

ODOT Standard
December 20, 1999

Supersedes Standard Operating Procedure PH-P-301
Dated March 27, 1991

**To: Assistant Directors, Director's Office Staff, Deputy Directors,
District Deputy Directors, and Office Administrators**

**Subject: Procedures for Processing Revisions to Highway
Functional Classification, Federal-aid Systems, and
Urban/Urbanized Area Boundaries**

A. Purpose

This Standard Operating Procedure sets forth procedures for use by State and local agencies in processing proposed revisions to highway functional classification and federal-aid systems and in re-designating urban/urbanized area boundaries following the decennial U.S. Census.

B. Authority

1. Functional Classification and Federal-aid Systems

a. Proposed revisions to the functional classification and federal-aid systems shall conform to all applicable federal and state laws, regulations, and guidance including the following: **23 USC 103, 23 USC 139, 23 USC 134 and 135, 23 USC 101(a), ISTEA Section 1105(c), NHS Act Section 332, 23 CFR 470, Highway Functional Classification --- Concepts, Criteria and Procedures** (revised March 1989) and the **Federal-Aid Policy Guide (FAPG), Chapter 4 [G 4063.0]**, dated December 9, 1991.

2. Urban/Urbanized Area Boundaries

a. Authority to establish urban/urbanized boundaries is set forth in **Section 101(A) of Title 23 U.S.C.** and guidance is provided in **23 CFR 470** and in **Federal-Aid Policy Guide, Chapter 4 [G 4063.0]**, dated December 9, 1991. State and Local Officials responsible for this process should follow these guidelines.

C. Background

1. Federal Statutes, Regulations, and Guidance

a. The **Federal-Aid Highway Act of 1973** substantially amended **23 USC 103** (Federal-Aid Systems) and established the policy and procedural direction for making amendments, modifications, and revisions to the Federal-aid systems. Despite legislative changes to the Federal-aid systems in 1991, the direction resulting from the 1973 Act has remained largely intact and has been woven into the current Federal regulation and guidance documents described below.

b. **The Intermodal Surface Transportation Efficiency Act (ISTEA)** of 1991 represents the first Federal statute to substantially amend **23 USC 103** (Federal-aid systems) since the Federal-Aid Highway Act of 1973. **ISTEA** amended **23 USC 103** by:

- (1). Repealing the Federal-aid primary, secondary, and urban systems (**Section 1006(c)**);
- (2). Establishing the Federal-aid systems as the Interstate System and the National Highway System. This included defining the NHS components, mileage requirements, eligibility, transferability, etc. The NHS includes all high priority corridors in **Section 1105(c)** of **ISTEA**;
- (3) Requiring all states to functionally reclassify their roads and streets;
- (4). Redefining Federal-aid highways as “other than highways classified as local roads or rural minor collectors” (**23 USC 101(a)**). (See Section C.1. c. below);
- (5). Retaining previous statutory provisions such as highway/transit flexibility, MPO consistency (**23 USC 134**), state highway agency responsibility (in cooperation with local officials).

c. Section **23 USC 133 (d) (3)** provides for the suballocation of Surface Transportation Program (STP) to areas less than 5000 population. Of this amount sub-allocated to rural areas, **Section 1108 (f)** of the **Transportation Equity Act for the 21st Century (TEA-21)** permits spending "up to 15%" (of this reserved amount) on rural minor collectors.

d. The policies and procedures set forth in the Federal regulation **23 CFR 470**

(Highway Systems) should be used for identification of Federal-aid highways and the designation of routes on the Federal-aid highway systems. This regulation should be referred to for general policy for the functional classification of roads and streets and the designation of urban area boundaries.

e. For highway functional classification, guidance criteria and procedures are provided in the FHWA publication **Highway Functional Classification - Concepts, Criteria and Procedures** (revised March 1989).

