



U.S. Department of Transportation  
**Federal Transit Administration**

**Transportation Asset Management  
NTD Asset Inventory Webinar  
Question and Answers**

July & August, 2016

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*Note: The responses in this document may differ from the responses that were provided during the webinars by FTA staff members. FTA revised some responses for clarity.*

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## Asset Inventory Definitions and Examples

1. For Section 5310 - what is a basic vehicle inventory? Is it reported by the agency or by the Section 5310 fleet as a whole?

Each agency would report each individual Section 5310 fleet to the NTD. Fleets in the NTD reporting are vehicles with the same characteristics – model year, engineering and design specifications, etc. For example, if you had three Nova buses you would report them as one fleet and indicate the number of buses in that fleet. The requirements will be very similar to the vehicle inventory NTD reporting requirements for Section 5311 subrecipients.

2. What is the definition of a non-revenue service vehicle? Which performance targets are required for non-revenue service vehicles?

The NTD asset inventory defines non-revenue service vehicles as road-legal vehicles and major construction equipment – these are both reportable through your NTD asset inventory if you have capital responsibilities for such vehicles. The useful life benchmark is a required performance target for non-revenue service vehicles.

3. Do we need to include services vehicles even if they're under the \$50,000 asset threshold?

Yes – service vehicles are reportable in the NTD asset inventory regardless of the \$50,000 asset threshold.

4. You mentioned that bus shelters are not reportable – are bus shelters at a rail station or bus transfer station considered part of the passenger facility?

This would depend on the actual structure of your bus shelter. Typically bus shelters are a separate piece of infrastructure, and you'd walk away into the rail facility. It's possible that there would be an example where a bus would drop you immediately into a rail station, but generally no the bus shelters would not be reportable as part of the rail station unless they are physically and structurally part of the rail station itself.

5. If an agency is leasing buildings and the terms of the lease specify that they are responsible for certain capital items (like HVAC units), do these items need to be reported?

We are not asking for reporting of individual components to the NTD, the whole building is reported. The asset inventory in your own TAM Plan should include buildings, and it should include equipment with an acquisition value of greater than \$50,000.

6. Are tangent and curved non-revenue track reportable in the NTD report?

All track is reportable, regardless of whether it is revenue track.

7. Are rail diamond crossing reported?

A rail diamond crossing is not considered to be a grade crossing, therefore it is not reported.

8. Is there a specific designation regarding which power system assets should be classified as substation equipment versus third rail power distribution? Or is there agency discretion in terms of which assets would be included for each fixed guideway and track category?

There is some discretion here, however substation equipment will generally fall within the substation facility. If it's the power elements outside of the substation, that would be part of your power system.

9. On form A-55, there is no "universal" or double crossover listed. Shall that be considered 2 single crossovers?

A universal crossover should be reported as two single crossovers.

10. On Form A-55 of the AIM, what is the "grade crossing" item 7 referring to? Rail vs rail, road crossing?

A grade crossing is defined in the NTD glossary as follows:

Grade Crossing

An intersection of roadways, railroad tracks, or dedicated transit rail tracks that run across mixed traffic situations with:

- Motor vehicles
- Rail Modes (HR, LR, SR, YR)
- Pedestrian traffic

Either in mixed traffic or semi-exclusive situations.

11. Would traction power substations that are structurally part of another facility (say, a passenger station) be counted in the values entered in line 10?

A substation would be reported separately even if it is part of a passenger facility.

## Reporting Responsibility

12. What if you receive FTA funds for operating cost but no capital, do the requirements of the TAM Rule apply?

Yes, if you receive FTA operating assistance, then the requirements of the TAM Rule apply to your system.

13. Can you further explain the group plan reporting? In particular, who is responsible for such reporting?

This is with regard to the final rule – the group plan reporting responsibility is with the group plan sponsor. That sponsor could be the state DOT, or a direct or designated recipient who has at least one subrecipient. If a group plan sponsor submits a report on behalf of five group plan participants, they will submit four pieces of information: the asset inventory, any condition assessments that are necessary, the performance targets, and the narrative report. That information is a consolidated set, in that it covers all five of the participants (it does not cover the sponsor, just the participants of the group plan).

14. If a Section 5310 vehicle provides service to a segment of the population, such as seniors in specific areas of the state, is this considered open door?

