



**Moving Public Transportation
Into the Future**

National Transit Database – An Introduction to Reporting Requirements

September 29, 2018

Presented by:

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RLS & Associates, Inc.

Session Content



1 Background



2 NTD Financial Reporting



3 NTD Service Data



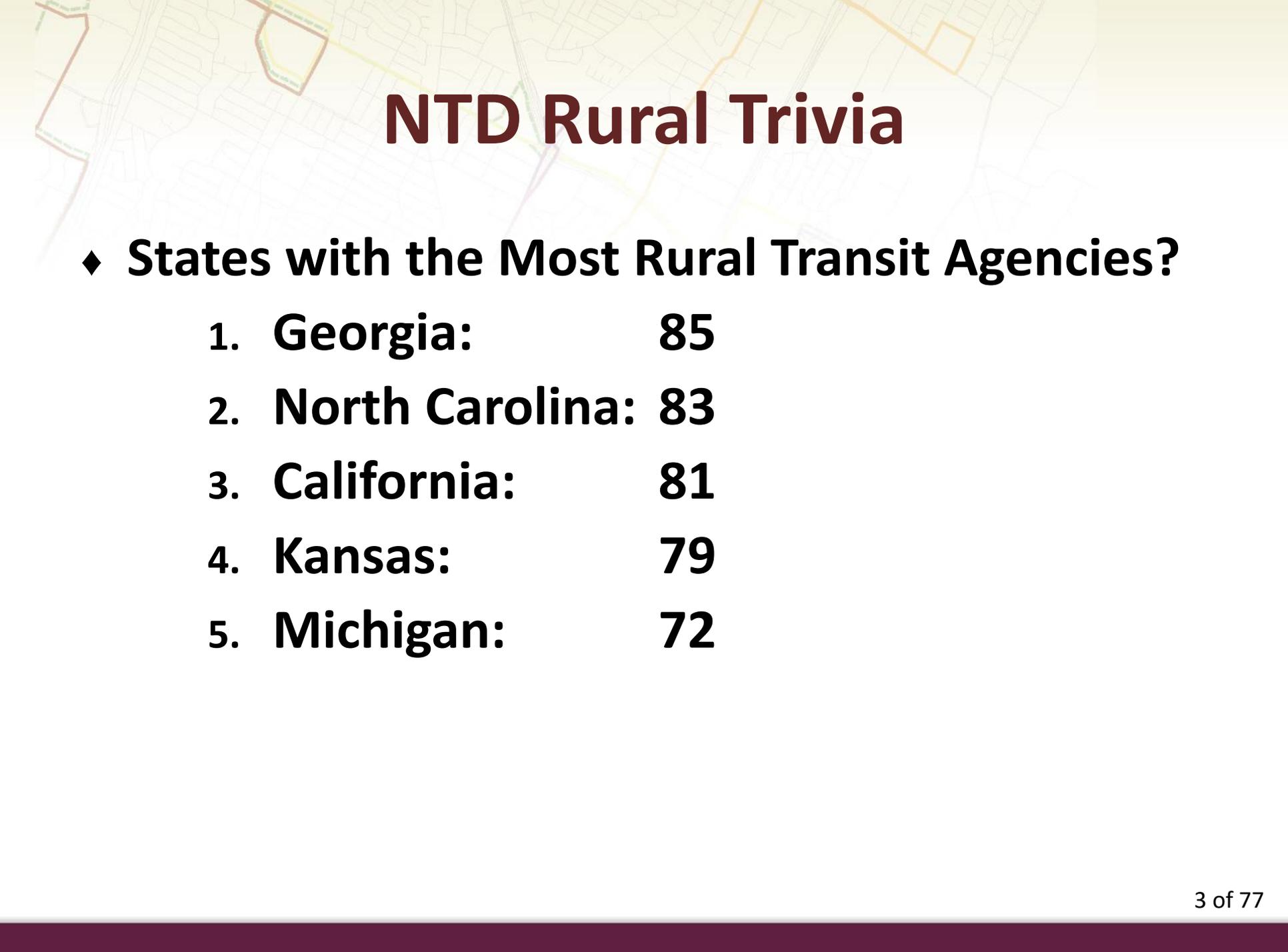
4 NTD Asset and Resource Data



5 NTD Federal Funding

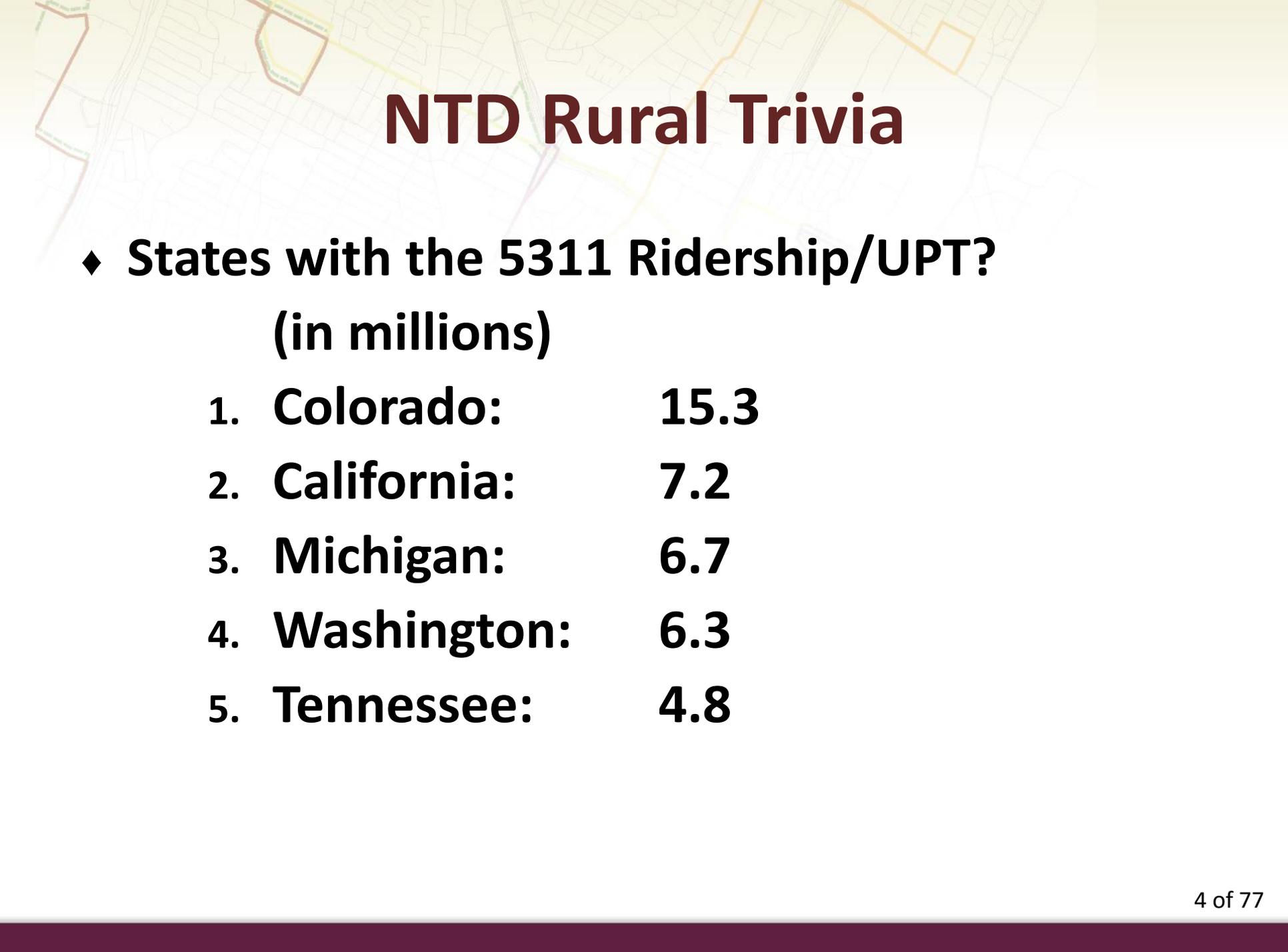


6 NTD Certifications

A faint, light-colored map of a rural area with roads and property lines is visible in the background. The title 'NTD Rural Trivia' is centered over the map in a large, bold, dark red font.

NTD Rural Trivia

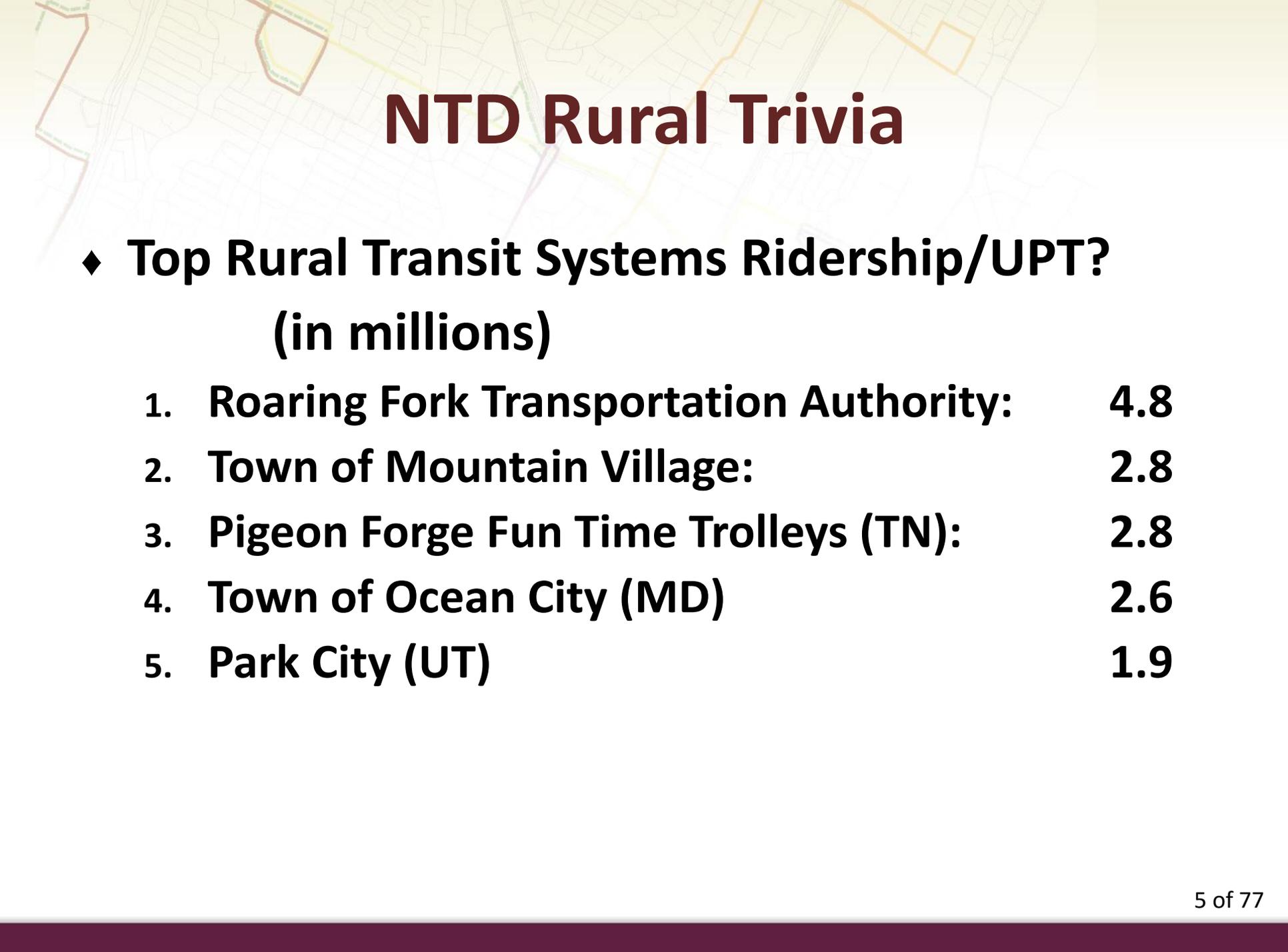
- ◆ **States with the Most Rural Transit Agencies?**
 1. **Georgia: 85**
 2. **North Carolina: 83**
 3. **California: 81**
 4. **Kansas: 79**
 5. **Michigan: 72**

A faint, stylized map of a rural area with roads and fields is visible in the background. The map is light-colored and serves as a decorative backdrop for the text.

NTD Rural Trivia

◆ **States with the 5311 Ridership/UPT?
(in millions)**

- 1. Colorado: 15.3**
- 2. California: 7.2**
- 3. Michigan: 6.7**
- 4. Washington: 6.3**
- 5. Tennessee: 4.8**



NTD Rural Trivia

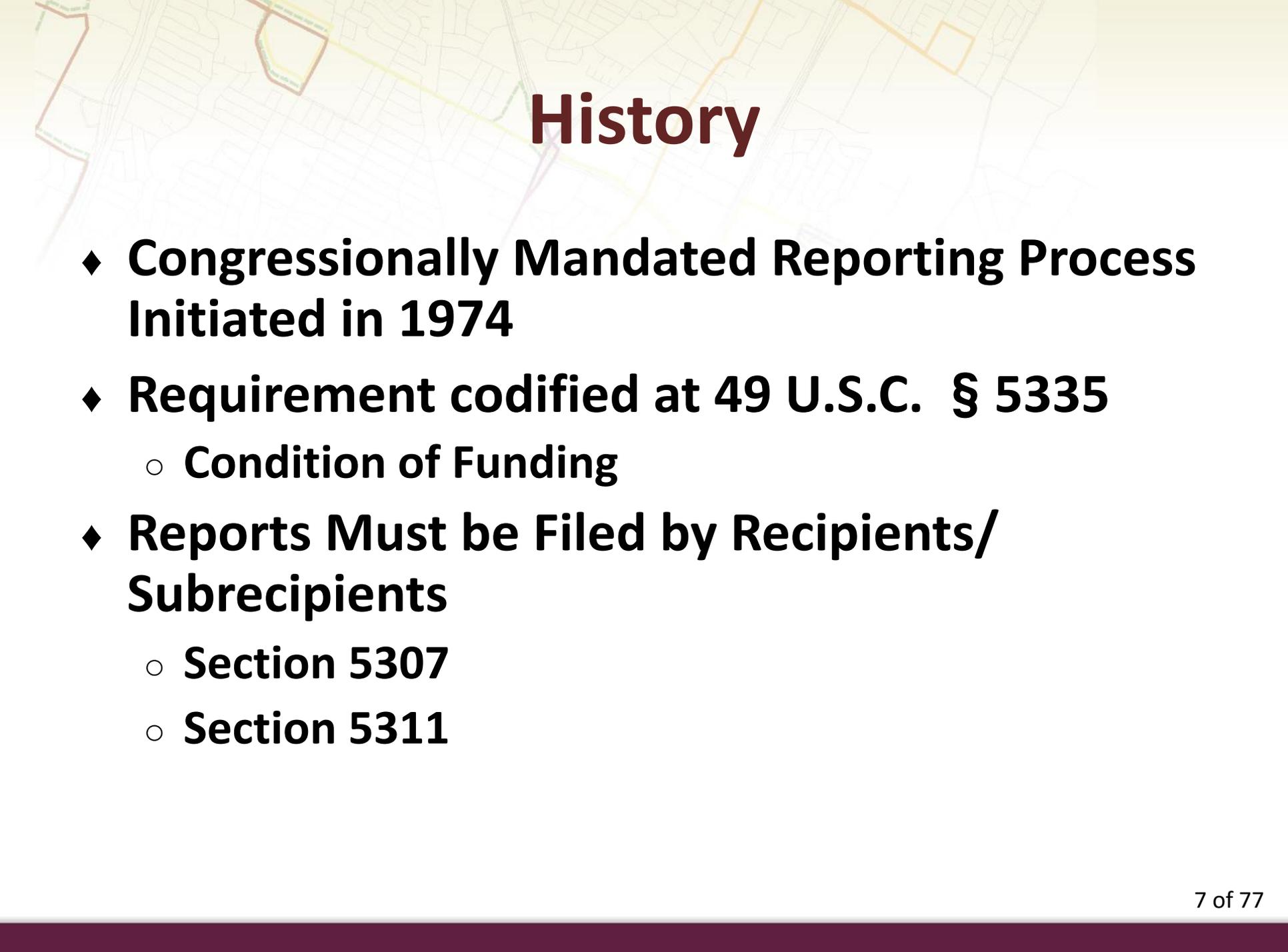
◆ Top Rural Transit Systems Ridership/UPT? (in millions)

1. Roaring Fork Transportation Authority: 4.8
2. Town of Mountain Village: 2.8
3. Pigeon Forge Fun Time Trolleys (TN): 2.8
4. Town of Ocean City (MD) 2.6
5. Park City (UT) 1.9



Module 1

BACKGROUND



History

- ◆ **Congressionally Mandated Reporting Process Initiated in 1974**
- ◆ **Requirement codified at 49 U.S.C. § 5335**
 - **Condition of Funding**
- ◆ **Reports Must be Filed by Recipients/
Subrecipients**
 - **Section 5307**
 - **Section 5311**