2. Ohio System Revisions and Updates

a. Ohio's Functional Classification system is reviewed after each decennial U.S. Census. ODOT and local jurisdictions cooperate in designating new urban and urbanized area boundaries based on the census boundaries established by the U.S. Census Bureau. These adjustments result in the transfer of some mileage and routes between the rural and urban systems and require a change in the route's functional classification. During the decennial update, all rural and urban classifications may also be reviewed to consider the impacts of development and land use changes on adjacent routes.

b. ODOT may also undertake special functional classification studies from time to time to meet particular transportation planning needs or in response to mandates from the Federal Highway Administration.

c. ODOT also revises the functional classification system as needed to respond to changes in the highway network. Requests for changes to the rural and urban functional classification systems may be submitted by local jurisdictions (referenced in Section D) at any time. Changes in traffic volumes and travel patterns affect the way particular roads function and the level and type of service they provide. Construction of new roads and realignments and relocations of existing roads require updating of classifications. ODOT reviews every request to ensure the route complies with federal functional classification concepts, criteria, and procedures.

3. Uses of Functional Classification

a. Functional classification is used to identify roads, streets, and highways that are eligible for federal funds. To qualify for federal funds, a facility must be classified higher than a Local on the urban and rural systems.

b. Functional classification is used as a management tool in transportation planning. ODOT uses functional classification as one measure of a route's transportation

importance and efficiency in project selection and program management. ODOT also uses functional classification to determine maintenance allocations and data collection needs, and to set design criteria for various roadway features such as lane and shoulder widths, horizontal and vertical clearances, and design speeds.

D. Responsibility for Initiating and Processing System Revisions

1. Metropolitan Planning Organizations

- a. Metropolitan Planning Organizations (MPOs) shall have the responsibility for initiating requests for revisions to the functional classification and federal-aid systems located within the designated urbanized area boundary of the MPO. Requests for system revisions from local jurisdictions within the designated urbanized area boundary shall be submitted to the appropriate MPO for consideration.
- b. The MPO shall review all requests for revisions from local jurisdictions within the MPO's designated urbanized area boundary for compliance with functional classification criteria.
- c. The MPO shall forward requests for system revisions within the designated urbanized area boundary, along with the MPO's recommendation for approval or disapproval of the request, to the appropriate ODOT District Office for State review and processing.

2. Counties and Small Urban Areas

- a. Counties and small Urban Areas shall be responsible for initiating system revisions on non-State highways and streets located outside of an MPO's designated urbanized area boundary. (Small Urban Areas are defined as those urban places identified by the U.S. Bureau of the Census as having a population of 5,000 or more.)
- b. Counties and small Urban Areas located outside of an MPO's designated urbanized area boundary but within the MPO's planning jurisdiction should coordinate proposed system revisions with the MPO.
- c. All other counties and small Urban Areas shall forward requests for systems revisions to the appropriate ODOT District for review and further processing.

3. ODOT Districts

- a. ODOT Districts shall be responsible for submitting system revisions for all State

highways in all areas outside the designated urbanized area boundaries of MPOs. ODOT Districts should coordinate proposed system revisions for areas within the planning jurisdiction of an MPO.

b. ODOT Districts shall review all requests submitted by local agencies and MPOs for completeness of format, and content and for compliance with the concepts, criteria, definitions, and procedures for developing functional classifications.

c. ODOT Districts shall forward requests for system revisions to the Office of Urban and Corridor Planning for further processing. It is desirable, but not mandatory, that ODOT Districts make a recommendation for approving or disapproving requests before forwarding them to the Office of Urban and Corridor Planning.

d. ODOT Districts shall be responsible for notifying local jurisdictions of the result of any action taken by the Functional Classification Committee and/or FHWA concerning local submissions and for distributing copies of new Functional Classification Inventory records and systems maps to appropriate local jurisdictions.

