Form-Based Codes: A Step-by-Step Guide for Communities
Acknowledgements

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The Chicago Metropolitan Agency for Planning (CMAP) is the region’s official comprehensive planning organization. Its GO TO 2040 planning campaign is helping the region’s seven counties and 284 communities to implement strategies that address transportation, housing, economic development, open space, the environment, and other quality of life issues.

See www.cmap.illinois.gov for more information.

The Form-Based Codes Institute (FBCI) is a non-profit professional organization dedicated to advancing the understanding and use of form-based codes. FBCI pursues this objective through three main areas of action: developing standards for form-based codes, providing education, and creating a forum for discussion and advancement of form-based codes.

See www.formbasedcodes.org for more information.
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One of the central goals of the GO TO 2040 comprehensive regional plan is to make our region a better place to live. This means creating livable communities at the local level through planning and development decisions made by local government officials, developers, and individuals. This handbook provides a step-by-step guide to form-based codes, an alternative approach to zoning.

GO TO 2040

GO TO 2040 states that defining “livability” is a challenge simply because people’s values and priorities are so diverse. However, when residents across the region describe their values and priorities, certain commonalities of livability emerge. Livable communities are healthy, safe, and walkable. Livable communities offer transportation choices that provide timely access to schools, jobs, services, and basic needs. Livable communities are imbued with strength and vitality, features which emerge from preserving the unique characteristics that give our diverse communities “a sense of place.”

GO TO 2040 states that the building blocks of local planning are comprehensive plans, consistent ordinances and other regulations, and trained decision-makers. Local comprehensive plans are the vision of what a community wants to become and the steps needed to meet that goal. Most communities find that a first necessary step to implement a comprehensive plan is to update their zoning ordinance.

As communities have sought to reinvigorate their downtowns or create viable commercial corridors, many have found that conventional methods of zoning, oriented around regulating land use, may not address certain physical characteristics that contribute to the sense of place in a community. While it is important to consider which uses should occur in a given place, we live in a visual world, and conventional methods of zoning often do not sufficiently address the fundamental aesthetic character of our communities — existing or desired.

Form-based codes, which emphasize the physical character of development, offer an alternative. This handbook explains what form-based codes are and how they are created to help communities assess whether they may be right for them.

Who Should Use This Handbook?

Most communities lack the staff expertise and time necessary to develop a form-based code on their own and therefore choose to hire consultants to lead the effort and perform most of the work. However, it is vital that municipalities understand the scope of work that is required in the creation of a form-based code. Municipalities that educate themselves on the typical steps that are necessary will be in a better position to gauge the amount of outside assistance that is needed (and the amount of funding that will be required), write a more precise request for proposals (RFP), and evaluate consulting firms bidding for the project. Once the development of the form-based code is underway, well-informed municipal staff can better facilitate the process and monitor the work of hired consultants.

Municipal staff will be responsible for administering the new form-based code once it is adopted, and possessing an understanding of how it was created is likely to provide a more nuanced appreciation of the reasons behind the regulations, as well as the amount of hard work that went into its creation.
Architectural Standards - Frontage Types, Transit Zoning Code (2010), City of Santa Ana, California.
Credit: Moule & Polyzoides, Architects and Urbanists.
Introduction

What are Form-Based Codes?

Nearly everyone can identify things they like in their community and things they want to change. Whether a favorite house, street, or place, it’s common to wonder why there isn’t more of what we like and less of what we don’t.

There are many reasons for this dissatisfaction with the physical character of many of our communities, especially the quality of the public realm. One reason is that conventional methods of zoning, which are focused on what uses are permitted, have often shaped the form of the built environment in unintended—and occasionally unwanted—ways.

Form-based codes include specification of what uses are permitted in a building or place, but focus on the physical character of development, particularly how it relates to the public realm that everyone shares. A growing number of communities across the country and in our region have found that form-based codes are a more precise and reliable tool for achieving what they want, preserving what they cherish, and preventing what they don’t want.
Conventional Zoning

Conventional methods of zoning arose out of the need to protect public health, safety, and welfare by preventing the most negative impacts of siting, size, and use of buildings. Limiting the spread of fire from one building to another, providing access to sunlight and air, and separating smoke-producing industry from residential uses are but a few of the worthy objectives that conventional zoning was intended to fulfill.

In addition to helping protect public health, safety, and welfare, conventional zoning was meant to protect property values by separating incompatible uses in a particular area or district. This separation is typically accomplished by creating single- or limited-use zones that segregate different land uses, such as residential and commercial.

Fueled in part by rapid national growth in population and gross domestic product that followed the end of World War II, the practice of separating “incompatible” land uses led to the near universal segregation of different land uses—often at great distance from one another. As a result, cities and towns have increasingly been placing residential uses in one area, commercial in another, and industrial in still another.

In particular, conventional zoning tends to isolate single-family homes from all other types of development. The development resulting from such zoning requirements often makes it difficult, if not impossible, to walk from home to purchase a quart of milk. Public transportation has become increasingly less efficient in these areas, and travel by personal automobile has often made more sense. Accordingly, maximizing the flow of traffic has been a top priority for street design, which has increasingly yielded streets designed for car travel, not pedestrians.

Over the decades, these and other related factors shaped the urban environment of many communities. Often a community’s unique “sense of place” has been diminished—or, in many new communities, was never achieved in the first place.

In general, conventional zoning:

• Separates uses related to daily activity, such as home, school, and work.

• Frequently promotes low-density development and relatively limited housing choices.

• Often encourages excessive land consumption and automobile dependency.

• Ends up focusing on what uses are not allowed, rather than encouraging what the community actually wants.

• Applies standards and design requirements generically, in a “one-size-fits-all” manner, throughout the entire community.

• Uses regulations such as floor area ratio, which can shape the form of development in ways that are hard to visualize beforehand and may encourage developers to “max out” the massing of a building within allowed limits, often at the expense of its architectural detailing and sensitivity to existing context.

• Regulates private development, but typically not the design or character of the streets that serve it. This usually leaves development of standards to the city engineer or public works department, which tend to focus on accommodating automobile traffic.

Ultimately, development and street standards in conventional zoning often do not promote the type of development envisioned by a community’s comprehensive plan, and even when created with the best of intentions, they can undermine the very plans they are supposed to support.
Form-Based Codes

In the 1980s, a group of planners and architects sought to create an alternative to conventional zoning, focused less on use and more on scale, intensity of development, the shape of public spaces, and the interrelationships between buildings. During this period, the design firm Duany Plater-Zyberk & Company drafted what was effectively the first modern form-based code to guide the development of Seaside, Florida, a new community based on traditional neighborhood design principles. A radical departure from conventional zoning, the entire “Urban Code” for Seaside was graphically presented on one poster.

But what are form-based codes? Form-based codes are a method of development regulation, adopted into municipal or county law, that emphasizes the physical character of development (its form) and includes—but often de-emphasizes—the regulation of land uses. As in a conventional zoning ordinance, land uses are regulated, but land use is typically regulated more broadly, with land use categories in lieu of long lists of specific permitted uses.

A form-based code focuses on how development relates to the surrounding community, especially the relationships between buildings and the street, pedestrians and vehicles, and public and private spaces. The code addresses these concerns by regulating site design, circulation, and overall building form.

Due to this emphasis on design, form-based codes usually provide greater predictability about the visual aspects of development, including how well it fits in with the existing context of the community. They offer a community the means to create the physical development it wants and developers a clearer understanding of what the community seeks. Over time, these benefits can foster greater community acceptance of new development.

A form-based code can be customized to the vision of any community, including preserving and enhancing the existing character of one neighborhood or dramatically changing and improving the character of another. Typically, they do both.

But how do form-based codes differ from conventional zoning? In general, a form-based code:

- Encourages a mix of land uses, often reducing the need to travel extensively as part of one’s daily routine.
- Promotes a mix of housing types.
- Is “proactive,” focusing on what the community wants and not what it dislikes.
- Results from a public design process, which creates consensus and a clear vision for a community, to be implemented by the form-based code.
- Tailors the requirements to fit specific places or neighborhoods by reflecting local architecture and overall character.
- Emphasizes site design and building form, which will last many years beyond specific numerical parameters such as density and use regulations that are likely to change over time.
- Addresses the design of the public realm and the importance that streetscape design and individual building character have in defining public spaces and a special “sense of place.”
- Provides information that is easier to use than conventional zoning codes because it is shorter, more concise, and emphasizes illustrations over text.


