

Calendar Year 2010 Quarterly Report Instructions

GETTING STARTED: SEP QUARTERLY REPORT INSTRUCTIONS

Purpose: The Quarterly Report (QR) is a valuable tool and **must be submitted by all SEP fund recipients, whether contributions have been received or not. Failure to do so may result in not being eligible for future funding.** It is used by TCEQ staff to:

- Help identify whether SEP payments have been made by Respondents (contributors) to Third Party Administrators (fund recipients);
- Help ensure that SEP funds are spent on items that are allowable under the SEP program;
- Help staff prevent over funding of some SEPs, and prevent under funding of others;
- Help determine whether funds are being spent timely (within one year of the receipt of the funds);
- To separate, report, and verify the receipt and expenditures of SEP funds from other grant funds; and
- To clearly state project budgets and performance.

Blank Quarterly Reports are located at <http://www.tceq.state.tx.us/legal/sep/forms.html>

How Does It Work? The Quarterly Report form is an Excel workbook consisting of six worksheets, one for each quarter, and two annual totals sheets. Please note that the worksheets contain cells that are automatically linked and will calculate your financial data from quarter to quarter beginning with the first quarter page. **Each year, you will need to complete a new workbook, beginning with the Quarter 1 Worksheet, including bank information.**

You're Ready for Data Entry: All data will be entered into the yellow or white cells. Blue cells are for agency use only and are write-protected to prevent mistakenly entering data in those cells.

The information required on the First QR includes:

- Administrator and program information
- Beginning SEP bank account balance
- Contributions received for the quarter
- Funds spent
- Funds returned to TCEQ
- Interest earned on the SEP bank account for the quarter (three month period)
- School bus data, if applicable

Entering Information for Quarter Report 1:

Entering Information in the Quarter 1 (QR1) Worksheet:

Information entered in Sections 1 and 5 on QR1 will be populated or automatically filled in on the remaining worksheets for QR2, QR3 and QR4.

The QR1 Worksheet will cover the performance period from **January – March**

It is important that all information on QR1 be accurate and complete.

Section 1. Third Party Administrator and Project section:

- Enter your organization’s legal name and address
- Enter the project name and contact information
- Enter the name of the person responsible for completing the report
- Enter the date of the performance year (Year)
- Enter the date of the report that was submitted (Signature Date)
- Insert initials (or electronic signature)

QUARTERLY REPORTS ARE REQUIRED whether or not contributions were received. Failure to report may result in not being eligible for future funding.											
QUARTER 1 REPORT - performance period Jan-Mar. The Quarter 1 report must be submitted by May 15 of each year.											
1. 3rd Party Administrator Information and Certification											
3rd Party Administrator	→					Project:					
Region/affiliation if applicable:						Contact:					
County:						Telephone:					
Mailing Address:						Alt Phone:					
						Email:					
Certification: I certify that all information submitted herein is true and correct to the best of my knowledge.											
Signature:	→					Performance Year:	←				
(insert initials or electronic signature):	→					Signature Date:	←				

Section 2. Project Budget Information:

Refer to the “Where Do I Find My Budget?” (below).
 You must know your budget in order for the report to calculate correctly. If you do not know your budget please contact a SEP Specialist at (512) 239-2223. All budget and financial information has recently been moved to Section 5 of the worksheet.

2. Project Budget Information (see section 5)											
Go to Section 5											

<p>Where Do I Find My Budget?</p> <ol style="list-style-type: none"> 1. <i>Budget.</i> Please refer to your SEP agreement to determine the annual budget. If there is not an annual budget stated in your project description you may contact a SEP Specialist in the Office of Legal Services at the SEP Central Line at (512) 239-2223. Once you know your budget, enter that amount in Section 5.B. 2. <i>Who Determines My Budget?</i> You, as the fund recipient, will propose a budget, which must be approved by TCEQ prior to receiving funding. 3. <i>Have your SEP bank statement handy in order to complete the Quarterly Report correctly and completely.</i>

Section 3. Project Status:

Use this box to provide a paragraph about current activities on the project. Additional comments can also be entered in Section 9. of each quarterly report form.

23	3. Project Status
24	A. Describe any activities performed on this project during the performance period (submit photographs, maps, etc. to document project):
25	Double click in this box to enter comments. Additional space is available on the last page of this report.
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Contribution Information:

Section 4.A. SEP Funds Received.