4. ODOT Office of Urban and Corridor Planning

a. All proposed system changes shall be forwarded to the Office of Urban and Corridor Planning for State review and processing. The Office of Urban and Corridor Planning shall ensure that all submissions are complete and include all material such as maps, Functional Classification Revision forms, a statement of justification, approval letters or recommendations, and any other material necessary to act upon the submission. The Office of Urban and Corridor Planning, shall notify the appropriate ODOT District Office if a submission is incomplete and lacking sufficient information.

b. The Office of Urban and Corridor Planning shall prepare all submissions for consideration and review by the ODOT Functional Classification Committee.

c. If the Functional Classification Committee disapproves a request for a system change, the Office of Urban and Corridor Planning shall notify the appropriate ODOT District of the reasons for the disapproval.

d. If the Functional Classification Committee approves a request for a system change, the Office of Urban and Corridor Planning shall prepare a transmittal letter and necessary information for submission to the Federal Highway Administration (Ohio Division) for their review and approval. Transmittal of a request to FHWA shall constitute Departmental approval. The submission to FHWA shall include at least the following items:

- (1) Map(s) showing the existing and proposed systems;
- (2) Functional Classification Revision form(s) describing the proposed route change and the revised system mileage;
- (3) A statement that the proposed change complies with applicable concepts, criteria, definitions, and procedures;
- (4) A statement of the revised functional percentages for the classification and area resulting from the proposed change;
- (5) Supporting letters or resolutions, if necessary, as evidence of local coordination and participation.

e. Upon receipt of FHWA approval or disapproval of a requested change, the Office of Urban and Corridor Planning shall notify the appropriate ODOT District who shall, in turn, notify the local jurisdiction of the decision.

f. The Office of Urban and Corridor Planning shall maintain the Functional Classification Inventory of all approved functional classifications above a Rural or Urban Local. The Inventory shall include, at a minimum, the county, route number, functional classification, section length, and description of the physical termini of each route so classified, and shall conform to the Base Highway Referencing System (BHRS) as developed.

g. The Office of Urban and Corridor Planning shall notify appropriate ODOT offices of any approved system changes and of the availability of the Inventory.

h. The Office of Urban and Corridor Planning shall be responsible for providing the Federal Highway Administration with maps of the functional classification and/or federal-aid systems as required.

5. Functional Classification Committee

a. The Functional Classification Committee shall coordinate all Department activities as set forth in the **Procedures for Processing Revisions to Highway Functional Classification, Federal-aid Systems, and Urban/Urbanized Area Boundaries** for the designation, revision, inventory, and maintenance of the highway functional classification and federal-aid systems and shall be responsible for Departmental approval or disapproval of all requests for changes to functional classification systems and urban/urbanized boundaries in accordance with all applicable regulations and requirements.

b. The Functional Classification Committee shall conduct any special functional classification studies as may be required in response to federal mandates or to meet

particular transportation planning and management needs of the Department.

c. The Functional Classification Committee shall be responsible for coordinating with officials of adjacent states in the designation of systems which cross the states' common borders.

d. The Functional Classification Committee shall be composed of one representative from the following offices: Office of Technical Services, Office of Project Coordination, and FHWA, and two representatives from the Office of Urban and Corridor Planning.

6. Office of Technical Services

a. The Office of Technical Services shall revise all functional classification and federal-aid system maps and shall distribute the revised and corrected maps to ODOT Districts and other appropriate offices.

b. Road and street mileage inventory records maintained by the Office of Technical Services shall be updated to reflect system revisions relative to the following items: (1) functional classification code; (2) federal-aid system code; and (3) geographic area code.

E. Submission Requirements for Functional Classification Changes

1. Statement of Justification

a. All requests for system revisions must include a written justification for the change. Supporting material should include but is not limited to evidence of a change in actual function of a road or street within the system. A change in function generally results from altered travel and/or traffic patterns caused by a change in adjacent land use, or development of new traffic generators, or changes to the road system caused by new facilities, relocations, and/or realignments. Changes in travel and/or traffic patterns are indicated by increases or decreases in traffic volumes or in the type and mix of vehicles using a facility.

b. Requests for system revisions based on planned or proposed development must include evidence of a commitment that the anticipated development will, in fact, be realized within a reasonable time period, generally six years. **Changes in functional classification will not be considered simply to obtain federal funding eligibility for proposed projects or improvements.**

c. The requirement for a written justification of a functional change may be waived

during the decennial update.