Should Your Community Adopt a Form-Based Code?

Before embarking on the creation of a form-based code, a community needs to carefully consider whether a form-based code is the right tool to achieve community goals for the built environment.

Current regulations may be sufficient. A key indicator is whether the community has experienced a substantial amount of new development in recent years and if there is broad satisfaction with the built environment of a community (buildings, streets, public spaces, etc.). It is common for residents to express high satisfaction with their community's built environment when it has remained largely unchanged over several decades, often the result of strict preservation laws or low demand for new development.

A Means of Preservation and Transformation

If current regulations are not sufficient, form-based codes can preserve what residents love about the physical character of their community, ensuring that future development is in harmony with existing context or facilitating varying degrees of change. Either way, the main purpose of a form-based code is to proactively regulate the physical form and character of new development so that the community gets what it wants, rather than reacting to those elements of each development proposal on a piecemeal basis (or not at all).

It should be noted that while conventional architectural standards can be effective at preserving context, they are often applied subjectively. In addition, some architectural standards lack the necessary scope of regulation, leading to unforeseen consequences, such as new development that follows the letter of the law but only superficially fits in with existing context. For example, architectural standards may permit the construction of an outsized, modern building on a lot located between two historic cottages once the developer agrees to paste decorative shutters on the building’s facade. Form-based codes are typically more comprehensive and directly address the aspects of building form that most impact the relationship between buildings and the public realm as a whole.

An Adaptable Approach

Form-based codes are not “one-size-fits-all,” but are tailored to the local context, objectives, and means of each community. These considerations include the community’s existing physical character and goals for preservation or transformation, as well as its local political landscape and what financial and staff resources are available to support the effort.

Increasing Predictability, Lowering Risk, and Expanding Options for Developers

Nevertheless, it is common for municipalities to be wary of adopting new development regulations, especially in difficult economic times. Although the adoption of any new form-based code will require developers, not to mention municipalities, to learn a new system of development regulation, comprehensive form-based codes have the potential to encourage and facilitate development more effectively than conventional regulations. Form-based codes are often easier to follow than conventional codes and ultimately more comprehensive, providing municipalities and potential developers with a system that, once learned, is more transparent, predictable, and thorough. As an added benefit, the need for review by a discretionary body such as a planning commission or design review board is often eliminated.

In addition, form-based codes typically—but not always—reduce regulation of what uses are allowed within buildings. This can expand the potential market for new development and result in structures that are more adaptable to different kinds of tenants, today and throughout the evolution of the community over many decades.

Different Methods

There are many approaches to creating a form-based code. Nevertheless, most methods share many of the same steps and specific practices. The Form-Based Codes Institute (FBCI, www.formbasedcodes.org), led by Carol Wyant (who first coined the term “form-based codes”), is a non-profit professional organization dedicated to advancing the understanding and use of form-based codes. FBCI offers an introductory webinar on the “ABCs of Form-Based Codes” and advanced, two-day courses on creating, adopting, and administering form-based codes.

Architects Daniel and Karen Parolek of Opticos Design, Inc. are both on the FBCI Board of Directors and frequently serve as instructors for FBCI’s courses and webinars. Drawing upon years of experience developing award-winning form-based codes for communities across the nation, they wrote (with Paul Crawford) the influential textbook Form-Based Codes: A Guide for Planners, Urban Designers, Municipalities, and Developers (2008), which offers a highly-detailed, comprehensive process for creating a form-based code that impressively incorporates established best practices.

Their process may differ from that used by many consulting firms specializing in form-based codes, who often follow a highly customized process they’ve crafted over the years. But in order to provide municipalities in our region with an idea of what the creation of a form-based code could entail, a synopsis of the steps recommended by the authors follows. The steps include:

Step 1: Scoping defines the area of the community to be addressed through the form-based code and the extent to which form-based codes interact with existing regulations.

Step 2: Assessing Existing Conditions documents and analyzes the community’s existing urban form at different scales, providing a basis for the creation of the form-based code.

Step 3: Visioning and Creating Regulations defines the community’s vision for its future and determines the specific regulations and procedures of the form-based code.
4.6.1 Mixed Use

Figure 4.1: Mixed-use Building on Corner Lot

Example of mixed-use building on corner lot with articulated architecture.
Step One
Scoping

Once a municipality chooses to develop a form-based code, there are several questions the community will need to carefully consider at the beginning of the process, such as:

What staff should be involved?
How much help will we need from consultants?
Should the new form-based code cover the whole community, or just part of it?
How much change do we want?

The answers to these essential questions will determine the scope of the form-based code.
Who Should Be Involved?

Form-based codes address both the short- and long-term interests of several specialized areas. Therefore, it is vital to assemble a diverse team to lead the creation of the form-based code. Typically, this code team is composed of municipal staff with consultant assistance, frequently with the consultant team responsible for guiding the effort and completing the majority of tasks required by the planning process.

Municipal Staff

Key municipal departmental staff are essential to the creation of the form-based code, participating—at a minimum—in an initial assessment of the existing zoning regulations, community visioning sessions and workshops, and code drafting and review. Departments that typically participate include planning, public works, parks and recreation, economic development, police, and fire.

Consultant Assistance

Consultants are typically engaged to augment the expertise of the municipal staff and often to lead the effort. These consultants are usually planners, architects, or urban designers. Depending on the focus and objectives of the form-based code effort, the consultant team could also draw on expertise from disciplines such as transportation planning, market analysis, historic preservation, legal support, and public participation. FBCI provides sample Request for Qualifications (RFQs) and RFPs at www.formbasedcodes.org.

Define Your Form-Based Codes Area

Form-based codes can be applied at a variety of scales. Examples include:

- Sub-areas within a municipality:
  - Downtowns
  - Deteriorating strip commercial corridors
  - “Dead” big-box shopping centers
  - One or more undeveloped “greenfield” areas adjacent to a municipality that are intended to accommodate growth
  - Existing neighborhoods or other developed areas where infill development is intended to preserve or extend existing patterns of physical character
- Entire municipalities
- Counties or regions that include both urban areas and countryside
- Areas that have been targeted for economic revitalization, are undergoing changes in land ownership, or are the location of planned infrastructure improvements

Planning Process

Form-based codes are typically created by integrating a planning process with the drafting of specific rules for development. Communities will need to take into consideration the timing of the most recent comprehensive plan update and whether the update included sufficient engagement with the community and urban design specifications in the plan, as well as the amount of funding available for the development of the form-based code.

Testing the Waters

Some municipalities may choose to first create a form-based code for a limited area before applying the techniques to more extensive areas or to the entire municipality. This may be due to uncertainty among elected officials and residents or a desire to create a pilot project that will provide an opportunity for municipal staff and elected officials to gain experience.
**Relationship with Existing Regulations**

There are several different methods for introducing form-based codes into an established zoning ordinance. Their suitability often depends upon the degree of change that is desired by the community and a realistic assessment of political feasibility.

**Comprehensive Replacement of Existing Code**

The form-based code replaces the existing conventional zoning code for all or part of a community, and all development within the area must abide by the regulations of the form-based code. This approach generally offers the widest range of opportunities for transforming a targeted area of a community while maintaining established character in others. It also offers the advantage of consistency in regulatory vocabulary and procedures throughout the code.

**Hybrid Zoning Code**

A hybrid code is one that combines form-based zoning districts, and potentially other form-based standards, with a conventional zoning approach. Form-based standards can be merged with the existing conventional code or created in conjunction with new conventional zoning standards. A hybrid code can take the form of a chapter within the code, similar to a special district or overlay. The hybrid form-based code is cross-referenced to other sections of the pre-existing code for selected development standards, such as parking dimensions or landscaping standards. Areas that fall within the form-based code boundaries are rezoned to new zoning districts per the code. Within these areas, any and all development must abide by the new regulations for the form-based zones. This approach can be used for a sub-area in the phased replacement of an existing code, and can also be an effective way of responding to pressure for physical change in “sensitive” areas of the community.

