

Am I Required to be a Group TAM Plan Sponsor?

Unless directed otherwise, please address all questions.

1. Am I a State DOT?

Yes: I am required offer to sponsor a group plan. This would be in addition to completing an individual TAM plan if my State DOT also operates a transit service.

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 me. See [Am I in compliance with the TAM Final Rule?](#) or [Am I going to be a participant in a TAM Group plan?](#) for further information on requirements and options for complying with the TAM Final Rule.

3. How many subrecipients do I have? _____ This includes any subrecipients listed in an active grant with FTA or any subrecipients with active assets, and any subrecipients I plan 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? _____ (I am not required to offer these subrecipients a group plan, but may choose to do so if I wish.)

b. How many of those remaining subrecipients have opted out of participating in my 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. Subtract 3(a) and 3(b) from line 3. _____ Does it equal 0?

Yes: You are not required to sponsor a group plan

No: You must sponsor a group plan for the remaining subrecipients calculated in 3(c)

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

Yes: Please note how many: _____

No: Continue to 3(e)

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?

Yes: Please note how many: _____

No: Continue to next question

4. Sum values from 3(c), 3(d) and 3(e). _____ Is this number greater than 0?

Yes: I will be a group plan sponsor and will need to collaborate with the above number of Tier II providers to develop the plan.

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

Now that you have determined if you need to sponsor a group plan, review [Am I in compliance with the TAM Final Rule?](#) to determine if you need to do an individual TAM plan.

Group Plan Sponsors: Recommended Resources and 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, including how and when the information will be collected.
- You should confirm that each participant has designated an Accountable Executive.
- You should provide information regarding the decision support tools and analytical processes used to make your investment prioritization process/criteria and the extent to which each accountable executive is expected to be involved.
- You should provide a feedback mechanism for your participants to communicate with you during and after the process.
- You should explain how you plan to handle complaints or disagreement within the group and with the sponsor.
- You should determine how many Group Plans you will develop on behalf of your participant pool. You are only required to develop one, but depending on other factors including geography, differences in operations, or number of participants, you may decide that it makes sense to develop multiple Group Plans.
- You must report SGR performance targets to NTD for each Group Plan.
- The [Group Plan Sponsor Workbook](#) provides a consolidated list of activities, considerations, suggestions, and best practices related to group TAM plans.
- The [Transit Asset Management PLanning Assistance TemplatE \(TAMPLATE\)](#) tool assists Tier I and Tier II transit providers and Group TAM Plan Sponsors in developing their TAM Plans.

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.