That is considered to be public transportation and is subject to the reporting requirements of the Rule.

15. Will the NTD reporting for vehicles be updated? There is no way to track vehicles with the current NTD: it assigns an RVI number with no absolute identification of individual vehicles.

The revenue vehicle inventory will be updated to include a notes field that will allow agencies to add their own individual identification information to each fleet.

16. Nowhere is it mentioned the IT investments/resources needed for agency administration. What are FTA's thoughts on these systems?

FTA does not require agencies to provide an inventory of IT investments to the NTD.



17. If we have an MOU with another jurisdiction where we share capital responsibility for rolling stock, where operations and maintenance is shared across both jurisdictions but fixed assets in each jurisdiction are the responsibility of each jurisdiction, how do we report on this for the asset inventory and condition assessment?

Each agency would report all assets to the inventory and indicate their capital responsibility for each asset.

18. If I replace 20-year old catenary wire along a line segment, but do not replace the 20-year old catenary poles & other support structure; what 10-year bucket does this element now get placed in for purposes of accurate NTD reporting?

Power elements are divided into 10 year buckets based on their % of total value. So if the wires represent 5% of the total value of the power system and you replaced them in 2005, you would report 5% of the power system in the 10 year bucket representing 2000-2009.

19. We do not charge for shuttle routes, we do charge for events – do we report our shuttles under both service and revenue?

A revenue vehicle is any vehicle that you use to carry passengers – it does not matter if it is a fare-free service or not. Service vehicles are those that are never used for the carrying of passengers.

20. If an agency has 20+ subrecipients with Section 5310-funded vehicles and facilities, does the direct recipient report their inventory despite the fact that the direct recipient isn't responsible for replacing such assets?

Yes – if the direct recipient is the sponsor of the group plan they're responsible for reporting the inventory of the Section 5310 subrecipients. For instance, if the state is sponsoring a group plan with 20 different Section 5310 subrecipients they would report the inventory of each subrecipient to the NTD. This process mirrors the reporting process for Section 5311 subrecipients.

21. Are assets owned by a provider but not used by the provider in public transportation included in the provider's inventory? Such as assets that might be leased out?

If the assets are leased out to another public transportation provider for providing public transportation, then yes you must include them in your inventory. If the assets are not leased out for providing public transportation, then no, you do not have to include them in your inventory.

22. What about an asset owned by a provider but used by another provider in public transportation?

If you own it but it is used by another provider in public transportation it is still reportable in the NTDS asset inventory if the provider is a recipient or subrecipient. It is included in the inventories of both the agency using it for public transportation as well as the agency that owns it. If the asset is being used by a contractor, not a recipient or subrecipient, then only the asset owner would need to report it.

23. As a state DOT, we have continuing oversight responsibilities for Section 5310 agencies that are no longer eligible for Section 5310 funding because they are in large urban areas. Are these agencies' vehicles reportable by us or by the large urban designated recipients?

It depends which group plan the subrecipient chooses to participate in – that group plan sponsor would be responsible for reporting. However, each potential Group Plan sponsor must offer them coverage in their Group Plan. It is up to the eligible participant to determine in writing which plan it chooses. A state DOT must offer a group Plan to its Section 5310 subrecipients. An urbanized area Section 5310 designated recipient is required to offer a Group Plan to its Section 5310 subrecipients. In either case, additional Tier II transit operators may be included in the Group Plan by mutual agreement. Generally, small urban providers, Tier II direct recipients of 5307 are not required to be included in a Group plan, but they can be if mutually agreed upon. In any case, the Group Plan sponsor reports to the NTD on behalf of those systems included in the Group Plan.

If they are no longer eligible for Section 5310 but they are still operating public transit and using assets, their assets still need to be covered under a group plan. If the agency received funding through the FTA Section 5310 program, they would still need to be part of a group plan.

24. If a facility is originally purchased with local funds and a new roof is constructed using Section 5310 funds, how do we report this?

Reporting requirements are not tied to the funding source, reporting requirements are tied to whether or not you are responsible for capital responsibility regardless of where the funding comes from. It's reportable if you have capital responsibility and you use it public transportation.

25. A city department will not need to report a heavy duty maintenance facility in the NTD inventory if they are not responsible (partially or fully) for capital replacement of this facility, even though the facility was funded in part by FTA – is this correct?