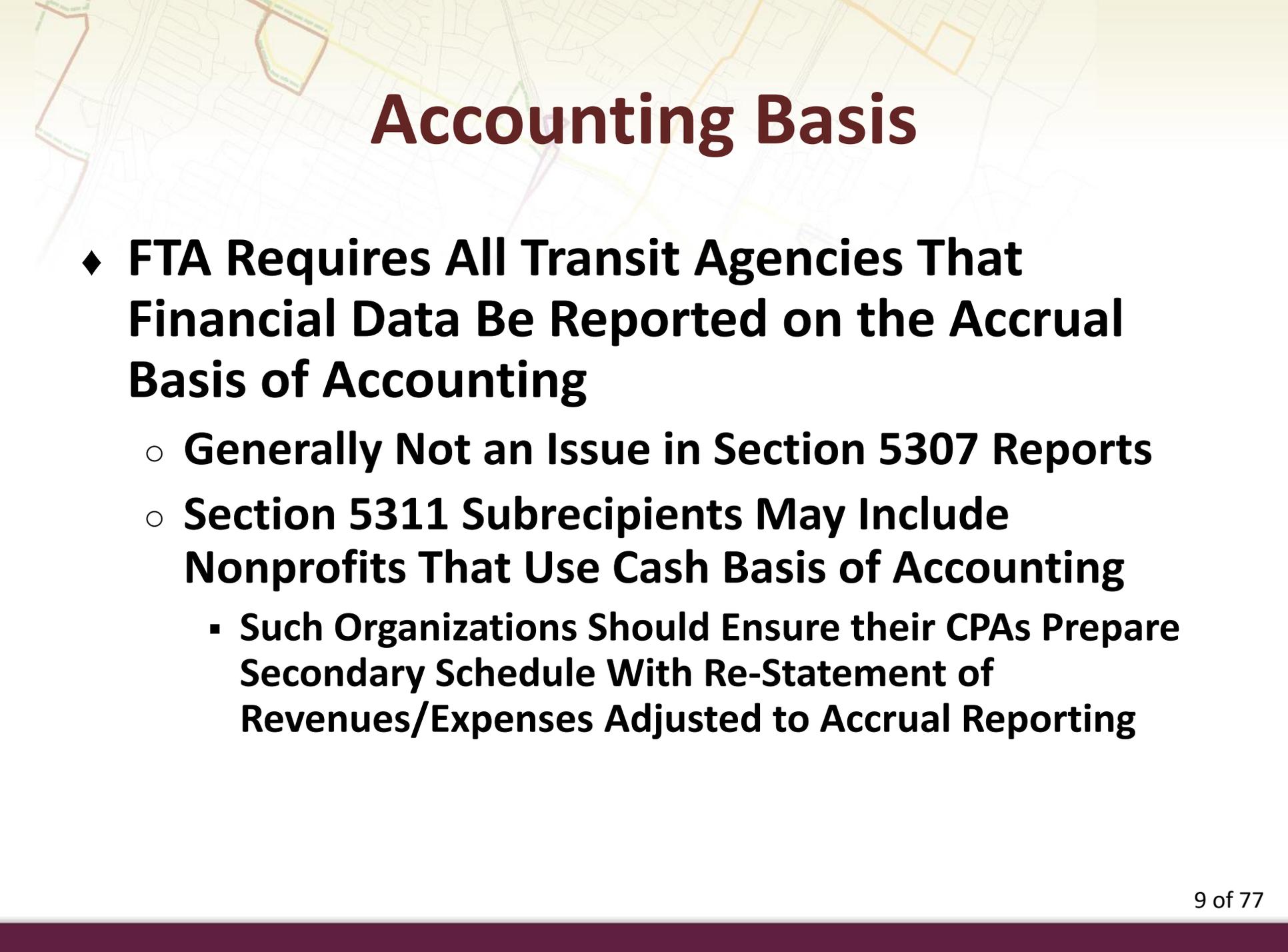
What to Report On

◆ Reportable Elements

○ Public Transportation Only

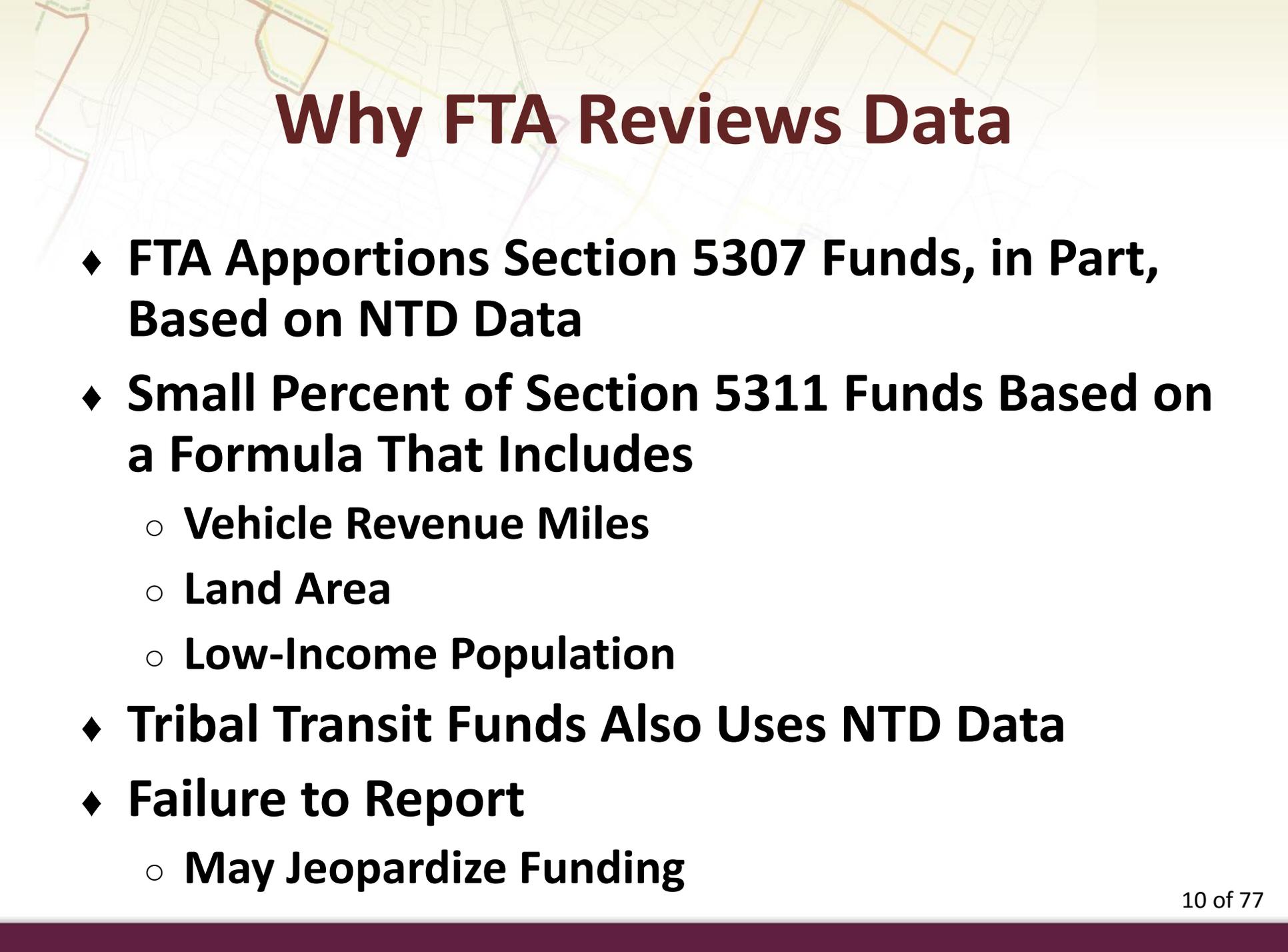
▪ Public Transportation Excludes

- Passenger Rail Service
- Intercity Bus Service
- Charter Bus Service
- School Bus Service
- Sightseeing Service



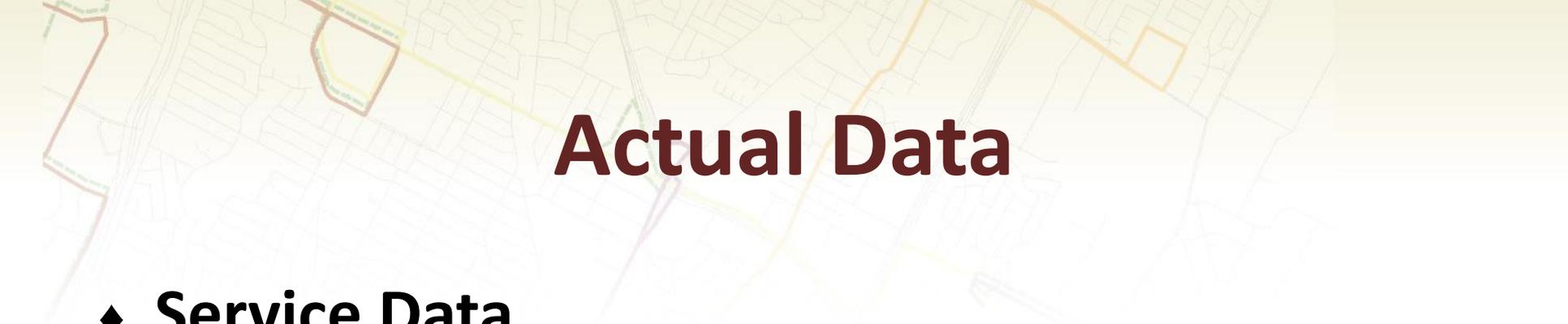
Accounting Basis

- ◆ **FTA Requires All Transit Agencies That Financial Data Be Reported on the Accrual Basis of Accounting**
 - **Generally Not an Issue in Section 5307 Reports**
 - **Section 5311 Subrecipients May Include Nonprofits That Use Cash Basis of Accounting**
 - **Such Organizations Should Ensure their CPAs Prepare Secondary Schedule With Re-Statement of Revenues/Expenses Adjusted to Accrual Reporting**



Why FTA Reviews Data

- ◆ **FTA Apportions Section 5307 Funds, in Part, Based on NTD Data**
- ◆ **Small Percent of Section 5311 Funds Based on a Formula That Includes**
 - **Vehicle Revenue Miles**
 - **Land Area**
 - **Low-Income Population**
- ◆ **Tribal Transit Funds Also Uses NTD Data**
- ◆ **Failure to Report**
 - **May Jeopardize Funding**



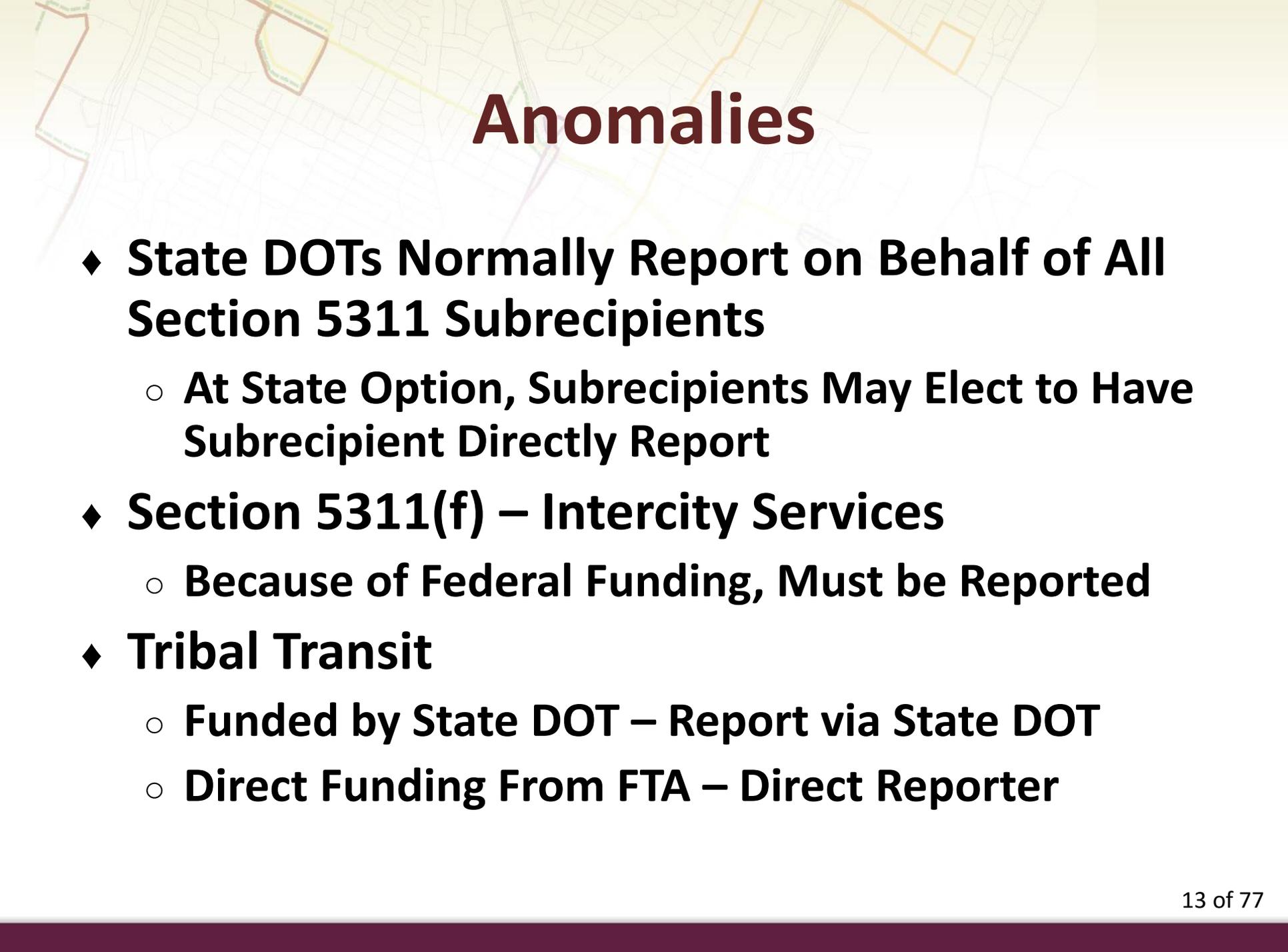
Actual Data

◆ Service Data

- **100% Actual Counts**
- **Some Data May be Reported on a Sampled Basis**
 - **Unlinked Passenger Trips (UPT)**
 - **Passenger Miles Traveled (PMT)**

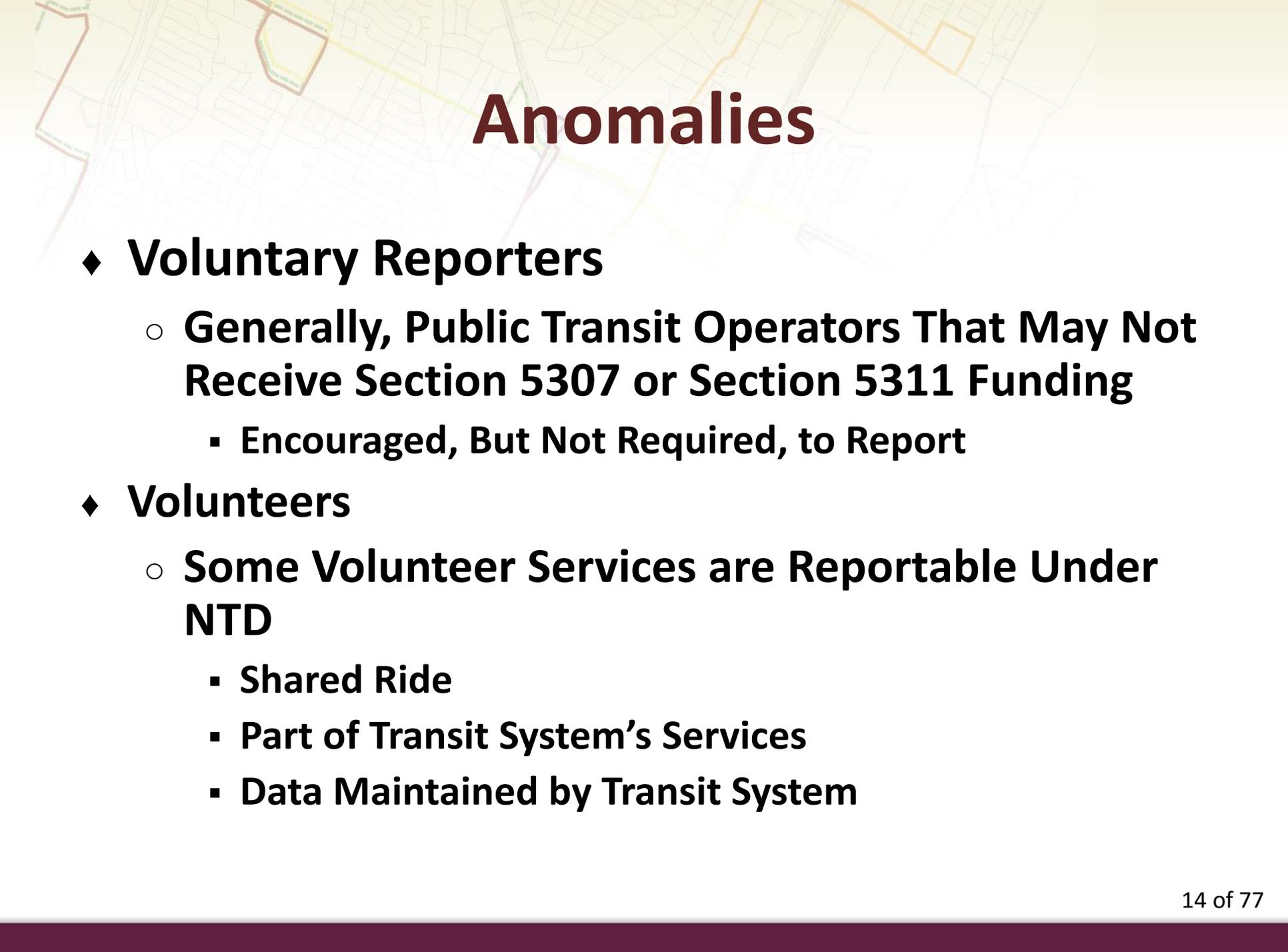
Reporting Entities

Status	Reporting Type	Funding	Characteristic
Urban	Full	§ 5307	<ul style="list-style-type: none"> Operates 30 or More Vehicles in All Modes Operates Less Than 30 Vehicles But Operates Fixed Guideway/Busway
	Reduced	§ 5307	<ul style="list-style-type: none"> Operates Less Than 30 Vehicles No Fixed Guideway/Busway
	Separate	§ 5307	<ul style="list-style-type: none"> Does Not Directly Operate Contracts w/ Other Reporting Agency
Rural	State DOT	§ 5311	<ul style="list-style-type: none"> Rural Transit Operator (§5311) Intercity Bus (§5311(f)) Tribal Transit (§5311(j))
Tribal	Reduced	Tribal Transit	<ul style="list-style-type: none"> Tribal Transit (§5311(j))



Anomalies

- ◆ **State DOTs Normally Report on Behalf of All Section 5311 Subrecipients**
 - **At State Option, Subrecipients May Elect to Have Subrecipient Directly Report**
- ◆ **Section 5311(f) – Intercity Services**
 - **Because of Federal Funding, Must be Reported**
- ◆ **Tribal Transit**
 - **Funded by State DOT – Report via State DOT**
 - **Direct Funding From FTA – Direct Reporter**



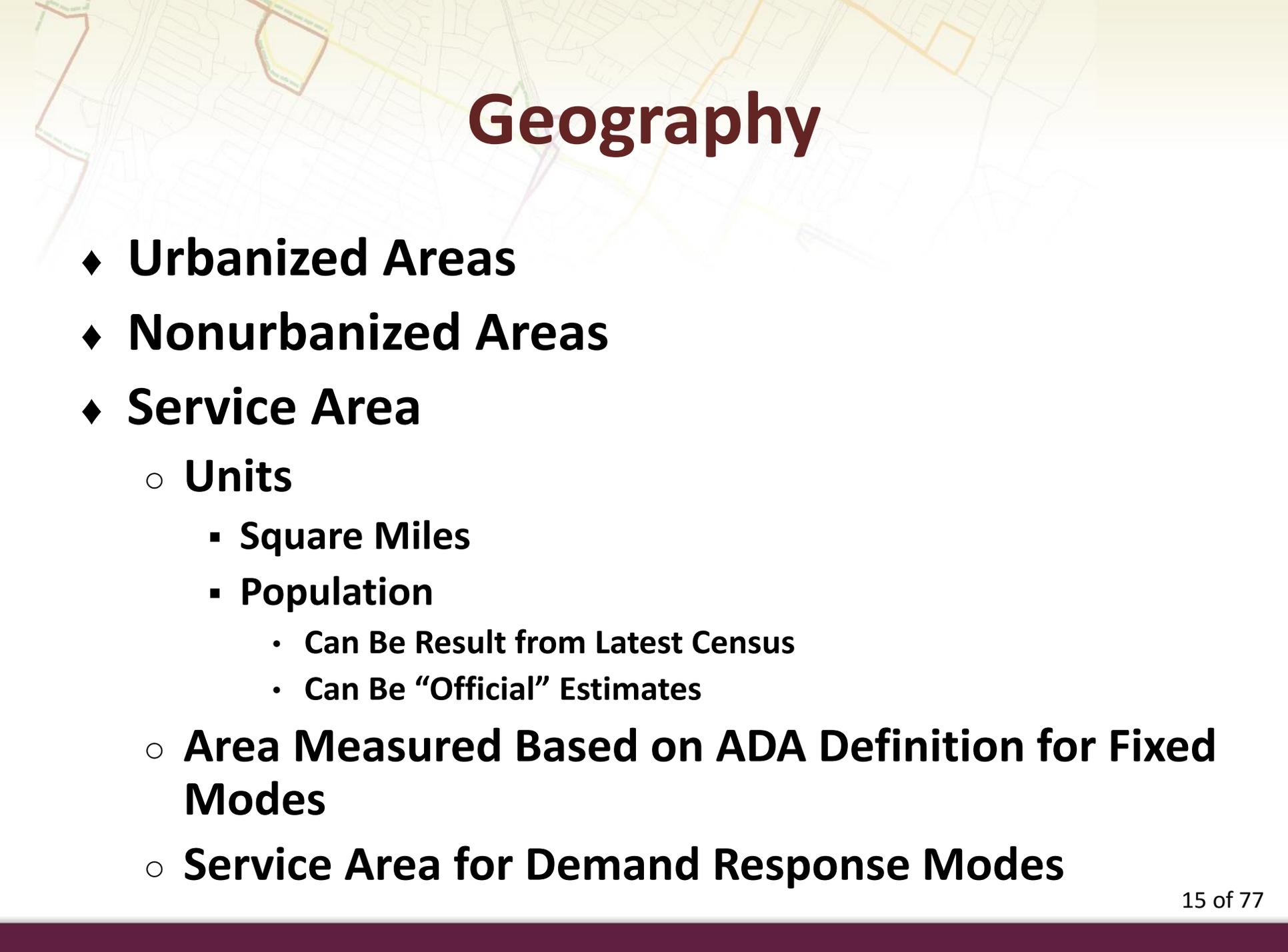
Anomalies

◆ Voluntary Reporters

- **Generally, Public Transit Operators That May Not Receive Section 5307 or Section 5311 Funding**
 - Encouraged, But Not Required, to Report

◆ Volunteers

- **Some Volunteer Services are Reportable Under NTD**
 - Shared Ride
 - Part of Transit System's Services
 - Data Maintained by Transit System



Geography

- ◆ **Urbanized Areas**
- ◆ **Nonurbanized Areas**
- ◆ **Service Area**
 - **Units**
 - **Square Miles**
 - **Population**
 - **Can Be Result from Latest Census**
 - **Can Be “Official” Estimates**
 - **Area Measured Based on ADA Definition for Fixed Modes**
 - **Service Area for Demand Response Modes**



