name of the prime contractor and the project number, the location, the type of work performed, the project start date, the anticipated completion date, and the dollar value of the contract.

Section 5: AIRPORT CONCESSION (ACDBE) APPLICANTS

Complete the entries in this section if you are applying for ACDBE certification. Indicate in Section A if you operate a concession at the airport, and/or supply a good or service to an airport concessionaire. Indicate in Section B whether the applicant firm owns or operates any off-airport locations, providing the type of business, lease information, address/location, and annual gross receipts generated. Provide similar information in section C for any airport concession locations the firm currently owns or operates. If the applicant firm has any affiliates, provide the requested information in Section D. Indicate whether the ACDBE firm is participating in any joint ventures, and if so, include the original and any amended joint venture agreements.

AFFIDAVIT & SIGNATURE

The Affidavit of Certification must accompany your application. Carefully read the attached affidavit in its entirety. Fill in the required information for each blank space, and sign and date the affidavit in the presence of a Notary Public, who must then notarize the form.



Section 1: CERTIFICATION INFORMATION

A. Basic Contact Information

I am applying for certification as DBE ACDBE

(1) Contact person and Title: _____

(2) Legal name of firm: _____

(3) Phone #: (____) _____ - _____ (4) Other Phone #: (____) _____ - _____ (5) Fax #: (____) _____ - _____

(6) E-mail: _____ (7) Firm Websites: _____

(8) Street address of firm (No P.O. Box): _____ City: _____ County/Parish: _____ State: _____ Zip: _____ - _____

(9) Mailing address of firm (if different): _____ City: _____ County/Parish: _____ State: _____ Zip: _____ - _____

B. Prior/Other Certifications and Applications

(10) Is your firm currently certified for any of the following U.S. DOT programs?

DBE ACDBE Names of certifying agencies: _____

⊗ If you are certified in your home state as a DBE/ACDBE, you do not have to complete this application for other states. Ask your state UCP about the interstate certification process.

List the dates of any site visits conducted by your home state and any other states or UCP members:

Date ___/___/___ State/UCP Member: _____ Date ___/___/___ State/UCP Member: _____

(11) Indicate whether the firm or any persons listed in this application have ever been:

- (a) Denied certification or decertified as a DBE, ACDBE, 8(a), SDB, MBE/WBE firm? Yes No
- (b) Withdrawn an application for these programs, or debarred or suspended or otherwise had bidding privileges denied or restricted by any state or local agency, or Federal entity? Yes No

If yes, explain the nature of the action. (If you appealed the decision to DOT or another agency, attach a copy of the decision)

Section 2: GENERAL INFORMATION

A. Business Profile: (1) Give a concise description of the firm's primary activities and the product(s) or service(s) it provides. If your company offers more than one product/service, list the primary product or service first. Please use additional paper if necessary. This description may be used in our database and the UCP online directory if you are certified as a DBE or ACDBE.

(2) Applicable NAICS Codes for this line of work include: _____

(3) This firm was established on ___/___/___ (4) I/We have owned this firm since: ___/___/___



(5) Method of acquisition (Check all that apply):

- Started new business Bought existing business Inherited business Gifted
- Merger or consolidation Other (explain) _____

(6) Is your firm "for profit"? Yes
Federal Tax ID# _____

No → **STOP!** If your firm is NOT for-profit, then you do NOT qualify for this program and should not fill out this application.

(7) Type of Legal Business Structure: (check all that apply):

- Sole Proprietorship
- Limited Liability Partnership
- Partnership Corporation
- Limited Liability Company Other, Describe _____

(8) Number of employees: Full-time _____ Part-time _____ Seasonal _____ Total _____
(Provide a list of employees, their job titles, and dates of employment, to your application).

(9) Specify the firm's gross receipts for the last 3 years. (Submit complete copies of the firm's Federal tax returns for each year. If there are affiliates or subsidiaries of the applicant firm or owners, you must submit complete copies of these firms' Federal tax returns).

