TRANSIT ASSET MANAGEMENT

TAM Plan Self Assessment

A Tool for Transit Agencies to Assist in Improving Effectiveness of TAM Plans

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U.S. Department of Transportation
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Contents

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Abbreviations

Acronym	Term
DOT	Department of Transportation
FTA	Federal Transit Administration
NTD	National Transit Database
SGR	State of Good Repair
SWOT	Strength, Weakness, Opportunity, Threat
TAM	Transit Asset Management
TERM Lite	Transit Economic Requirements Model Lite
ULB	Useful Life Benchmark

Overview

The purpose of this document is to provide transit agencies that own or manage capital assets with a method for assessing their Transit Asset Management (TAM) Plans.

This exercise is meant for agencies that have already developed a TAM Plan that complies with the requirements outlined in the TAM regulation (49 CFR Part 625) and are looking to go further to determine and enhance its maturity and effectiveness. For additional information on what elements are needed for a TAM Plan that is compliant with federal requirements, review the TAM regulation (49 CFR Part 625). In addition, *Section 6: Transit Asset Management* of FTA's Comprehensive Review Contractor's Manual (CORTAP) provides information on how FTA conducts oversight reviews of FTA recipients' compliance with the TAM requirements. The CORTAP is revised every year.

Agencies seeking to utilize their TAM Plan beyond what is federally required can use this TAM Plan Self Assessment to identify areas of growth, opportunity, and improvement. When using this tool to consider improvements for your agency's TAM Plan, the focus should be on individual element ratings, rather than the overall rating for the plan.

The TAM Plan Self Assessment is a technical assistance tool that can be used to evaluate a TAM Plan and opportunities for growth.

How to Use this Tool

Individuals completing the TAM Plan Self Assessment can use this document to evaluate their agency's TAM Plan. Organization and format of TAM Plans may vary but there are standard baseline elements required by the TAM regulation. It is important to note that the maturity of individual TAM Plans can vary widely, and even advanced TAM Plans have the potential to be developed further. Transit agencies can focus on developing appropriate and detailed content that demonstrates understanding of the TAM regulation and the goals of asset management. If written strategically, the TAM Plan can be well developed and meaningful without being a lengthy document.

This document is separated into the elements outlined in the TAM regulation at 49 CFR §§ 625.25(b) and 625.33 and provides recommendations for how to advance beyond the minimum baseline components of each element. Transit agencies can use this document to self-rate the elements of their TAM Plan. There are three possible ratings: "Baseline," "Enhanced," or "Advanced." Ratings are cumulative, meaning an "Enhanced" rating includes all the items from the "Baseline" rating. After reviewing all plan elements, the self-assessor will tally up the rating scores to provide an overall TAM Plan rating. Individuals can also use the comment section to add any remarks that will clarify the reason for selecting a certain rating for each section and element. Table A below describes the three rating categories and point ranges for each. There are separate scoring ranges for Tier I and Tier II plans. If a Group Plan is being reviewed, it should be scored as if it were a Tier II plan.

FTA is providing this Self Assessment tool for technical assistance purposes only. FTA does not use this tool or rating structure when assessing a transit agency's compliance with the TAM regulation. Any ratings resulting from this tool do not preclude a TAM-related finding during an FTA oversight review.

Table A. Explanation of Rating Levels

Baseline	Enhanced	Advanced
If an element is determined to be at the Baseline, it receives 1 point. ➢ This indicates that the TAM Plan contains the minimum components required by the TAM regulation listed under each element category.	If an element is determined to be Enhanced, it receives 2 points. ➢ This indicates that the TAM Plan meets the "Baseline" criteria, in addition to demonstrating applications of other asset management principles.	If an element is determined to be Advanced, it receives 3 points. ➢ This indicates that the TAM Plan meets the "Enhanced" criteria and demonstrates application of additional advanced asset management strategies. ➢ The TAM Plan demonstrates how asset management is incorporated into the different levels of a transit organization.

Please note that these rating levels are relative. As asset management practices evolve, agencies may exceed the highest ratings defined in this tool. This assessment is intended to provide an initial tool for agencies to develop their continuous improvement approaches. FTA may update these benchmarks in the future as TAM practices mature across the industry.

Section I: General Characteristics

While no two TAM Plans will be the same, there are certain characteristics that every agency or organization should consider incorporating into their TAM Plan. The overall style, format, and language used in the TAM Plan ensures that ideas and information are communicated clearly.

