FTA Rural and Tribal NTD Overview and Updates

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Introductions

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Agenda

1. Overview of the NTD
2. Overview of Rural Program
3. Formula Impacts – Rural and Tribal Reporters
4. Upcoming Changes to the NTD
5. Questions
NTD Overview
NTD Program

• Codified In Transportation Law: SECTION 5335.

NATIONAL TRANSIT DATABASE

– Recipients or beneficiaries of section 5307 or 5311 grants must report to the annual module

– All recipients, including 5310 (Seniors & Individuals with Disabilities), report assets under the Transit Asset Management Final Rule – beginning in FY18

– All eligible ‘public transportation’ may be reported to the NTD
NTD Is Divided Into Three Modules

• Annual Module
  – ALL Urbanized Area Reporters – 5307 Recipients
  – All Rural Reporters - 5311 Recipients

• Safety Module
  – Urbanized Area Reporters with 30+ Vehicles

• Monthly Module
  – Urbanized Area Reporters with 30+ Vehicles
What Does the NTD Collect Right Now?

• Annual Module
  – 920 Urbanized Area Systems
    • 384 with fewer than 30 Vehicles submit reduced reports
    • 536 submit full reports
      (includes both FTA 5307 grant recipients and voluntary reporters)
  – Rural Reports
    • 54 States & 131 Indian Tribes
    • 1,283 Total Subrecipients

• Monthly Module (536 Reporters)

• Safety & Security Module (536 Reporters)

Source: NTD Report Year 2017
When Do Agencies Report?

Based on each transit provider’s own fiscal year

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Report Due</th>
<th>Percent of Reporters</th>
</tr>
</thead>
<tbody>
<tr>
<td>July to June</td>
<td>October 31\textsuperscript{st}</td>
<td>55%</td>
</tr>
<tr>
<td>October to September</td>
<td>January 30\textsuperscript{th}</td>
<td>15%</td>
</tr>
<tr>
<td>January to December</td>
<td>April 30\textsuperscript{th}</td>
<td>30%</td>
</tr>
</tbody>
</table>

- Agencies are required to provide an independent auditor’s statement
- Data is certified by the CEO or GM
How is NTD Data Used?

• Provides inputs for FTA annual apportionment formulas
  – Over $9B apportioned in 2018
• Safety reporting and trend analysis
• Government reporting
  – Conditions & Performance Report to Congress
  – Government Performance and Results Act reporting
• Industry resource for
  – Service Planning
  – Peer Comparisons
• Academic and research institutions
• National RTAP iNTD Tool
Rural Reporting Requirements
Accounting Requirements

Accrual accounting

– Revenue recorded when earned, regardless of when payment is received
  • A passenger purchases $10 worth of fare, but only uses $5, you would report the fare as revenue when the customer redeems the ride, not when medium is sold.

– Expenses recorded when liability occurs, regardless of when payment is made
  • An employee receives a paycheck 10 days after it was issued. The receipt date is in a new fiscal year. You would report this liability when the paycheck is issued.
Operating Expenses

• Day-to-day expenses that a transit agency incurs.
  – Operating and maintaining vehicles;
  – Maintaining other equipment, buildings, and grounds.
  – General Admin
    • Marketing & Customer support
    • Finance and procurement
    • Planning and service development

• Examples:
  – Fuel
  – Salaries, Wages, Benefits
  – Materials and Supplies
  – Equipment lease and rental
  – Insurance
Direct vs. Shared Expenses

To report the total costs of delivering each mode of transportation, agencies with two or more modes must calculate both direct and shared costs of providing service.

- Determine which expenses are direct expenses traced to a particular mode
- Determine which expenses are shared expenses

Once the shared expenses have been identified and separated from direct expenses, you may allocate the shared expenses based on an approved cost allocation method.
Capital Expenses

Expenses related to the purchase of equipment. Equipment means an article of non-expendable personal property having a useful life of more than one year

• An acquisition cost which equals the lesser of
  – The capitalization level established by the government unit for financial statement purposes
  – $5,000 (Office of Management and Budget)
• Examples: Vehicles, Maintenance Facilities, Equipment
  – When reporting new vehicle related capital expenses, please enter the expenses under the mode that the vehicle supports the majority of the time.
Unlinked Passenger Trips are Total passenger trips (regular + sponsored trips)

- These are the number of passengers who board public transit vehicles.
- Passengers are counted each time they board the vehicle no matter how many vehicles they use from their origin to their destination.
Sponsored Trips

• Sponsored service is paid, in whole or in part, directly to transit provider by a third party.
• These services may be offered by transit providers as part of a Coordinated Human Services Transportation Plan.
• Common sponsors include the Veterans Administration, Medicare, sheltered workshops, the Association for Retarded Citizens-Arc, Assisted Living Centers, and Head Start programs.
• Sponsored Trips are a subset of total UPT.
  – Total UPT = Non Sponsored UPT + Sponsored UPT
Formula Impacts
5311 Formula Overview