In general, using FTA funds to build an asset is presumed to imply capital responsibility for the asset – with rare exceptions.

26. Are undeveloped park and ride facilities required to be reported in the NTD inventory if we have full capital responsibility?

Yes, if you have full capital responsibilities you need to report that in the NTD inventory. You would provide basic information as well as a condition assessment for that park and ride facility.

27. We have a park and ride with two bus shelters and one hundred parking space under a use agreement with the local mall. The mall maintains the parking lot and the bus contractor supplies security on their turnkey arrangement – do we need to report the park and ride facility?

You would have to report this as a passenger and parking facility in the asset inventory but would not be required to complete a condition assessment since you do not have capital responsibility.

28. Regarding the responsibility for "partial" capital costs: we have a contract with a private service provider and part of the contractual charges is "capital cost of contracting" which we partially fund with 5307 funding. We don't have a direct responsibility for capital replacement, but contribute to the provider's capital expenses in general.

Based on your description of the contract, the contractor has capital responsibility; therefore, you do not have direct capital responsibility and would not have to report a condition assessment on this facility.

29. What if a transit agency uses a state-owned park and ride facility but does not have capital responsibility for that facility – what level of detail (size, location) or condition assessment will the transit agency need to include in its report for this facility?

If you do not have capital responsibility there is no condition rating, but you would report it in the basic inventory with the size, location, number of parking spaces, and age (the basic inventory elements for a passenger parking facility).

30. Will asset owners need to start reporting separately to NTD if their operator currently reports to NTD and has 0% capital responsibility on those assets?

Yes, if the asset owner is recipient of FTA funds, then the asset owner is required to report to the NTD.

## Group Plan Reporting

31. Are NTD reporting targets and narrative required for Tier II agencies that join a state TAM plan?

If you have a Tier II agency that is part of a group TAM plan developed by your state DOT, the state DOT would submit their NTD reports including both the data report, with target and performance metrics, as well as the narrative report.

32. Will our State's subrecipients be able to report their own TAM Plans on the NTD website?

TAM plans are not reported to the NTD or elsewhere, However a State DOTs will have the option of setting up some or all of their subrecipients for direct reporting of TAM data requirements both the data and narrative reports.

33. Is it possible to submit different targets for different agencies of the group plan? Or is it one target for all agencies in the group plan on form A-90?

Group TAM Plan performance targets are unified targets. You should set one unified target per vehicle type that will apply to the entire group. A Sponsor may develop multiple group TAM Plans in order to group together similar subrecipients, and then multiple targets could be reported.

FTA did not intend for people to be required to report more than one target for a group plan. If each member of a group plan had their own target, it would effectively be an independent plan. One of the benefits of doing a group plan is to leverage the administrative role and responsibilities among all of the systems participating. As a group plan sponsor, you can determine that you'd want to submit more than one group plan – group plans can be divided among program areas or geographic areas, all depending on how your subrecipients are structured.

34. What exactly will the narrative component of the TAM entail?

The narrative report is a TAM requirement – the narrative report should cover your progress towards achieving your targets, the condition of your system, and how the condition of your system has changed since your last report. The TAM Rule does not have a ton of details on what will be included in the report, FTA will issue additional guidance as the deadline for the narrative report approaches. The FTA's guidelines will be open for public comment before they are adopted.

## Performance Measures

35. Can you explain what is meant by condition assessment for NTD?

For facilities we are asking you conduct a conditions assessment every three years. The Guidebooks Webinar goes over the proposed guidebooks for conducting this condition assessment – this is still open for comment in the Federal Register. I would encourage you to read these requirements and comment if you have questions. Link to the Federal Register entry: <http://federalregister.gov/a/2016-16883>

The condition assessment is a one through five rating of each facility based on the guidance provided in these guidebooks. For each facility provided in the inventory where you have capital responsibilities, you will attach a condition assessment for the facility in the NTD inventory.

36. Is the square footage for a facility just the structure or does it also include the square footage of the land?

The square footage is only for the structure itself.

37. I would imagine our performance target would always be 0% past ULB. However, that's often not going to happen. Is there a consequence to failing to meet a target?

There are no penalties for failing to meet a target, and no rewards for making a target.

