

# **Appendix D      Stormwater Retention Credit Forms (Certification, Trading, and Retirement)**

This appendix includes the following Stormwater Retention Credit forms:

- Application for Certification of Stormwater Retention Credits
- Application for Transfer of Stormwater Retention Credit Ownership
- Application to Retire Stormwater Retention Credits



GOVERNMENT OF THE DISTRICT OF COLUMBIA  
District Department of the Environment  
1200 First Street NE, Fifth Floor, Washington, DC 20002



**Application for Certification of Stormwater Retention Credits**

**Acronyms**

<b>BMP</b>	Best Management Practice	<b>MS4</b>	Municipal Separate Storm Sewer System
<b>CSS</b>	Combined Sewer System	<b>SRC</b>	Stormwater Retention Credit
<b>DDOE</b>	District Department of the Environment	<b>SWMP</b>	Stormwater Management Plan

**Application date:** \_\_\_\_\_

**Address of site with eligible retention capacity:**

\_\_\_\_\_

Lot: \_\_\_\_\_ Square: \_\_\_\_\_ Ward: \_\_\_\_\_ Storm Sewer System (CSS or MS4): \_\_\_\_\_

**Name of owner of proposed SRCs:** \_\_\_\_\_

Address: \_\_\_\_\_

E-Mail: \_\_\_\_\_ Phone: \_\_\_\_\_

**Name of site owner (if different from proposed SRC owner):**

\_\_\_\_\_

Address: \_\_\_\_\_

E-Mail: \_\_\_\_\_ Phone: \_\_\_\_\_

**Name of owner of retention capacity (if different from site owner):**

\_\_\_\_\_

Address: \_\_\_\_\_

E-Mail: \_\_\_\_\_ Phone: \_\_\_\_\_

**Figure D.1 Application for Certification of Stormwater Retention Credits.**

**Name of agent for owner of proposed SRCs (if applicable):** \_\_\_\_\_

Address: \_\_\_\_\_

E-Mail: \_\_\_\_\_ Phone: \_\_\_\_\_

**Should the agent be listed as the contact person for interested SRC buyers in DDOE's SRC registry (Yes or No)?** \_\_\_\_\_

**DDOE tracking number for SWMP:** \_\_\_\_\_

**Identification number(s) for each BMP for which SRCs are requested:**

\_\_\_\_\_

**SRC-eligible retention capacity for each BMP or land cover for which SRCs are requested:**

\_\_\_\_\_

**Has DDOE previously certified SRCs for the retention capacity (Yes or No)** \_\_\_\_\_

If no, attach the following:

- As-built SWMP, including site plan showing pre-project site conditions and retention.
- Signed maintenance contract or documentation of capacity and expertise to conduct maintenance for the time period for which SRCs are requested.
- Documentation of the legal right to the SRCs applied for, if the proposed SRC owner is not the property owner.
- Completed DDOE SRC calculator spreadsheet.

If yes, attach the following:

- Signed maintenance contract or documentation of capacity and expertise to conduct maintenance for the time period for which SRCs are requested.
- Documentation of the legal right to the SRCs applied for, if the proposed SRC owner is not the property owner.

**Is this application for SRCs for the maximum three-year period (Yes or No)?** \_\_\_\_\_

**If no, what is the period for which SRCs are requested?** \_\_\_\_\_

**What is the listing price for each SRC (optional)?** \_\_\_\_\_

**Should DDOE list these SRCs and corresponding name and contact information in DDOE's SRC registry (Indicate Yes or No and, if yes, who should be listed):**

\_\_\_\_\_

Figure D.1 (continued)



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**Applicant's Signature**

A. Proposed SRC Owner: I hereby certify that I have the legal right to the SRCs proposed for certification above; that the application, including supporting documentation, is complete and correct to the best of my knowledge; that access will be provided for DDOE inspections; that the retention capacity will be maintained in accordance with the maintenance plan for the period for which SRCs are requested; that, if the retention capacity is not maintained, I will, for the volume from the period of failed maintenance, forfeit the SRCs, purchase replacement SRCs, or pay in-lieu fee to DDOE. ; and that, if during the period of time for which an SRC is certified, the property is sold or otherwise transferred to another person, the owner of the property on which the BMP or land cover is located will notify DDOE.