Consider the following when writing your TAM Plan:

1. Describe the process or methodology used to create each component of the TAM Plan.
2. Use graphs, data tables, and other visuals to support the narrative.
3. Use quantitative data to draw conclusions.
4. Provide justification of methodologies and decisions made in the plan.
5. Include concise, well-articulated language.
6. Structure the TAM Plan in an organized, logical manner.
7. Ensure that the TAM Plan can stand alone (e.g. all documents referenced are provided with the plan, graphical detail is limited to the appendix).
8. List any special procedures or considerations the agency used to develop the TAM Plan.

Section II: Plan Elements

- *Choose a rating (Baseline, Enhanced or Advanced) that best describes each element based on the information provided for ratings in the tables below.*
- *Use the comment section to add any remarks that will clarify the reason for selecting a certain rating for each section and element.*
- ***For agencies that are interested in using the TAM Self Assessment but are unsure of what a Baseline, Enhanced, or Advanced element would look like, an example in Appendix A includes an excerpt of Element 2: Condition Assessment from a fictional Tier II TAM Plan, a rating for the example, along with an explanation for the rating determination.*

Table B. Element 1: Inventory of Assets - 49 CFR § 625.25(b)(1)

Tier I & Tier II agencies

Baseline	Enhanced	Advanced
***All of** the following are included:* ▪ An inventory of the number and type of capital assets. ▪ The inventory is organized at a level of detail commensurate with the level of detail in the provider's program of capital projects. ▪ The inventory includes all capital assets that a provider owns, except equipment with an acquisition value under $50,000 that is not a service vehicle. ▪ The inventory includes third-party owned or jointly procured exclusive-use maintenance facilities, passenger station	***Some or all of** the following are included:* ▪ The inventory of capital assets is organized by asset category and asset class, as illustrated in Appendix A of the TAM regulation (49 CFR Part 625). ▪ A narrative describes the agency hierarchy of asset classes. ▪ The inventory and/or narrative contain supplemental information about assets.	***Some or all** of the following are included:* ▪ The inventory and/or narrative contains a schedule for replacement of assets. ▪ The inventory and/or narrative includes information regarding past and planned maintenance of assets.

facilities, administrative facilities, rolling stock, and guideway infrastructure used by a provider in the provision of public transportation.		

Final Rating:

Comments:

Table C. Element 2: Condition Assessment – 49 CFR § 625.25(b)(2)

Tier I & Tier II agencies

Baseline	Enhanced	Advanced
All of *the following are included:* ▪ A condition assessment of those inventoried assets for which a provider has direct capital responsibility, with no methodology for the condition rating identified. ▪ The condition assessment generates information in a level of detail sufficient to monitor and predict the performance of the assets and to inform the investment prioritization.	***Some or all of*** *the following are included:* ▪ A methodology for the condition rating is identified within the condition assessment. ▪ The TAM Plan references quantitative data for basis of the condition assessment. ▪ The TAM Plan discusses how the condition assessment relates to ULB.	***Some or all of*** *the following are included:* ▪ The TAM Plan discusses how condition assessment informs investment prioritization. ▪ The TAM Plan describes the impact of current asset conditions on things such as performance targets and operations.

Final Rating:

Comments:

Table D. Element 3: Description of Analytical Process and/or Decision Support Tool – 49 CFR § 625.25(b)(3)

Tier I & Tier II agencies

Baseline	Enhanced	Advanced
***All of** the following are included:* ▪ The TAM Plan contains a description of the analytical process or decision support tool the provider uses to estimate capital investment needs over time and develop its investment prioritization.	***Some or all of** the following are included:* ▪ The TAM Plan contains a description of how the analytical process / decision support tool was used to create Element 4, the prioritized list of investments.	***Some or all of** the following are included:* ▪ The analytical process / decision support tool uses quantitative calculations or quantitative decision-making methods to determine the ranking of Element 4, the prioritized list of investments.

Final Rating:

Comments:

Table E. Element 4: Prioritized List of Investments – 49 CFR §§ 625.25(b)(4) and 625.33

Tier I & Tier II agencies

Baseline	Enhanced	Advanced
***All of** the following are included:* ▪ A project-based prioritization of investments. ▪ The prioritized list of investments identifies the provider's programs and projects to improve or manage over the TAM Plan horizon period the state of good repair of capital assets for which the provider has direct capital responsibility. ▪ The list of investments ranks the projects in order of priority and anticipated project year. ▪ Project rankings are consistent with the provider's TAM policy and strategies. ▪ When developing the investment prioritization, the provider considers: (1) state of good repair projects to improve that pose an identified unacceptable safety risk; (2) estimation of funding levels from all available sources that it reasonably expects will	***Some or all of** the following are included:* ▪ The section with the prioritized list of investments references other elements in the TAM Plan (i.e., condition assessment, TAM policy and implementation strategy) and how they relate to the prioritized list of investments.	***Some or all of** the following are included:* ▪ The section with the prioritized list of investments references other agency documents outside of the TAM Plan (i.e. annual budget proposal) and explains how the prioritized list of investments relates to those documents.

be available in each fiscal year during the TAM Plan horizon period; and (3) requirements under 49 CFR §§ 37.161, 37.163, and 37.43, which concern maintenance of accessible features and requirements around alterations of transportation facilities.		