Year _____	Gross Receipts of Applicant Firm \$ _____	Gross Receipts of Affiliate Firms \$ _____
Year _____	Gross Receipts of Applicant Firm \$ _____	Gross Receipts of Affiliate Firms \$ _____
Year _____	Gross Receipts of Applicant Firm \$ _____	Gross Receipts of Affiliate Firms \$ _____

B. Relationships and Dealings with Other Businesses

(1) Is your firm co-located at any of its business locations, or does it share a telephone number, P.O. Box, office or storage space, yard, warehouse, facilities, equipment, inventory, financing, office staff, and/or employees with any other business, organization, or entity? Yes No

If Yes, explain the nature of your relationship with these other businesses by identifying the business or person with whom you have any formal, informal, written, or oral agreement. Also detail the items shared

(2) Has any other firm had an ownership interest in your firm at present or at any time in the past?

Yes No If Yes, explain _____

(3) At present, or at any time in the past, has your firm:

- (a) Ever existed under different ownership, a different type of ownership, or a different name? Yes No
 - (b) Existed as a subsidiary of any other firm? Yes No
 - (c) Existed as a partnership in which one or more of the partners are/were other firms? Yes No
 - (d) Owned any percentage of any other firm? Yes No
 - (e) Had any subsidiaries? Yes No
 - (f) Served as a subcontractor with another firm constituting more than 25% of your firm's receipts? Yes No
- (If you answered "Yes" to any of the questions in (2) and/or (3)(a)-(f), you may be asked to provide further details and explain whether the arrangement continues).

Section 3: MAJORITY OWNER INFORMATION



A. Identify the majority owner of the firm holding 51% or more ownership interest.

(1) Full Name: _____ | (2) Title: _____ | (3) Home Phone #: _____
 _____ | _____ | () _____ - _____

(4) Home Address (Street and Number): _____ | City: _____ | State: _____ | Zip: _____
 _____ | _____ | _____ | _____ - _____

(5) Gender: Male Female

(6) Ethnic group membership (Check all that apply):

- Black
- Hispanic
- Asian Pacific
- Native American
- Subcontinent Asian
- Other (specify) _____

(7) U.S. Citizenship: U.S. Citizen
 Lawfully Admitted Permanent Resident

(8) Number of years as owner: _____
 (9) Percentage owned: _____ %
 Class of stock owned: _____ Date acquired _____

(10) Initial investment to acquire ownership interest in firm:	<u>Type</u>	<u>Dollar Value</u>
	Cash	\$ _____
	Real Estate	\$ _____
	Equipment	\$ _____
	Other	\$ _____

Describe how you acquired your business:
 Started business myself.
 It was a gift from: _____
 I bought it from: _____
 I inherited it from: _____
 Other _____
 (Attach documentation substantiating your investment)

B. Additional Owner Information

(1) Describe familial relationship to other owners and employees:

(2) Does this owner perform a management or supervisory function for any other business? Yes No
 If Yes, identify: Name of Business: _____ Function/Title: _____

(3)(a) Does this owner own or work for any other firm(s) that has a relationship with this firm? (e.g., ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc.) Yes No
 Identify the name of the business, and the nature of the relationship, and the owner's function at the firm:

(b) Does this owner work for any other firm, non-profit organization, or engage in any other activity more than 10 hours per week? If yes, identify this activity: _____

(4)(a) What is the personal net worth of this disadvantaged owner applying for certification? \$ _____

(b) Has any trust been created for the benefit of this disadvantaged owner(s)? Yes No
 (If Yes, you may be asked to provide a copy of the trust instrument).

(5) Do any of your immediate family members, managers, or employees own, manage, or are associated with another company? Yes No If Yes, provide their name, relationship, company, type of business, and indicate whether they own or manage the company: (Please attach extra sheets, if needed): _____

Section 3: OWNER INFORMATION, Cont'd.