Signature of Proposed SRC Owner:

Date:

B. Agent: I hereby certify that I have the authority of the proposed SRC owner to make this application and that the application and plans are complete and correct to the best of my knowledge. The owner has assured me that access will be provided for DDOE inspections and that the retention capacity will be maintained in accordance with the maintenance plan for the period for which SRCs are requested. If the retention capacity is not maintained in good working order, the proposed SRC owner has assured me that, for the volume from the period of failed maintenance, he will forfeit the SRCs, purchase replacement SRCs, or pay in-lieu fee to DDOE. Finally, the proposed SRC owner has assured me that, if during the period of time for which an SRC is certified, the property is sold or otherwise transferred to another person, the owner of the property on which the BMP or land cover is located will notify the Department.

Signature of Agent:

Date:

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Approved:	Approved in part:	Disapproved:
Signature:		Date:
Total SRCs certified:	Total time period for which SRCs are certified:	
SRCs certified year 1:	Serial numbers:	
SRCs certified year 2:	Serial numbers:	
SRCs certified year 3:	Serial numbers:	
Notes:		

**Figure D.1 (continued)**

**Instructions for Application for Certification of Stormwater Retention Credits**

Purpose of form: This form provides DDOE with the necessary information to certify SRCs.

NOTE: Buyers, sellers, or their agents must complete an Application for Transfer of Stormwater Retention Credit Ownership before an SRC transaction may occur.

**Instructions**

**Application date:** Enter the date that the applicant completes the application.

**Address of site with eligible retention capacity:** Enter the street address for the site with retention capacity that complies with the eligibility requirements for SRC certification. Lot, square, and ward information is available from the building permit and the approved SWMP for the site.

**Name of owner of proposed SRCs:** Enter the name and contact information for the person proposed as the owner of the SRCs. Once DDOE certifies the SRCs, this person will become the original SRC owner, with associated maintenance obligation. This person or their agent signs the application form. Once SRCs are certified or the agent signs the application, DDOE will notify the proposed SRC owner of its determination for the application. DDOE will list the original SRC owner (or the owner's agent) and contact information in a public registry posted to the DDOE website.

**Name of site owner:** If different from the proposed SRC owner, enter the name and contact information for the person who owns the site where practices are installed to generate SRCs. DDOE recognizes that a site owner could assign the right to the SRCs to an SRC aggregator or other person. In such a case, the SRC aggregator or other person would presumably be the proposed SRC owner.

**Name of owner of retention capacity:** If different from site owner, enter the name and contact information for the owner of the retention capacity generating SRCs on a site. DDOE expects that typically the site owner would also be the owner of the retention capacity, but this may not always be the case.

**Name of agent for owner of proposed SRCs (if applicable):** Enter the name and contact information for a person who is authorized to represent the proposed SRC owner in applying for certification of SRCs. If the agent is also authorized to represent (and take the place of) the proposed SRC owner in DDOE's SRC registry as the contact for interested SRC buyers, that should be indicated.

**Figure D.1 (continued)**



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**DDOE tracking number for SWMP:** Enter the tracking number assigned to the SWMP by DDOE.

**Identification number(s) for each BMP for which SRCs are requested:** Enter the tracking number for the BMP, as identified in the SWMP. This will allow DDOE to identify the specific BMP on a site for which SRCs are being requested and for which maintenance will be required. Some sites may have multiple BMPs.

**SRC-eligible retention capacity for each BMP or land cover for which SRCs are requested:** Enter the SRC-eligible volume, as identified in the as-built SWMP for a site. For a site with one SRC-eligible BMP or land cover, this will typically correspond to cell B:50 of the SRC calculator.

**Has DDOE previously certified SRCs for the retention capacity?** Select “yes” or “no”. DDOE certifies SRCs for three-year periods. If the retention capacity continues to be maintained and function properly, applicants may apply for an additional three years of SRCs.

**Is this application for SRCs for the maximum three-year period?** Select “yes” or “no”. DDOE certifies SRCs for three year periods, but applicants should apply for fewer years if they do not intend to maintain the retention capacity for the entire three-year time period.

**If no, what is the period for which SRCs are requested?** Enter the period of time for which the applicant requests SRCs.

**What is the listing price for for each SRC (optional)?** If the applicant would like DDOE to include an SRC price in the SRC registry, indicate that here. This is not binding, and the final price will be determined by the SRC seller and buyer.

**Should DDOE list these SRCs and corresponding name and contact information in DDOE’s SRC registry?** Indicate whether the proposed SRC owner or the owner’s agent would like the SRCs to be listed in DDOE’s SRC registry. Also indicate whether contact information for the owner or agent should be listed.