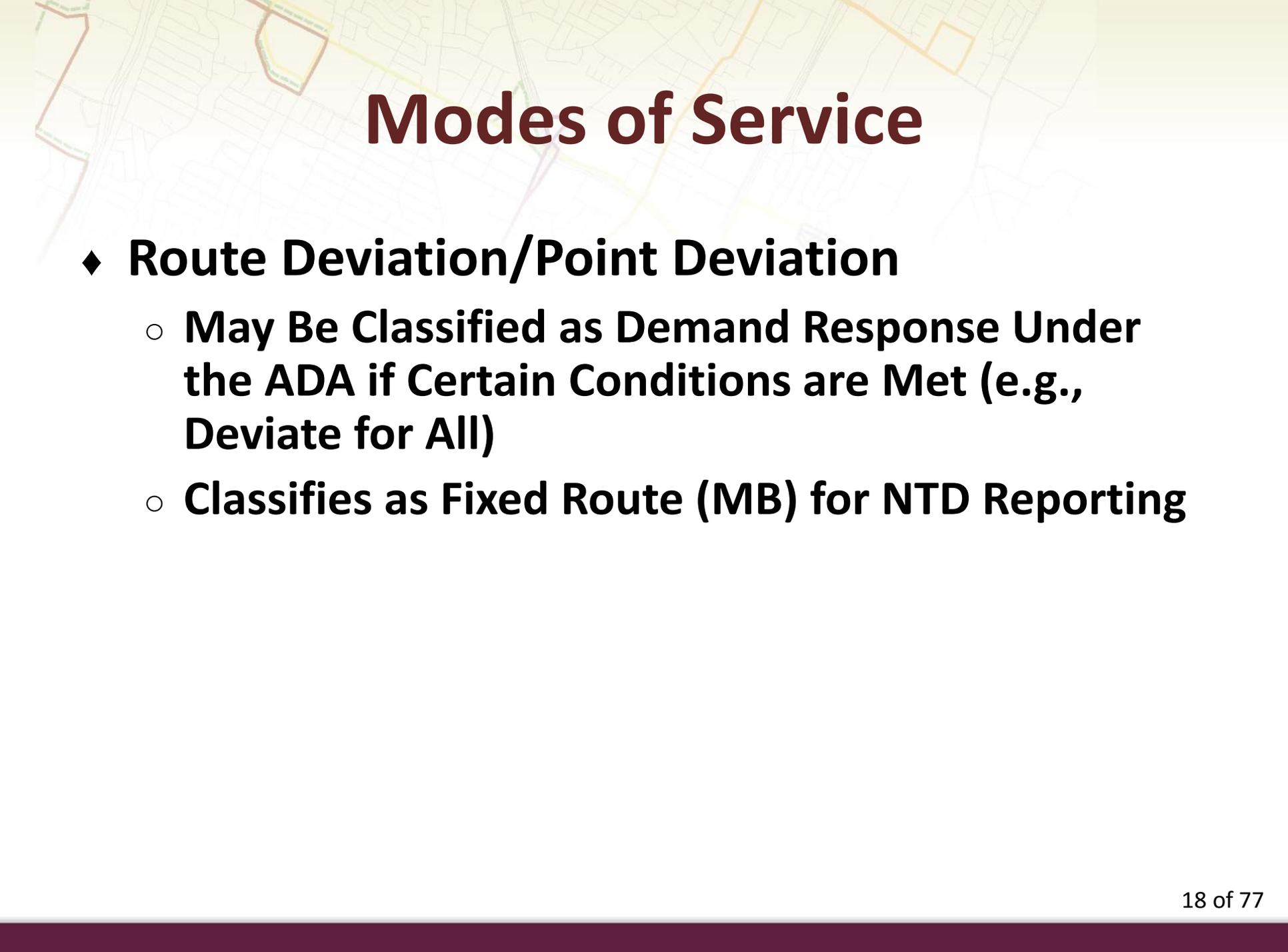
Purchased Transportation

- ◆ **Transit Systems Typically Report Services They Buy From Third Parties**
 - **Contractors Typically Do Not Report Directly**
 - **In Instances Where a Transit System Purchases Services from Another NTD Reporting Transit Agency, the Provider, Not the Buyer, Reports the Service**



Modes of Service

- ◆ **NTD Defines 20 Different Modes of Service**
 - **Service and Financial Data Generally Reported *by Mode***
 - **For Most Transit Agencies, the Following Service Modes Suffice**
 - **Bus (MB)**
 - **Commuter Bus (CB)**
 - **Demand Response (DR)**
 - **Vanpool (VP)**
 - **Trolley Bus (TB)**
 - **Demand Response Taxi (DT)**

A faint, light-colored map of a city street grid is visible in the background. The map shows various street layouts, with some areas highlighted in different colors like red, green, and yellow. The title 'Modes of Service' is centered over the map.

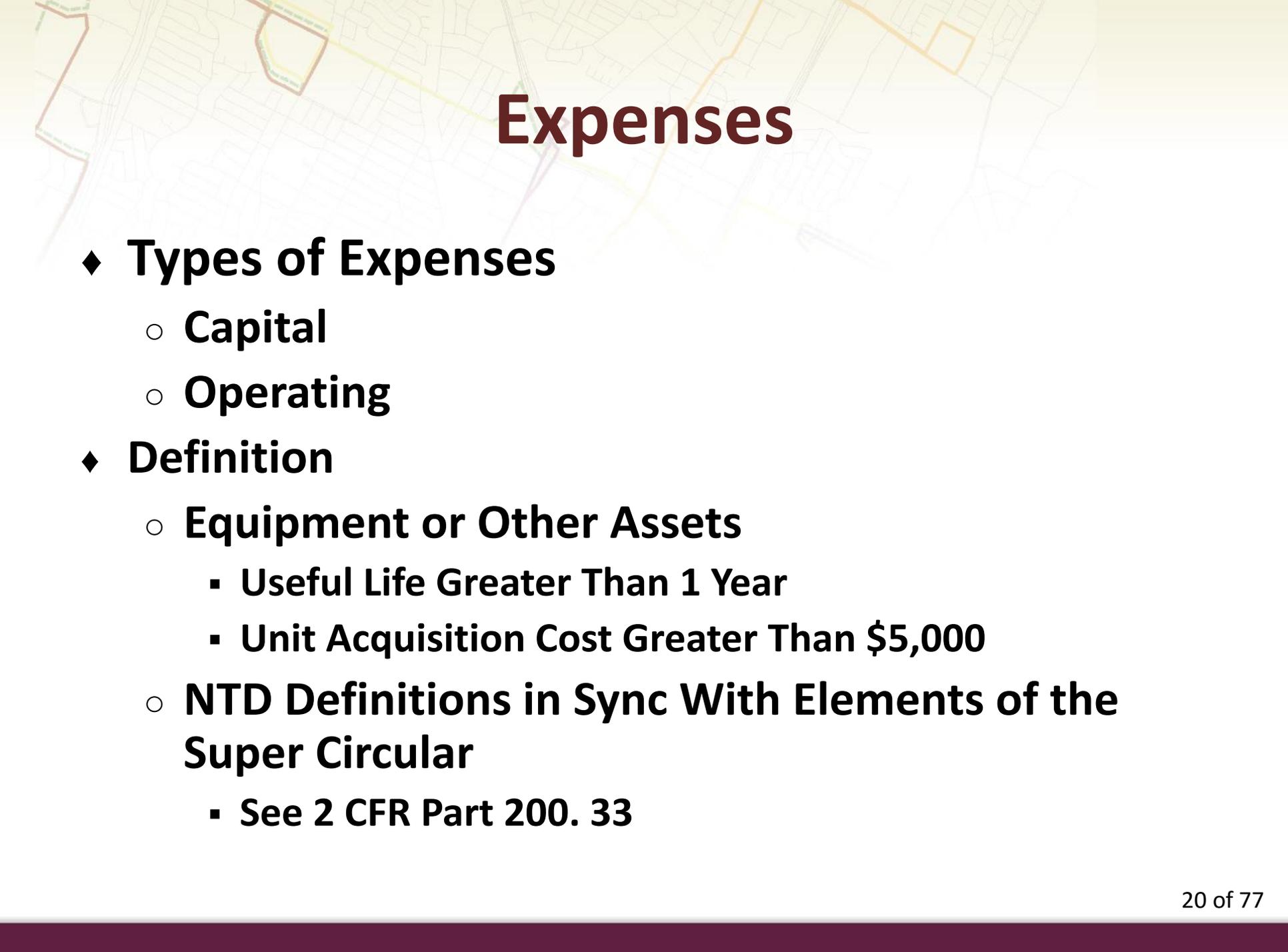
Modes of Service

- ◆ **Route Deviation/Point Deviation**
 - **May Be Classified as Demand Response Under the ADA if Certain Conditions are Met (e.g., Deviate for All)**
 - **Classifies as Fixed Route (MB) for NTD Reporting**

A faded background image of a map showing a street grid. Several areas are highlighted with colored outlines: a red outline on the left, a yellow outline in the upper center, a purple outline in the center, and an orange outline on the right. The map is semi-transparent, allowing the white background to show through.

Module 2

NTD FINANCIAL REPORTING



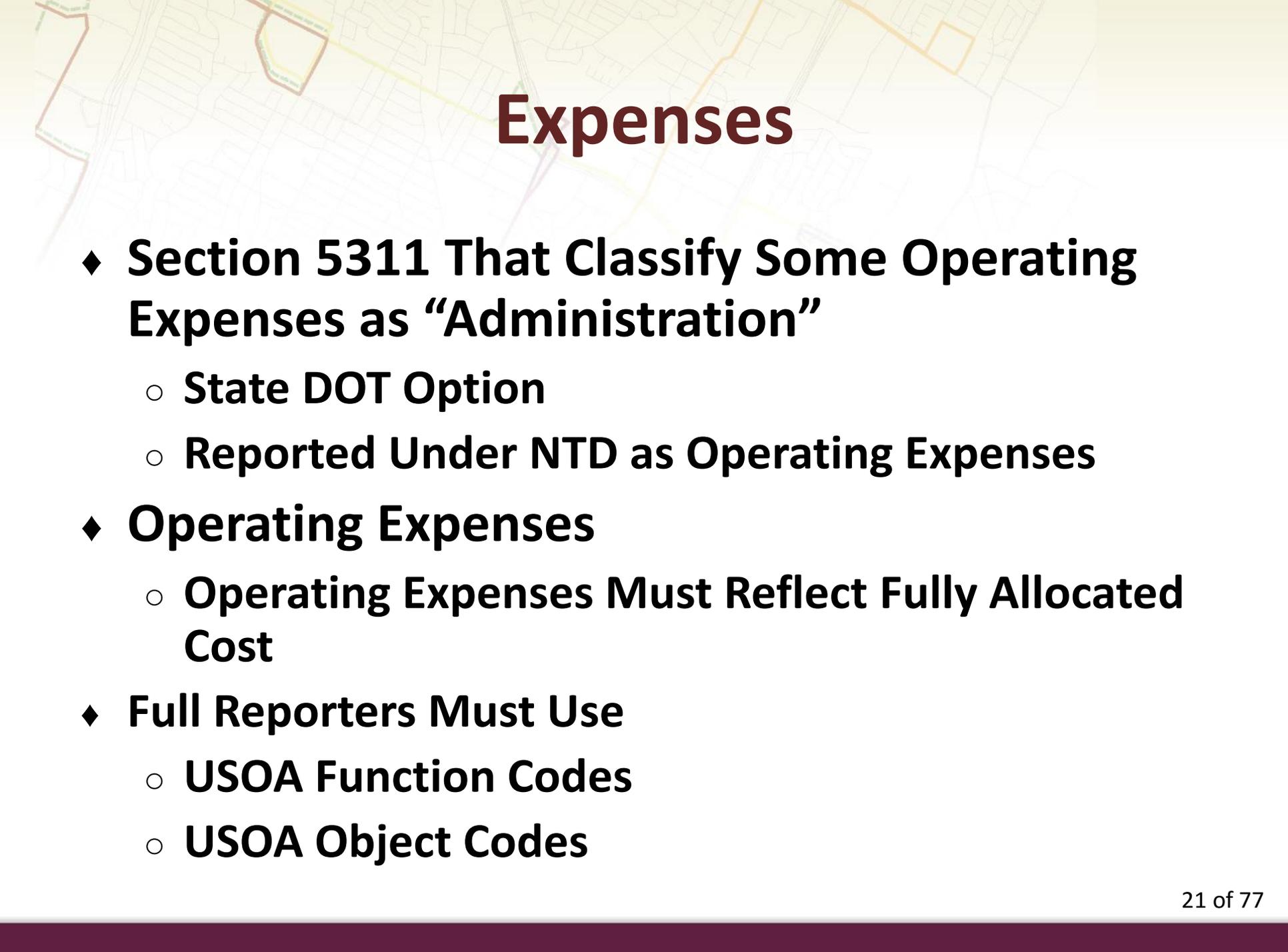
Expenses

◆ Types of Expenses

- Capital
- Operating

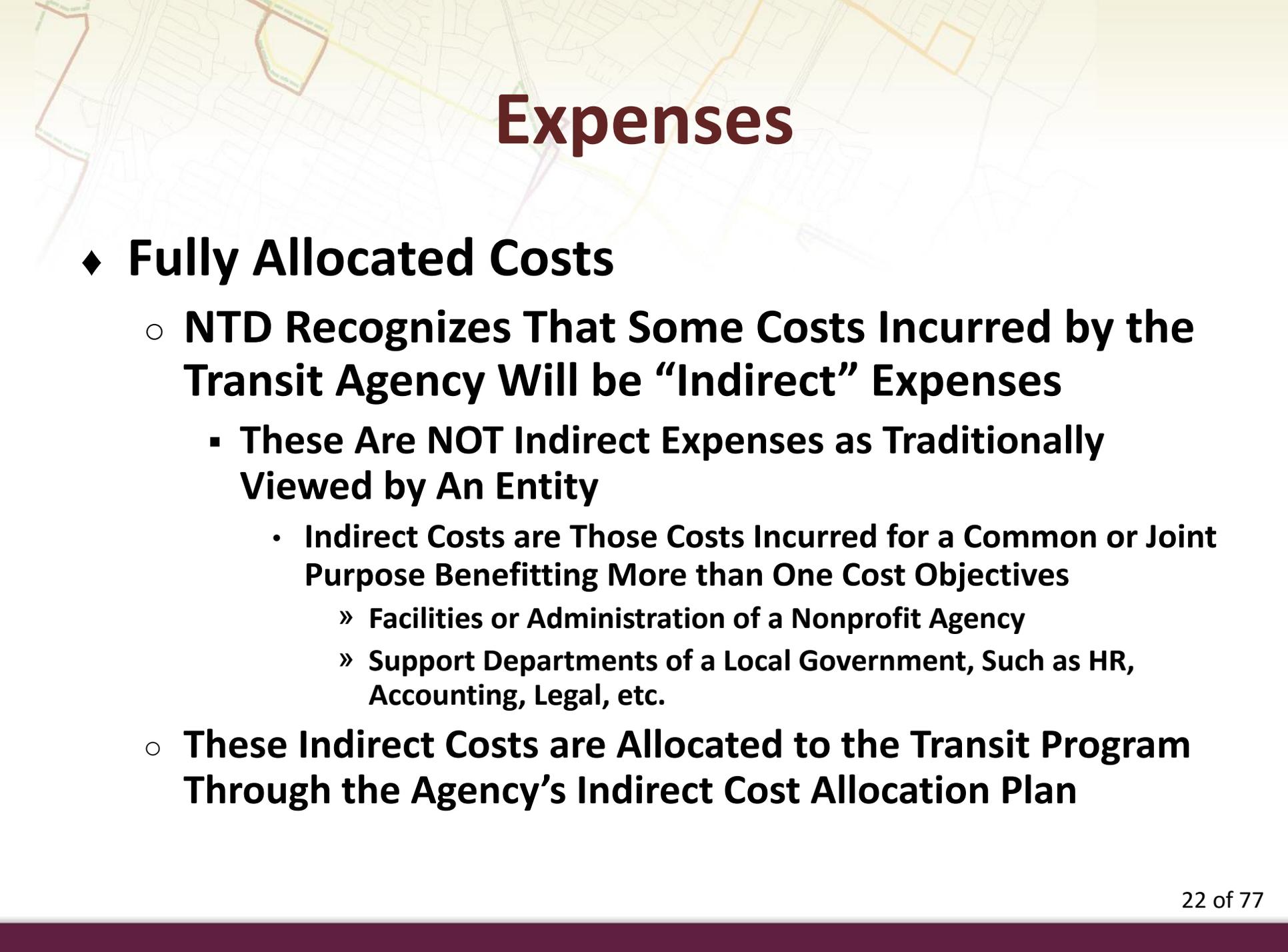
◆ Definition

- Equipment or Other Assets
 - Useful Life Greater Than 1 Year
 - Unit Acquisition Cost Greater Than \$5,000
- NTD Definitions in Sync With Elements of the Super Circular
 - See 2 CFR Part 200. 33



Expenses

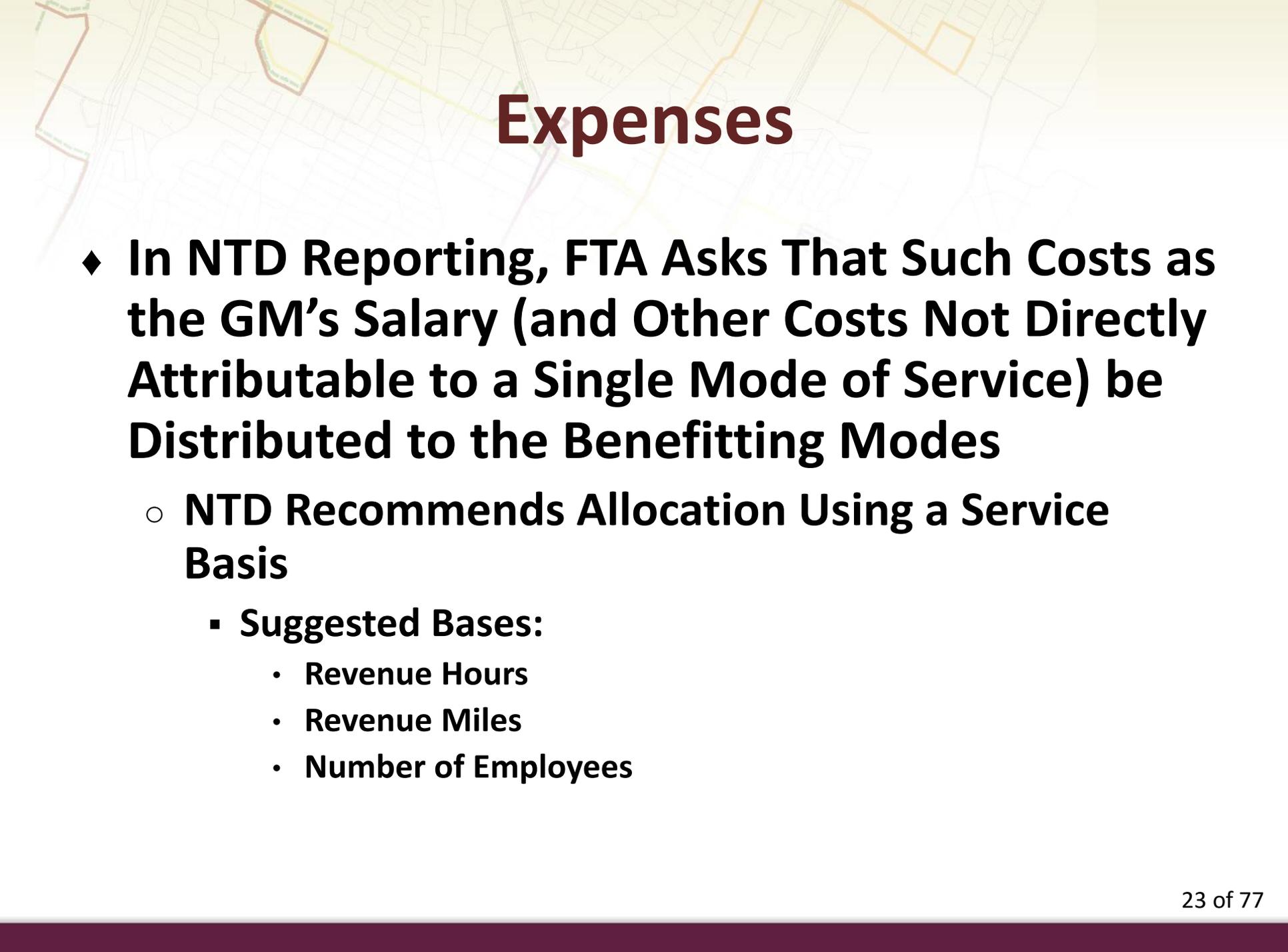
- ◆ **Section 5311 That Classify Some Operating Expenses as “Administration”**
 - **State DOT Option**
 - **Reported Under NTD as Operating Expenses**
- ◆ **Operating Expenses**
 - **Operating Expenses Must Reflect Fully Allocated Cost**
- ◆ **Full Reporters Must Use**
 - **USOA Function Codes**
 - **USOA Object Codes**