5311 Formula Impacts

• Most Section 5311 funding is based on:
  • Population
  • Land Area

• Other formula inputs includes
  • Vehicle Revenue Miles (VRM) – Collected by the NTD
  • Low-income population
Tribal Formula Overview

$35 million Public Transportation on Indian Reservations

$5,000,000 Discretionary

$30,000,000 Formula

25% Equal shares among tribes with at least 200,000 VRM

25% To tribes with over 1,000 low income individuals

50% Based on VRM

Note: No Tribe shall receive more than $300,000 of this amount

Tribal Formula Impacts

• Tribal Formula has 3 tiers:
  • Tier 1 – Based on Vehicle Revenue Miles (VRM) – **Collected by the NTD**
  • Tier 2 – Equal split among Tribes exceeding 200,000 Vehicle Revenue Miles (VRM) – **Collected by the NTD**
  • Tier 3 – To Tribes serving Tribal Areas with more than 1,000 low income individuals
Special Situations - Tribal

- Tribes serving the same land area
  - Money is apportioned to the land area and tribes must agree on the split OR
  - Money is apportioned based on each Tribe’s % of unlinked passenger trips (FAST Act)

- Tribes contracting for service delivery
  - Provider reports the money received as ‘other local funds’
  - Tribe receives credit for VRM purchased
Upcoming Changes
Import/Export Function

- Agencies can now import and export data directly into the reporting system.
- Requires user login
- One template per form
USOA Updates

• **Updates to the Uniform System of Accounts** and the NTD reporting requirements are intended to clarify reporting concepts to the reporters and increase the quality of the data that is collected by the NTD.

• State DOTs will notice a change to the Reduced Reporting (RR-20) form.
Changes to Reduced Reporting (RR-20) form for Rural Public Transit Operators

• The changes to the RR-20 form are as follows:
  – Reporting of fare revenues by revenue type
  – Removal of Donations

Previous RR-20 Form:
All fare revenues are collected as:
• Passenger Fares

New RR-20 Form
Fare Revenues are collected as:
• Passenger-Paid Fares
• Organization-Paid Fares
RR-20 Rural Reporter

- Change: Passenger Fares has split into two classes:
  - **Passenger-Paid Fares**: fares paid directly by passengers; traditional fares
    - Full Adult Fares, Senior Citizen Fares, Student Fares, Child Fares, Fares for Individuals with Disabilities, No-show Fines
  - **Organization-Paid Fares**: fares paid by organizations for providing transit service
    - Universities, State and Local Government, Reduced Fare Reimbursements, Special Route Guarantees, Other Special Contract Transit Fares
Donations and Total Recoveries

• **Donations** will now be reported to the Other Directly Generated Funding line.

• All **insurance recoveries** are to be reported as a new revenue class called "total recoveries".
  – Instead of being netted out, insurance payouts will be reported as Other Directly Generated Funds in the RR-20.
  – These revenues include insurance pay outs, dividends/rebates, and funds that may be netted out towards future bills.
Expansion of Asset Data

– Expanded Asset Inventory
  • Optional in 2017; mandatory with the 2018 NTD Report

– Projected targets for the next fiscal year
  • First targets must be set in January 2017; first targets reported for 2019 with 2018 report

– Condition assessments and performance results
  • First condition assessments and performance results are due with the 2018 NTD Report

– Narrative on changes in transit system conditions and progress toward achieving previous performance targets
  • First narrative report is due with your 2019 NTD Report
## What is Reported to the NTD?

<table>
<thead>
<tr>
<th>Asset</th>
<th>Reportable</th>
<th>Performance/Condition Targets Reportable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Passenger Station/Facility</td>
<td>All passenger stations/facilities</td>
<td>If you have capital replacement responsibility – Condition Assessment</td>
</tr>
<tr>
<td></td>
<td>• Stations on ROW</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Bus Terminals or Transfer Stations</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Bus stops are NOT reportable</td>
<td></td>
</tr>
<tr>
<td>Maintenance or Administrative Facility</td>
<td>All maintenance or administrative facilities for which you have capital</td>
<td></td>
</tr>
<tr>
<td></td>
<td>replacement responsibility</td>
<td></td>
</tr>
<tr>
<td>Revenue Vehicles</td>
<td>All revenue vehicles</td>
<td>If you have capital replacement responsibility - ULB</td>
</tr>
<tr>
<td>Service Vehicles</td>
<td>All service vehicles you own</td>
<td>If you have capital replacement responsibility - ULB</td>
</tr>
</tbody>
</table>
# TAM Performance Measures