Enter each SEP contribution you received during the performance period.

QUARTER 1 REPORT - performance period Jan-Mar. The Quarter 1 report must be submitted by May 15 of each year.										
4. Contribution Information										
A. SEP funds received from Respondents for this project during the reporting period: (add additional lines if necessary)										
	Respondent Name	Docket No.	Date of Agreed Order	Date \$\$ recvd	Date Due Complete	Ext request?	New due date	Complete this Qtr?		Dollar Amt Recvd
	From:				12/30/00					\$
	From:				12/30/00					
	From:				12/30/00					
	From:				12/30/00					
	From:				12/30/00					
	From:				12/30/00					
	From:				12/30/00					
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	From:				12/30/00					
	From:				12/30/00					

Section 4.B. SEP Expenditures.

Enter expenditures made during the performance period.

QUARTER 1 REPORT - performance period Jan-Mar. The Quarter 1 report must be submitted by May 15 of each year.							
B. SEP expenditures made for this project during the reporting period: (add additional lines if necessary)							
Attach all checks/invoices/receipts/bank statements							
	Payee Name	Invoice No.	Date work done	Date paid	Explanation of work		Amount paid
To:							\$0.00
To:							
To:							
To:							
To:							
To:							
To:							
To:							
To:							
To:							
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Section 4.C. SEP Refunds.

Enter SEP funds returned to TCEQ during the performance period.

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110	C. SEP funds returned to TCEQ Financial Administration Division this quarter: (add additional lines if necessary)							
111	Attach or mail copies of checks							
112	Respondent Name	Docket No.	Date of Order	Date Recvd	Refund Due Date	Check No.	Date check was returned	Dollar Amount Returned
113								
114	From:				12/30/00			
115	From:				12/30/00			
116	From:				12/30/00			
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Section 5. SEP Bank Account Information:

Enter the name and address of the bank where you maintain the SEP account funds.
 Enter the last four digits of the SEP bank account number

Section 5.A.1. Quarterly SEP bank account information.

Enter the January 1 SEP bank account balance.
 Enter the interest earned during the performance period

Section 5.A.2. Annual SEP Bank Account Information.

These cells are for agency use only.

Section 5.B Budget Information:

Section 5.B. Annual SEP Bank Account Information.

Enter the Estimated Budget for this project.

Sections 5.A. and 5.B:

QUARTER 1 REPORT - performance period Jan-Mar. The Quarter 1 report must be submitted by May 15 of each year.			
5.A. SEP Bank Account Information		5.B. Budget Information	
Last 4 digits of account #:		IMPORTANT: Refer to <i>How Do I Get Started?</i> Report instructions on the SEP website (under FORMS) for your annual starting budget	QUARTERLY TOTALS
Bank name:			Estimated budget at the beginning of this calendar year
Bank address:			Cell to right for agency use only
		Remaining budget amount	
5.A.1. Quarterly SEP bank account information			
Enter the Jan 1 bank balance of your SEP account	⇒	Jan 1 bank balance	\$0.00
Enter interest earned on account (sum of Jan + Feb + Mar)	⇒	Total interest earned this quarter	\$0.00
		SEP contributions received this quarter	\$0.00
		SEP monies spent this quarter	\$0.00
		SEP monies returned to TCEQ this quarter	\$0.00
		End bank balance this quarter	\$0.00
5.A.2 Annual SEP bank account information			
Information in Section B is pre-calculated			ANNUAL TOTALS TO DATE
		Calendar yr beginning bank balance	\$0.00
		YTD SEP contributions received	\$0.00
		YTD SEP monies spent	\$0.00
		YTD SEP monies returned	\$0.00
		YTD interest earned	\$0.00
		YTD end bank balance	\$0.00
6. Additional Banking Comments			

Section 6. Additional Banking Comments:

To enter additional comments, double click inside the box.

142	6. Additional Comments
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Section 7. Vehicle Retrofit or Replacement:

1. Enter name of school or vehicle owner in left side column.
2. In the corresponding row, enter the total number of buses or vehicles retrofitted in the “No. of Buses Retrofitted this Period” column.
3. In the lavender shaded areas, enter the breakdown of what types of retrofits were performed on the vehicles in the correct “Breakdown of Retrofit Activities” section.
4. You will not need to enter anything in the blue shaded “No. of Retrofits this Period” because it will self-calculate based on the information entered in previous columns.
5. If there were any repowers during the quarter, indicate the number in the corresponding “No. of buses repowered this period” column.
6. If there were any retrofits completed, enter the number in the corresponding “No. of buses replaced this period” column.