A. Identify all individuals, firms, or holding companies that hold LESS THAN 51% ownership interest in the firm *(Attach separate sheets for each additional owner)*

(1) Full Name: _____	(2) Title: _____	(3) Home Phone #: () - _____
(4) Home Address <i>(Street and Number):</i> _____	City: _____	State: _____
		Zip: _____ - _____

(5) Gender: Male Female

(6) Ethnic group membership *(Check all that apply)*

Black
 Hispanic
 Asian Pacific
 Native American
 Subcontinent Asian
 Other *(specify)* _____

(7) U.S. Citizenship:

U.S. Citizen
 Lawfully Admitted Permanent Resident

(8) Number of years as owner: _____

(9) Percentage owned: _____ %

Class of stock owned: _____ Date acquired _____

(10) Initial investment to acquire ownership interest in firm:

<u>Type</u>	<u>Dollar Value</u>
Cash	\$ _____
Real Estate	\$ _____
Equipment	\$ _____
Other	\$ _____

Describe how you acquired your business:

Started business myself.
 It was a gift from: _____
 I bought it from: _____
 I inherited it from: _____
 Other _____

(Attach documentation substantiating your investment)

B. Additional Owner Information

(1) Describe familial relationship to other owners and employees:

(2) Does this owner perform a management or supervisory function for any other business? Yes No

If Yes, identify: Name of Business: _____ Function/Title: _____

(3)(a) Does this owner own or work for any other firm(s) that has a relationship with this firm? *(e.g., ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc.)* Yes No

Identify the name of the business, and the nature of the relationship, and the owner's function at the firm:

(b) Does this owner work for any other firm, non-profit organization, or is engaged in any other activity more than 10 hours per week? If yes, identify this activity: _____

(4)(a) What is the personal net worth of this disadvantaged owner applying for certification? \$ _____

(b) Has any trust been created for the benefit of this disadvantaged owner(s)? Yes No

(If Yes, you may be asked to provide a copy of the trust instrument).

(5) Do any of your immediate family members, managers, or employees own, manage, or are associated with another company? Yes No If Yes, provide their name, relationship, company, type of business, and indicate whether they own or manage: *(Please attach extra sheets, if needed):* _____

Section 4: CONTROL



A. Identify your firm's Officers and Board of Directors (If additional space is required, attach a separate sheet):

	Name	Title	Date Appointed	Ethnicity	Gender
(1) Officers of the Company	(a)				
	(b)				
	(c)				
	(d)				
(2) Board of Directors	(a)				
	(b)				
	(c)				
	(d)				

(3) Do any of the persons listed above perform a management or supervisory function for any other business?
 Yes No If Yes, identify for each:

Person: _____ Title: _____
 Business: _____ Function: _____

Person: _____ Title: _____
 Business: _____ Function: _____

(4) Do any of the persons listed in section A above own or work for any other firm(s) that has a relationship with this firm? (e.g., ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc.)

Yes No

If Yes, identify for each:

Firm Name: _____ Person: _____
 Nature of Business Relationship: _____

B. Duties of Owners, Officers, Directors, Managers, and Key Personnel

1. Complete for all Owners who are responsible for the following functions of the firm (Attach separate sheets as needed).

A= Always F = Frequently	S = Seldom N = Never	Majority Owner (51% or more)				Minority Owner (49% or less)			
		Name: _____	Title: _____	Percent Owned: _____		Name: _____	Title: _____	Percent Owned: _____	
Sets policy for company direction/scope of operations		A	F	S	N	A	F	S	N
Bidding and estimating		A	F	S	N	A	F	S	N
Major purchasing decisions		A	F	S	N	A	F	S	N
Marketing and sales		A	F	S	N	A	F	S	N
Supervises field operations		A	F	S	N	A	F	S	N
Attend bid opening and lettings		A	F	S	N	A	F	S	N
Perform office management (billing, accounts receivable/payable, etc.)		A	F	S	N	A	F	S	N
Hires and fires management staff		A	F	S	N	A	F	S	N
Hire and fire field staff or crew		A	F	S	N	A	F	S	N
Designates profits spending or investment		A	F	S	N	A	F	S	N
Obligates business by contract/credit		A	F	S	N	A	F	S	N
Purchase equipment		A	F	S	N	A	F	S	N
Signs business checks		A	F	S	N	A	F	S	N



2. Complete for all Officers, Directors, Managers, and Key Personnel who are responsible for the following functions of the firm. (Attach separate sheets as needed).

