

Transit Asset Management

Checklist #2a

Am I required to be a TAM group plan sponsor?

Applicable TAM Rule Language

§ 625.27 Group Plans for Transit Asset Management.

Sponsor means a State, a designated recipient, or a direct recipient that develops a group TAM for at least one tier II provider.

Group TAM plan means a single TAM plan that is developed by a sponsor on behalf of at least one tier II provider.

(a) Responsibilities of a group TAM plan sponsor.

- (1) A sponsor must develop a group TAM plan for its tier II provider subrecipients, except those subrecipients that are also direct recipients under the 49 U.S.C. 5307 Urbanized Area Formula Grant Program. The group TAM plan must include a list of those subrecipients that are participating in the plan.
- (2) A sponsor must comply with the requirements of this part for a TAM plan when developing a group TAM plan.
- (3) A sponsor must coordinate the development of a group TAM plan with each participant's Accountable Executive.
- (4) A sponsor must make the completed group TAM plan available to all participants in a format that is easily accessible.

(b) Responsibilities of a group TAM plan participant.

- (1) A tier II provider may participate in only one group TAM plan.
- (2) A tier II provider must provide written notification to a sponsor if it chooses to opt-out of a group TAM plan. A provider that opts-out of a group TAM plan must either develop its own TAM plan or participate in another sponsor's group TAM plan.
- (3) A participant must provide a sponsor with any information that is necessary and relevant to the development of a group TAM plan.

Questions

1. Am I a State DOT?

Yes: I may be required to be a group plan sponsor in addition to completing my individual TAM plan.

No: Continue to next question.

2. Am I a direct recipient of FTA funds that passes along some or all of those funds to subrecipients that own or operate assets used in transit?

Yes: I may be required to be a group plan sponsor in addition to completing my individual TAM plan. Continue to the next question.

No: This checklist does not apply to you. See checklist #1 or checklist #2b for participants.

3. How many subrecipients do I have? _____ Include any subrecipient that is listed in an active grant with FTA, and any subrecipient whom you are planning to include in a future grant over the TAM plan horizon period.

a. How many of those subrecipients, other than Indian Tribes, have a direct funding relationship with FTA? _____ (You are not required to offer these subrecipients a group plan, but may choose to do so if you wish.)

b. How many of those remaining subrecipients have opted out participating in your Group Plan? _____

i. Have they provided written notification that they will be opting out?

Yes: I need to document this.

No: I need to follow up with them and request this.

ii. For which reason(s) have they opted out?

_____ They will be developing their own TAM Plan

_____ They will be participating in another group TAM plan

c. Is the total of (a) and (b) equal to line 3?

Yes: You are not required to sponsor a group plan

No: You must sponsor a group plan for the remaining _____ subrecipients (calculate by adding lines 3(a) & 3(b) then subtracting that total from line 3)

d. Am I allowing any subrecipients on line 3(a) to voluntarily participate in my group plan?

i. If yes, how many? _____

ii. If no, continue to next question

e. Are there any other tier II providers in my state or urbanized area whom I am voluntarily allowing to participate in my group plan? _____

4. Sum lines (c), (d), & (e). Do I have any tier II providers who will be participating in my group TAM plan?

Yes: I need to collaborate with them to develop the plan.

No: I do not need to develop a group plan.

5. Have I completed my individual plan for my assets, in addition to the group plan I sponsor? (Not all Sponsors are required to do an individual plan. However, if you own operate or manage capital assets you are required to have an individual plan, see checklist #3)

Yes: Good.

No: I need to do this.

For Group Plan Sponsors: Recommended processes

- You should provide a schedule for TAM plan development clearly identifying the opt-out date no later than 12 months prior to your next TAM plan due date.
- You should provide a list of the information you will require from each group plan participant. How it will this be collected and when.
- You should provide information regarding the decision support tools and analytical processes used to make your investment prioritization process/criteria and the extent that each accountable executive is expected to be involved.
- You should provide a feedback mechanism for your participants to communicate with you during the process and after.
- You should explain how you plan to handle complaints or disagreement within the group and with the sponsor.
- Determine how many group plans you will develop on behalf of your participant pool. Only one is required but geographical, operational or other factors may be more desirable to have in multiple group plans.
- SGR performance targets are to be reported to NTD for each group plan.