Supplemental Environmental Projects (SEP) Program

Instructions for Form TCEQ-20397

Third-Party Administrator Quarterly Report

Introduction: Who Needs to Report, Purpose, and Deadlines

Who Needs to submit a SEP Quarterly Report?

- ALL Third-Party Administrators must report.
- If you have received SEP Funds, you must submit the Quarterly Report (QR) form.
- If you **NO** SEP Fund balance, you may send an email in place of the QR form to sepreports@tceq.texas.gov and state that your organization has no SEP Fund balance.

Failure to timely report may result in your organization becoming ineligible to receive future SEP contributions.

Purpose

The QR form is used by TCEQ staff to:

- Obtain an accurate and consistent records of project performance;
- Identify whether SEP payments have been made;
- Identify budget needs for various projects;
- Determine whether SEP Funds are being spent timely;
- Ensure that expenditures made are allowable under SEP Agreements; and
- Verify that SEP Funds are not being commingled with non-SEP funds.

Deadlines

Refer to the QR form's Administrator Page for the reporting schedule. Contact the SEP program at sepreports@tceq.texas.gov to get the QR form.

Instructions for the Administrator Worksheet

Please verify your contact and bank account information on the Administrator Worksheet. You may make changes to the contact name, address, phone number, email address, etc., if the information needs to be updated. This sheet is not protected; be careful of deletions.

After you edit the information, the name of the organization will appear in the top left corner of the QR form. The cells may not display all of the data entered; however, the entered information will not be affected by the display.

After completing the QR form, please provide a date of submission and an e-signature for each quarter. The Administrator Worksheet also provides a list of documents to be included with each submission of the QR. **Please ensure that all documents are included.**

Information about the QR Form

What is my Goal?

Your goal is to enter all SEP activity for the quarter – contributions, expenditures, refunds, interest (if any), account balances, etc. – and to have that information match your bank statement.

How does the QR Work?

The QR form consists of four worksheets:

1. Administrator Worksheet. Most of the information will be filled out by TCEQ and contains the basic information about your organization, such as contact name, address, phone number, etc.
2. Contributions and Expenses Worksheet. This page is where you will enter all of the transactions for the quarter: contributions, interest, refunds, and expenses.
3. Expense Recap Worksheet. This worksheet will recap your itemized expenses.
4. Vehicles Worksheet. This worksheet is only for organizations that are performing vehicle replacement projects.

Each worksheet is explained in more detail below.

Instructions for the Contributions and Expenses Worksheet and Expense Recap Worksheet

Itemizing and Bundling

The QR form will calculate like a checkbook. You will enter each deposit/contribution received with the docket number from the Agreed Order. The docket number will represent a description of the type of monies received.

Please DO NOT BUNDLE CONTRIBUTIONS (deposits). Contributions will need to be itemized so that the docket numbers can be matched with the amounts stated on the Agreed Orders.

You can find Docket Numbers on the TCEQ Website at http://www2.tceq.texas.gov/epic/eenf.

Interest is not required for SEP bank accounts; but if interest is eared, you must report all interest earned for each quarter. This amount can be bundled.

- Enter any interest earned on the same line as the last deposit;
- Refunds can be bundled and added on the same line, as well;
- The form contains a formula to add these three cells together (deposit, interest, and refund);
- Zeroes can be entered for interest and refunds, if none were collected.

Bank Transaction Dates

Bank transaction dates are the dates on which the transaction cleared your bank. If you have written checks during a quarter, and the checks HAVE NOT CLEARED the bank, **do not include these amounts in the current quarte**r. Please wait until the checks have cleared the bank so that the balance on the QR will accurately match the balance on the bank statement(s).

Security

Bank account numbers and social security numbers are not subject to disclosure under the Public Information Act. However, you may redact (cover or hide) social security numbers and all but the last four digits of your bank account number in the QR form and supporting documentation and send via email to sepreports@tceq.texas.gov.

Instructions for the Vehicles Activities Worksheet

The Vehicles Activities Worksheet will only be included in your QR if your project involves retrofit or replacement of vehicles.

This worksheet will be used to track the number and type of retrofits and replacements performed as well as the dollar amounts applied to these kinds of activities.

What you need: Records to support the SEP activity, including:

- The activity vehicles;
- The receiving entity;
- Financial documentation to support billing and payment related to the activity;
- Destruction records for each vehicle replacement during the reporting period.

What to do: enter the action dates, receiving entity, number and type of activities, and dollar amounts (refer to Figure 1.)

Figure1: QR Form; Detailed Area for SEP-Funded Vehicle Activities

Retrofits and Repowers										Vehicle Identification		Replacements						Owner/Recipient
	Type of Retrofit							Retrofit Dollars		Vehicle ID Number		Old Item		New Item		Replacement Dollars		Recipient Information
Old Vehicle: Retrofit Date	Diesel Particulate Filters (DPF)	Diesel Oxid Catalysts (DOC)	Closed Crank Filter Syst (CCFS)	Partial Flow Thru Filter (FTF)	Total No. of Retrofits This Date	No. of Vehicles Retrofit this Date	No. of Repowers	Date Retro/Repower Money Given to Owner/School	Dollar Amt Retro/Repower Money to Owner/School	Old Vehicle Identification (VIN #) Use this column to enter VIN # for Old Vehicle that was retrofitted or replaced	New Vehicle Identification No. (VIN #)	No. of Old Vehicles / EQ Destroyed	Old Vehicle: Destruction Date	No. of New Vehicles / EQ Purchased	New Vehicle / EQ: Purchase Date	Date Replacement Money Given to Owner/School	Dollar Amt Replacement Money to Owner/School	Vehicle or Equipment Owner (School or Other Recipient)
02/14/12	1	1	1		3	2	0	03/16/12	$1,200.00	1KF9WKO15RWQF	2LM8NOPQ2RS4T	1		1	01/04/12	03/29/12	$22,000.00	Blueberry Hill ISD
					0													
					0													

In the example shown in Figure 1, reimbursement was provided to Blueberry Hill Independent School District for two vehicle retrofits and 1 vehicle replacement in the first quarter of 2012. There were three types of retrofit actions performed on two vehicles: $1,200 was paid toward the retrofits and $22,000 was paid toward the vehicle replacement. The replaced vehicle (old) has not been destroyed, so there is no date entered in the *Old Vehicle Destruction Date* column.

Vehicle identification numbers are required to be entered on the QR and are shown in the example.

Questions???

If you questions or need assistance with any section of the QR form, contact TCEQ at 512/239.2223 or sepreports@tceq.texas.gov.