Expenses

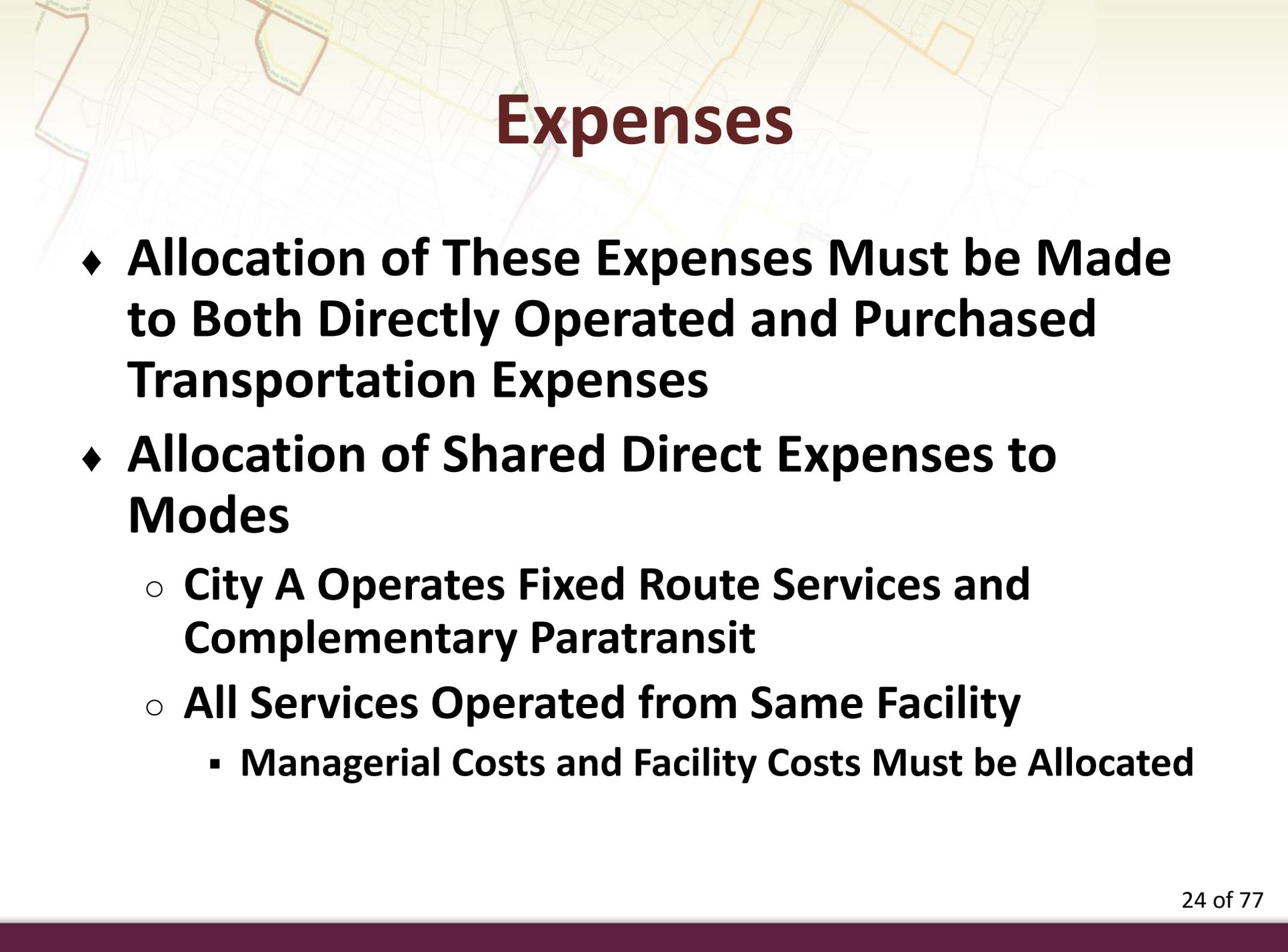
◆ Fully Allocated Costs

- **NTD Recognizes That Some Costs Incurred by the Transit Agency Will be “Indirect” Expenses**
 - **These Are NOT Indirect Expenses as Traditionally Viewed by An Entity**
 - **Indirect Costs are Those Costs Incurred for a Common or Joint Purpose Benefitting More than One Cost Objectives**
 - » **Facilities or Administration of a Nonprofit Agency**
 - » **Support Departments of a Local Government, Such as HR, Accounting, Legal, etc.**
- **These Indirect Costs are Allocated to the Transit Program Through the Agency’s Indirect Cost Allocation Plan**



Expenses

- ◆ **In NTD Reporting, FTA Asks That Such Costs as the GM's Salary (and Other Costs Not Directly Attributable to a Single Mode of Service) be Distributed to the Benefitting Modes**
 - **NTD Recommends Allocation Using a Service Basis**
 - **Suggested Bases:**
 - Revenue Hours
 - Revenue Miles
 - Number of Employees



Expenses

- ◆ **Allocation of These Expenses Must be Made to Both Directly Operated and Purchased Transportation Expenses**
- ◆ **Allocation of Shared Direct Expenses to Modes**
 - **City A Operates Fixed Route Services and Complementary Paratransit**
 - **All Services Operated from Same Facility**
 - **Managerial Costs and Facility Costs Must be Allocated**

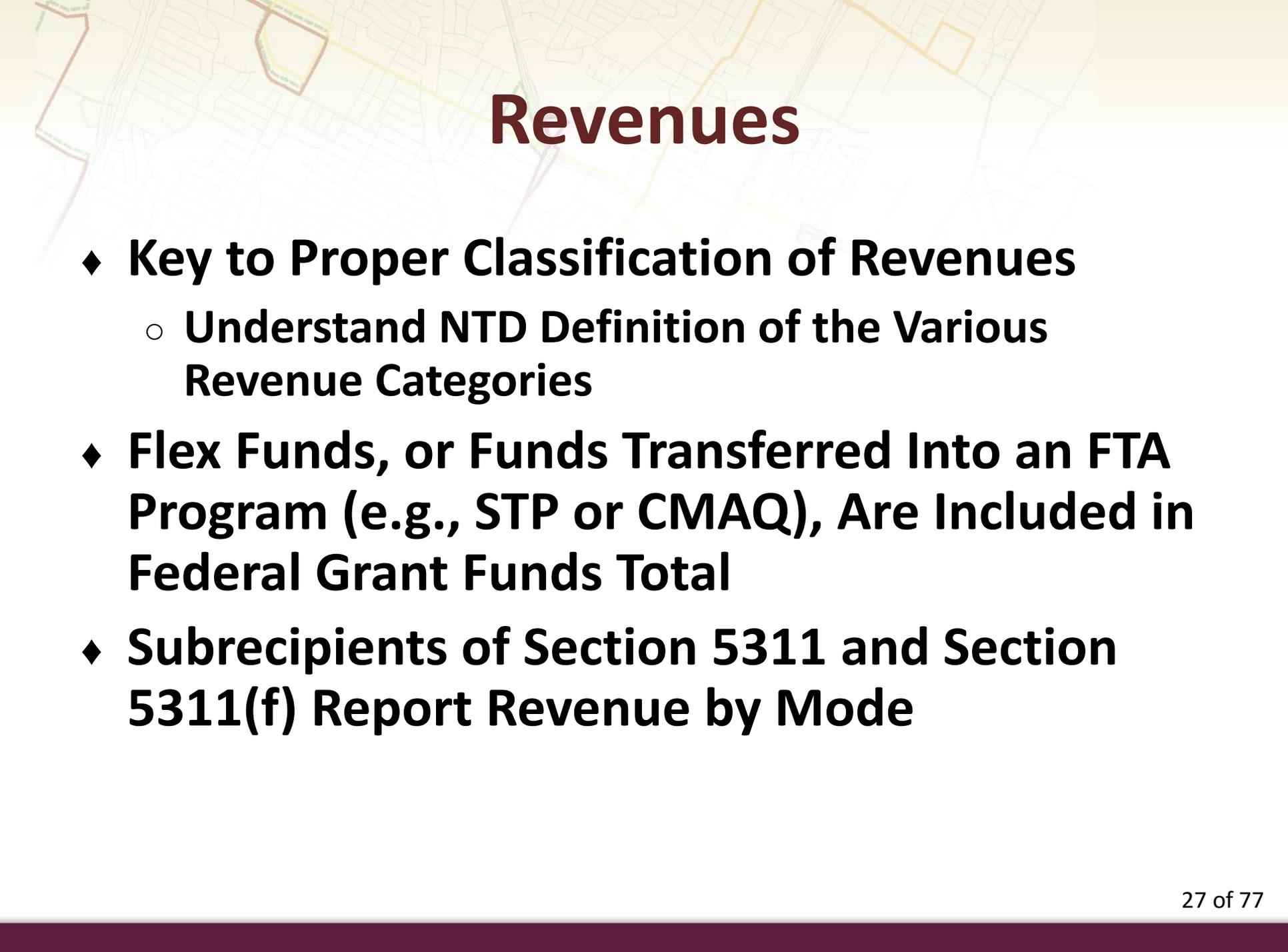
Illustration

Shared Direct Expenses – Not Attributable to a Single Mode		
Shared Operations Salaries		\$325,000
Shared Facility Expenses		\$275,000
Subtotal – Shared Expenses		\$600,000
Allocation Basis – Revenue Vehicle Hours		
Bus (MB) Revenue Hours	980,500	76.56%
Demand Response (DR) Revenue Hour	300,250	23.44%
Total Revenue Hours	1,280,750	100.00%
Allocation of Shared Direct Expenses to Mode		
	Percent	Amount
Allocation to Bus (MB) Mode	76.56%	\$459,340
Allocation to Demand Response (DR) Mode	23.44%	\$140,660



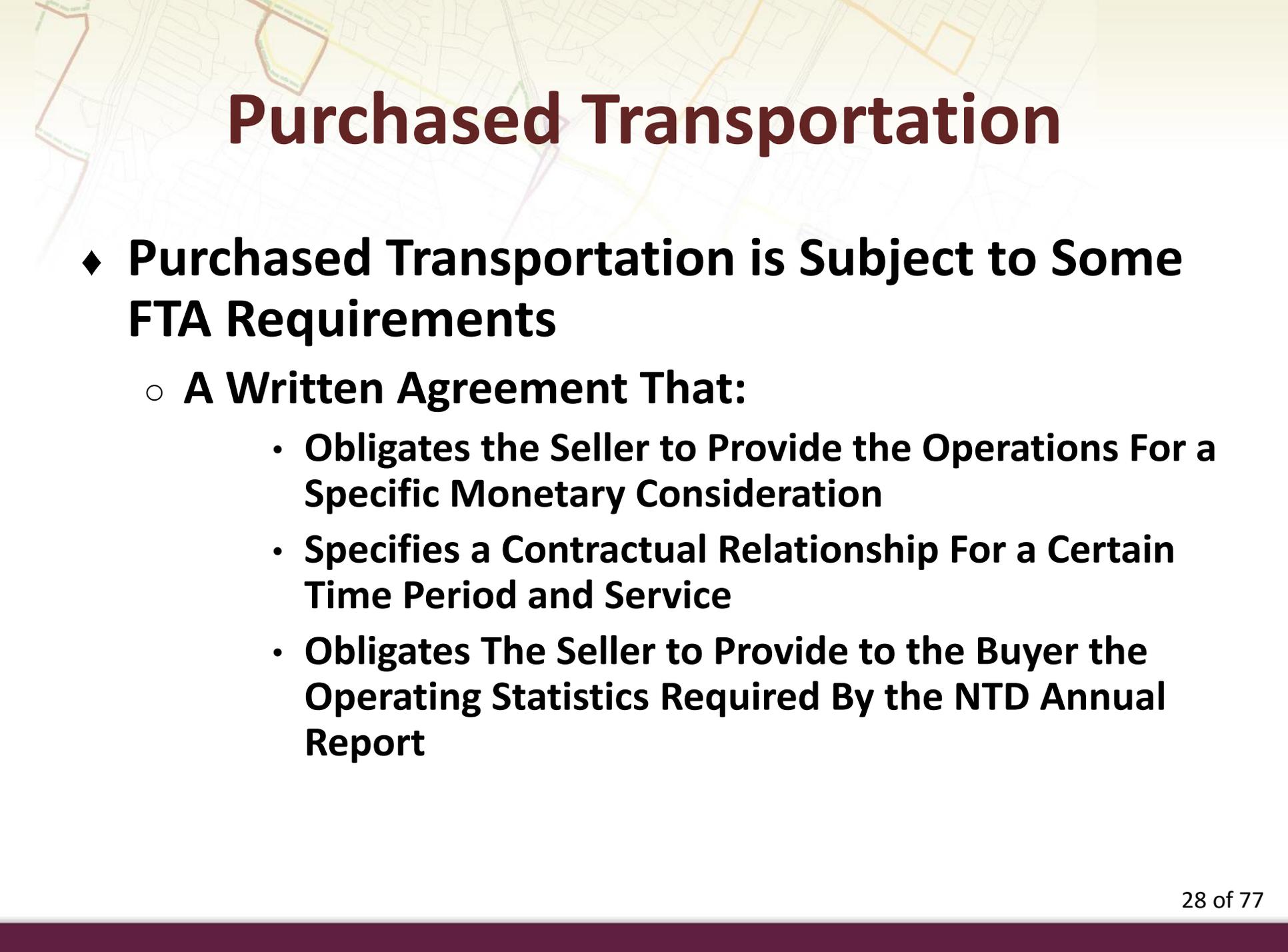
Revenues

- ◆ **Ensure Proper Treatment of Revenues**
 - **Understand FTA Definition of Fares**
 - **Fares Paid (at Point of Sale or Paid in Advance) Count as Fares**
 - **Fare Assistance Programs Do Not Count as Fares, But State Revenues**
 - **In Some Cases, It May be Necessary to Allocate Fare Revenues**
 - **Transfer Between Mode with Single Fare Payment**



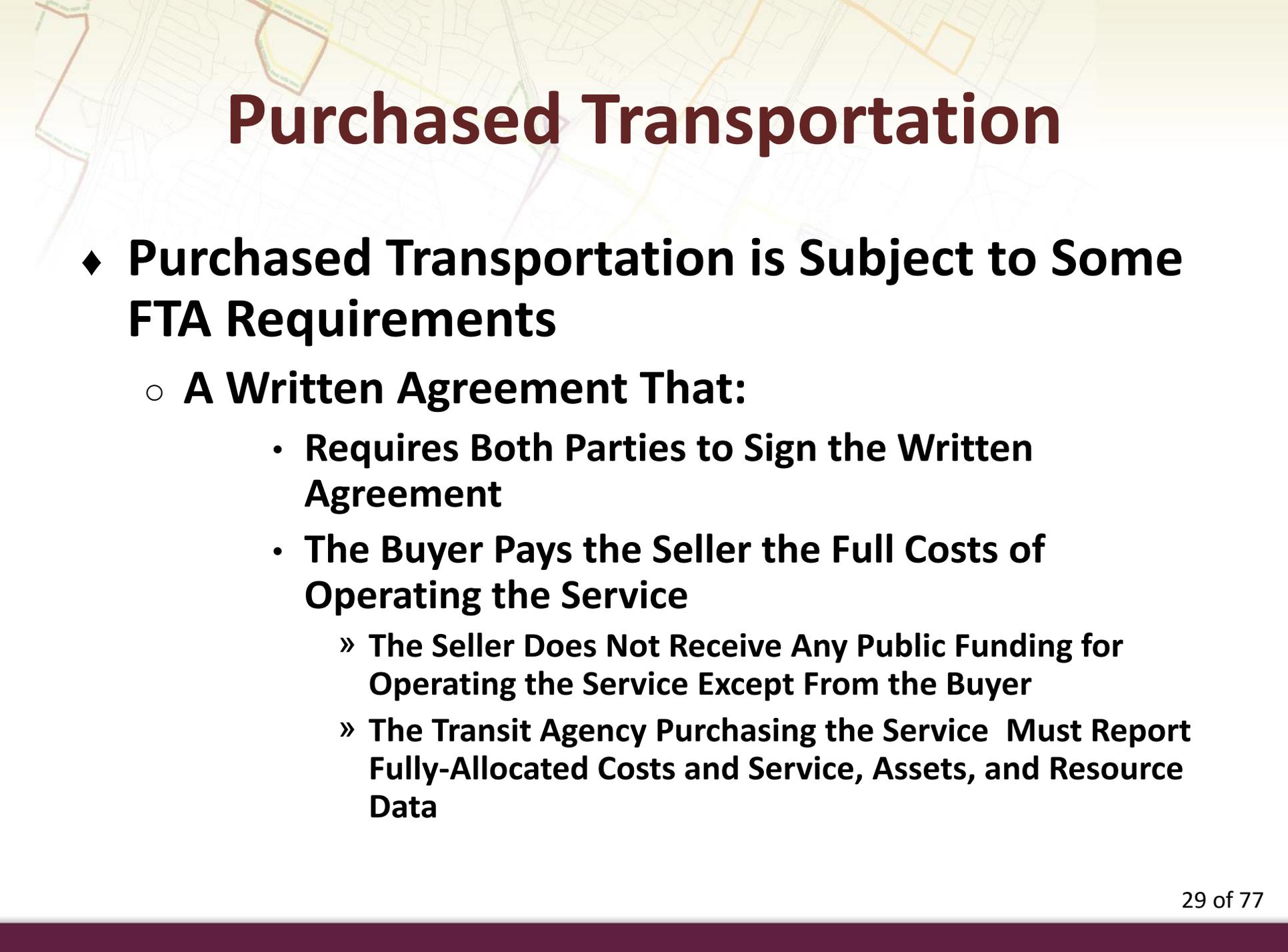
Revenues

- ◆ **Key to Proper Classification of Revenues**
 - **Understand NTD Definition of the Various Revenue Categories**
- ◆ **Flex Funds, or Funds Transferred Into an FTA Program (e.g., STP or CMAQ), Are Included in Federal Grant Funds Total**
- ◆ **Subrecipients of Section 5311 and Section 5311(f) Report Revenue by Mode**



Purchased Transportation

- ◆ **Purchased Transportation is Subject to Some FTA Requirements**
 - **A Written Agreement That:**
 - **Obligates the Seller to Provide the Operations For a Specific Monetary Consideration**
 - **Specifies a Contractual Relationship For a Certain Time Period and Service**
 - **Obligates The Seller to Provide to the Buyer the Operating Statistics Required By the NTD Annual Report**

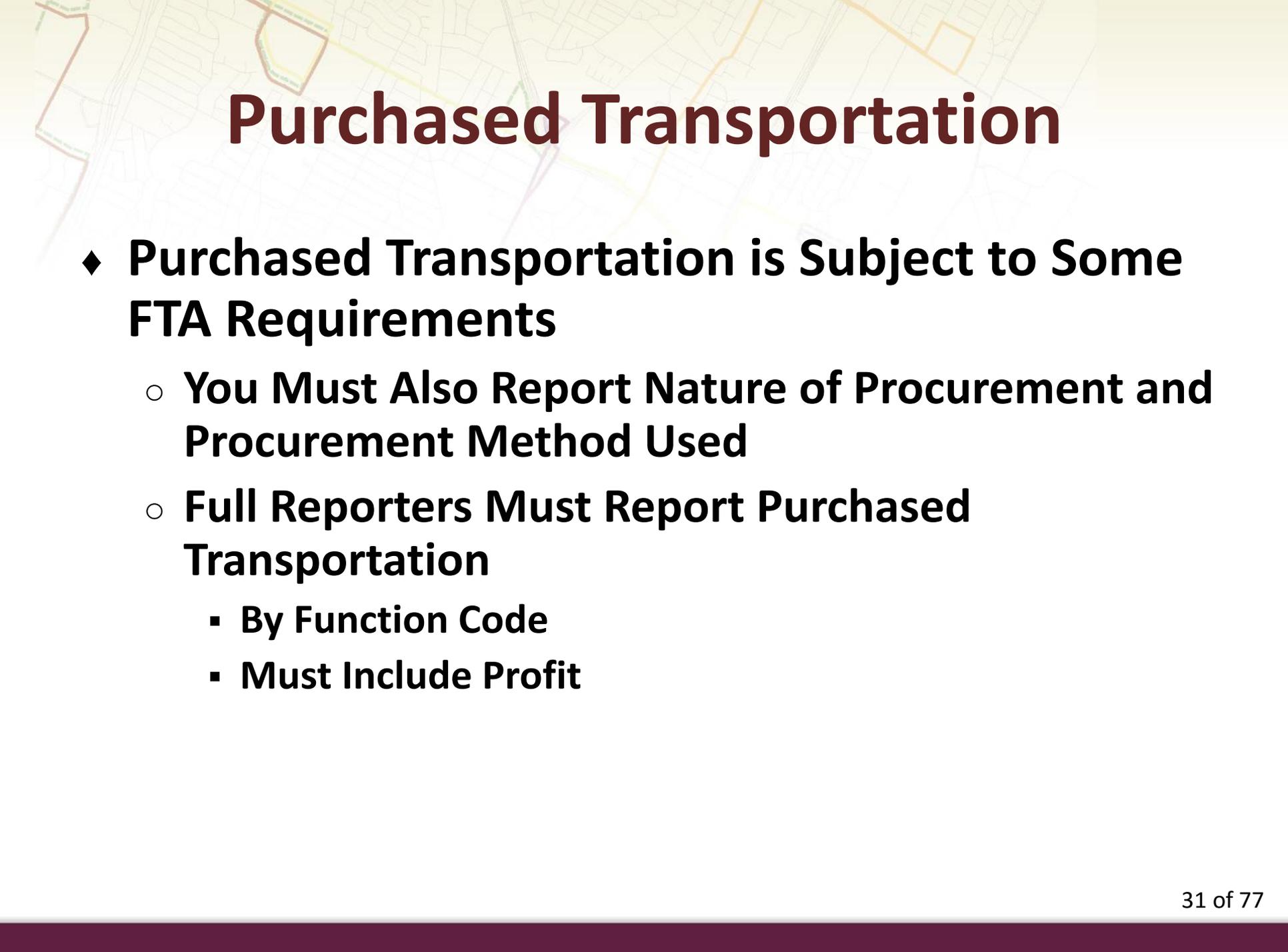


Purchased Transportation

- ◆ **Purchased Transportation is Subject to Some FTA Requirements**
 - **A Written Agreement That:**
 - **Requires Both Parties to 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 Must Report Fully-Allocated Costs and Service, Assets, and Resource Data**