Section 9. Additional Comments:

If additional space is needed for comments, such as specifying future plans for use of SEP funds, use this space located on the last page of the Quarterly Report.

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178	9. Additional Comments:
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Quarter 1 / Quarter 2 / Quarter 3 / Quarter 4 / Annual Totals CY Bus Data / Quarterly budget needs

Section 4.A. Contribution Information.

SEP Funds Received.

Enter SEP contributions you received during the performance period (April – June)

41	QUARTER 2 REPORT - performance period Apr-Jun. Quarter 2 must be submitted by Aug 15 of each year.									
42	4. Contribution Information									
43	A. SEP funds received from Respondents for this project during the reporting period. (add additional lines if necessary)									
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45	Respondent Name	Docket No.	Agreed Order date	Date \$\$ recvd	Date Due Complete	Ext request?	New due date	Proj complete?		Dollar amt received
46	From:				12/30/00					\$ -
47	From:				12/30/00					
48	From:				12/30/00					
49	From:				12/30/00					
50	From:				12/30/00					
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69	From:				12/30/00					
70	From:				12/30/00					
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72	From:				12/30/00					
73	From:				12/30/00					

Section 4.B. SEP Expenditures.

Enter SEP expenditures made during the performance period (April – June)

QUARTER 2 REPORT - performance period Apr-Jun. Quarter 2 must be submitted by Aug 15 of each year.						
B. SEP expenditures made for this project during the reporting period. (add additional lines if necessary)						
Attach all checks/invoices/receipts/bank statements			Date	Date		Amount
Payee Name	Invoice No.	work done	paid	Explanation of work		paid
To:						
To:						
To:						
To:						
To:						

Section 4.C. SEP Refunds.

Enter SEP funds that were returned to TCEQ during the performance period (April—June)

C. SEP funds returned to TCEQ Financial Administration Division this quarter. (add additional lines if necessary)								
Attach or mail copies of checks								
Respondent Name	Docket No.	Date of Order	Date of Recvd	Refund Due Date	Check No.	Date check was returned		Dollar Amount Returned
From:				12/30/00				
From:				12/30/00				
From:				12/30/00				

Section 5. SEP Bank Account Information.

Enter interest earned for the quarter.

QUARTER 2 REPORT - performance period Apr-Jun. Quarter 2 must be submitted by Aug 15 of each year.			
5. SEP Bank Account Information		5.B. Budget Information	
Interest earned on account (enter sum of interest earned for April, May, and June)			
Last 4 digits of Account#	0	QUARTERLY TOTALS	
Bank name:	0	Remaining budget amount from last quarter	\$ -
Bank address:	0	Interest earned this quarter	\$0.00
	0	Ending budget amount this quarter	\$ -
5.A.1. Quarterly SEP bank account information			
		Q1 balance	\$0.00
		SEP contributions received this quarter	\$0.00
		SEP monies spent this quarter	\$0.00
		SEP monies returned to TCEQ this Q	\$0.00
		Interest earned this quarter	\$0.00
		End bank balance this quarter	\$0.00
5.A.2. Annual SEP Bank Account Information			
Information in Section 5.A.2. self-calculates		ANNUAL TOTALS TO DATE	
		Calendar yr beginning bank balance	\$0.00
		YTD SEP contributions received	\$0.00
		YTD SEP monies spent	\$0.00
		YTD SEP monies returned	\$0.00
		YTD interest earned	\$0.00
		YTD end bank balance	\$0.00
6. Additional Banking Comments			

Quarterly SEP Bank Account Information.

Any changes in bank account information will need to be edited on the Quarter 1 page.

Make note in the comments section that bank information has changed.

Provide documentation on new bank with quarterly report.

Blue cells cannot be edited and are for agency use only

Entering Information on QR3 and QR4 Worksheets

Please refer to the instructions for completing QR2 worksheet.

QR3 will cover a performance period between **July – September**; and

QR4 will cover a performance period between **October – December**.