Figure D.1 (continued)



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**Application for Transfer  
of Stormwater Retention Credit Ownership**

**Acronyms**

**DDOE** District Department of the Environment      **SRC** Stormwater Retention Credit

**Application date:** \_\_\_\_\_

**Number of SRCs to transfer:** \_\_\_\_\_

**Serial numbers of SRCs (may be listed as a range):**

**Purchase price for SRCs:** \_\_\_\_\_

**Name of current owner of SRCs:** \_\_\_\_\_

**Address** \_\_\_\_\_

**E-Mail:** \_\_\_\_\_ **Phone:** \_\_\_\_\_

**Name of new owner of SRCs:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**E-Mail:** \_\_\_\_\_ **Phone:** \_\_\_\_\_

**Name of agent for new owner of SRCs (if applicable):**

\_\_\_\_\_

**Address:** \_\_\_\_\_

**E-Mail:** \_\_\_\_\_ **Phone:** \_\_\_\_\_

**Figure D.2 Application for Transfer of Stormwater Retention Credit Ownership.**

**Should DDOE list these SRCs and the name and contact information for the owner or owner's agent in DDOE's SRC registry? (Indicate Yes or No and, if yes, who should be listed)**

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**Signature of Current Owner**

I hereby certify that I am the owner of the above SRCs; that I request the ownership of these SRCs to be transferred as stated above; and that this application is complete and correct to the best of my knowledge.

Signature:

Date:

**Signature of New Owner (or Owner's Agent)**

I hereby certify that this application is complete and correct to the best of my knowledge.

Signature:

Date:

<b>FOR DEPARTMENT USE ONLY</b>		
Approved:	Approved in part:	Disapproved:
Signature:		Date:
Notes:		

**Figure D.2 (continued)**



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**Instructions for Application for Transfer  
of Stormwater Retention Credit Ownership**

Purpose of form: This form provides DDOE with the necessary information to verify and track ownership of SRCs and the price at which SRCs are traded.

**Instructions**

**Application date:** Enter the date that the applicant completes the application.

**Number of SRCs to transfer:** Enter the number of SRCs that are proposed for transfer from a seller to buyer.

**Serial numbers of SRCs (may be listed as a range):** Enter the serial numbers for SRCs to be transferred. Individually list serial numbers for SRCs that are not in sequential order. Use a range for sequential SRCs.

**Purchase price for SRCs:** Enter the price for each SRC to be transferred. If prices vary for different SRCs being transferred, enter each of the prices and the corresponding SRCs. DDOE will share price information on its website.

**Name of current owner of SRCs:** Enter the name and contact information for the current owner of SRCs to be transferred to the new owner.

**Name of new owner of SRCs:** Enter the name and contact information for the person to whom the SRCs will be transferred. DDOE will list the new owner on its SRC registry, unless the new owner requests not to be listed.

**Name of agent for new owner:** If applicable, enter the name and contact information for the agent of the new owner.

**Should DDOE list these SRCs and the new owner's name and contact information in DDOE's SRC registry?** Indicate whether the new SRC owner or the owner's agent would like the SRCs to be listed in DDOE's SRC registry. Also indicate whether the listed contact information should be for the new owner or the agent.

Figure D.2 (continued)



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**Application to Retire Stormwater Retention Credits**

**Acronyms**

**DDOE** District Department of the Environment    **SRC** Stormwater Retention Credit

**Application date:** \_\_\_\_\_

**Number of SRCs to retire:** \_\_\_\_\_

**Serial numbers of SRCs (may be listed as a range):**

**Name of current owner of SRCs:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**E-Mail:** \_\_\_\_\_    **Phone:** \_\_\_\_\_

**Signature of SRC Owner**

I hereby certify that I am the owner of the above SRCs; that I request these SRCs to be retired; and that this application is complete and correct to the best of my knowledge.

Signature:

Date:

<b>FOR DEPARTMENT USE ONLY</b>		
Approved:	Approved in part:	Disapproved:
Signature:		Date:
Notes:		

**Figure D.3 Application to Retire Stormwater Retention Credits.**



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**Instructions for Application to Retire Stormwater Retention Credits**

Purpose of form: This form provides DDOE with the necessary information to retire SRCs and track accordingly.

**Instructions**

**Application date:** Enter the date that the applicant completes the application.

**Number of SRCs to retire:** Enter the number of SRCs that are proposed for retirement.

**Serial numbers of SRCs (may be listed as a range):** Enter the serial numbers for SRCs to be retired. Individually list serial numbers for SRCs that are not in sequential order. Use a range for sequential SRCs.

**Name of current owner of SRCs:** Enter the name and contact information for the owner of the SRCs.

Figure D.3 (continued)