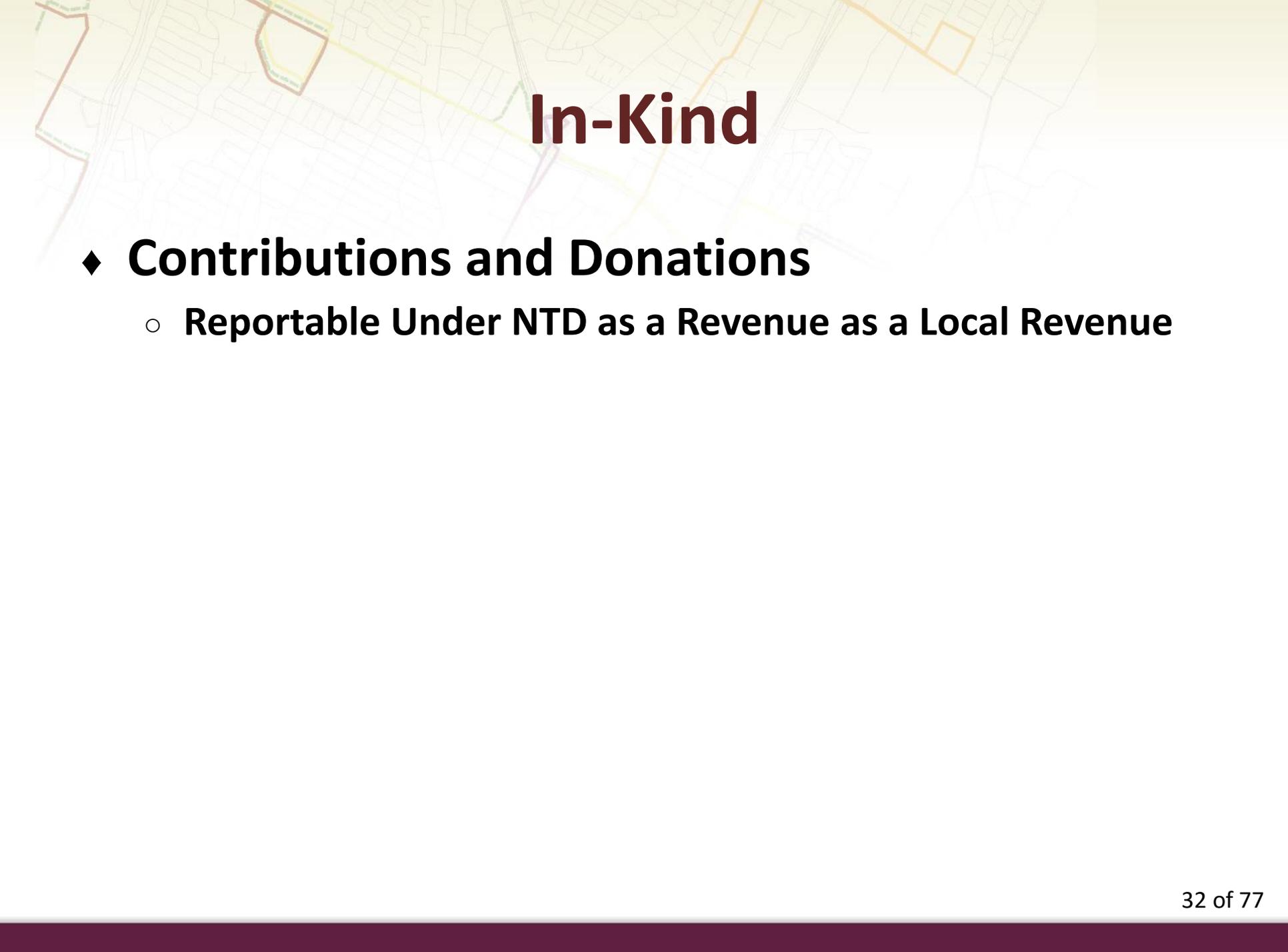
Purchased Transportation

- ◆ **Purchased Transportation is Subject to Some FTA Requirements**
 - **A Written Agreement That:**
 - **The Purchased Service Must Be Branded Under the Transit Agency Buying the Service**
 - » **Users of the Service Should Recognize That the Buyer of the Service Is Actively Managing and Funding the Service**
 - » **The Seller (Purchased Transportation Provider) Operates the Service on Behalf of the Buyer**



Purchased Transportation

- ◆ **Purchased Transportation is Subject to Some FTA Requirements**
 - **You Must Also Report Nature of Procurement and Procurement Method Used**
 - **Full Reporters Must Report Purchased Transportation**
 - **By Function Code**
 - **Must Include Profit**



In-Kind

- ◆ **Contributions and Donations**

- **Reportable Under NTD as a Revenue as a Local Revenue**



Capital

◆ Full Reporters

- **Must Report Capital, by Class**
 - **Improvements Relating to Existing Transit Services Through Rehabilitation, Reconstruction, or Replacement of Capital**
 - **Capital for Expansion of Service, Implementing New Services, or Building a New Facility to Accommodate Planned Services**
- **Sometimes this Classification Between Replacement and Expansion Can Get Blurred**

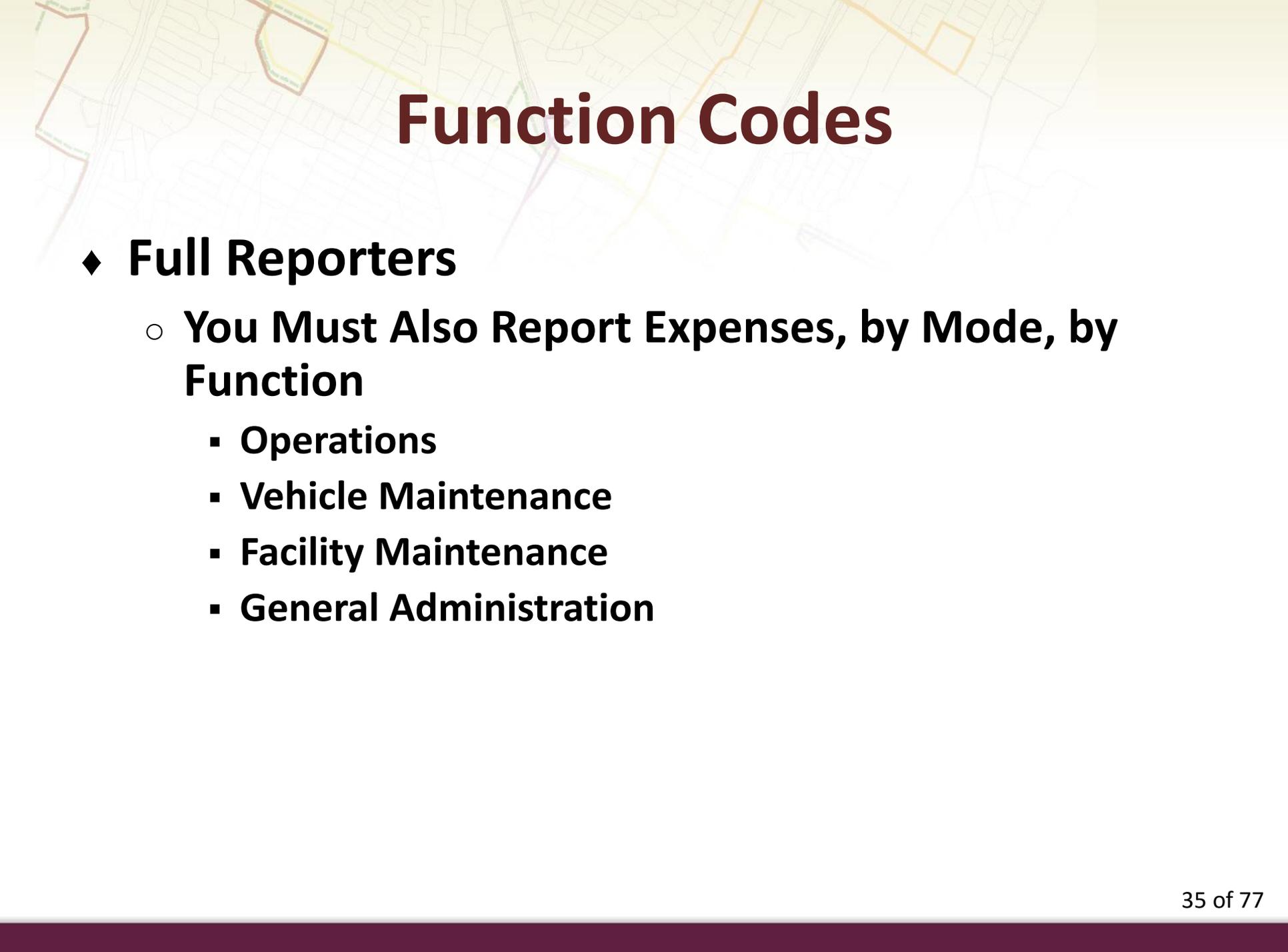


Capital

◆ Full Reporters

○ Project Classes

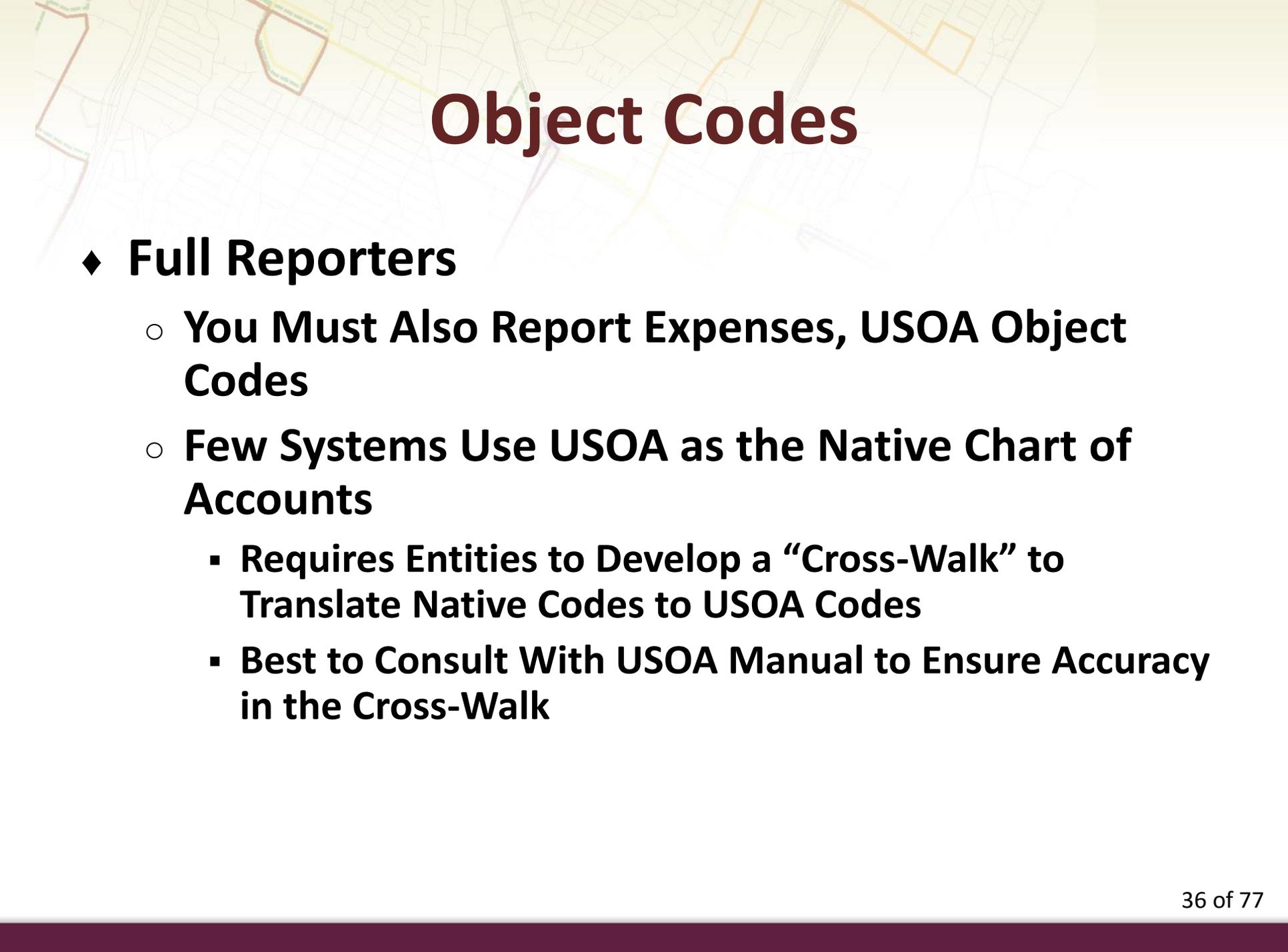
- **Guideway**
- **passenger Stations**
- **Administrative Buildings**
- **Maintenance Buildings**
- **Revenue Vehicles**
- **Service Vehicles (Non-Revenue)**
- **Fare Revenue Collection Equipment**
- **Communications and Information Systems**
- **Other**



Function Codes

◆ Full Reporters

- You Must Also Report Expenses, by Mode, by Function
 - Operations
 - Vehicle Maintenance
 - Facility Maintenance
 - General Administration



Object Codes

◆ Full Reporters

- **You Must Also Report Expenses, USOA Object Codes**
- **Few Systems Use USOA as the Native Chart of Accounts**
 - **Requires Entities to Develop a “Cross-Walk” to Translate Native Codes to USOA Codes**
 - **Best to Consult With USOA Manual to Ensure Accuracy in the Cross-Walk**

ADA Complementary Paratransit

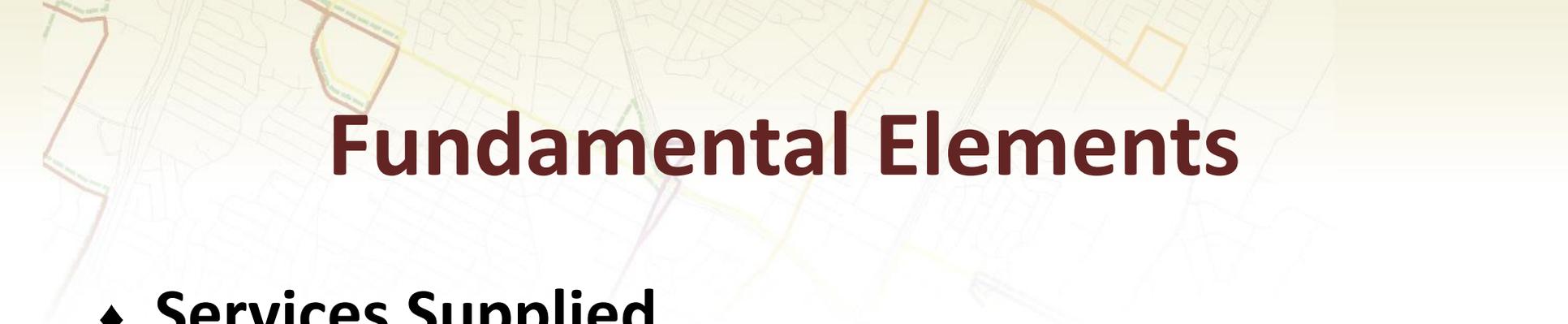
◆ Full Reporters

- **Transit Agencies Must Identify the Portion of Total Expenses Directly Related to Operating Complementary Paratransit Services in Compliance With the Americans With Disabilities Act of 1990 (ADA) Requirements**
- **Typically, these are DR Expenses**
 - **Cases Where Transit Operates Other DR Services, Another Allocation of DR Expenses May be Necessary**



Module 3

NTD SERVICE DATA



Fundamental Elements

◆ **Services Supplied**

- Service Scheduled and Operated by the Agency

◆ **Services Consumed**

- Amount of Passenger Usage of Service

◆ **Services Operated**

- Peak Service

◆ **Directional Route Miles**

- Segment Types

A faint, stylized map of a city street grid is visible in the background, with some streets highlighted in yellow and orange.

Services Supplied

◆ Services

- Revenue Hours
- Revenue Miles
- Unlinked Passenger Trips

◆ Services Exclude

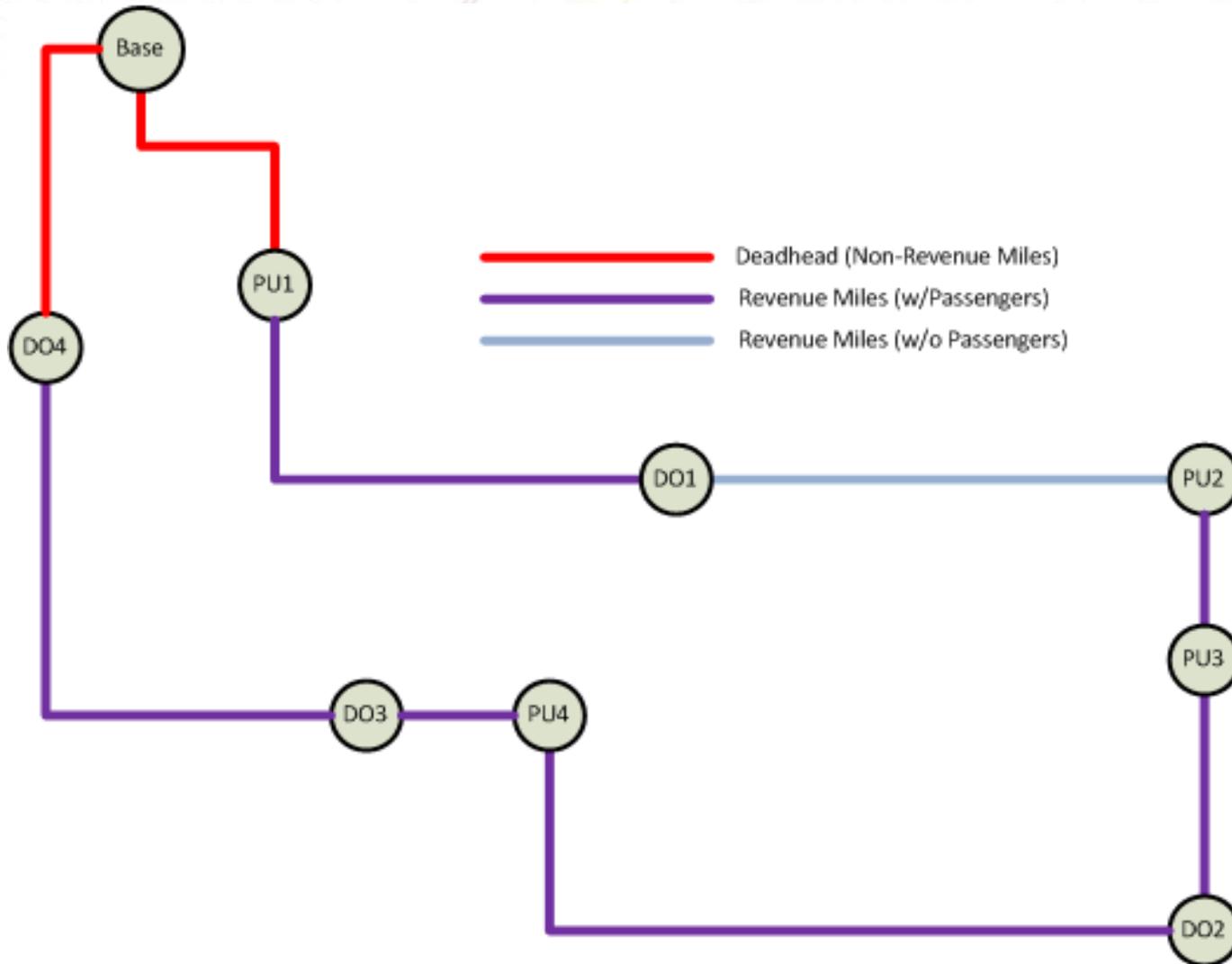
- Deadhead
- Operator Training
- Maintenance Testing