A= Always S = Seldom F = Frequently N = Never	Officer/Director/Manager/Key Personnel				Officer/Director/Manager/ Key Personnel			
	Name: _____				Name: _____			
	Title: _____				Title: _____			
	Race and Gender: _____				Race and Gender: _____			
	Percent Owned: _____				Percent Owned: _____			
Sets policy for company direction/scope of operations	A	F	S	N	A	F	S	N
Bidding and estimating	A	F	S	N	A	F	S	N
Major purchasing decisions	A	F	S	N	A	F	S	N
Marketing and sales	A	F	S	N	A	F	S	N
Supervises field operations	A	F	S	N	A	F	S	N
Attend bid opening and lettings	A	F	S	N	A	F	S	N
Perform office management (billing, accounts receivable/payable, etc.)	A	F	S	N	A	F	S	N
Hires and fires management staff	A	F	S	N	A	F	S	N
Hire and fire field staff or crew	A	F	S	N	A	F	S	N
Designates profits spending or investment	A	F	S	N	A	F	S	N
Obligates business by contract/credit	A	F	S	N	A	F	S	N
Purchase equipment	A	F	S	N	A	F	S	N
Signs business checks	A	F	S	N	A	F	S	N

Do any of the persons listed in B1 or B2 perform a management or supervisory function for any other business? If Yes, identify the person, the business, and their title/function: _____

Do any of the persons listed above own or work for any other firm(s) that has a relationship with this firm? (e.g., ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc.) If Yes, describe the nature of the business relationship: _____

C. Inventory: Indicate your firm's inventory in the following categories (Please attach additional sheets if needed):=

1. Equipment and Vehicles

Make and Model	Current Value	Owned or Leased by Firm or Owner?	Used as collateral?	Where is item stored?
1. _____				
2. _____				
3. _____				
4. _____				
5. _____				
6. _____				
7. _____				
8. _____				
9. _____				

2. Office Space

Street Address Owned or Leased by Firm or Owner? Current Value of Property or Lease

3. Storage Space (Provide signed lease agreements for the properties listed)



Street Address	Owned or Leased by Firm or Owner?	Current Value of Property or Lease
----------------	--------------------------------------	------------------------------------

D. Does your firm rely on any other firm for management functions or employee payroll? Yes No

E. Financial/Banking Information (Provide bank authorization and signature cards)

Name of bank: _____ City and State: _____
 The following individuals are able to sign checks on this account: _____

Name of bank: _____ City and State: _____
 The following individuals are able to sign checks on this account: _____

Bonding Information: If you have bonding capacity, identify the firm's bonding aggregate and project limits:
 Aggregate limit \$ _____ Project limit \$ _____

F. Identify all sources, amounts, and purposes of money loaned to your firm including from financial institutions. Identify whether you the owner and any other person or firm loaned money to the applicant DBE/ACDBE. Include the names of any persons or firms guaranteeing the loan, if other than the listed owner.
 (Provide copies of signed loan agreements and security agreements).

Name of Source	Address of Source	Name of Person Guaranteeing the Loan	Original Amount	Current Balance	Purpose of Loan
1. _____					
2. _____					
3. _____					

G. List all contributions or transfers of assets to/from your firm and to/from any of its owners or another individual over the past two years (Attach additional sheets if needed):

Contribution/Asset	Dollar Value	From Whom Transferred	To Whom Transferred	Relationship	Date of Transfer
1. _____					
2. _____					
3. _____					

H. List current licenses/permits held by any owner and/or employee of your firm
 (e.g. contractor, engineer, architect, etc.) (Attach additional sheets if needed):

Name of License/Permit Holder	Type of License/Permit	Expiration Date	State
1. _____			
2. _____			
3. _____			



I. List the three largest contracts completed by your firm in the past three years, if any:

Name of Owner/Contractor	Name/Location of Project	Type of Work Performed	Dollar Value of Contract
1. _____			
2. _____			
3. _____			

J. List the three largest active jobs on which your firm is currently working:

Name of Prime Contractor and Project Number	Location of Project	Type of Work	Project Start Date	Anticipated Completion Date	Dollar Value of Contract
1. _____					
2. _____					
3. _____					