**Optional/Parallel Code**

The form-based code is created as a standalone code but does not replace the existing conventional zoning code. Instead, in specific areas defined in the form-based code, the developer is given the choice to build under the existing conventional zoning or the new form-based code. The property does not have to be rezoned, but once the developer chooses a code, the entire development project must abide by it.

There are advantages to this approach, but the challenges of administering even a single zoning code are significant, and two codes may create confusion about the community’s commitment to the requirements and principles reflected in the form-based code. It may also result in developers attempting to pick and choose only those form-based code requirements that are most beneficial to their interests.

**Organizing Principle**

There are many different approaches to regulating the type, scale, form, and intensity of allowable development in a form-based code. Some common approaches are explained below, but it is important to note that any consulting firm that specializes in form-based codes is likely to have its own individualized approach.

**Transect-Based Codes**

Many form-based codes are organized using the concept of a rural-to-urban “transect,” in which zones are primarily classified by the physical intensity of the built form, the relationship between nature and the built environment, and the complexity of uses within the zone (please see diagram below explaining the concept). This allows for a gradual transition between different areas in a community. Applying the concept of the transect to a particular planning area often results in a modified version that responds to local conditions; indeed, this is how the transect-based SmartCode, a form-based code template, functions (an explanation of the SmartCode is provided on the following page).

**Building Type-Based Codes**

In this common approach, the form-based code is organized through different building types, each defined by specific development standards regulating the configurations, features, and functions of buildings. The building types and their accompanying development standards are applied to different blocks and districts within the planning area.

This approach is thought to work best in smaller planning areas, especially infill development, where the compatibility of new development with existing buildings is a high priority. In this scenario, the use of building types can reinforce the existing character of a community.

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*The Transect.*  
Credit: Topografis PC.
Street-Based Codes

Street-based codes are form-based codes that are organized by different street types, such as boulevards, arterials, and collectors. Each street type is defined by the level of traffic the roadway is designed to accommodate, design speeds, pedestrian crossing times, the width of vehicle lanes and sidewalks, the configuration of on-street parking, the presence of medians bicycle lanes, and other factors, including how buildings are required to address the street (in terms of height, frontage type, and build-to lines). Street-based codes are typically illustrated using section drawings.

Template Codes

A form-based code can be designed and developed locally from scratch or based on a predetermined “template” that has been used elsewhere and can be customized to serve local needs.

SmartCode

The most notable currently available code template is the SmartCode. It was originally created by the architectural firm of Duany Plater-Zyberk & Company and has since undergone continual refinement by the firm, other planning and design professionals, and communities that have used the code.

The SmartCode is a comprehensive, transect-based form-based code template (or “model ordinance”) that includes model language, standards, and requirements for multiple scales of development by public and private sectors, as well as administrative procedures for development review and approval. It is intended to be customized to the local context, priorities, and legal requirements of each community that uses it.

It has been used by several communities across the U.S., and in its largest implementation to date, it was used as the basis for the new development code for the City of Miami, Florida.

Considerations for Templates

If the form-based code will apply to an area composed of only one transect level, a transect-based approach such as the SmartCode may not be necessary. Also consider the extent to which local officials (particularly municipal attorneys) are confident that the template can be sufficiently calibrated to and customized to comply with applicable state law requirements, including consistency with the municipality’s comprehensive plan.

Other templates

Consultant teams that have prepared more than a few form-based codes are likely to have developed at least one form-based code template. If the consultant team is based in the region, it is likely that their template will likely be customized to the local context and legal requirements of the municipality.
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<th>Natural Zone</th>
<th>Rural Zone</th>
<th>Sub-urban Zone</th>
<th>General Urban Zone</th>
<th>Urban Center Zone</th>
<th>Urban Core Zone</th>
<th>Special District</th>
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Note: All requirements in this Table are subject to calibration for local context.
Rockville Town Center
Existing Framework

- Gateway
- Town Center Focal Point
- Major Pedestrian Spine
- Major Vehicular Thoroughfare
- Critical Connection
- Railroad
- Transitional Office Zone
- Neighborhood
- Auto-Oriented Commercial
- Distinctive Core Area
  (high density, mixed-use, pedestrian orientation)

Existing Framework, Town Center Master Plan (2001), City of Rockville, Maryland. Credit: Development Concepts, Inc./HNTB.
Step Two
Assessing Existing Conditions

A form-based code guides development to build upon and strengthen the unique characteristics of a community, helping to preserve desired character. Before a form-based code is created, the code team identifies these unique characteristics by documenting and analyzing the community’s existing urban form at different scales, from the broad characteristics of a community’s neighborhoods to the specific architectural details of windows on typical houses within each neighborhood. The information gathered during this phase is organized and analyzed to provide a basis for the creation of the form-based code.

It should be noted that the following approach to documenting and analyzing existing conditions is not standardized, so a variety of approaches are possible. Many form-based code consultants choose a different process, such as documenting large and small scale elements simultaneously, rather than in two phases.
Community Sub-Areas

Documenting the existing conditions of a community’s sub-areas helps the code team understand the composition of the community at a larger scale. Some common sub-areas that can be identified include:

**Neighborhoods**, which usually are areas that contain blocks or buildings that are unified in character or style. A neighborhood is often walkable and may have a clearly defined center or edge.

**Districts**, which are areas typically defined by a particular use or activity, such as light industrial districts.

**Corridors**, which can be man-made elements relating to movement, such as roads or railways, or natural elements such as rivers. Whether man-made or natural, these corridors often define boundaries within and between neighborhoods. However, roads that function as commercial corridors often serve as the center of many communities.

**Preparation**

**Reviewing Background Documents**

With the help of municipal staff, the code team should gather existing background documents, such as maps and past plans, for the area. These documents provide immediate context for the code team’s analysis and will help them develop a form-based code that accommodates and works with existing regulations that will remain in effect after the form-based code is implemented. In addition, it is important for the code team to review any regulations that are being replaced in order to help understand the existing place and to learn from those regulations’ successes and failures. Similarly, studying past plans can help the team to incorporate any previous visioning work that was completed by the community prior to the form-based code process.

**Mapping Existing Conditions**

To understand existing conditions and select areas to focus on during the site visit, the code team may create an existing conditions map with information such as public right-of-way lines, lot lines, building footprints, curbs and sidewalk locations, existing land uses, parking location, and natural features (such as rivers) that will impact development.

**Analyzing Existing Conditions Maps**

Existing conditions maps can be marked in response to any of the following questions:

- Where are the centers or focal points?
- Which streets and roadways are regional connectors? Which are local connectors?
- Where are the green or pedestrian corridors?
- Which areas are currently slated for major changes in scale and/or use?
- Which places define the community’s identity? Are historic developmental patterns intact in any of these places?
- Where do building and street patterns change and what might be the reason?
- Which neighborhoods would benefit from the preservation of their existing character?
- Are there any districts that are expressly zoned for a particular use or activity, such as light industry?
- Are there clear edges and transitions between neighborhoods?
- Which transect levels exist within the community?

The code team will review these maps, looking for patterns and marking up the maps with the existing neighborhood, district, and corridor framework of the community. In addition, the team will usually mark the map in response to questions about the physical form of the community (please see inset above). If the team anticipates a transect-based form-based code (see page 17), it might begin to make an initial list of transect levels that are likely to be included in the form-based code.

**Site Visit**

Members of the code team will often visit the study area to determine the centers and boundaries of any neighborhoods, districts, and corridors, then mark them on a map (such as an existing conditions map created before the site visit).