38. Is there some standard method for reporting asset condition in relation to vehicles? Can you define what constitutes an "Excellent", "Good", "Fair"... etc.?

FTA has not provided a standard method. You may choose to use the 5-point TERM scale, or another method of your choosing.

39. Is a random sampling of the condition of a large number of identical assets valid? Such as 40 foot transit buses built by one manufacturer in one production year.

You do not need to report condition assessments for buses to the NTD. However, TAM Rule requires that you do a condition assessment of all assets in your asset inventory. This may be an age-based condition assessment, or it may be an assessment based on random sampling, or other locally determined methodology. The TAM rule does generally accept a statistical sampling.

40. There are three criteria in Slide 19 – are the three criteria used to determine if an item is in a state of good repair based on the performance measures for rolling stock, or facilities?

Yes, the SGR performance measures are intended to point towards state of good repair issues. Useful life benchmark (ULB) is intended to be a proxy for whether or not your vehicles are in a state of good repair.

The condition assessment for facilities has a similar function. The infrastructure slow zone is intended to provide an idea of the percent of track that has performance restrictions on it. The criteria were written to avoid day to day issues, they look to inform long term state of good repair measures.

41. I understood the final rule required benchmark/targets for each class in the vehicle category. Wouldn't there be only 1 class in non-revenue vehicles? Vehicle types are additional detail, whereas for revenue vehicles, I thought vehicle class had to be broken up by mode (DR, LRT, MB). Can you please clarify how many performance targets you expect for vehicles, rev and non-rev?

You must report one target for each vehicle type that you use for revenue service. Vehicle types include motor bus, articulated bus, ferry boat, heavy rail vehicles etc. There are three types of 'non-revenue' vehicles in the asset inventory: 1) automobiles, 2) trucks and rubber tire vehicles and 3) steel wheel vehicles. You will provide one target for each non-revenue vehicle type.

## Asset Module and Reporting Timelines

42. You've mentioned the phrase "uploading data" – will there be a file format to be used for uploading data or will it be an entry on a website?

It will be definitely be possible to enter it directly to the website, but we are hoping to also have upload capabilities by the time there is optional reporting in fall 2017. In that case, there would be a format for data to be uploaded into the NTD.

43. Are assets forms A-10 through A-90 going to be separated into a different module on the NTD website?

Correct – these mock ups are intended to provide the information in a way that is digestible. The actual module in the NTD system will not be structured in the exact same way, but those are the data elements that will be captured in the module.

44. Will the ten year age buckets for guideways be rolling each year or will they always be in terms of the fixed decade?

The will be with respect to the fixed decades. This will ensure a minimum of reporting burden from year to year.

45. When will you have the performance target forms in the system?

We anticipate having them available by the end of December 2016.

46. Do targets need to be reported at the beginning of the fiscal year 2017 or calendar year 2017?

You are not required to submit targets until the first mandatory reporting year, which is 2018. The only requirement for FY 17 is to set your initial targets by January 1, 2017; however, initial targets do not need to be reported.

47. How can we define performance targets if we have not collected the data for each category? For example, if I do not collect 241 stations data, how do I make a performance target in 2017?

This is a statutory requirement – all the FTA is asking of you is to use the best information that you have available to make your best performance target that you can. We are going to be understanding of the fact that this is a development process – we are not looking for perfect performance targets, but we are looking for the internal process within the organization for setting performance targets in the long run.

48. Is the one-third of assets per year for three years of facilities assessment by dollar amount value of the assets or by the total number of assets?

This would be the total number of assets – we're not actually collecting replacement costs of the facilities in the NTD inventory, just a discrete count.

49. The facilities condition assessment protocol of reporting one-third of each tier annually applies only to facilities, whereas all other asset types must be in the NTD in full beginning in 2018, is that correct?

Condition assessments are only done for facilities, with one third of each tier being due per year beginning in 2018 (although they can be done more quickly if you choose). You do not have to report a condition assessment on the one to five TERM scale for other asset types. There are different performance targets for other assets: for service and revenue vehicles, the performance metric is the useful life benchmark which must be reported in full each year. For fixed guideways, you report the percent of directional route miles under performance restrictions, which will begin reporting in 2018. The Guidebooks Webinar will be posted to the TAM website and has additional information about calculating fixed guideway performance metrics –percent of route miles under performance restrictions will be calculated at 9 AM on the first Wednesday of each month and reported as an annual average.