Additional Information:



SECTION 5 - AIRPORT CONCESSION

(ACDBE APPLICANTS ONLY)

A. I am applying for ACDBE certification to: *(check all that apply)*

- Operate a concession at an airport Supply a good or service to an airport concessionaire

B. Does the applicant firm own/operate any off-airport locations? Yes No *If Yes, identify the following*

Type of Business (e.g., F&B, News & Gift, Retail, Duty Free, Advertising, etc.)	Lease Term (years)	Lease Start Date	Address / Location	Annual Gross Receipts Generated

C. Does the applicant firm currently own/operate any airport concession locations? Yes No *If Yes, supply the following information:*

Airport Name	Concession Type (e.g., F&B, News & Gift, Retail, Duty Free, Advertising, etc.)	Number of Leases	Number of Locations	Annual Gross Receipts Generated	Lease Type <i>(e.g. Direct Lease, Subcontract Management Agreement, etc. enter all that apply to the leases listed)</i>

D. Does the applicant firm have any affiliates? Yes No *If Yes, provide the following information concerning any locations owned/operated by affiliate firms.*

Airport Name	Concession Type (e.g., F&B, News & Gift, Retail, Duty Free, Advertising, etc.)	Number of Leases	Number of Locations	Annual Gross Receipts Generated	Lease Type <i>(e.g. Direct Lease, Subcontract Management Agreement, etc. enter all that apply to the leases listed)</i>

E. Is the ACDBE applicant firm a participant in any joint ventures? Yes No *If Yes, attach all original and any amended Joint Venture Agreements and any amendments to the agreements.*



AFFIDAVIT OF CERTIFICATION

This form must be signed and notarized for each owner upon which disadvantaged status is relied.

A MATERIAL OR FALSE STATEMENT OR OMISSION MADE IN CONNECTION WITH THIS APPLICATION IS SUFFICIENT CAUSE FOR DENIAL OF CERTIFICATION, REVOCATION OF A PRIOR APPROVAL, INITIATION OF SUSPENSION OR DEBARMENT PROCEEDINGS, AND MAY SUBJECT THE PERSON AND/OR ENTITY MAKING THE FALSE STATEMENT TO ANY AND ALL CIVIL AND CRIMINAL PENALTIES AVAILABLE PURSUANT TO APPLICABLE FEDERAL AND STATE LAW.

I _____ (full name printed),
swear or affirm under penalty of law that I am
_____ (title) of the applicant firm
_____ and that I
have read and understood all of the questions in this
application and that all of the foregoing information and
statements submitted in this application and its attachments
and supporting documents are true and correct to the best of
my knowledge, and that all responses to the questions are full
and complete, omitting no material information. The responses
include all material information necessary to fully and
accurately identify and explain the operations, capabilities and
pertinent history of the named firm as well as the ownership,
control, and affiliations thereof.

I recognize that the information submitted in this application is
for the purpose of inducing certification approval by a
government agency. I understand that a government agency
may, by means it deems appropriate, determine the accuracy
and truth of the statements in the application, and I authorize
such agency to contact any entity named in the application, and
the named firm's bonding companies, banking institutions,
credit agencies, contractors, clients, and other certifying
agencies for the purpose of verifying the information supplied
and determining the named firm's eligibility.

I agree to submit to government audit, examination and review
of books, records, documents and files, in whatever form they
exist, of the named firm and its affiliates, inspection of its
places(s) of business and equipment, and to permit interviews
of its principals, agents, and employees. I understand that
refusal to permit such inquiries shall be grounds for denial of
certification.

If awarded a contract, subcontract, concession lease or
sublease, I agree to promptly and directly provide the prime
contractor, if any, and the Department, recipient agency, or
federal funding agency on an ongoing basis, current, complete
and accurate information regarding (1) work performed on the
project; (2) payments; and (3) proposed changes, if any, to the
foregoing arrangements.

I agree to provide written notice to the recipient agency or
Unified Certification Program of any material change in the
information contained in the original application within 30
calendar days of such change (e.g., ownership changes,
address/telephone number, personal net worth exceeding \$1.32
million, etc.).