**Neighborhoods**

For neighborhoods, the code team will often try to locate its center (which is a crossroad, commercial center, school, government building, or park) as well as its outer boundary (typically a street, rail line, or creek). The team is likely to take photographs intended to illustrate the physical character of each neighborhood; these photographs may be used later on to help the team determine which transect level is applicable to the neighborhood. The code team is likely to make an initial assessment of how much each neighborhood should change (such as “preserve,” “preserve and enhance,” “evolve,” and “transform”). If relevant to the project, the team may note potential locations for new neighborhoods and neighborhood centers.
**Districts**

The code team usually will also mark any identified districts (on the existing conditions map, or equivalent), and take photographs of the area. If there are any districts, the team should assess the relationship of each district to the community, determining whether it is a healthy component of the community (such as an educational campus), an incompatible-use district (such as a heavy industrial area), or an area unnecessarily zoned as a district (such as single-use districts that could be appropriately placed within a mixed-use district). In addition, the team should consider whether each necessary district will need to expand in the future.

**Corridors**

The code team may also mark the location of any corridors, such as important roads, trails, or streams, and consider how the corridor is functioning as an element of the built environment and whether there is a balance between auto and pedestrian traffic.

**Special Conditions**

The team will usually note any other unique larger elements of the area, such as topography.

**Organizing the Data**

According to a methodology that is most helpful to them, the code team may create a series of spreadsheets, diagrams, or maps to organize the information from the site visit. Some teams may find it helpful to compile the data from all maps and diagrams onto a single summary diagram (some firms refer to this as an “existing framework diagram”).

If developing a transect-based form-based code, the team will likely review the summary diagram for the various transect levels noted for each neighborhood during the first round of site visits. Any photographs taken during the site visit will usually be organized by transect level. The code team may then create an “existing transect diagram,” which includes all neighborhoods and indicates which transect levels are found in each, usually illustrated by photographs from the site visits.

**Smaller Scale Details**

Documenting the existing conditions of smaller scale details provides dimensional measurements for the first draft of the form-based code, which will then be modified during the visioning and coding phases. Some of the basic elements to be documented by the code team are buildings (form, placement, frontages, types, and use), thoroughfares, lots and blocks, civic spaces (parks and plazas), and additional elements (such as architecture or landscaping) as desired by the community.

**Preparation**

**Choosing Sampling Areas**

To document the community at a smaller scale, the code team will usually select several “sampling areas.” If developing a transect-based form-based code, the team will generally review the range of transect levels previously documented, and then select four or five sampling areas (often a block-long street) for each that seem to represent typical conditions that are desired by the community.

However, if the code team has chosen an approach other than a transect-based code, the sampling method will be slightly different. For example, if the form-based code is to be organized by building types, the code team will usually identify existing buildings in the community that exemplify the physical characteristics of each building type, and then select which ones should be documented (or “sampled”). It is also important to document the area(s) where new building types are to be applied in order to understand the impacts of applying new development standards to those areas.

**Site Visit**

To document buildings for a transect-based form-based code, the code team will usually visit the areas they have chosen to sample, filling in details about the physical characteristics of each building and lot. Typically, this will include gathering measurements and other information about the form and dimensions of the building, its placement on the lot, the front of the building and its physical relationship to the street, number of parking spaces, and its associated land uses. The team may also take a variety of photos of the block, including building elevations and architectural features, views along the sidewalk, side street conditions, any alleys, and other views showing the relationship between buildings, landscaping, and the public realm.

**Organizing the Data**

Once the documentation of smaller scale details in the community is complete, the code team will generally begin determining which values among those collected from the sampling areas are most representative of typical conditions. For example, in transect-based form-based codes, the values that best exemplify typical conditions of each sampling area are then used to determine the most representative values for each transect. As mentioned previously, these values will become the base measurements used in developing the actual regulations of the form-based code.

**“Ground-Truthing” the Findings**

This would be a good time for the code team to hold a meeting with community stakeholders, presenting what the team found and documented during the first round of site visits. Any maps, diagrams, or photo galleries created by the team would be shared with stakeholders, who should be asked whether any important areas were missed or documented incorrectly. Stakeholders should also be asked which areas are successful, which need improvement, and which are good models to replicate elsewhere.
Illustrative plan (top) and regulating plan (bottom), Transit Zoning Code (2010), City of Santa Ana, California.
Credit: Moule & Polyzoides, Architects and Urbanists.
Step Three
Visioning and Creating Regulations

A form-based code is intended to ensure a predictable outcome for the built environment. This requires the desired outcome—the “vision”—to be defined, in detail, by the community. Ideally, a community has already defined its desired outcome in part or in whole—for example, through the recent update of its comprehensive plan. If not, the code team works together with the community to create a detailed vision for its future.

Once this community vision is in place, the code team proceeds to create the specific regulations and procedures of the form-based code.
Engaging the Community

The specific methods to reach a common community vision will vary, but the essential ingredient is active participation and discussion using a variety of methods, such as community workshops, design charrettes, and focus interviews with key stakeholders.

With the community actively engaged, a vision for the defined area is created. At this point in the process, some consulting firms will create a detailed drawing, sometimes called an “illustrative plan,” that shows the envisioned layout of the community. It includes the locations of neighborhoods, districts, and corridors, as well as thoroughfares, civic spaces, buildings, and transit lines. While this drawing is not a necessary step, it may be helpful to communicate significant proposed changes in a community.

Kickoff Meeting

Often at this point in the process, the code team will hold a kickoff meeting with the community (although this may occur earlier in the process).

The meeting should provide residents with a brief, lucid explanation of form-based codes, the overall process, and their role in the creation of the form-based code. If the kickoff meeting occurs at this point in the process, it’s likely that the team would present its findings from the documentation of existing conditions to the community. Maps, diagrams, or photo galleries that are easy for a layperson to understand should be exhibited to help explain the team’s findings, as well as give the community something visual to respond to. Photo galleries that document the different areas and aspects of the community can be especially effective in helping residents understand new concepts relevant to the development of the form-based code, such as different transect levels or building types (and can help to give the code team credibility in understanding the community).

In response to the presentation, meeting participants typically will be asked which aspects of the community should remain, what should change, what should be a model for future development, and what they want overall. Four suggested categories for change are:

“Preserve”
The community wants to retain the existing physical character of one or more areas with distinct identities (i.e. neighborhoods, transit station areas, or downtowns) and to ensure that infill and redevelopment “fits in” with the existing context.

“Preserve and enhance”
The community wants to retain the existing physical character in one or more areas, but is interested in careful, targeted enhancements to them. This could include changes in the form of future private development or within the public realm (such as streets).
"Evolve"
The community wants to see desired physical change within the planning area over time, but is willing to allow change to occur more gradually, often according to the preferences of individual property owners within the planning area.

"Transform"
The community wants to see desired physical change occur within the shortest possible time. This often entails the combination of form-based codes that are more ambitious and rigorously enforced with other strategies, such as development incentives, housing density bonuses, accelerated processing of development applications, and street and streetscape improvements undertaken by the municipality.

Explaining and Illustrating the Zoning Districts

The regulations of most form-based codes are assigned by zoning district based upon classifications such as transect level, building type, or street type. At this stage, the code team will usually begin to define and illustrate the main characteristics of each district.

The team will also begin to determine which details and elements belong in each district, such as what types of uses, buildings, frontages, thoroughfares, or civic spaces are allowed. A summary of this information is often paired with a written vision description and illustration of the district on a single page or two, which may be presented to the public as a poster for feedback and eventually serve as the main explanation of the district in the final form-based code document.

The Importance of the Kick-Off Meeting

The kickoff meeting sets the tone for the creation of the community vision that will guide the form-based code. It’s a collaborative effort that requires the input of a variety of stakeholders in the community (including the general public), along with key professionals necessary to complement the knowledge base and skill set within the community. A form-based code is a legal document that inherently affects and will need to be approved by the community, and an effective kickoff meeting is vital to its success.

After the Meeting

Following this meeting, the code team will usually take this feedback and information from the community, along with the products of their existing conditions analysis, and reevaluate larger elements (such as neighborhoods, districts, and corridors). If preparing a transect-based form-based code, the team will probably assign an intended transect level for each neighborhood, both existing and new, from the list of transect levels. In addition, the code team may designate the degree of change desired for existing neighborhoods (such as “preserve,” “preserve and enhance,” “evolve,” and “transform”), based upon input gathered at the community meeting.