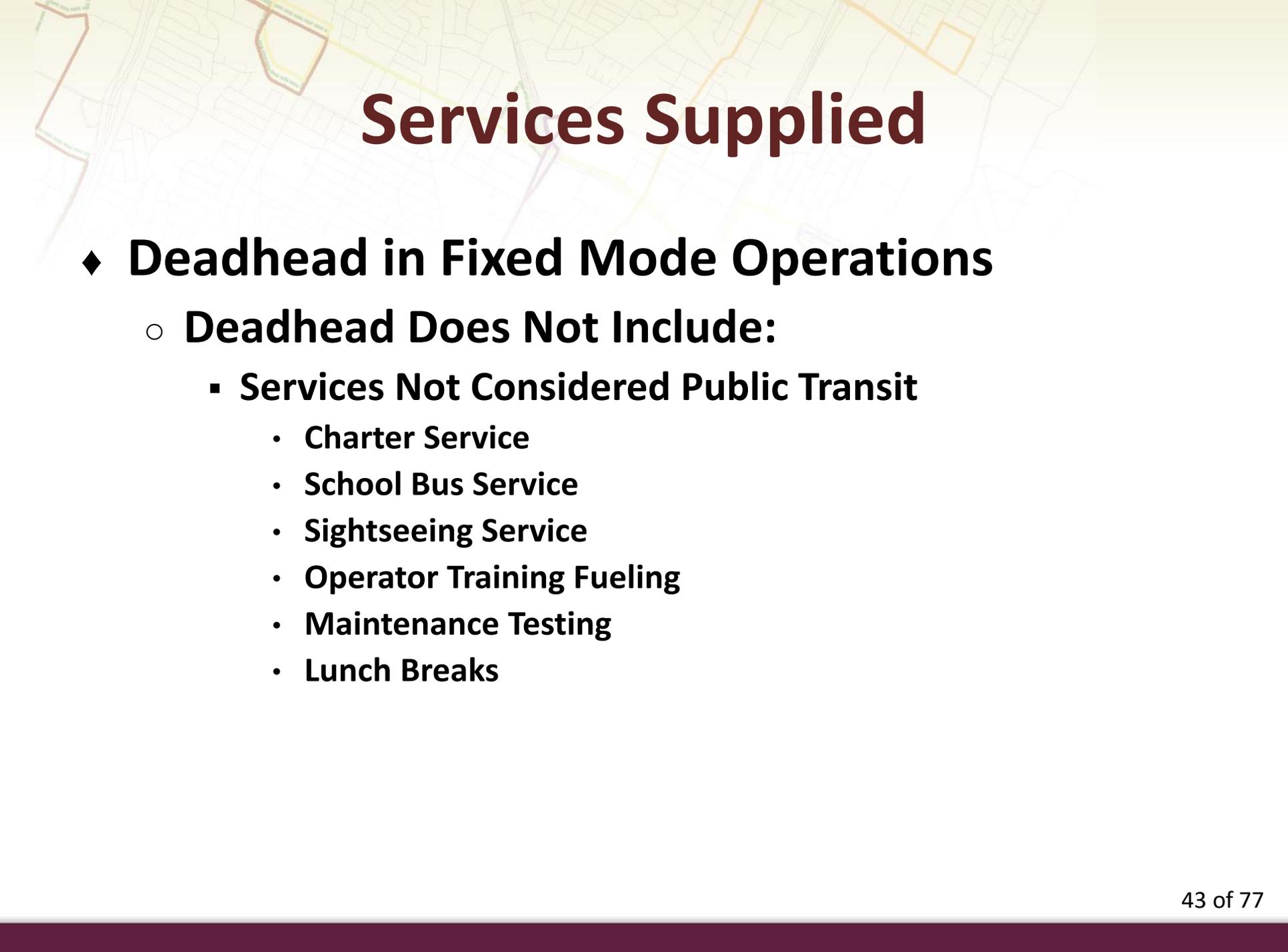


Services Supplied

- ◆ **Deadhead in Demand Response Operations**
 - **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**
 - **This Means that DR Vehicles Can Be in Revenue Service Even if There Are No Passengers On-Board**
 - **FTA Considers Whether the Vehicle is Available for Revenue Service**

Services Supplied



A faint, light-colored map of a city street grid is visible in the background, with some streets highlighted in yellow and orange.

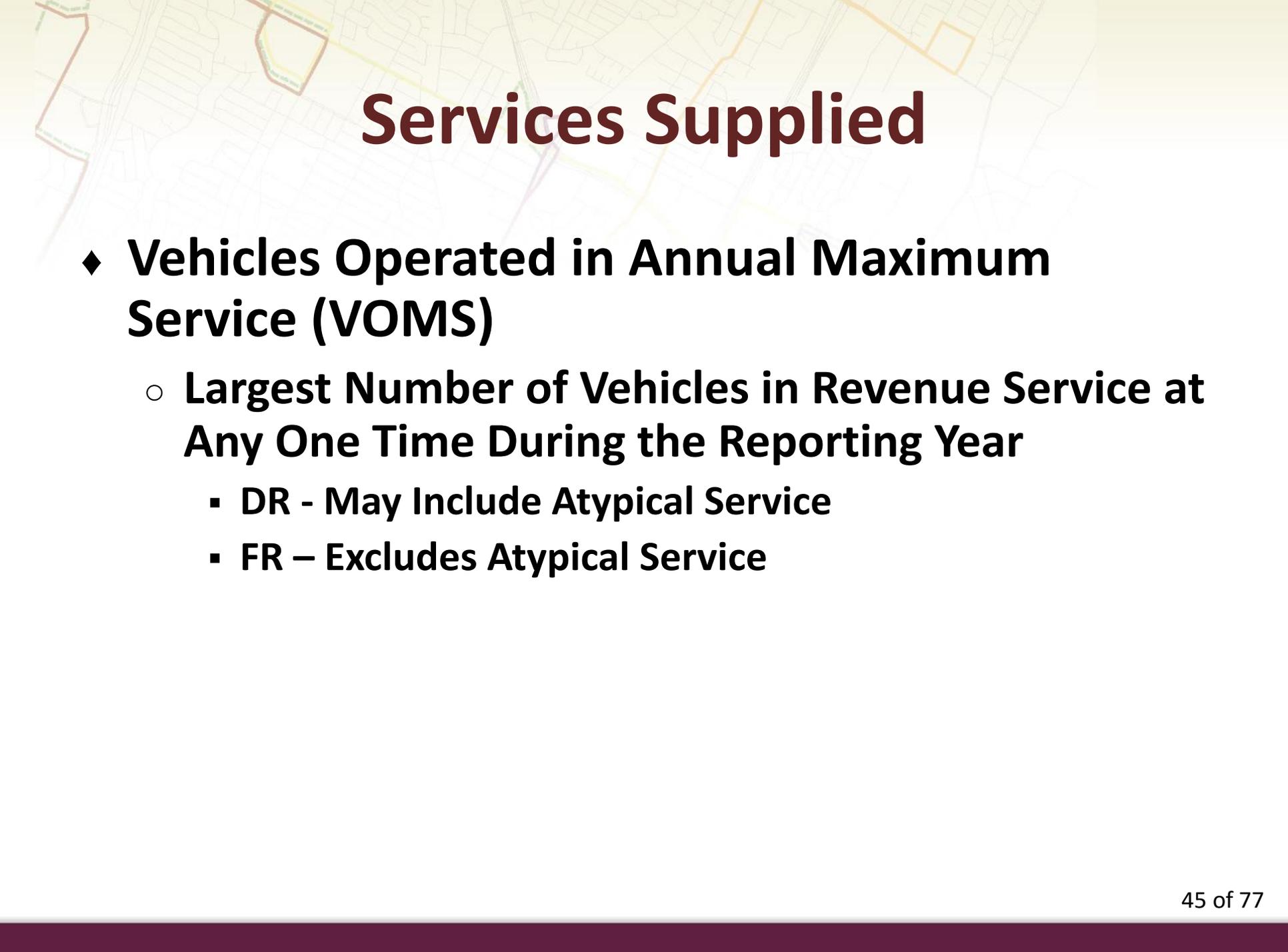
Services Supplied

- ◆ **Deadhead in Fixed Mode Operations**
 - **Deadhead Does Not Include:**
 - **Services Not Considered Public Transit**
 - Charter Service
 - School Bus Service
 - Sightseeing Service
 - Operator Training Fueling
 - Maintenance Testing
 - Lunch Breaks



Services Supplied

- ◆ **Vehicles Available for Annual Maximum Service (VAMS)**
 - **Includes**
 - **Vehicles Available for Revenue Service**
 - **Spares**
 - **Vehicles in/or Awaiting Routine Maintenance**
 - **Excludes**
 - **Vehicles Awaiting Sale**
 - **Contingency Fleets**
 - **Vehicles Undergoing Extensive Rehabilitation**



Services Supplied

- ◆ **Vehicles Operated in Annual Maximum Service (VOMS)**
 - **Largest Number of Vehicles in Revenue Service at Any One Time During the Reporting Year**
 - **DR - May Include Atypical Service**
 - **FR – Excludes Atypical Service**



Services Consumed

◆ Unlinked Passenger Trips

○ Fixed Route

- **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**

○ Demand Response

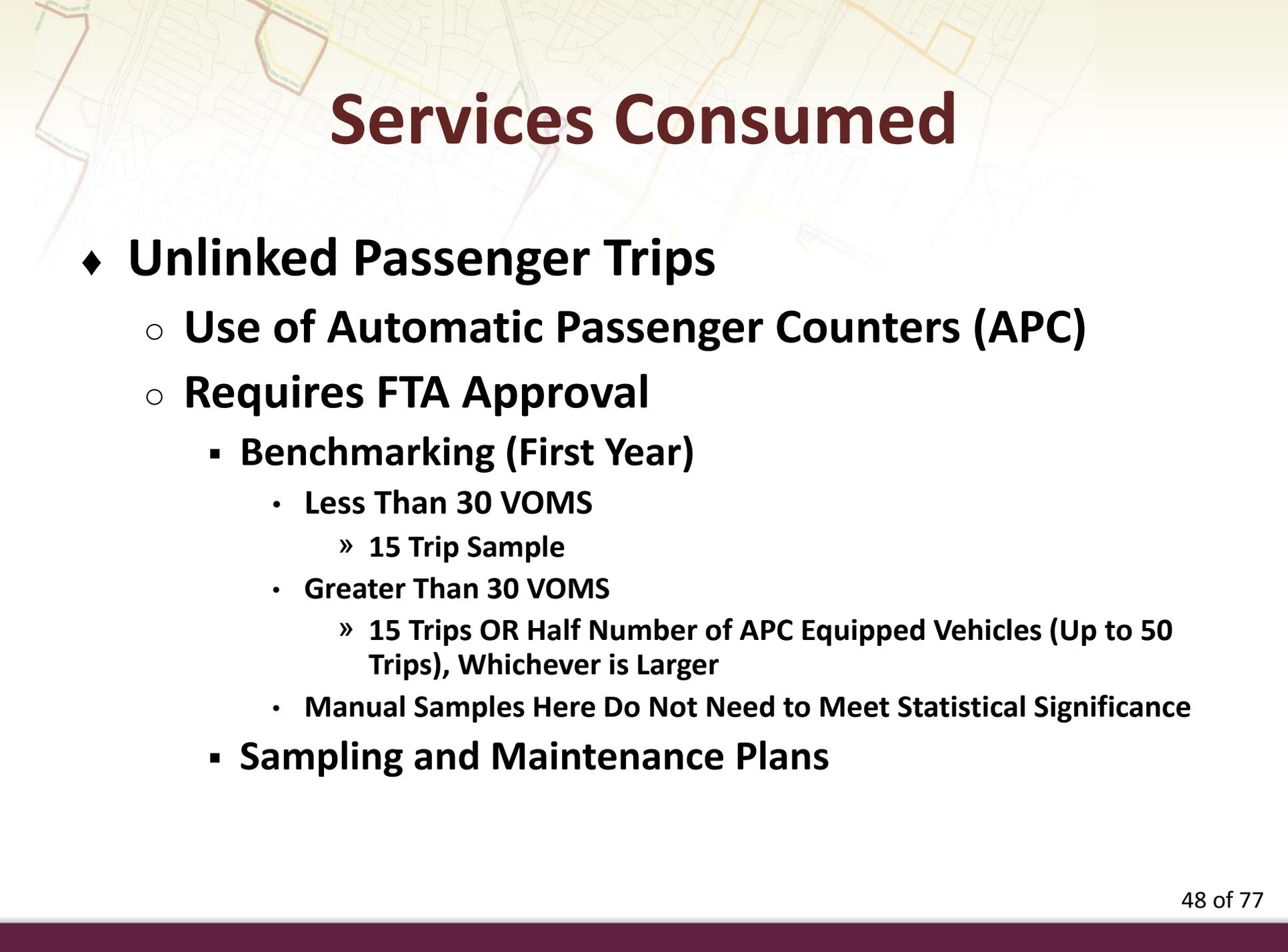
- **Transit Agencies Must Include Personal Care Attendants and Companions in UPT Counts as Long as They are Not Employees of the Transit Agency**



Services Consumed

◆ Unlinked Passenger Trips

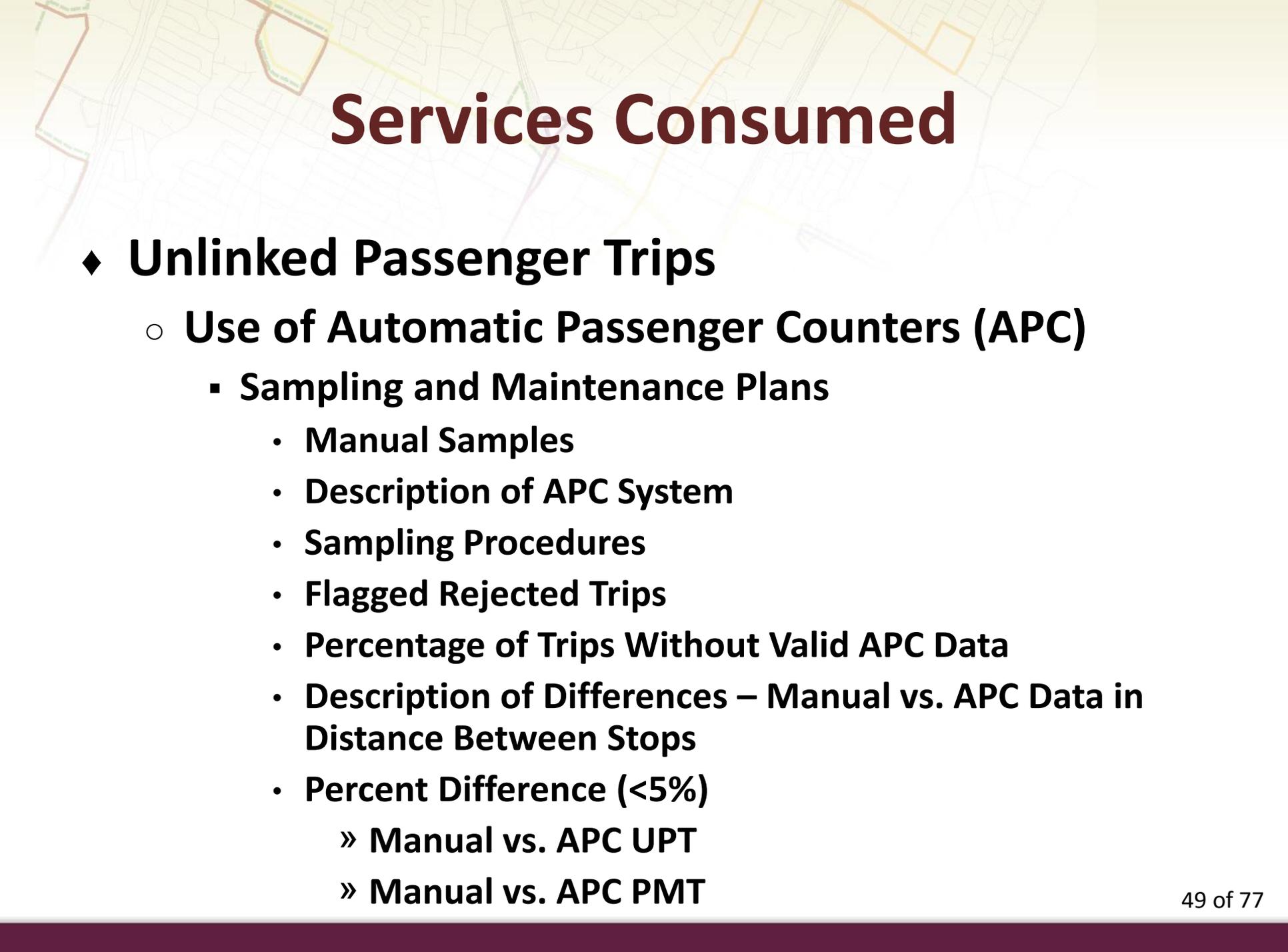
- **100 Percent Counts**
- **Two Percent Rule**
 - **Agency May Miss Counts Due to Equipment Malfunction or Other Reasons**
 - **If Incidence is Less than 2% of Total UPT, Agencies May Estimate UPT Count**
 - **Greater Than 2% Requires Statistically Valid Method**



Services Consumed

◆ Unlinked Passenger Trips

- **Use of Automatic Passenger Counters (APC)**
- **Requires FTA Approval**
 - **Benchmarking (First Year)**
 - **Less Than 30 VOMS**
 - » **15 Trip Sample**
 - **Greater Than 30 VOMS**
 - » **15 Trips OR Half Number of APC Equipped Vehicles (Up to 50 Trips), Whichever is Larger**
 - **Manual Samples Here Do Not Need to Meet Statistical Significance**
 - **Sampling and Maintenance Plans**



Services Consumed

◆ Unlinked Passenger Trips

○ Use of Automatic Passenger Counters (APC)

▪ Sampling and Maintenance Plans

- Manual Samples
- Description of APC System
- Sampling Procedures
- Flagged Rejected Trips
- Percentage of Trips Without Valid APC Data
- Description of Differences – Manual vs. APC Data in Distance Between Stops
- Percent Difference (<5%)
 - » Manual vs. APC UPT
 - » Manual vs. APC PMT



Services Consumed

◆ Full Reporters

- Requirement to Report Unlinked Passenger Trips for ADA and Sponsored Services (Two Separate Counts)
- ADA UPT Should be Included in Total UPT



Services Consumed

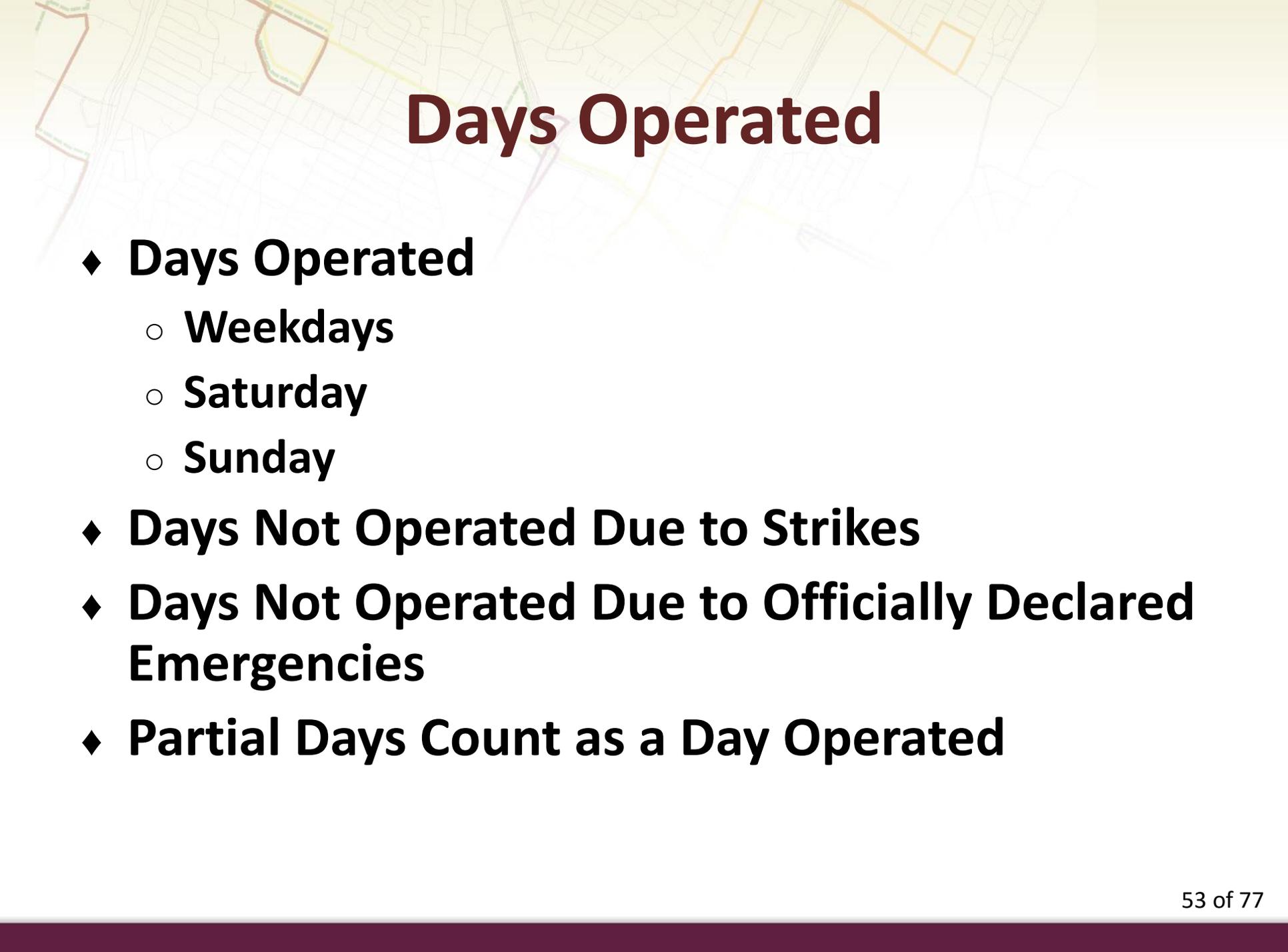
◆ **Sponsored Services**

- **This Category Typically Includes Service Provided Under Contract to a Human Service Agency**
 - **Medicaid**
 - **Older Americans Act**
 - **Veterans**
 - **Sheltered Workshops**
- **Reported As Sponsored and Included in Total UPT**