I acknowledge and agree that any misrepresentations in this
application or in records pertaining to a contract or subcontract
will be grounds for terminating any contract or subcontract
which may be awarded; denial or revocation of certification;
suspension and debarment; and for initiating action under
federal and/or state law concerning false statement, fraud or
other applicable offenses.

I certify that I am a socially and economically disadvantaged
individual who is an owner of the above-referenced firm seeking
certification as a Disadvantaged Business Enterprise or Airport
Concession Disadvantaged Business Enterprise. In support of my
application, I certify that I am a member of one or more of the
following groups, and that I have held myself out as a member of
the group(s): (Check all that apply):

- Female Black American Hispanic American
- Native American Asian-Pacific American
- Subcontinent Asian American Other (specify)

I certify that I am socially disadvantaged because I have been
subjected to racial or ethnic prejudice or cultural bias, or have
suffered the effects of discrimination, because of my identity
as a member of one or more of the groups identified above,
without regard to my individual qualities.

I further certify that my personal net worth does not exceed
\$1.32 million, and that I am economically disadvantaged
because my ability to compete in the free enterprise system has
been impaired due to diminished capital and credit
opportunities as compared to others in the same or similar line
of business who are not socially and economically
disadvantaged.

I declare under penalty of perjury that the information
provided in this application and supporting documents is true
and correct.

Signature _____ (Date) _____
(DBE/ACDBE Applicant)

NOTARY CERTIFICATE

UNIFORM CERTIFICATION APPLICATION SUPPORTING DOCUMENTS CHECKLIST



In order to complete your application for DBE or ACDBE certification, you must attach copies of all of the following REQUIRED documents. A failure to supply any information requested by the UCP may result in your firm denied DBE/ACDBE certification.

Required Documents for All Applicants

- Résumés (that include places of employment with corresponding dates), for all owners, officers, and key personnel of the applicant firm
- Personal Net Worth Statement for each socially and economically disadvantaged owners who the applicant firm relies upon to satisfy the Regulation's 51% ownership requirement.
- Personal Federal tax returns for the past 3 years, if applicable, for each disadvantaged owner
- Federal tax returns (and requests for extensions) filed by the firm and its affiliates with related schedules, for the past 3 years.
- Documented proof of contributions used to acquire ownership for each owner (*e.g., both sides of cancelled checks*)
- Signed loan and security agreements, and bonding forms
- List of equipment and/or vehicles owned and leased including VIN numbers, copy of titles, proof of ownership, insurance cards for each vehicle.
- Title(s), registration certificate(s), and U.S. DOT numbers for each truck owned or operated by your firm
- Licenses, license renewal forms, permits, and haul authority forms
- Descriptions of all real estate (including office/storage space, etc.) owned/leased by your firm and documented proof of ownership/signed leases
- Documented proof of any transfers of assets to/from your firm and/or to/from any of its owners over the past 2 years
- DBE/ACDBE and SBA 8(a), SDB, MBE/WBE certifications, denials, and/or decertification's, if applicable; and any U.S. DOT appeal decisions on these actions.
- Bank authorization and signatory cards
- Schedule of salaries (or other remuneration) paid to all officers, managers, owners, and/or directors of the firm
- List of all employees, job titles, and dates of employment.
- Proof of warehouse/storage facility ownership or lease arrangements

Partnership or Joint Venture

- Original and any amended Partnership or Joint Venture Agreements

Corporation or LLC

- Official Articles of Incorporation (*signed by the state official*)
- Both sides of all corporate stock certificates and your firm's stock transfer ledger
- Shareholders' Agreement(s)
- Minutes of all stockholders and board of director's meetings

- Corporate by-laws and any amendments
- Corporate bank resolution and bank signature cards
- Official Certificate of Formation and Operating Agreement with any amendments (for LLCs)

Optional Documents to Be Provided on Request

The certifying agency to which you are applying may require the submission of the following documents. If requested to provide these document, you must supply them with your application or at the on-site visit.