50. Is the one-third of assets per year for three years of facilities assessment by dollar amount value of the assets or by the total number of assets?

This would be the total number of assets – we're not actually collecting replacement costs of the facilities in the NTD inventory, just a discrete count.



51. Will the annual evaluation audit of TAM and the NTD include comparison analyses to the prior year like most of the other NTD elements? If so, how will it be compared from year to year? How will industry standards be determined?

Yes – your own internal entry will be audited against what you have entered in the past. In terms of industry standards, it will probably take a couple of years to see what industry standards arise through this reporting. We will not have a sense of what the industry standard is or should be in year one. Going forward, as we get more information and see what people are reporting, we will report out on industry averages and trends.

52. What sort of guidance will you be providing to the PMOC as well as for the Triennial audit?

When the TAM rule takes effect October 1<sup>st</sup> 2016 the Certification and Assurances document will be update to reflect FTAs oversight responsibilities, in FFY 2017 that will include the 3 mo. targets mandate by MAP-21. In FFY 2018 the TAM plan will be due and thus the oversight documents will reflect this requirement, in addition the SMR and Triennial reviews will begin to audit the compliance of grantees. The existing process of workbook development and review for SMR and Triennial reviews and training for reviewers is anticipated to stay the same.

53. Do you recommend that each agency develop a transit asset management policy that is approved by their governing board before the first reporting period? What would this policy look like if the agency is a TAM plan sponsor versus being part of a group plan?

We're not recommending anything in particular, however we do think having a TAM policy approved by your governing board is a smart idea. In terms of an independent TAM plan versus group TAM plan – we've left it up to the participants in a group plan and their sponsor to determine their roles and responsibilities. There isn't a one-size-fits-all approach – some sponsors are hands on, others are decentralized. However, one difference would be that the group plan sponsor might identify their group plan participants. These are all dependent on how local decisions are made and how the group plan might be structured.

## Final Rule

54. Are there any specific suggestions for performance targets?

No – we are not recommending any specific targets, this should be based on each agencies' own operating environment. This will be informed by your own capital plans, for example.

55. While it is clear what is reportable to NTD, what is not clear is what has to be included in the asset inventory for the TAM plan. Are there assets not reportable under NTD that need to be reported in the TAM plan?

All assets that fall within the four asset categories must be included in the TAM plan inventory. The only exceptions are bus shelters and equipment with an acquisition value below \$50,000. To clarify the only “reporting” of assets to FTA is the NTD AIM.

56. Can the TAM policy be incorporated into existing facility and vehicle maintenance plans, or vice versa? Would it be beneficial to incorporate them one way or the other?

Integrating facility and maintenance concepts and policies in your TAM plan makes sense, but please note that your TAM plan needs to be a standalone document (i.e. it cannot say “please refer to...”). The TAM plan needs to package all this information into one document.

57. Can you give an example of a performance target for vehicles and facilities? The final rule reads: performance target means a quantifiable level of performance or condition.

If you are a member, the performance measure for revenue vehicles is the percent of your vehicles past their useful life benchmark. A target would be: 0% of vehicles are past their useful life benchmark for each vehicle type in your rolling stock category (i.e. 0% of buses are past their useful life benchmark, 0% of railcars are past their useful life benchmark). For facilities the performance measure is the percent of facilities below three on the TERM scale, and the target could be 0% of facilities are one or two on the TERM scale. Similarly, for facilities, there would be a target for each of the four facility types.

## Performance Measure Guidebooks

58. Do performance restrictions on guideways include maintenance work?

Yes – at 9 AM on the first Wednesday of every month you take a snapshot of performance restrictions on your guideways and include them regardless of cause. However, if you have performance restrictions across your entire system due to weather related issues, for example, you would not report that your entire system is under restrictions.

59. Why is the age of track not reported, but expected service life is? Age reported for guideway, but track can be replaced without replacing guideway.

FTA felt that calculating the age of track may prove too burdensome so this data point was not included in the final asset inventory.

60. For fixed guideway performance infrastructure, are you only required to have 1 target if you operate only 1 rail mode? We assume bus fixed guideway is excluded.

If you only operate one rail mode, you are only required to report one guideway under performance restriction target. You are not required to report on performance restrictions for bus guideway.