If applicable, the code team will also reexamine other elements they have documented and analyzed (such as existing thoroughfares, blocks, civic spaces, and buildings), based on public input.
44.6-26. GAP Form-Based Code
D. Building Type Standards

Street design should result in the orientation of building types that create streets that are welcoming and safe. Maintaining "eyes on the street." Adding to the sense of safety is the presence of interesting and inviting businesses or public functions on the street. Wherever possible, streets should be implemented to access garages or parking lots.

Apartment Building. This building type typically is either on the side of the street or facing a rear yard. On any corner lot, this type should use the corner side facade for additional building entrance. On any corner lot, it may be desirable to use the corner side facade for additional building entrance. The design of the building entrance on the corner side facade should provide visibility to those outside the building.

Manor MultiFamily on Interior Lots. This type of building is generally a small- to medium-sized structure that is typically located on a corner near a street or near access for additional building entrances on the side or rear facade and adequate parking to the rear.

Table 1703-3.30.A: Building Types General

Use Types

The code team will also usually begin to create lists of other elements that will be regulated (such as the types of thoroughfares, civic spaces, building types, and frontages). The team will typically create a summary of each that includes descriptive text, illustrations, and diagrams as needed. For example, if thoroughfares will be regulated by the form-based code, the team will prepare a summary of each type of thoroughfare that is needed, usually including a section drawing of the intended thoroughfare design that indicates the basic standard dimensions that will be required.

Finally, the code team may assess whether there are any other optional elements the community wants to regulate, such as architectural style. If so, the team would usually determine the types (or styles) to be included in the vision and the code for these elements, and then create appropriate descriptive text and imagery for each.

Use Types

In conventional zoning, zoning districts are primarily defined by land use. Form-based codes emphasize the physical character of development (its form) and include the regulation of land uses. Similar to conventional zoning, permitted and conditional or special uses are listed by district in most form-based codes. However, land uses may be regulated more broadly, with land use categories in lieu of long lists of specific permitted uses. Of course, form-based codes can also specify sub-types that are not allowed in certain locations or would be subject to discretionary review, such as businesses involving the sale of alcohol. Last, it is common for form-based codes to include requirements for the location of various uses within individual buildings (such as permitting office or residential uses on upper stories only).

Building Types

Some common building types used in form-based codes include "detached single-unit house," "townhouse," "duplex," "courtyard apartment," and "mixed-use building." Building types typically include bulk regulations (such as minimum lot width, maximum building height, building setbacks, etc.) that are usually defined by zoning district in a conventional zoning code, as well as some design and architectural parameters (such as roof type, location of parking, minimum transparency requirements, building materials, etc.).

Regulating which building types are allowed is not required in a form-based code, but it can help a community ensure a diverse stock of buildings, which is key to the creation (or preservation) of vibrant urban places. It is one of the means by which a community can avoid the damaging effects of some conventional zoning regulations, such as floor area ratio, which can encourage developers to focus on achieving maximum volume allowed for a lot. In addition, requiring a diverse mix of building types might be necessary to mitigate decades of standards that promote single-use development and discourage alternative building types.
## 5.2.2 Permitted Use Table

<table>
<thead>
<tr>
<th>USE CATEGORY</th>
<th>SPECIFIC USE</th>
<th>KEY:</th>
<th>Bank Use</th>
<th>Not Permitted</th>
<th>Permitted</th>
<th>Subject to Special Use Review</th>
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<td>R3</td>
<td>R4</td>
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<td>Townhouse</td>
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<td>Apartment</td>
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<td>Upper Story Residential</td>
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<td>Boarding House, Rooming House</td>
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<td>Children's Home</td>
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<td>Congregate Housing</td>
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<td>Fraternity, Sorority, Student Dormitory</td>
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<td>Nursing Home, Full-time Convalescent, Hospice, Lifecare Center</td>
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<td>Neighborhood Arts Center or Similar Community Facility (public)</td>
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<td>Police, Fire, EMS Substation</td>
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<td>Drop-in Child Care Center</td>
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<td>Medical or Dental Clinic, Rehabilitation Clinic</td>
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<td>Medical, Dental Office or Chiropractor</td>
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<td>Bus, Train Passenger Terminal</td>
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<td>Wireless Communication Facility</td>
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<td>Indoor Shooting Range</td>
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<td>Outdoor Shooting Range</td>
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<td>Restaurant, Drive-in</td>
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</table>
Frontage Types

Frontage refers to the way that the building engages the public realm—typically the building’s front side. Similar to standards regulating minimum and maximum building height, form-based codes often specify which types of frontages are allowed in each zone. The SmartCode, a form-based code template, includes eight standard frontage types: “common yard,” “porch and fence,” “terrace or light court,” “forecourt” (where a portion of the façade is close to the frontage line and the central portion is set back), “stoop,” “shop front and awning,” “gallery,” and “arcade.”

Table 1703-4.30.A: Frontage Types General

<table>
<thead>
<tr>
<th>Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Common Yard</td>
<td>The main facade of the building is near the frontage line. The resulting</td>
</tr>
<tr>
<td></td>
<td>front yard is typically very small and can be used as an entry court or</td>
</tr>
<tr>
<td></td>
<td>shared garden space for residential uses with small setbacks.</td>
</tr>
<tr>
<td>Porch: Protruding</td>
<td>The main facade of the building has a small to moderate setback from the</td>
</tr>
<tr>
<td></td>
<td>frontage line. The protruding porch is typically very small and can be</td>
</tr>
<tr>
<td></td>
<td>used in conjunction with other frontage types.</td>
</tr>
<tr>
<td>Porch: Engaged</td>
<td>The main facade of the building has a small to moderate setback from the</td>
</tr>
<tr>
<td></td>
<td>frontage line. The engaged porch has two adjacent sides of the porch that</td>
</tr>
<tr>
<td></td>
<td>are engaged to the building while the other two sides are open.</td>
</tr>
<tr>
<td>Stoop</td>
<td>The rear facade of the building is near the frontage line and the</td>
</tr>
<tr>
<td></td>
<td>interior space is set back from the frontage line. The space is typically</td>
</tr>
<tr>
<td></td>
<td>very small and can be used as an entry court or shared garden space.</td>
</tr>
<tr>
<td>Forecourt</td>
<td>The rear facade of the building is on or near the frontage line and a</td>
</tr>
<tr>
<td></td>
<td>small percentage is set back, creating a small court space. The space</td>
</tr>
<tr>
<td></td>
<td>could be used as an entry court or shared garden space for residential</td>
</tr>
<tr>
<td></td>
<td>units. A small percentage of the space is set back from the frontage line.</td>
</tr>
</tbody>
</table>

Form-based codes often specify which types of frontages are allowed in each zone.
Step Three: Visioning / Creating the Regulations

Thoroughfare Types

Thoroughfare types may include alleys, lanes, roads, streets, commercial/main streets, avenues, and boulevards. Each thoroughfare type could be assigned regulations such as the number and width of lanes designated for both vehicular and bicycle travel, the width of space allotted for pedestrians, the number and width of areas designated for on-street parking, and the type and spacing of trees and street lights.


Thoroughfares

Thoroughfares can serve many roles in a community, and are integral to their success. They are a means of travel to destinations, near and far, and as the primary public space in most communities, frequently they are the destination for shopping and other activities.

In communities that have not reached their potential, walkability is frequently a missing element. In Street Design Guidelines for Healthy Neighborhoods (Center for Livable Communities, 1999), Dan Burden, an expert in the creation of livable communities, has stated that “Walkable streets form the backbone of friendly, interactive, safe, secure neighborhoods.” Focused on the safe and efficient flow of automobile traffic, most conventional thoroughfare standards are simply not up to the task of creating walkable communities.

Form-based codes can offer an opportunity to define thoroughfare standards that are carefully coordinated with other requirements, comprehensively addressing the needs of travel along with the broader needs of the public realm and the community as a whole. It should be noted, however, that if a community is mostly built out, thoroughfare standards are likely the responsibility of the public works department as they conduct ongoing maintenance and improvement of existing roadways, often working with minimal or insufficient budgets (making the implementation of new thoroughfare standards more challenging).
Civic Space Types

Civic space types are essentially open space or other public areas that may include parks, greens, squares, plazas, pocket parks, playgrounds, and playing fields. For civic space types, typical regulations include the minimum and maximum acreage of land required, requirements for the placement of civic spaces, the appropriate zones for each civic space type, the kind of recreation the civic space is intended to facilitate, and the overall intended look and feel of the space.

