



# GDOT Publications

## Policies & Procedures

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**Policy:** 3150-1- Preliminary Engineering (PE) Oversight  
Funding Structure for Non-GDOT Sponsored Projects

**Section:** Planning and Programming

**Office/Department:** oCOMSR CHIEF ENGINEER

**Reports To:** oDEPT OF TRANSPORTATION

**Contact:** 404-631-1000

[See Below](#)

# DEPARTMENT OF TRANSPORTATION STATE OF GEORGIA

## INTER-DEPARTMENT CORRESPONDENCE

**FROM:** Bobby Hilliard, P.E., Program Control Administrator **DATE:** April 25, 2019  
**TO:** Jay Roberts, Director of Planning  
Meg Pirkle, P.E., Chief Engineer  
**SUBJECT:** Preliminary Engineering (PE) Oversight Funding Structure for Non-GDOT Sponsored Projects  
(Guidance for MPO's, -, Project Managers and Project Delivery Staff)

*Note: This memo supersedes the previous PE Oversight Memo, dated July 17, 2014.  
Additional changes were made to the memorandum as it relates to the passage of HB 170 and the  
Department's Planning process.*

### **PE Oversight Funding - Programming Guidance for a Non-GDOT Sponsored Project**

This Policy shall provide PE oversight funding guidance during the planning and programming process to clearly outline when and how PE Oversight funding shall be received by the Department to cover estimated resource activities and expenses prior to the execution of a "Project Framework Agreement" (PFA – PE reimbursable) or "In-Lieu of PFA Letter for Local PE" (PE non-reimbursable).

In a continuous effort to improve the Department's delivery rate for locally sponsored projects and/or projects with local participation, several factors have been identified which directly impact project delivery results.

1. Establishing a PE Oversight funding structure that clearly outlines all funding source commitments based upon planning level cost estimates that can accommodate changes in scope and/or costs throughout the plan development process for GDOT and Local Public Agencies alike.
2. Allocating and committing the appropriate GDOT resources utilizing an approved department project baseline schedule.
3. Documenting all agreements and commitments for future reference.
4. Providing project managers with a clearer understanding of how to track, monitor and mitigate risks with these agreements in effect, which also ensures project delivery accountability

This information can be utilized to inform and collaborate with the Department's Office of Planning and to set priorities for the program considering local commitments and participation. As a result, the Department has established a process detailing the conditions under which the Department will fund PE oversight with federal-aid or State funds (i.e. HB 170) and when the Department will request that the local government/project sponsor fund the Department's expenses associated with PE oversight. State funding PE participation will be at the discretion and approval of the Chief Engineer and/or Director of Planning.

Once the PE oversight funding structure has been determined as outlined in Attachment "A" titled "**Oversight Funding Responsibility Matrix for Locally Sponsored Projects**", it will be the responsibility of the GDOT Project Manager to estimate the GDOT PE oversight cost based upon the latest office guidelines. The GDOT Project Manager will subsequently coordinate with the Office of Financial Management to establish an appropriate amount of federally funded PE oversight, or work with the local government to secure locally sourced PE oversight funds. Please note that the TIP/STIP Amendment process must be followed for adding oversight funds to a project when applicable.

The PE Oversight funds will be used to administer the project and fund staff man-hours along with any other associated expenses incurred by any GDOT employee working on the project. The process applies equally to eligible projects on-system and off-system routes. See Attachment A for the funding responsibility matrix.

If you approve of this process, please sign below. The finalized process will be provided to the Office of Program Control for distribution to the GDOT Project Managers and incorporation into future Project Framework Agreements (PFA's) and In-lieu of PFA Letter along with a copy of the PE Oversight Estimate.

Approved: Paul Tanner 5-30-19  
Jay Roberts, Director of Planning Date

Approved: Meg Pirkle 6/4/19  
Meg Pirkle, P.E., Chief Engineer Date

BH:bh

Attachment "A" - Oversight Funding Responsibility Matrix for Locally Sponsored Projects

Cc: Albert Shelby, Director of Program Delivery  
Kim Nesbitt, State Program Delivery Administrator  
Paul Tanner, State Transportation Planning Administrator  
Angie Robinson, State Financial Management Administrator

## Preliminary Engineering (PE) Oversight Funding Structure for Non-GDOT Sponsored Projects Attachment “A”

### “PE Oversight Funding Responsibility Matrix for Locally Sponsored Projects”

- (1) If a project **does not** have a subsequent phase programmed within the next 4 years of the currently approved TIP/STIP or within the Construction Work Program (CWP), PE oversight funding (for all remaining phases of PE, ROW, CST & UTL) will be the responsibility of the local government, refer to Table 1 below.

<b>Table 1 - Oversight Responsibility Matrix – Next Phase of Project is <i>Not- Included</i> in the Approved TIP/STIP or CWP</b>										
Project Fund Source	NHPP (Z001)	STBG<200k (Z231)	STBG-Urban (Z230)	STBG<5k (Z232)	STBG-Flex (Z240)	TAP (Z301)	CMAQ (Z400)	Earmark	Local	State and/or Local
<b>Oversight Fund Source</b>	100% Local Funding Required	100% Local Funding Required	100% Local Funding Required	100% Local Funding Required	100% Local Funding Required	100% Local Funding Required	100% Local Funding Required	100% Local Funding Required	100% Local Funding Required	100% Local Funding Required

- (2) If a project **does** have a subsequent project phase programmed within the next 4 years of the currently approved TIP/STIP or within the Construction Work Program (CWP), see phase PE oversight funding responsibility matrix in Table 2 below.

<b>Table 2 - Oversight Responsibility Matrix - Next Phase of Project is <i>Included</i> in the Approved TIP/STIP or CWP</b>											
Project Fund Source	NHPP (Z001)	STBG<200k (Z231)	STBG-Urban (Z230)	STBG<5k (Z232)	STBG-Flex (Z240)	TAP (Z301)	TAP (Z301) - TMA	CMAQ (Z400)	Earmark	Local	State and/or Local
<b>Oversight Fund Source</b>	Federal (Z001)/State	Federal (Z231)/State or Local*	Federal/State**	Federal (Z232)/State or Local*	Federal (Z240)/State	Federal (Z301)/Local or State or 100% Local*	Federal/State**	Federal/State**	Earmark/Local or 100% Local	Local	GDOT and/or Local Funding***

**Note:**

\*State match is at the discretion of the GDOT Director of Planning and/or GDOT Chief Engineer

\*\*PE Oversight funds for Surface Transportation Block Grant (STBG) Z230, Transportation Alternatives Program (TAP) Z301 and Congestion Mitigation Air Quality (CMAQ) Z400 funded projects will be funded from specific projects programmed for this purpose

\*\*\*State funded PE oversight at the discretion of the GDOT Director of Planning and/or Chief Engineer

## **References:**

## **History:**

revised: 06/13/19;

new policy added to Publications: 07/17/14

Reviewed: 6/13/2019