2. Functional Classification Revision Form

- a. A Functional Classification Revision Form must be completed for all requested changes to the rural and urban systems. A copy of the form is attached.
- b. Rural and urban revisions are to be recorded separately and are not to be combined on the same form. Rural changes must be grouped by county. Standard ODOT abbreviations may be used for counties. Urban changes must be grouped by urban/urbanized area.
- c. The state, county, or township route numbers and, when applicable, the municipal street name must be entered for the section being described.
- d. The description of the route termini must be specific and **identify the beginning and ending points for the section being described**. Road Inventory practice must be followed by describing the direction of the route proceeding either from south to north or west to east. (Example: "From SR 1 (Oak St) north to Elm St." For State routes, the termini description shall include the beginning and ending log points. In the case of multiple maps for an urbanized area, appropriate map numbers shall be included for reference as part of the route description.
- e. The route's existing and proposed functional classifications must be entered. Standard federal codes or text abbreviations as shown below must be used.

Rural Classifications

- 01 or R IR = Interstate**
- 02 or R Prin Art = Other Principal Arterial**
- 06 or R Min Art = Minor Arterial**
- 07 or Maj Coll = Major Collector**
- 08 or Min Coll = Minor Collector**
- 09 or R Loc = Local**

Urban Classifications

- 11 or U IR = Interstate**
- 12 or Fwy/Xpwy = Freeway/Expressway**
- 14 or U Prin Art = Other Principal Arterial**

16 or U Min Art = Minor Arterial
17 or U Coll = Collector
19 or U Loc = Local

f. Mileage for each route change, whether an addition (Add) or subtraction (Sub) to the system must be entered and totaled. Mileage data should be consistent with the latest Road Inventory files.

3. System Maps

- a. All requests for system revisions shall include a map(s) showing existing systems and proposed changes. Approved functional classification maps are preferred over locally produced maps.
- b. Map scale and coverage should be sufficient to show the impact and relationship of the proposed change to the area's system.

4. Approval Letters and Recommendations

- a. Letters of approval or recommendations are required for all revisions to functional classification, federal-aid systems, and urban/urbanized area boundaries.
- b. For revisions to rural and urban functional and/or federal-aid systems located within an MPO's jurisdiction, a letter recommending approval or disapproval from the MPO shall be submitted with evidence of local cooperation and coordination. This will suffice for all local governmental bodies including counties, townships, and municipalities within the MPO's jurisdiction.
- c. For revisions to systems located outside an MPO's jurisdiction, letters recommending approval or disapproval from principal elected officials of general purpose local governments are required. In Ohio, the term "Principal Elected Officials" has been interpreted as being the County Commissioners and/or County Engineer for county and township roads and the Mayor and/or City Council for municipal streets.
- d. Transmittal letters should include the following items:
 - (1) a description of the proposed revision;
 - (2) a recommendation concerning the proposal;
 - (3) a statement requesting the Department to review the proposal;
 - (4) signature of appropriate official(s)

F. Urban/Urbanized Boundaries

1. U.S. Decennial Census.

a. Following each decennial census, or as soon thereafter as practical, ODOT in cooperation with appropriate local officials shall undertake a review and update of the urban and urbanized area boundaries of the state. "Appropriate Local officials" means (1) in urbanized areas, the principal elected officials of general purpose governments acting through the Metropolitan Planning Organization, or (2) in rural and urban areas not within any urbanized area, the principal elected officials of general purpose local governments, i.e. the County Commissioners and/or County Engineer for county and township and the Mayor and/or City Council for municipalities.