Final Rating:

Comments:

Table F. Element 5: TAM and SGR Policy – 49 CFR § 625.25(b)(5)

Tier I agencies

Baseline	Enhanced	Advanced
All of *the following are included:* ▪ The agency TAM and State of Good Repair (SGR) policy.	***Some or all of*** *the following are included:* ▪ Describes agency expectations for TAM as well as actions that support the implementation of the policy.	***Some or all of*** *the following are included:* ▪ Identifies how the TAM and SGR policy relates to organizational policies and asset management concepts (e.g. ISO 55000).

Final Rating:

Comments:

Table G. Element 6: Implementation Strategy – 49 CFR § 625.25(b)(6)

Tier I agencies

Baseline	Enhanced	Advanced
All of *the following are included:* ▪ A section describing the provider's implementation strategy.	***Some or all of*** *the following are included:* ▪ The implementation strategy aligns and is consistent with the other TAM Plan elements. ▪ A schedule of implementation activities is identified in the implementation strategy.	***Some or all of*** *the following are included:* ▪ The implementation strategy includes risk mitigation strategies. ▪ All levels of the organization are involved in the implementation strategy. ▪ The provider uses an analytic approach to develop the implementation strategy (e.g. SWOT, cost/benefit). ▪ The implementation strategy discusses change management.

Final Rating:

Comments:

Table H. Element 7: Description of Key Activities – 49 CFR § 625.25(b)(7)

Tier I agencies

Baseline	Enhanced	Advanced
***All of** the following are included:* ▪ A description of key TAM activities that the provider intends to engage in over the TAM plan horizon period.	***Some or all of** the following are included:* ▪ The description provides an explanation of relationships with other TAM Plan elements. ▪ The description is consistent with the needs identified in the prioritized list of investments.	***Some or all of** the following are included:* ▪ The description contains metrics and targets. ▪ The description aligns with other programmatic needs (e.g., strategic planning). ▪ The description aligns with other rules and regulations (e.g., planning, safety, and oversight reviews).

Final Rating:

Comments:

Table I. Element 8: Identification of Resources – 49 CFR § 625.25(b)(8)

Tier I agencies

Baseline	Enhanced	Advanced
All of *the following are included:* ▪ TAM Plan summarizes or lists the resources, including personnel, that the provider needs to develop and carry out the TAM Plan.	***Some or all of*** *the following are included:* ▪ The summary or list specifies resources (staff time, consultant time, materials and funding) for each individual element of the TAM Plan. ▪ The summary or list provides justification to support the decisions related to resources allocation for each individual element of the TAM Plan. ▪ The TAM Plan includes an organization chart.	***Some or all of*** *the following are included:* ▪ The summary or list discusses the agency's technical capacity (training, software, hardware, etc.) to implement the TAM Plan. ▪ The TAM Plan incorporates a plan to address technical capacity needs.

Final Rating:

Comments:

Table J. Element 9: Evaluation Plan/Continuous Improvement Plan – 49 CFR § 625.25(b)(9)

Tier I agencies

Baseline	Enhanced	Advanced
All of *the following are included:* ▪ An outline of how the provider will monitor, update, and evaluate, as needed, its TAM plan and related business practices, to ensure the continuous improvement of its TAM practices.	***Some or all of*** *the following are included:* ▪ Incorporates a timeline beyond "as needed." ▪ Demonstrates a systematic and detailed plan.	***Some or all of*** *the following are included:* ▪ Involves planned evaluation to consider present efforts and future work. ▪ Contains a plan for each element individually while connecting with the overall goals of the TAM Plan.

Final Rating:

Comments:

Section III: Observations

- *List the items not detailed elsewhere in this review that impacted your rating of this TAM Plan.*

Section IV: Rating Tally

- *For each Plan Element section, list the selected rating for each element from Section II (choose only one for each element) and enter corresponding point value* ***(Baseline=1, Enhanced=2, Advanced=3).***
- *Calculate the total score for the Point Value Column.*

Table K. Rating Tally

Category	Rating	Point Value
Element 1		
Element 2		
Element 3		
Element 4		
Element 5		
Element 6		
Element 7		
Element 8		
Element 9		
Total		

Conclusion

The following table gives a summary of each overall plan rating and how it is calculated.