Civic Spaces

When wisely designed and located, abundant parks and other civic spaces make a community a more desirable place to live and work, improving the health of residents and the value of their homes. In addition, they can serve as a cherished place for residents, workers, and visitors to gather—with a block, neighborhood, or entire community—helping to define the identity of the area. As part of a comprehensive form-based code, wisely-developed standards can help communities make the most of rare opportunities to create new civic spaces.


Civic Spaces - Playgrounds, Development Code (2010), City of Livermore, California. Credit: Opticos Design, Inc.
Creating the Regulating Plan and Zoning District Regulations

After establishing the general elements within each zoning district, the code team usually next determines the exact values of the form-based code’s regulations, which are organized by district. Each district may contain one or more permitted building types. As the code team develops each district’s specific regulations, they will typically also begin drafting the “regulating plan,” which is akin to a zoning map and assigns the newly created zoning districts to specific physical locations, typically by color-coding the areas or lots where each of the districts apply.

These areas are usually defined within a framework of streets and blocks, often with boundary lines falling at the rear of lots or at alleys, allowing harmonious transitions between different districts. The definition and demarcation of different districts depend upon what type of form-based code is being created—for example, whether it is a transect-based or street-based form-based code.

Meanwhile, the code team will also determine the specific regulations for each zoning district, often drawing from measurements that were determined to best exemplify the typical or representative conditions of zones that were “sampled” during the documentation of existing conditions.

When is the Regulating Plan Created?

The regulating plan is usually created as part of drafting the form-based code. For example, when a form-based code is developed to replace an existing development code, the existing zoning map is replaced with a regulating plan that implements the intentions of the community’s vision by assigning specific boundaries for the new districts.

But for some form-based codes, a regulating plan may be created later. Examples of this include regulating plans that need to be created for larger infill or “greenfield” sites that were not planned during the development of the community’s form-based code. In this scenario, a more precise regulating plan may be created as part of the application for a proposed development project, using the development standards from the community’s form-based code that are relevant to the project.
The following are some of the regulations that are typically determined first by the code team:

**Building Form Standards**

Building form standards typically include a broad set of requirements for the configuration, features, and functions of buildings that define and shape the public realm, such as building placement and form, lot sizes, parking, as well as allowed land uses, encroachments, and frontage and building types.

**Building Placement**

It would be difficult to overstate the importance of standards regulating the placement of buildings. Together with thoroughfare standards, they provide the foundation for establishing or preserving the character of a district. Some of the typical regulations for building placement standards include the build-to line, minimum setback, and minimum and maximum widths of lots (the latter to create the desired development scale).

**Building Form**

Regulations for building form also play a key role in establishing the character of a district. As the “walls” of public spaces, building façades are regulated for height to ensure the correct proportion. The maximum and minimum sizes of buildings are sometimes regulated to ensure that they are an appropriate size for the desired vision of the area, establishing a rich urban form through a harmonious range of building sizes. Some of the typical regulations

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**44.6-26. GAP Form-Based Code**

**H. Building Types: Commercial Building**

- **Main Street Mixed-Use Building Type:** A small-scale mixed-use building type, typically attached, intended to provide a variety of uses with ground-floor retail, or service areas and upper-floor service, or residential uses. This type can serve as a primary component of a typical neighborhood main street, therefore being a key component in providing walkability.

  - **Building Height:**
    - Minimum: 2 stories
    - Maximum: 3 stories

  - **Floor Area:**
    - Maximum: 10,000 square feet

  - **Setback:**
    - Minimum: 10 feet

  - **Footing:**
    - Minimum: 2 feet

  - **Roof:**
    - Minimum: 10 feet

  - **Secondary Roof:**
    - Minimum: 6 feet

---

**Specific to Building Types**

<table>
<thead>
<tr>
<th>Building Type</th>
<th>Specific Requirements</th>
</tr>
</thead>
</table>
| Main Street Mixed-Use | - Minimum 2 stories
| | - Maximum 3 stories
| | - Maximum 10,000 square feet
| | - Minimum 10 feet setback

---

**Building form standards, Cincinnati Form-Based Code (Public Review Draft, 2012), City of Cincinnati, Ohio. Credit: Opticos Design, Inc.**

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**Figure H-3: Height & Use Requirements.**

- **Height & Use Requirements:**
  - **Building & Floor Heights:**
    - Minimum: 10 feet
    - Maximum: 20 feet
  - **Floor Area:**
    - Maximum: 10,000 square feet
  - **Setback:**
    - Minimum: 10 feet
  - **Footing:**
    - Minimum: 2 feet
  - **Roof:**
    - Minimum: 10 feet
  - **Secondary Roof:**
    - Minimum: 6 feet

---

**Specific to Building Types**

<table>
<thead>
<tr>
<th>Building Type</th>
<th>Specific Requirements</th>
</tr>
</thead>
</table>
| Main Street Mixed-Use | - Minimum 2 stories
| | - Maximum 3 stories
| | - Maximum 10,000 square feet
| | - Minimum 10 feet setback

---


---

**Building form standards, City of Cincinnati Form-Based Code (Public Review Draft, 2012), City of Cincinnati, Ohio. Credit: Opticos Design, Inc.**
for building form standards include maximum and minimum height, width, and depth of buildings, as well as the maximum and minimum heights of ground-floor and upper floor levels.

**Allowed Encroachments**
Encroachments involve building elements that may extend over the build-to line (which regulates the distance between the front property line and building facade) or into the setback, such as balconies, and bay windows. By specifying regulations for allowed encroachments in a form-based code, a community can enable a rich urban form.

**Parking**
The methods for regulating parking in a form-based code are similar to those in a conventional zoning ordinance. Minimum parking standards are typically established according to land uses, but also by zoning district classifications established by the form-based code that are defined by the intensity of development—such as “town center.”

Surface parking lots and garages can have a damaging effect on the physical quality of the public realm, creating unattractive gaps between buildings as well as curb cuts that are potential hazards for pedestrians using the sidewalk. In response, form-based codes often seek to minimize these negative impacts by requiring parking to be located at the rear or side of buildings or at the center of blocks, rather than between the building and the street. Similarly, some form-based codes include maximum parking requirements and promote shared and on-street parking for areas of higher-density and mixed-use development that have good access to transit.

In addition to the mandatory number of off-street parking spaces, typical regulations for parking standards include the area on the lot in which parking is allowed, including setbacks, sizes of parking spaces, and travel lanes in parking lots.

### 10.8 PARKING PLACEMENT

#### 10.8.1 FRONT SETBACKS; PARKING LOCATED ADJACENT TO BUILDINGS

Within RR-T and RR-A districts where parking may be located adjacent to the building but not between the building and the front lot line, a minimum front setback of 7 feet is required for any such parking. (See Figure 9) Trees (a minimum of 2.5 inches caliper) and shrubs (a minimum of 24 inches in height) must be planted at the rate of one tree and 10 shrubs for every 40 feet of frontage.

![Figure 9: Parking Setback in RR-T and RR-Districts](Image)

**Parking Strategies to Support Livable Communities**

To help communities address their parking concerns with the end goal of making our communities more livable, CMAP created a step-by-step guide to municipal reform of parking policies, entitled *Parking Strategies to Support Livable Communities*. The guide can help municipal governments determine the appropriate steps for addressing their unique challenges and describes more than a dozen strategies to manage parking. It explains how to do a parking survey and effectively engage stakeholders, and also takes a detailed look at the costs of parking structures and available financing mechanisms.
TABLE 10: Building Function. This table categorizes Building Functions within Transect Zones. Parking requirements are correlated to functional intensity. For Specific Function and Use permitted By Right or by Warrant, see Table 12.