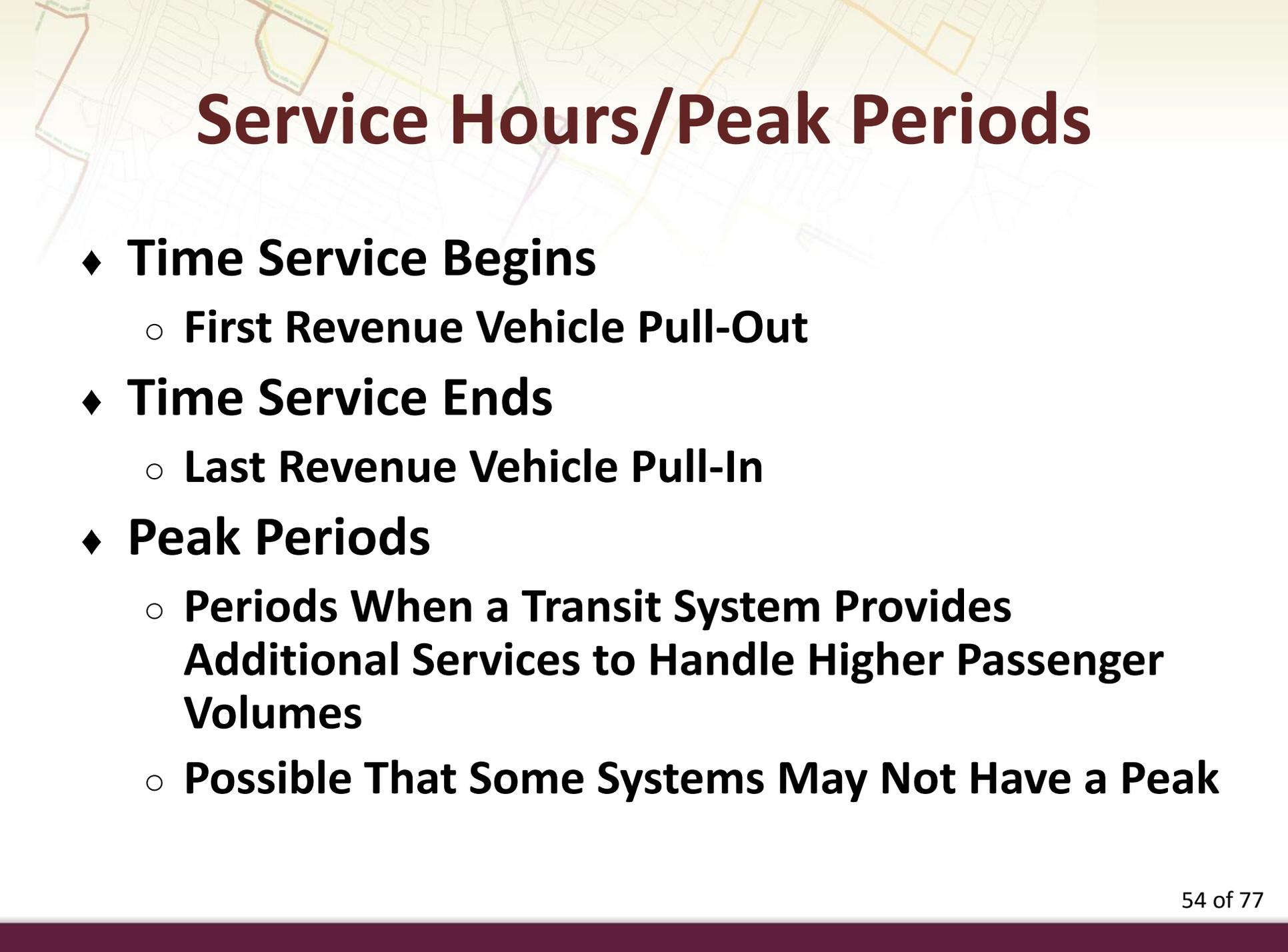
Services Consumed

- ◆ **Passenger Miles Traveled (PMT)**
 - **Only Full Reporters**
 - **First Time Reporters**
 - **UPT/PMT Data Samples**
 - Confidence Level 95 Percent
 - Precision Level +/- 10 Percent
 - **Sampling Requirements Scaled by Population Size and VOMS**
 - **Refer to NTD Sampling Manuals**



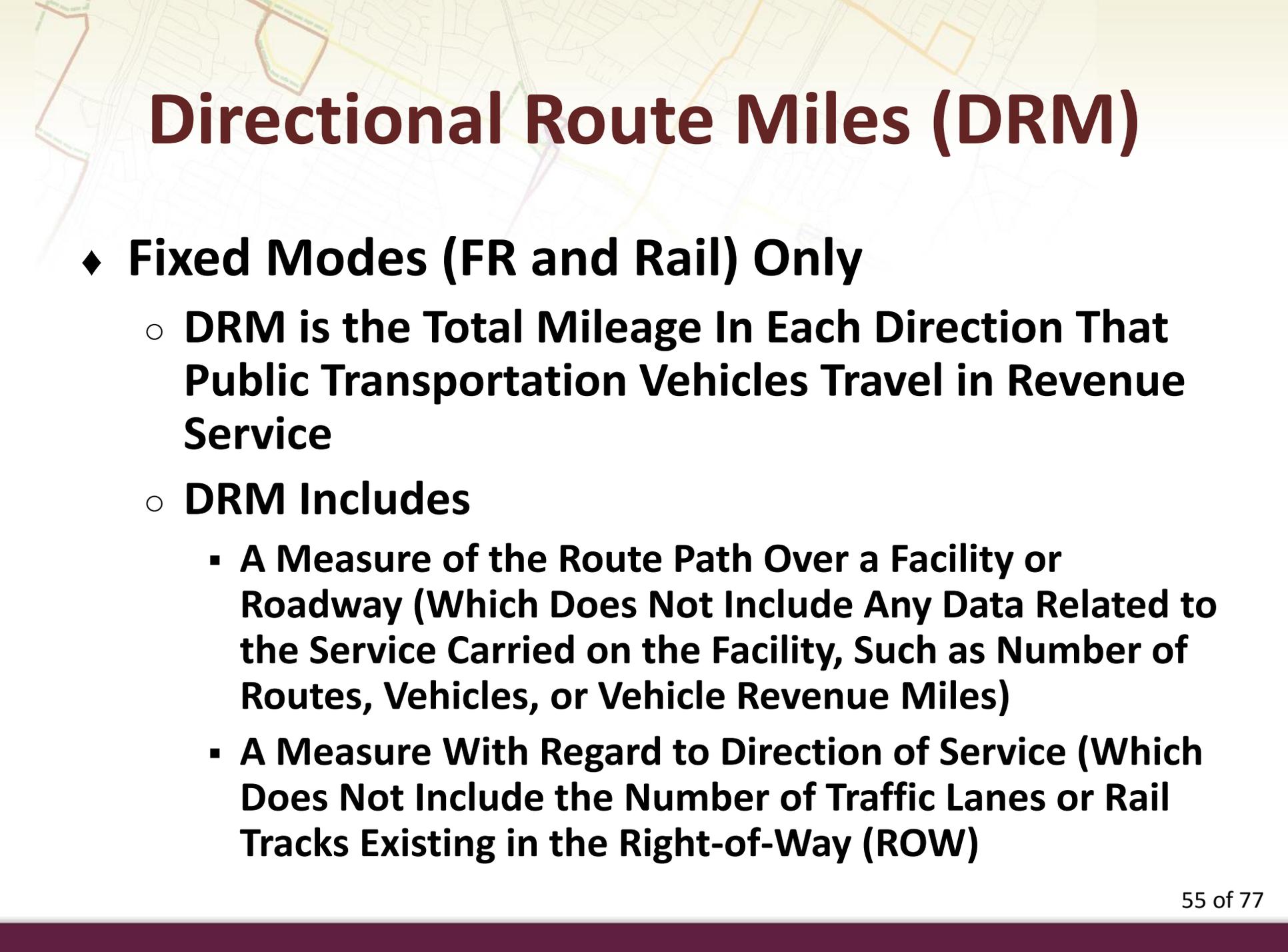
Days Operated

- ◆ **Days Operated**
 - Weekdays
 - Saturday
 - Sunday
- ◆ **Days Not Operated Due to Strikes**
- ◆ **Days Not Operated Due to Officially Declared Emergencies**
- ◆ **Partial Days Count as a Day Operated**



Service Hours/Peak Periods

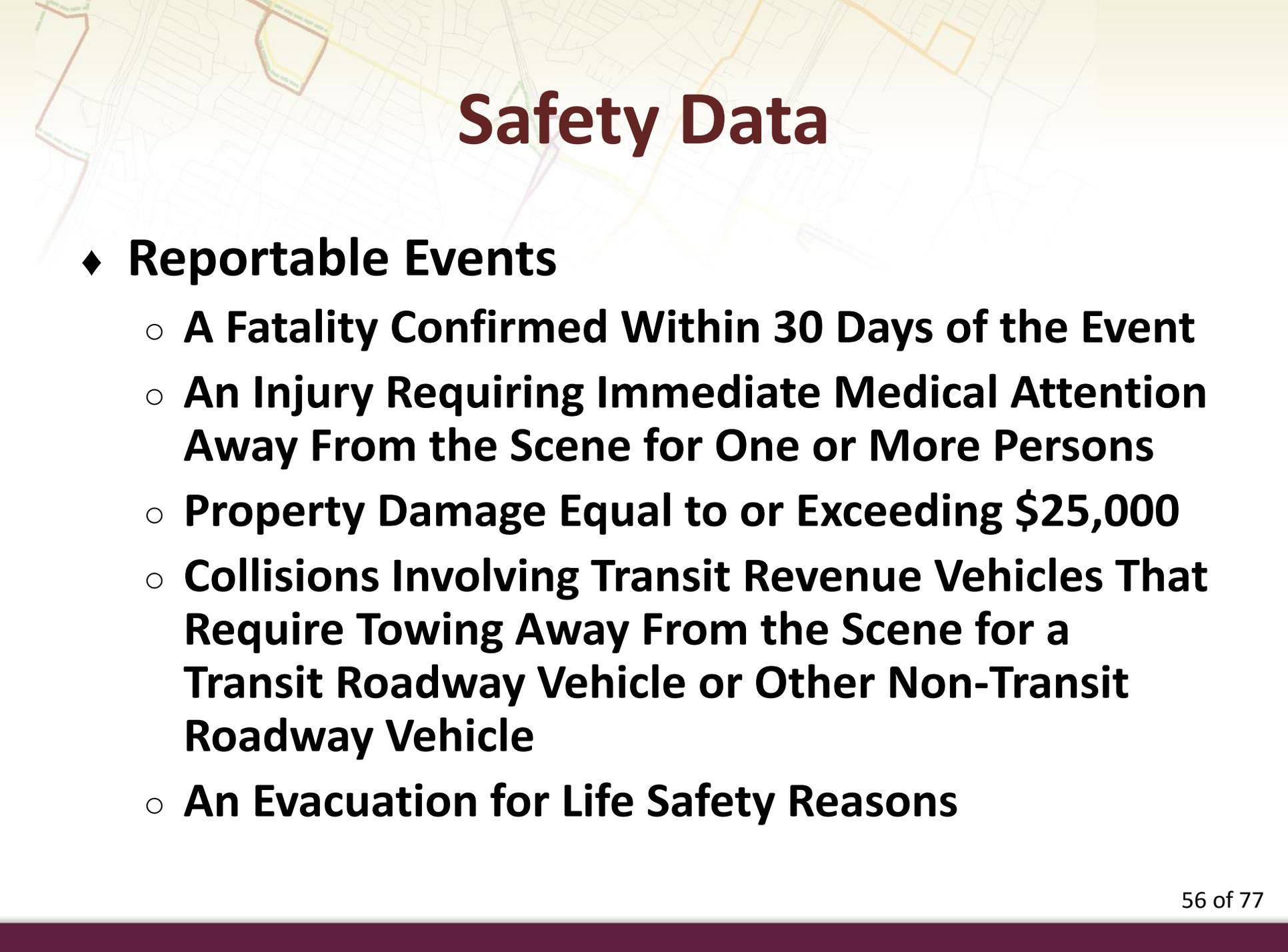
- ◆ **Time Service Begins**
 - **First Revenue Vehicle Pull-Out**
- ◆ **Time Service Ends**
 - **Last Revenue Vehicle Pull-In**
- ◆ **Peak Periods**
 - **Periods When a Transit System Provides Additional Services to Handle Higher Passenger Volumes**
 - **Possible That Some Systems May Not Have a Peak**



Directional Route Miles (DRM)

◆ Fixed Modes (FR and Rail) Only

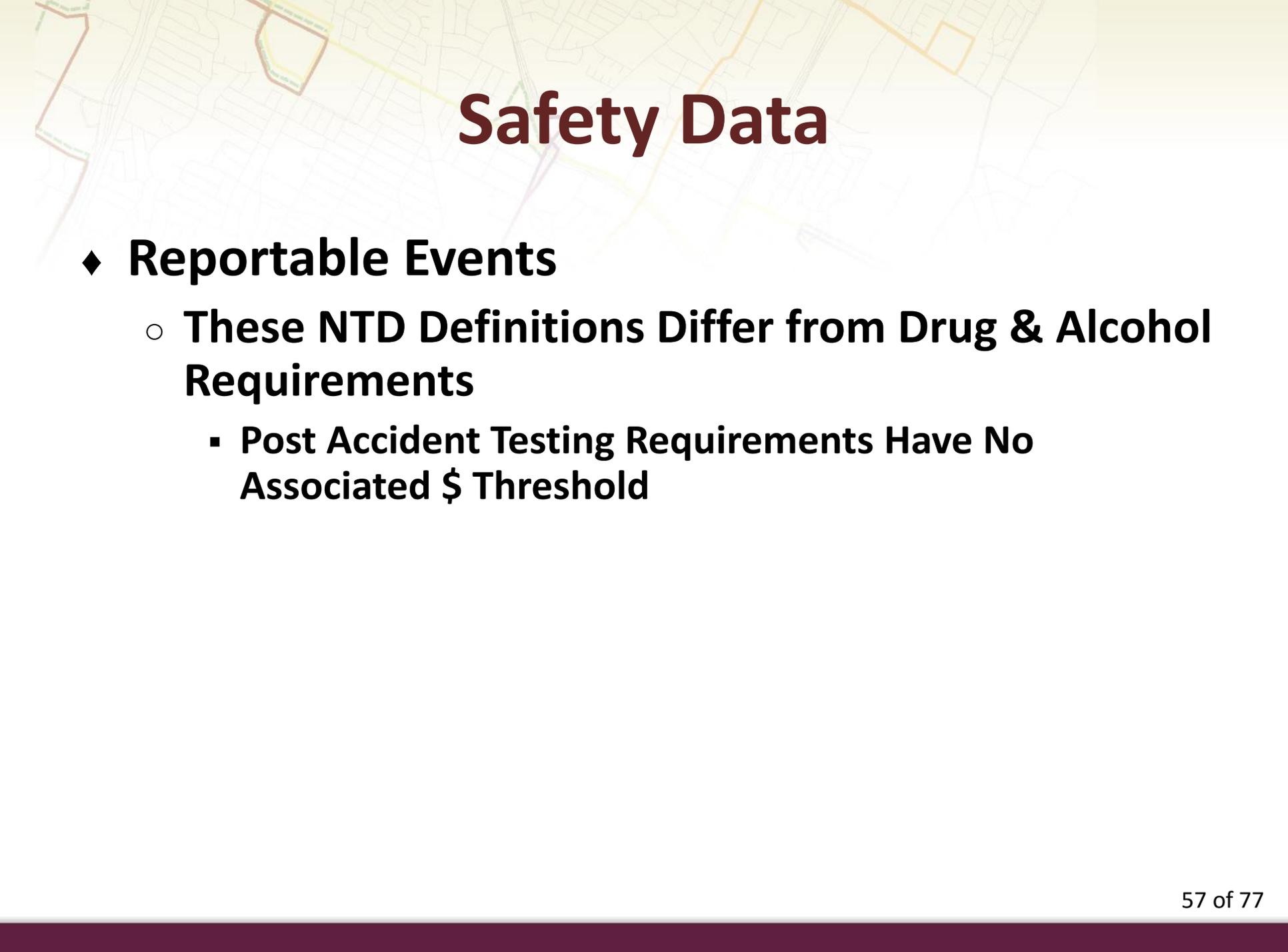
- DRM is the Total Mileage In Each Direction That Public Transportation Vehicles Travel in Revenue Service
- DRM Includes
 - A Measure of the Route Path Over a Facility or Roadway (Which Does Not Include Any Data Related to the Service Carried on the Facility, Such as Number of Routes, Vehicles, or Vehicle Revenue Miles)
 - 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))



Safety Data

◆ Reportable Events

- **A Fatality Confirmed Within 30 Days of the Event**
- **An Injury Requiring Immediate Medical Attention Away From the Scene for One or More Persons**
- **Property Damage Equal to or Exceeding \$25,000**
- **Collisions Involving Transit Revenue Vehicles That Require Towing Away From the Scene for a Transit Roadway Vehicle or Other Non-Transit Roadway Vehicle**
- **An Evacuation for Life Safety Reasons**



Safety Data

◆ Reportable Events

- **These NTD Definitions Differ from Drug & Alcohol Requirements**
 - **Post Accident Testing Requirements Have No Associated \$ Threshold**



Module 4

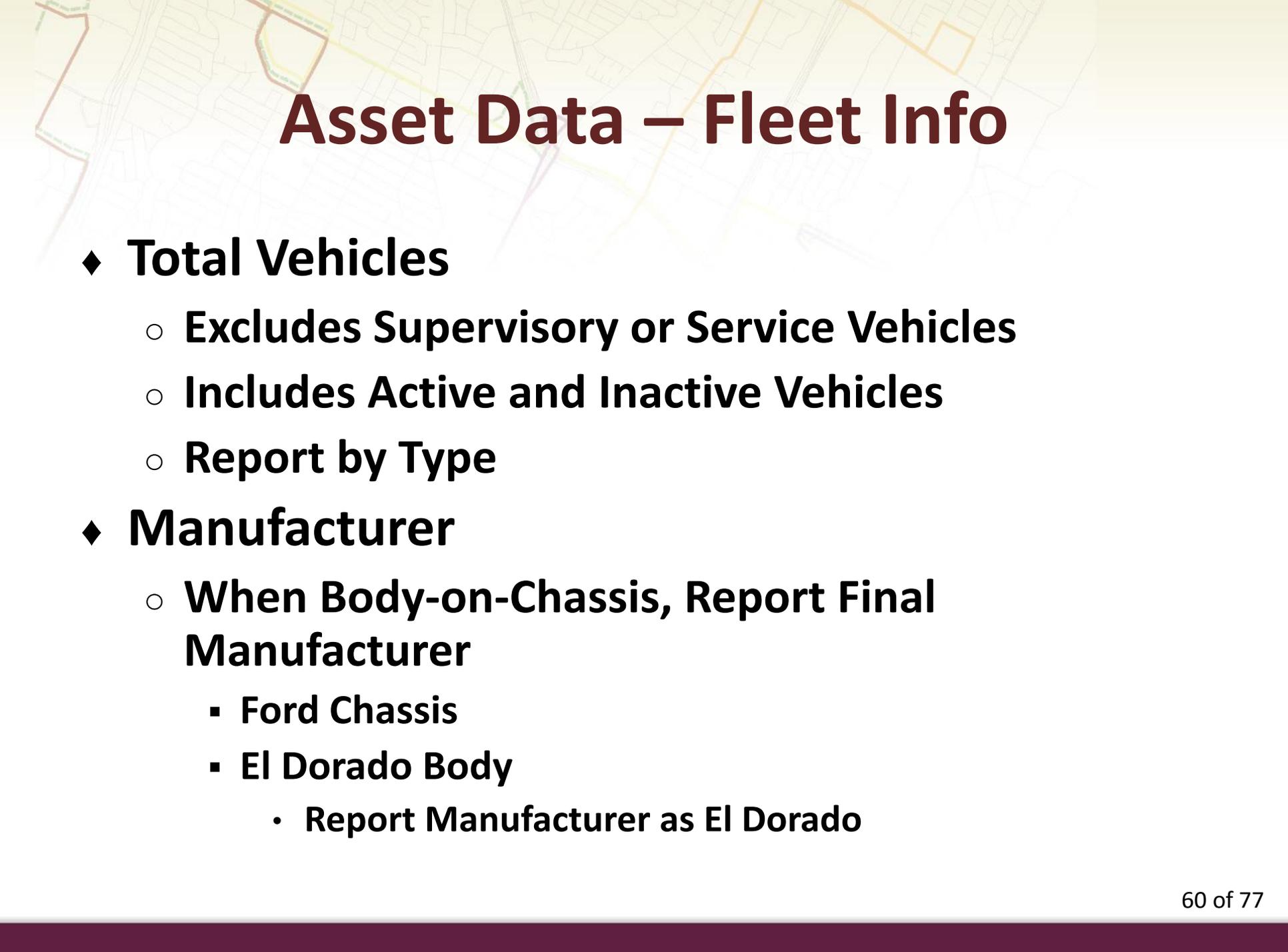
NTD ASSET AND RESOURCE DATA



Asset Data – Fleet Info

◆ All Entities Report

- Number of Vehicles in Total Fleet
- Vehicle Type
- Vehicle Length
- Seating Capacity
- Year of Manufacture
- ADA-Accessible Vehicles
- Ownership