Table L: Explanation of Rating Levels

Baseline	Enhanced	Advanced
Overall Tier I Plan Score: 9 **Scoring assumes that at a minimum, all elements (1-9) were rated as Baseline.*	**Overall Tier I Plan Score: 10-22** **Scoring assumes that at a minimum, at least 1 element received Enhanced rating, with others receiving Baseline rating.*	**Overall Tier I Plan Score: 23+** **Scoring assumes that at a minimum, at least 5 elements received Enhanced rating, with others receiving Advanced rating.*
Overall Tier II Plan Score: 4 **Scoring assumes that at a minimum, elements 1-4 were rated as Baseline.*	**Overall Tier II Plan Score: 5-9** **Scoring assumes that at a minimum, at least 1 of elements 1-4 received an Enhanced rating, with others receiving Baseline rating.*	**Overall Tier II Plan Score: 10+** **Scoring assumes that at a minimum, at least 2 of elements 1-4 received Advanced rating, with others receiving Enhanced rating.*

Now that the TAM Plan has been assessed and scored, approaches for how to utilize the rating are as follows:

1. This exercise and the rating generated by it are for internal use at your agency. The initial rating could be used as a baseline to measure progress at future assessments.
2. The TAM Self Assessment is a tool that can assist you in turning a TAM Plan that meets a baseline standard and supports a functioning TAM program into a plan that best suits your agency's needs.
3. While the overall rating can be useful to indicate the general state of a TAM Plan, it may be more helpful to consider the individual element ratings to determine practical ways to improve TAM practices and processes at your agency.
    a. Content from *Section II: Plan Elements* could be used to identify specific areas of enhancement.

APPENDIX A: TAM Plan Excerpt and Example Rating

The following excerpt of a TAM Plan condition assessment is taken from a fictional transit agency, XYZ Metro. It can be used to understand how to score the TAM Plan elements, in this case Element 2: Condition Assessment.

XYZ Metro Condition Assessment

In order to establish a condition assessment for revenue vehicles, XYZ Metro's Operations Superintendent for Maintenance developed a review and assessment process. Utilizing existing preventive maintenance inspection protocols, XYZ Metro staff began performing visual inspections on targeted areas of each vehicle in the fleet.

The assessment criteria focused on six primary areas that accounted for passenger and operator safety, ensured preventive maintenance practices were being followed, and considered passenger experience. Staff were charged with scoring the six primary areas for each revenue vehicle. The primary area assessment criteria can be found below in Table 1.

Table 1. XYZ Metro Revenue Service Vehicle Assessment

No.	Primary Area	Assessment Criteria
1	Exterior	Visible cracks, dents, rust, discoloration
2	Interior	Condition of floors, windows, seats, side and modesty panels
3	Undercarriage	Visible leaks, rust, condition of tie rods, bushings, king pins
4	Powertrain	Compression tests, output, oil analysis, noise, leaks
5	Safety Systems	Function of brakes, emergency exit windows and doors
6	Suspension/Steering	Condition of springs, shocks, struts, steering wheel "play"

XYZ Metro maintenance staff were directed to score each primary area based on a rating scale intended to account for general wear and tear and the age of a vehicle or component's parts. Table 2 shows the rating guide and associated scoring applied to each of the primary areas.

Table 2. XYZ Metro Revenue Service Vehicle Primary Area Rating Guide

Score	Rating	Description
0	--	Continued operation is safety risk to XYZ Metro
1-3	Poor	Requires major repair – within 6 months
4-6	Good	Good working condition -requires minor repair – more than 6 months
7-10	Excellent	Brand new, no major issues, only routine preventative maintenance required

The final step in the vehicle assessment process was to total all six primary scores and apply an overall condition rating based on where the total score fell between four ratings as provided in Table 3.

Table 3. XYZ Metro Revenue Service Vehicle Condition Assessment Guide

Score	Rating
Less than 20 Points	Unusable/Inoperable
20-39	Poor
40-69	Good
70-100	Excellent

Table 4. XYZ Metro Revenue Service Vehicle Condition Assessment

Revenue Vehicle	Score	Overall Condition Rating
Vehicle 1	75	Excellent
Vehicle 2	62	Good
Vehicle 3	24	Poor

EXAMPLE RATING: ENHANCED

- Using the content for Element 2: Condition Assessment from Table C and the general characteristics in Section I as a guide, a rating for the example can be determined. The following are considerations that led to the rating determination:
  - The agency in the example includes a condition assessment for the vehicles in its asset inventory (Table 4), which is the desired information for a baseline rating.
  - The example contains the methodology that the agency used to assess the condition of its assets, which is a component of a TAM Plan condition assessment with an enhanced rating.
  - None of the components listed in Table C for a TAM Plan with an Advanced rating are included in the example.