<table>
<thead>
<tr>
<th>Function</th>
<th>Required Residential</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. RESIDENTIAL</td>
<td>Restricted Residential: The number of dwellings on each Lot is limited to one within a Principal Building and one within an Accessory Building, with 2.0 parking places for each. Both dwellings shall be under single ownership. The habitable area of the Accessory Unit shall not exceed 440 sf, excluding the parking area.</td>
</tr>
<tr>
<td>b. LODGING</td>
<td>Restricted Lodging: The number of bedrooms available on each Lot for lodging is limited by the requirement of 1.0 assigned parking place for each bedroom, up to five, in addition to the parking requirement for the dwelling. The Lodging must be owner occupied. Food service may be provided in the a.m. The maximum length of stay shall not exceed ten days.</td>
</tr>
<tr>
<td>c. OFFICE</td>
<td>Restricted Office: The building area available for office use on each Lot is limited to the first Story of the Principal or the Accessory Building and by the requirement of 3.0 assigned parking places per 1000 square feet of net office space in addition to the parking requirement for each dwelling.</td>
</tr>
<tr>
<td>d. RETAIL</td>
<td>Restricted Retail: The building area available for Retail use is limited to one Block corner location at the first Story for each 300 dwelling units and by the requirement of 4.0 assigned parking places per 1000 square feet of net retail space in addition to the parking requirement for each dwelling. The specific use shall be further limited to neighborhood store, or food service seating no more than 20.</td>
</tr>
<tr>
<td>e. CIVIC</td>
<td>See Table 12</td>
</tr>
<tr>
<td>f. OTHER</td>
<td>See Table 12</td>
</tr>
</tbody>
</table>

TABLE 11: Parking Calculations. The Shared Parking Factor for two Functions, when divided into the sum of the two amounts as listed on the Required Parking table below, produces the Effective Parking needed for each site involved in sharing. Conversely, if the Sharing Factor is used as a multiplier, it indicates the amount of building allowed on each site given the parking available.

<table>
<thead>
<tr>
<th>Function</th>
<th>T2</th>
<th>T3</th>
<th>T4</th>
<th>T5</th>
<th>T6</th>
</tr>
</thead>
<tbody>
<tr>
<td>RESIDENTIAL</td>
<td>2.0 / dwelling</td>
<td>1.5 / dwelling</td>
<td>1.0 / dwelling</td>
<td></td>
<td></td>
</tr>
<tr>
<td>LODGING</td>
<td>1.0 / bedroom</td>
<td>1.0 / bedroom</td>
<td>1.0 / bedroom</td>
<td></td>
<td></td>
</tr>
<tr>
<td>OFFICE</td>
<td>3.0 / 1000 sq. ft.</td>
<td>3.0 / 1000 sq. ft.</td>
<td>2.0 / 1000 sq. ft.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>RETAIL</td>
<td>4.0 / 1000 sq. ft.</td>
<td>4.0 / 1000 sq. ft.</td>
<td>3.0 / 1000 sq. ft.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CIVIC</td>
<td>To be determined by Warrant.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>OTHER</td>
<td>To be determined by Warrant.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Optional Components That May Be Included in a Form-Based Code

Many form-based codes choose to include additional regulations, including standards for architectural, landscape, and block design, as well as green building. Other less-common standards address affordable housing, historic preservation, lighting, nonconforming uses, signage, and stormwater management.

Architectural Standards

Detailed standards regulating the exterior design features and materials of buildings are optional, but many communities have found that they are helpful in fulfilling the potential of a form-based code and achieving the community's vision.

Architectural standards can be included in a form-based code to complement the building form standards, which are required. While the code's building form standards set requirements for the main configuration, features, and functions of buildings that define and shape the public realm, architectural standards can go further, regulating the character and style of buildings, such as the proportion of windows, building materials, colors, trim design, and even the vertical and horizontal division of materials.

Some architectural standards are modest, and explained mostly through text; more elaborate standards may employ comprehensive diagrams (similar to those found in architecture pattern books) or rely on extensive photographs of buildings in the area that exemplify the architectural characteristics and styles the community wishes to preserve and foster in the future.
Specifically, typical regulations for architectural standards include:

- The overall shape and size of buildings, categorized by building types, such as single-family homes, multi-family residences, and commercial buildings.
- Roof types, materials, and pitch, along with specifications for dormers, gables, skylights, etc.
- Massing elements that may be added to the main portion of a building, such as wings and bays.
- The composition of façade elements, such as locations of windows and doors, in relation to building corners and one another.
- The types of windows and doors which are allowed, with specifications for height and width, overall proportions, depth, ornamentation, shutters, etc.
- Other architectural elements that may define the local character of a community, such as eaves, cornices, porches, and balconies.
- Which materials are allowed, and how they can be used together.

**Block Standards**

To address larger project sites (typically larger than two acres) and encourage the creation of walkable neighborhoods, form-based codes may include block and subdivision standards to guide the division of large development sites into an interconnected network of new streets that follow the code’s public space standards and smaller blocks that meet the code’s standards for maximum block perimeter and length.

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**Whether to Include Architectural Standards**

Whether architectural standards are necessary or appropriate depends on the intended scope and objectives of a community’s form-based code, as well as the capabilities of those who will be administering the code. For some communities, developing good standards for the design of its blocks and thoroughfares in the public realm is sufficient or the most politically/economically feasible option.

Absence of architectural standards can yield development that is better than that which would be produced under conventional zoning, but which falls short of realizing the community vision. Communities that are developing a form-based code for special districts are likely to have high expectations for historic compatibility and design quality, and architectural standards will often need to be developed accordingly.

While the inclusion of wisely-developed architectural standards can help make administration of the form-based code more objective, to successfully administer a code with substantial architectural standards, communities will need to have staff with expertise in architectural design (which is somewhat uncommon), hire the consultant services of a “town architect” (an extra expense beyond the means of many communities), or assign the administration duties to a design commission (which can complicate the process, especially for developers, who are likely to be skeptical of the new form-based code anyway).
**Landscape Standards**

Some form-based codes include requirements to control the character and quality of the landscape within private spaces as it affects the public realm and the public good, such as requiring native species to address water usage, as well as screening parking lots from the street, buffering more or less intensive uses, and greening parking lots.

**Green Building Standards**

Requirements for environmentally sensitive, energy efficient, and low carbon footprint buildings can assist in achieving community sustainability goals.
Creating the Development Review Process

Finally, the code team—presumably guided, if not led, by municipal staff and elected officials—should define the process necessary for the submission and approval of development proposals once the form-based code is in place.

These include procedures for submitting, reviewing, and approving proposed development projects, along with a variety of optional sub-procedures, such as historic preservation review and the consideration of nonconformities. Essential rules guiding overall code administration are also included, such as rules for the interpretation of code requirements or resolving perceived conflicts between the form-based code and other municipal code provisions.

Administrative vs. Discretionary Review

Defining the development review process can begin at the conclusion of the creation of the form-based code, or be tentatively established much earlier in the process, perhaps as one of the initial goals of the form-based code effort. One of the key questions will be whether submitted development proposals can largely be approved administratively by staff or if a discretionary body such as a planning commission or design review board is needed.

An important selling point for form-based codes is their potential to streamline the development review process. The requirements of a form-based code are aimed at ensuring predictability in the quality and character of future development, and have been defined by a very specific, comprehensive vision developed in conjunction with the community. Therefore, administrative review and approval should be possible for all projects that comply with applicable form-based code requirements. Similarly, one of the goals of a form-based code should be to make the review and approval process as easy as possible for existing municipal staff.

As a result, the substantial investment of time and other resources necessary to create a solid form-based code can be repaid by the reduction in time and resources necessary to review and assess individual development proposals in the future. In the end, administrative project review and approval can greatly reduce uncertainty and risk for developers, encouraging them to develop under it.

Variance

Some form-based codes will need to include a cautious variance process for dealing with development that is in-line with the community vision but proposed for sites with unusual characteristics that necessitate a relaxation or modification of specific requirements of the code.
Nonconformities

Whether a community chooses to use conventional zoning approaches or a form-based code, the way in which it deals with development that does not conform with current standards—but which was legal when constructed—is an important indicator of the extent and speed of the changes it hopes to achieve by updating its zoning code. Determining the best approach depends on the local perceptions and priorities of the community; in some, a rigid approach may not be feasible in the near term, but delaying requirements for compliance or taking a case-by-case approach can threaten the effectiveness of the new form-based code.