2. Criteria for Establishing and Revising Urban and Urbanized Area Boundaries

a. The following criteria are provided as guidelines for the establishment, submission, and approval of urban and urbanized area boundaries.

b. Urban/urbanized area boundaries shall, as a minimum, encompass the entire urban place or urbanized area as designated by the U.S. Bureau of Census and have a population of 5,000 or more. The boundaries shall consist of a continuous line encompassing the entire urban area. There shall be no detached portions of any urban area.

c. The urban/urbanized area boundary designated by State and Local officials must be equal to or greater than the boundary designated by the U.S. Census Bureau. The urban/urbanized area boundary may be expanded beyond the Census boundary to smooth out irregularities, maintain administrative continuity of peripheral routes, and encompass fringe areas having residential, commercial, industrial, and/or national defense significance. Transportation terminals serving the area, such as airports and seaports, should also be included within the redefined area if they lie within a "reasonable" distance of the urban area boundary that would otherwise be selected.

d. State and Local officials should carefully consider the selection of boundary locations which include logical control points for transportation linkages such as interchanges and major cross roads, where the inclusion of such areas will not unduly distort the urban area as would otherwise be selected. Boundaries should be so delineated that they can be easily located in the field from data shown on maps or aerial photography. It is desirable that the boundaries follow physical features such as streams, railroads, or streets.

- e. Where an urban/urbanized boundary coincides with or closely follows a road or street, the boundary shall be so designated either to include or exclude the entire street or highway. The boundary shall not split a road or street.
- f. Census boundaries should not be modified to accommodate a single project.
- g. When the Urban/Urbanized area boundaries are being extended to encompass **residential development** only, a minimum of 1,000 population per square mile will be necessary for inclusion within the designated area.
- h. Urban/urbanized boundaries should consider the service areas of transit operations.
- i. Urban/urbanized area boundaries are fixed primarily to determine capital funding and are not to be confused with boundaries established for the comprehensive, cooperative, and continuing urban transportation planning process.
- j. Where an urban/urbanized area extends into an adjoining state, the contiguous states are encouraged to agree on the proposed boundary locations at the state line and avoid irregularities.
- k. If the revised urban/urbanized area boundary is established inside the previous FHWA approved urban/urbanized boundary, funding for currently programmed projects may be affected.

Assistant Director, Planning and Production Management

Attachment Functional Classification Revision Form
 Instructions for Completing the Revision Form

Instructions for Completing the Functional Classification Revision Form

1. A Functional Classification Form must be completed to describe all requested changes to the rural and urban functional classification systems.
2. Do not intermix rural and urban changes on the same sheet. Group rural changes by county, and indicate the number of sheets for each county's listing. Use ODOT standard abbreviations for counties. Similarly, group all urban changes by urban/urbanized area and indicate the number of sheets for each area.
3. Record the state, county, or township route numbers and, when applicable, the municipal street name.
4. Describe the route and its termini. Follow Road Inventory practice and describe the route proceeding either from south to north or west to east. Example: "From SR 1 (Oak St) north to Elm St." For State routes, include beginning and ending log points to help locate the termini of the route's description.
5. Record the Existing and Proposed functional classifications. Use standard federal codes or text abbreviations shown below.

Rural

01 or R IR = Interstate

02 or R Prin Art = Other Principal Arterial

06 or R Min Art = Minor Arterial

07 or Maj Coll = Major Collector

08 or Min Coll = Minor Collector

09 or R Loc = Local

Urban

11 or U IR = Interstate

12 or Fwy/Xpwy = Freeway/Expressway

14 or U Prin Art = Other Principal Arterial

16 or U Min Art = Minor Arterial

17 or U Coll = Collector

19 or U Loc = Local

6. Enter the mileage for each route change, whether an addition or subtraction to the system. Total the mileage for each sheet.

7. Justification

Requests for functional revisions must include a written justification, usually included in the transmittal letter.* Justification may include but is not limited to evidence of an actual change in the street or highway's function. A change in function generally results from altered travel and/or traffic patterns caused by changes in adjacent land use, development of new traffic generators in the area, or changes to the road system such as new facilities. Changes in travel and/or traffic patterns are indicated by increases or decreases in volumes or in the type and mix of vehicles using the facility. Requests for revisions based on planned or proposed development must include evidence of a commitment that the development will, in fact, be realized within a reasonable time frame, generally six years. Changes in functional classification **will not be considered** simply to obtain funding eligibility for proposed projects or improvements.

(* The requirement for a justification of a functional change may be waived during the decennial update.)