- Proof of citizenship
- Insurance agreements for each truck owned or operated by your firm
- Audited financial statements (if available)
- Trust agreements held by any owner claiming disadvantaged status
- Year-end balance sheets and income statements for the past 3 years (*or life of firm, if less than three years*)

Suppliers

- List of product lines carried and list of distribution equipment owned and/or leased

Land Acquisition for a Transit Facility and Title VI Equity Analysis
Region IV, Atlanta
March 30, 2021

Many projects that use FTA funding require land acquisition and land acquisition is a topic that results in questions and concerns about both the requirements and the process. Region IV wants to get ahead of some of these questions and concerns by providing the following land acquisition information. While the following information isn't comprehensive, it provides very clear information on what activities cannot occur for land acquisitions before NEPA is complete. Additionally, this information has recently been added to the FTA Region IV NEPA checklist so that all grant recipients engaging in NEPA activities have this important information when projects are initiated.

Property Acquisition: Unless an early or at-risk (hardship or protective buy) acquisition meets the conditions, property cannot be acquired until NEPA is **complete** and an environmental determination or decision document has been issued by FTA Region IV. This restriction is found in FTA's environmental regulations ([23 CFR 771.113](#)) and includes offers to purchase the property or any other commitment to purchase the property or to proceed to a settlement ([FTA Circular 5010.1E](#)). Project sponsors should contact FTA Region IV with any questions about potential timing of property acquisitions and their corresponding NEPA documentation.

Examples, which can be either implied or explicit, of prohibited acquisition activities during the NEPA process include:

- Any offer to purchase;
- Any negotiation to purchase;
- Any discussion on price;
- Any commitment to purchase or establishing any conditions of purchase; and,
- Any commitment to proceed to settlement.

Please see the [FTA's NEPA Real Estate FAQs](#) for more information.

Additionally, **equity analysis should be considered during land acquisitions**. Specifically:

[49 CFR Section 21.5\(b\)\(3\)](#) states, "In determining the site or location of facilities, a recipient or applicant may not make selections with the purpose or effect of excluding persons from, denying them the benefits of, or subjecting them to discrimination under any program to which this regulation applies, on the grounds of race, color, or national origin; or with the purpose or effect of defeating or substantially impairing the accomplishment of the objectives of the Act or this part." Title 49 CFR part 21, Appendix C, Section (3)(iv) provides, "The location of projects requiring land acquisition and the displacement of persons from their residences and businesses may not be determined on the basis of race, color, or national origin." For purposes of this requirement, "facilities" does not include bus shelters, as these are transit amenities and are covered in Chapter IV, nor does it include

transit stations, power substations, etc., as those are evaluated during project development and the NEPA process. **Facilities included in this provision include, but are not limited to, storage facilities, maintenance facilities, operations centers,** etc. In order to comply with the regulations:

- The recipient shall complete a **Title VI equity analysis** during the planning stage with regard to where a project is located or sited to ensure the location is selected without regard to race, color, or national origin. Recipients shall engage in outreach to persons potentially impacted by the siting of facilities. The Title VI equity analysis must compare the equity impacts of various siting alternatives, and the analysis must occur before the selection of the preferred site.
- When evaluating locations of facilities, recipients should give attention to other facilities with similar impacts in the area to determine if any cumulative adverse impacts might result. Analysis should be done at the Census tract or block group where appropriate to ensure that proper perspective is given to localized impacts.
- If the recipient determines that the location of the project will result in a disparate impact on the basis of race, color, or national origin, the recipient may only locate the project in that location if there is a substantial legitimate justification for locating the project there, and where there are no alternative locations that would have a less disparate impact on the basis of race, color, or national origin. The recipient must show how both tests are met; it is important to understand that in order to make this showing, the recipient must consider and analyze alternatives to determine whether those alternatives would have less of a disparate impact on the basis of race, color, or national origin, and then implement the least discriminatory alternative.

Per the [FTA Title VI Circular](#), FTA may request, at its discretion, information other than that required by the Title VI Circular from a recipient in order for FTA to investigate complaints of discrimination or to resolve concerns about possible noncompliance with DOT's Title VI regulations.