Road Test the Code

Once the draft code provisions are completed, but before they are enacted, they should be tested using existing parcel dimensions and/or past or anticipated developments to determine how well the draft code addresses real world development and design issues. The code team and/or staff responsible for development review and approval (such as planning, public works, emergency services, and building officials) should apply the new form-based code procedures and requirements to determine whether the draft code would successfully implement the community's vision without being unnecessarily burdensome to the applicant. To thoroughly test the code, local developers should be invited to participate as well.

Monitor the Performance of the Code

After the code has been adopted, its performance should be systematically monitored by staff, applying criteria similar to that used to road test the code before adoption. The code can be amended as necessary on an annual basis.

---

**Nonconformities**

**Road Test the Code**

**Monitor the Performance of the Code**

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Photo simulation of proposed changes to the intersection of Sycamore Avenue at San Pablo Boulevard, Central Hercules Plan (2001), City of Hercules, California.

Credit: Urban Advantage (www.urban-advantage.com).
Conclusion

There are many options for municipalities that want to preserve or encourage a particular sense of place in their community. However, most find it difficult to do so.

One reason is conventional zoning’s narrow focus on what uses are permitted (or rather what uses are prohibited). While this approach has been remarkably successful at protecting the health and safety of the public over nearly a century, conventional zoning has neglected to provide guidance—some would say leadership—on what the physical character of our communities should be.

How Flexible?
Admittedly, our individual aesthetic preferences are diverse. Some critics contend that form-based codes threaten to dictate architectural style, which encourages the creation of “cookie cutter” communities as monotonous as those they are meant to surpass. Many of these same critics observe that form-based codes and other design standards tend to favor architectural styles or features from specific—and possibly idealized—eras in the past, rather than addressing the actual needs and preferences of people living today (porches that are charming but rarely used are often cited as an example). Some even believe that conventional zoning, by focusing on what uses are permitted, allows for greater freedom in the design of our communities, from large urban areas to the buildings we call home.

 Advocates counter that form-based codes are exceedingly flexible, and can be made to not only allow but facilitate a broad scope of architectural, landscape, and urban design in a community. At the same time, many of them will acknowledge that the most successful form-based codes tend to be those in which the community has comprehensively identified the specific details of form that it wants and will require of future development.

Will It be Accepted by Developers?
Some developers have expressed unease about having to adapt to a new system of regulation and development review, often complaining that the existing development review process (typically following conventional methods of zoning and regulation) is already too onerous and frustrating. Indeed, it’s not uncommon for communities with exacting standards regarding use to be attracted to form-based codes, but choose to simply add a new layer of regulation to existing requirements.

However, the development of a comprehensive form-based code usually requires a community to reassess its existing system of development regulation. In addition, the greater precision and predictability inherent in most form-based codes can offer a community the opportunity to streamline the development review process, often with the aim of persuading local developers to support the new code and, ultimately, to encourage the type of development wanted by the community.

An Approach Deserving Wider Recognition
In the end, form-based codes are but one approach available to communities, but it is one that deserves wider recognition among municipal staff and elected officials. The term “form-based codes” is becoming familiar to many, but relatively few understand how they work, how adaptable they can be, and what would be entailed in creating one for their community. CMAP hopes that this guide will help advance that understanding within our region.
Learn More

This guide to form-based codes is intended as an introduction. We hope that it will help local staff, elected officials, and residents in municipalities throughout our region determine whether a form-based code might be right for their community.

Most communities will want to gain a fuller understanding of the details of form-based codes before they embark on the process of creating one. Fortunately, many resources are available for communities that want to take that next step.

Form-Based Codes Institute

Based in Chicago, FBCI is a non-profit professional organization dedicated to advancing the understanding and use of form-based codes throughout the United States. As part of its core mission, FBCI develops standards for form-based codes, identifying the essential elements of a well-crafted code and highlighting the best examples for other communities to learn from.

FBCI's website (www.formbasedcodes.org) provides several resources on form-based codes, including definitions, sample codes that exhibit best practices, a posting of current RFPs from communities developing form-based codes, and a sample RFQ that municipalities can use, along with an evaluation checklist to help communities evaluate consultant qualifications and work proposals.

FBCI provides education for municipal staff, elected officials, and residents engaged in planning for their communities. At present, FBCI offers the following courses, led by several of the world’s leading experts on form-based codes, who continually review and write codes in their work:

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FBC 101e: ABCs of FBCs On-Line

An 8-hour web-based course that provides a comprehensive introduction to the principles and components of form-based codes, as powerful regulatory tools to shape community form and character. The course is composed of eight segments arranged in sequential order, with recorded presentations, reading assignments and a virtual field exercise, which can be completed at the convenience of the participant in a single day or during a period of up to six weeks.

FBC 201:
Preparing a Form-Based Code - Design Considerations

An advanced course for individuals who have completed FBC 101e. During two days, participants gain an in-depth understanding of urban form for a regulatory framework, exploring design possibilities for greenfield sites, redevelopment sites, already built-out communities, and regional plans. Instructors explain how design principles are applied to create the basic elements of a form-based code (such as building form and public space standards), through lecture and case study, combined with “hands-on” participatory exercises.

FBC 301:
Completing, Adopting and Administering the Code

A two-day, advanced course for individuals who have completed FBC 101e, detailing the mechanics of creating, adopting, and administering a form-based code in a community, including:

- How to structure the coding process, including what must happen before and after the code is drafted.
- The legal aspects of adopting a form-based code (for example, its consistency with a comprehensive plan).
- What to keep or discard from an existing conventional code.
- The advantages and disadvantages of mandatory, parallel, and floating-zone form-based codes.
- The role of design standards within the development review process.
- How form-based codes are adopted and implemented.
- Insulating against potential challenges.
Form-Based Codes: A Guide for Planners, Urban Designers, Municipalities, and Developers

To explain how a form-based code can be developed, this guide follows the approach recommended by architects Daniel and Karen Parolek of Opticos Design, Inc. (www.opticosdesign.com), authors (with Paul Crawford) of Form-Based Codes: A Guide for Planners, Urban Designers, Municipalities, and Developers (John Wiley & Sons, 2008). At present, their textbook offers the most comprehensive explanation of how form-based codes work and how they are created, drawing upon years of experience developing award-winning form-based codes for communities across the nation (many of which are featured in the images included in this guide). The book is lavishly illustrated with diagrams, maps, plans, and renderings from numerous case studies that demonstrate best practices in the creation of form-based codes.

SmartCode

The SmartCode is a comprehensive, transect-based form-based code template (or “model ordinance”) that includes model language, standards, and requirements for multiple scales of development by the public and private sectors, as well as administrative procedures for development review and approval. It is intended to be customized to the local context, priorities, and legal requirements of each community that uses it.

Approachable and relatively easy to follow, it has been used by several communities across the United States, and refined over the years due to the fact that it is “open source” and free of charge. It is available for download at www.smartcodecentral.org.
How to Use the Regulating Code

1. Determine whether your use is permitted in the Central Hercules Plan area.
2. Determine whether your site falls within the Waterfront District, Central Quarter, Hospitality Corridor, or Hilltown.
3. Determine which Street Type your lot fronts. (If you have a corner lot, you must determine the primary space or street based on the hierarchy on page II-2. Review Chapter II for provisions about the Street Type that corresponds to the lot.
4. Review the Use Table (Chapter III) and the General Provisions (Chapter VI) which apply throughout the Central Hercules Plan area.
5. Review the Projecting Façade Elements and Architectural Regulations (Chapter IV) which contain specific rules for Buildings.

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16 July, 2001

Central Hercules Plan (2001), City of Hercules, California.
Credit: Dover, Kohl & Partners.
**A. Description**

The Main Street Mixed-Use Building Type is a small- to medium-sized structure, typically attached, intended to provide a vertical mix of uses with ground-floor retail, or service uses and upper-floor service, or residential uses. This Type makes up the primary component of a neighborhood main street and portions of a downtown main street, therefore being a key component to providing walkability.

**Key**

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General Note: Photos on this page are illustrative, not regulatory.