Asset Data – Fleet Info

◆ Total Vehicles

- Excludes Supervisory or Service Vehicles
- Includes Active and Inactive Vehicles
- Report by Type

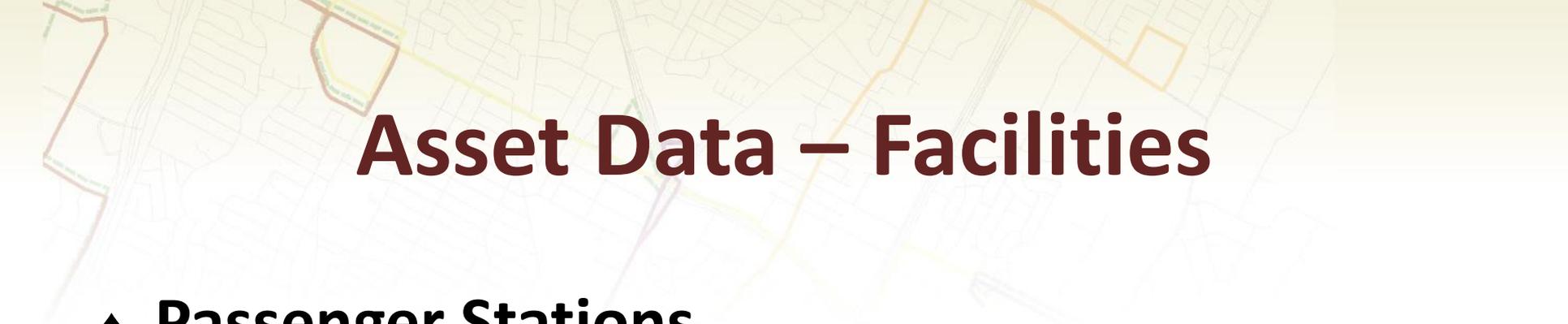
◆ Manufacturer

- When Body-on-Chassis, Report Final Manufacturer
 - Ford Chassis
 - El Dorado Body
 - Report Manufacturer as El Dorado



Asset Data – Fleet Info

- ◆ **Mechanical System Failures**
 - Full Reporters
 - No DR Mode
- ◆ **Energy Consumption**
 - Full Reporters



Asset Data – Facilities

- ◆ **Passenger Stations**
- ◆ **The Number of Elevators and Escalators Within Passenger Stations**
- ◆ **The Number of Maintenance Facilities By Size and Ownership Categories**



Asset Data – Facilities

- ◆ **Maintenance Facilities**
 - **Heavy – Major Overhaul Conducted**
 - **General Purpose**
- ◆ **Typical in Smaller Programs**
 - **Do Both**
 - **Report as a General Purpose Facility**
- ◆ **Size is Based on Number Vehicles That Can Serviced, Not Fleet Size or Number of Vehicles Serviced at Facility**

Asset Data – Facilities

- ◆ **If a Facility Serves Multiple Modes, Report Facility as a Percent by Mode**
- ◆ **Example**

Mode	Vehicles Serviced	Percent	No. of Facilities Reported
MB/DO	125	83.3%	0.8
DR/DO	25	16.7%	0.2
Total	150	100.0%	1.0

Asset Data – Facilities

◆ NTD and TAMS Requirements

NTD Fiscal Year Report to be Submitted	Set Internal Targets	Report Internal Targets to NTD	Submit Narrative Report on Meeting Targets to NTD	Report Condition Data on Vehicles	Report Condition Data on Facilities
January 2017	Required (For FY17)	Optional	Not Required	Not Required	Not Required
RY 2017	Required (For FY18)	Optional	Not Required	Optional	Optional
RY 2018	Required (For FY19)	Required	Not Required	Required	1/4 Required
RY 2019	Required (For FY20)	Required	Required	Required	2/4 Required
RY 2020	Required (For FY21)	Required	Required	Required	3/4 Required

Asset Data – Facilities

Assets	TAM Plan Inventory	TAM Plan Condition Assessment	NTD Inventory & Condition Submittal	SGR Targets
Revenue Vehicles				
Owned	yes	yes	yes	yes
Direct Capital Responsibility	yes	yes	yes	yes
3 rd Party Owned (Direct Capital Responsibility)	yes	yes	yes	yes
3 rd Party Owned (NO Direct Capital Responsibility)	yes	no	yes*	no
Equipment: Non-revenue Vehicles (regardless of cost)				
Owned	yes	yes	yes	yes
Direct Capital Responsibility	yes	yes	yes	yes
3 rd Party Owned	no	no	no	no
Equipment: Over \$50,000 in Acquisition Value				
Owned	yes	yes	no	no
Direct Capital Responsibility	yes	yes	no	no
3 rd Party Owned	no	no	no	no
Equipment				
Under \$50,000 in Acquisition Value	no	no	no	no
Facilities:				
Owned	yes	yes	yes	yes
Direct Capital Responsibility	yes	yes	yes	yes
3 rd Party Owned (Direct Capital Responsibility)	yes	yes	yes	yes
3 rd Party Owned (NO Direct Capital Responsibility)	yes	no	yes**	no
Infrastructure: Non Rail Fixed Guideway				
Owned	yes	yes	no	no
Direct Capital Responsibility	yes	yes	no	no
3 rd Party Owned (Direct Capital Responsibility)	yes	yes	no	no
3 rd Party Owned (NO Direct Capital Responsibility)	yes	no	no	no
Infrastructure: Rail Fixed Guideway				
Owned	yes	yes	yes	yes
Direct Capital Responsibility	yes	yes	yes	yes
3 rd Party Owned (Direct Capital Responsibility)	yes	yes	yes	yes
3 rd Party Owned (NO Direct Capital Responsibility)	yes	no	yes	no

Included in TAM Plan

Reported to NTD



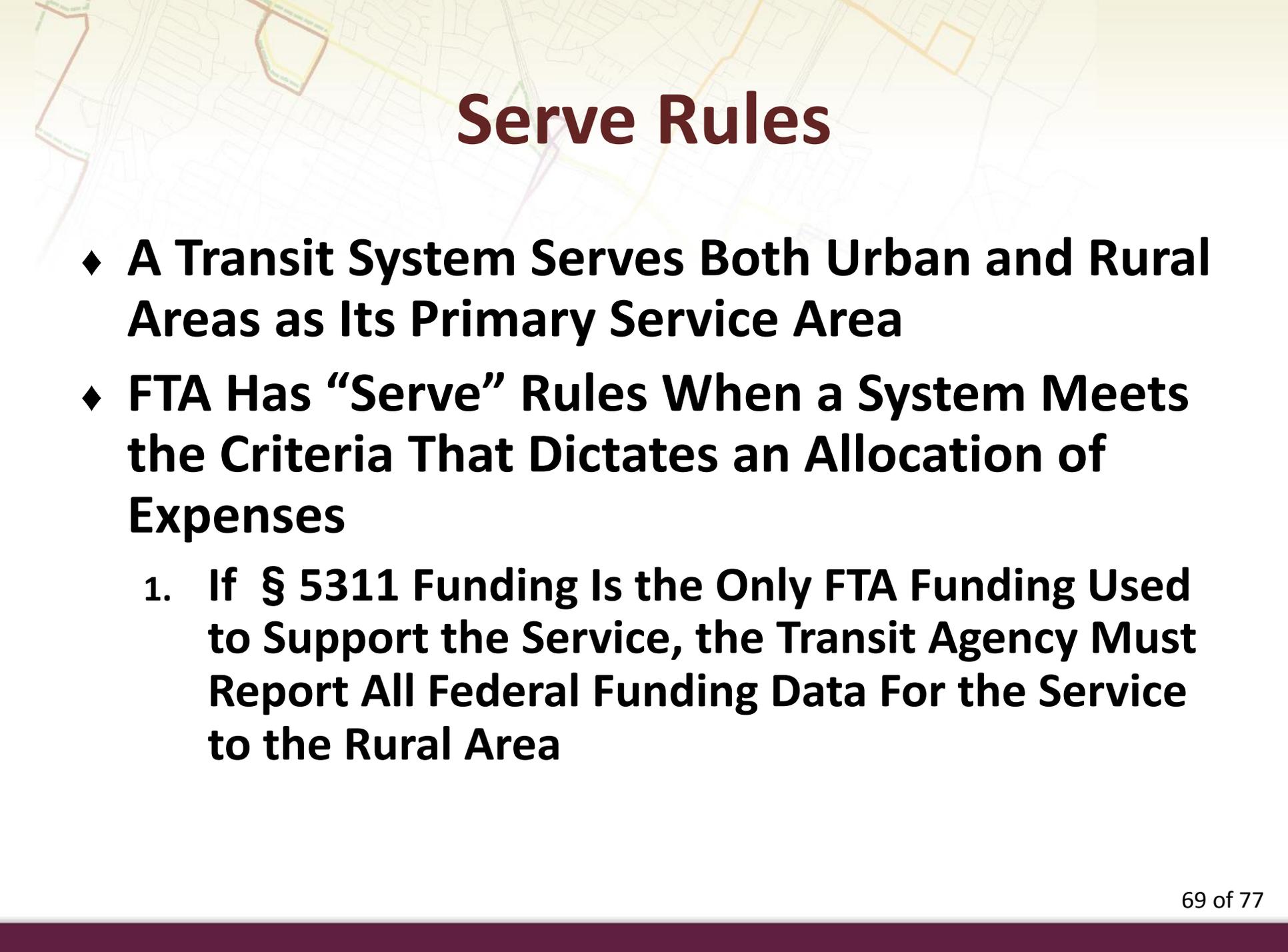
Module 5

NTD FEDERAL FUNDING



Multiple Service Areas

- ◆ **Service in Multiple Areas**
 - **Two or More Urban Areas**
 - **Urban Area and a Nonurbanized Area**
- ◆ **If Primary Intent is to Serve One Area, All Data Reported to That One Area**
- ◆ **If Intent is to Service Both Areas, Allocation is Required**
- ◆ **See NTD “Serve Rules” Pertaining to Nonurbanized Areas**



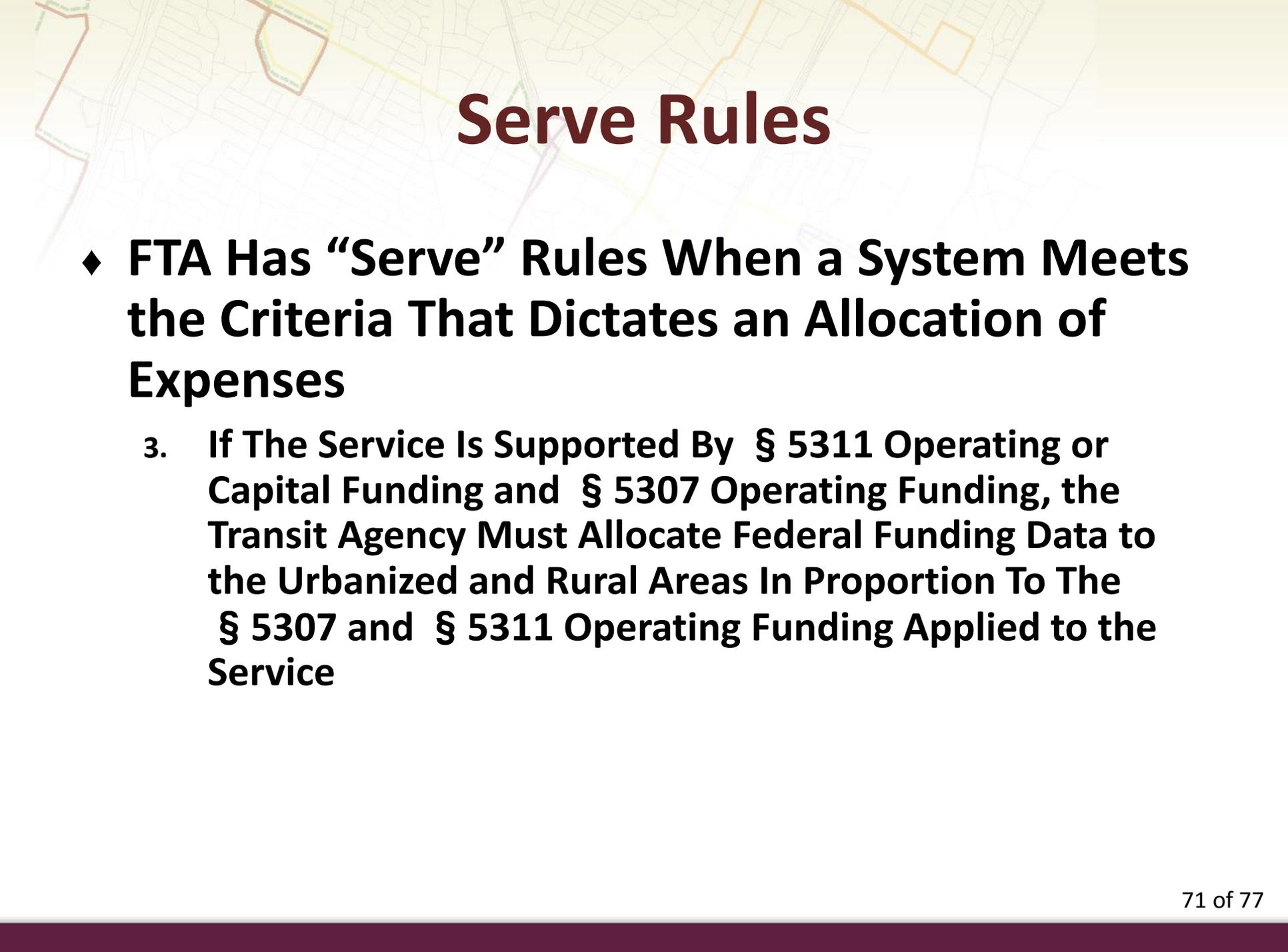
Serve Rules

- ◆ **A Transit System Serves Both Urban and Rural Areas as Its Primary Service Area**
- ◆ **FTA Has “Serve” Rules When a System Meets the Criteria That Dictates an Allocation of Expenses**
 1. **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**



Serve Rules

- ◆ **FTA Has “Serve” Rules When a System Meets the Criteria That Dictates an Allocation of Expenses**
 2. **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**



Serve Rules

- ◆ **FTA Has “Serve” Rules When a System Meets the Criteria That Dictates an Allocation of Expenses**
 3. **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**



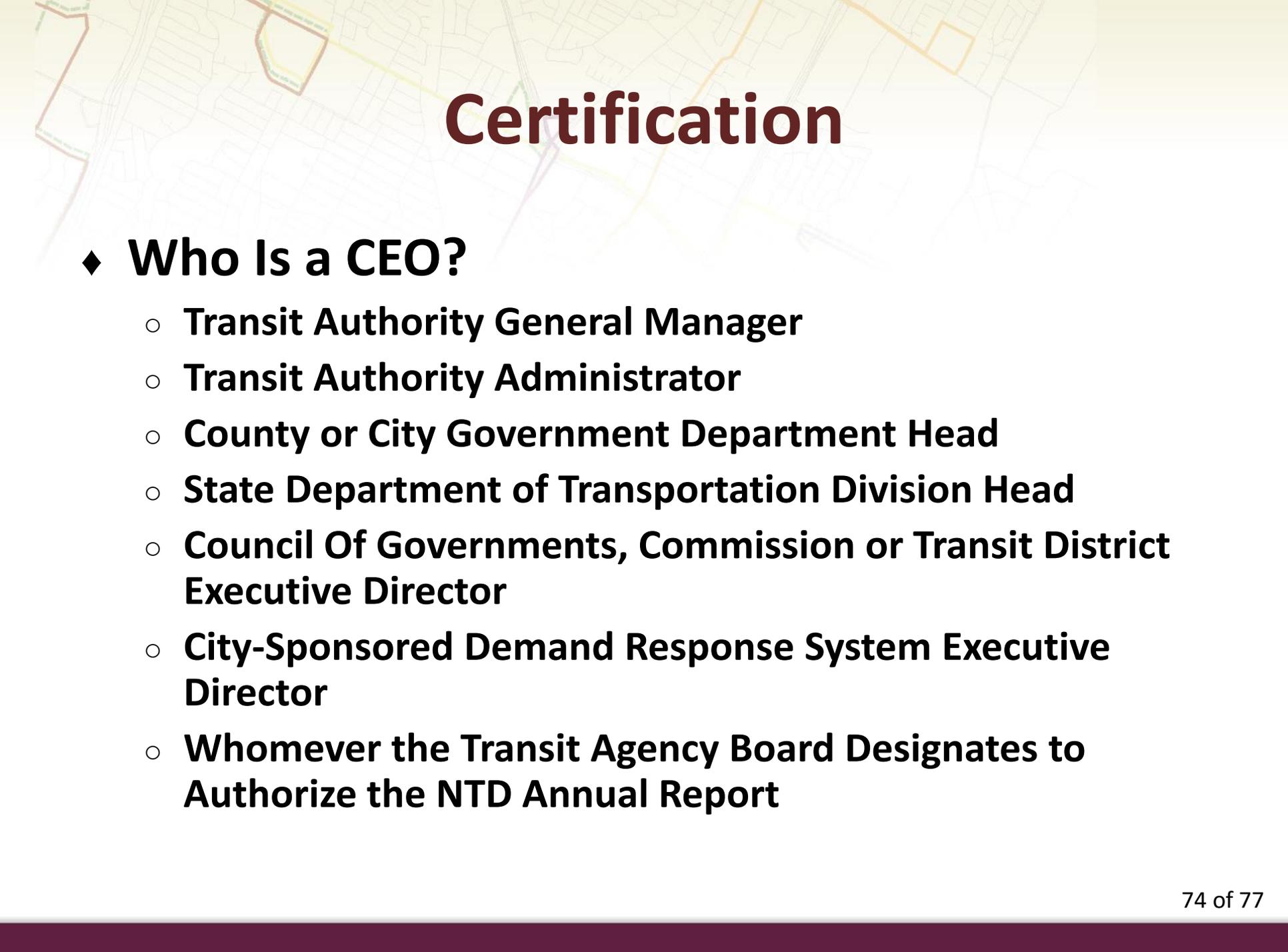
Module 6

NTD CERTIFICATIONS



Certification

- ◆ **All NTD Reports Require Certification from the CEO**
 - Full Reporter
 - Reduced Reporter
 - Separate Reporter
- ◆ **State DOT Takes Care of Rural Reporters**



Certification

◆ Who Is a CEO?

- **Transit Authority General Manager**
- **Transit Authority Administrator**
- **County or City Government Department Head**
- **State Department of Transportation Division Head**
- **Council Of Governments, Commission or Transit District Executive Director**
- **City-Sponsored Demand Response System Executive Director**
- **Whomever the Transit Agency Board Designates to Authorize the NTD Annual Report**



Certification

◆ Audit Certification

- **For Most Transit Systems**
 - **Periodic Review by Independent Auditor or Anytime There is a Major Change in Accounting**
- **Transit Systems in Large UZAs (>200,000) and Operation of 100 Vehicles (VOMS)**
 - **Annual Certification Requirement**



Waivers

- ◆ **Some Waiver of NTD Obligations is Permissible**
 - **Typically for Emergency Situations**
 - **Other Scenarios Where PMT Sampling or Other Sampling is Problematic**



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