FTA Region IV is committed to process compliance to meet regulatory requirements. The FTA Region IV staff is available to answer any questions regarding this subject and encourage you to contact us as needed.

INFORMATION REQUIRED TO INITIATE NEPA

A CHECKLIST

For FTA to determine the extent of environmental analysis required for a proposed project, we must have a clear idea of what it may do to the environment. This includes the **natural environment** (soil, water, air, flora/fauna) *and* the **human environment** (socioeconomics, land use, traffic, etc.). Additionally, FTA must determine whether any Federal funding is sought (now or in the future) for the proposal and if FTA is required to make a decision or approval (e.g., approval for incidental use of property).

INFORMATION REQUIRED

QUESTIONS to be ADDRESSED

Sources of federal, state, and local funds and transit nexus

Is the project a Federal Action eligible for FTA funding?

Description of existing property with a clear map showing the Area of Potential Effect (APE)

What are the Existing conditions? Cleared land or forested land? Water? Urban, rural, suburban? Gently rolling, flat, etc.? Modern visual intrusions in the area, such as cell towers, modern buildings, etc.? Is the site a brownfield or contaminated? Have any site assessments been completed?

Street address or coordinates

Are there possible environmental areas of concern at the site or in its surroundings? Any known hazards? Existing buildings contain lead paint/asbestos? Standing water on site? Industrial site? Industrial sites within a block of the project site? In a historic district?

Photos of property, any buildings on property and the surrounding area directly adjacent to the project site.

What are the characteristics of the natural environment of the property? Provide photos of the land in all directions and of any buildings or structures on the land. Are any of the buildings be historic? Are the buildings in use? Are the buildings safe? Who/what industry occupies the building?

Photos of surrounding buildings visible from property

Are there any nearby buildings that may be historic? Any new construction visible from the project site? Number of stories of the buildings surrounding the project site.

Description of complete project with site plan. Be specific for each action of the project.

What physical changes will be made to the existing site? Any digging or other ground disturbing activities such as clearing and grubbing? Will a building be constructed? Will an existing building be renovated or rehabilitated? Will parking be added or subtracted? Any changes to the traffic amount or flow due to the project? Provide any renderings that are available of the existing project site and the planned work. Be specific about actions, such as replacement of windows/doors, new construction, etc.

- List of actions required upon existing property to achieve complete project (e.g., clear 5 acres of wooded land, demolish building, culvert and cover creek, etc.)

Are there physical changes that are not obvious in the site plan? (e.g., excavation for a basement, fuel storage) Are there going to be any residential or business displacements?

- Logical termini, alignment, mode, and technology (if a linear project).

Has thorough planning for the proposed project occurred? (3 out of 4 are typically enough to begin NEPA.) Any feasibility or environmental studies been completed? If so, please attach to the checklist document.

- List of any public involvement done for the project, to date, if any

Has the community affected by the project been informed? If so, when was the community engaged/informed? Is there any potential controversy? Are there any local organizations that should be informed?

Property Acquisition: Unless an early or at-risk (hardship or protective buy) acquisition meets the conditions, property cannot be acquired until NEPA is **complete** and an environmental determination or decision document has been issued by FTA TR04. This restriction is found in FTA's environmental regulations ([23 CFR 771.113](#)) and includes offers to purchase the property or any other commitment to purchase the property or to proceed to a settlement ([FTA Circular 5010.1E](#)). Project sponsors should contact FTA TR04 with any questions about potential timing of property acquisitions and their corresponding NEPA documentation.

Examples, which can be either implied or explicit, of prohibited acquisition activities during the NEPA process include:

- Any offer to purchase;
- Any negotiation to purchase;
- Any discussion on price;
- Any commitment to purchase or establishing any conditions of purchase; and,
- Any commitment to proceed to settlement.

Equity Analysis: Be sure to review and understand your responsibilities per [49 CFR Section 21.5\(b\)\(3\)](#) for **facility** construction projects. Additionally, please review and comply with [FTA Title VI Circular](#).

The more information FTA knows about a project, the more accurate we can be in assigning the most appropriate level of environmental analysis.

Updated 04/05/2021