<table>
<thead>
<tr>
<th>Vehilces</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Equipment (Non-Revenue Service Vehicles)</td>
<td>Percentage of vehicles that have met or exceeded their Useful Life Benchmark (ULB)</td>
</tr>
<tr>
<td>Rolling Stock (Revenue Vehicles)</td>
<td>Percentage of revenue vehicles within a particular asset class that have met or exceeded their ULB</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Infrastructure</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Rail Guideway, Tracks, Signals, Systems</td>
<td>Percentage of track segments with performance restrictions by class</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Facilities</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Facilities Within Asset Class</td>
<td>Percentage of facilities with a condition rating below 3.0 on the FTA Transit Economic Requirements Model (TERM) scale (1=Poor to 5=Excellent)</td>
</tr>
</tbody>
</table>
# TAM Phase-In Schedule

<table>
<thead>
<tr>
<th>NTD Fiscal Year Report to be Submitted</th>
<th>Report Targets to NTD</th>
<th>Submit Narrative Report on Meeting Targets to NTD</th>
<th>Report ULB for Vehicles</th>
<th>Report Condition Data on Facilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>RY 2017</td>
<td>Optional</td>
<td>Not Required</td>
<td>Optional</td>
<td>Optional</td>
</tr>
<tr>
<td>RY 2018</td>
<td>Required</td>
<td>Not Required</td>
<td>Required</td>
<td>1/4 Required</td>
</tr>
<tr>
<td>RY 2019</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>2/4 Required</td>
</tr>
<tr>
<td>RY 2020</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>3/4 Required</td>
</tr>
<tr>
<td>RY 2021</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
</tr>
</tbody>
</table>
TAM Group Plan Reporting

• A **sponsor** can develop a group TAM plan for at least one Tier II provider
  
  • Sponsor
    • A State, designated recipient, or direct recipient
  
  • Tier II Provider
    • Operates < 101 VOMS across fixed-route modes or in any one non-fixed route mode **AND**
    • Does not operate rail
TAM Group Plan Reporting

• A **state** sponsor will manage TAM requirements in the same manner as current subrecipient reports
  • Each subrecipient will have appropriate asset inventory forms added to their report package
  • Subrecipients who currently report directly to the NTD will directly report asset inventory
  • New TAM only reporters (5310 recipients) will be managed by the State

• One A-90 form will be completed for the group
Questions
Questions Received in Advance

• What is the schedule for updates to Rural NTD?
  – Any updates to NTD reporting are rolled out at the beginning of each new report year. Updates will be published to the Federal Register for notice and comment in advance.

• How does NTD calculate cost per ride for subrecipients?
  – Cost per ride is calculated as Total Operating Expenses/Total Unlinked Passenger Trips.

• Are entities who receive funding other than 5307 or 5311 required to report ridership in the NTD?
  – No, only agencies receiving 5307 or 5311 funds must report ridership to the NTD.
Questions Received in Advance

• If an agency does not receive 5307 or 5311 funding, would they be able to recoup any funding through the Capitol Cost of Contracting if they operate the service themselves or if they contract it out to a private company?
  – FTA funding is generated at the State or UZA level. Allocation of those funds is a local decision. An agency may be able to receive 5307 or 5311 funds for eligible public transportation activities if the State or Designated Recipient provide those funds.

• Are there any templates for the accident/incident electronic database similar to the S&S 40 used to post information to the NTD?
  – FTA does not have a template available for the S&S 40.
Questions Received in Advance

• How is the apportionment affected when an agency receives both 5307 funds and 5311 funds?
  – Service is reported to the NTD as either urban or rural based on ‘serve rules’. The service is then allocated to the UZA(s) or rural area as appropriate.

• What about tribal sub-recipients who receive both tribal transit funds and funds from the statewide 5311 apportionment? How do those numbers factor into the apportionment of 5311 funds?
  – Tribes receive credit for all of their service in the tribal formula program. Tribes also divide service by State (rural) and UZA (urban). The State receives credit for all rural service reported by the Tribe in the 5311 apportionment.
Additional Resources - Training

• NTI holds 10 in person trainings on NTD Urban Reporting each year

• NTD holds approximately 10 webinars each year focusing on:
  – Safety Reporting Changes (December)
  – Tribal Reporting (Fall/Spring)
  – Rural/Reduced Reporting (Fall/Spring)
  – Upcoming Program Changes (Summer)

• Scheduled conference presentations

• Information can be found at: https://www.transit.dot.gov/ntd/trainings-and-conferences
Additional Resources – Policy Manuals

- Annual Policy Manuals
  - Full Reporter Manual
  - Rural/Reduced Reporter Manual (beginning 2018)
  - Safety Manual

- Manuals can be found at: https://www.transit.dot.gov/ntd/manuals
Additional Resources – Other Resources

• New Asset Inventory requirements (including webinars on how to report): https://www.transit.dot.gov/ntd/ntd-asset-inventory-module

• Copies of public presentations and recorded webinars: https://www.transit.dot.gov/ntd/presentations-and-webinars
Questions?

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