2019 SmartWay Shipper Company Partner Tool:

Quick Start Guide

U.S. Version 2.0.18 (Data Year 2018)

2019 SmartWay
Shipper Company Partner Tool:

Quick Start Guide

U.S. Version 2.0.18
(Data Year 2018)

Transportation and Climate Division
Office of Transportation and Air Quality
U.S. Environmental Protection Agency

Table of Contents

Basic Information for Shippers

This section covers frequently asked questions and essential information about the SmartWay Transport Partnership and how shipper companies can participate. **Please review this guide carefully BEFORE attempting to gather your company data or entering data into the Shipper Tool.** Understanding the basics of the program will simplify your joining process.

WHAT IS THE SMARTWAY TRANSPORT PARTNERSHIP?

Developed jointly in 2003 by EPA and charter partners represented by industry stakeholders, environmental groups, American Trucking Associations, and Business for Social Responsibility, the SmartWay Transport Partnership is EPA's flagship program for improving fuel efficiency and reducing greenhouse gases and air pollution from the transportation supply chain industry.

Seven types of freight transport companies can join SmartWay:

- Freight shippers
- Logistics companies (including 3PLs/4PLs[1])
- Truck carriers
- Rail carriers
- Barge carriers
- Air carriers
- Multimodal carriers

Companies join the SmartWay Transport Partnership by submitting a partner tool to SmartWay. The SmartWay tools (1) assess freight operations; (2) calculate fuel consumption and carbon footprints; and (3) track fuel-efficiency and emission reductions. SmartWay tools must be submitted each year for the company to remain a partner in good standing. Tools submitted and approved on time qualify partners to use the SmartWay Logo.

SmartWay ranks Partners' efficiency and environmental performance. Superior performance in various Partner categories is also recognized through the SmartWay Excellence Awards.

---

[1] 3PLs/4PLs Third party logistics companies/fourth-party logistics companies.

WHY DO SHIPPERS JOIN THE SMARTWAY TRANSPORT PARTNERSHIP?

The SmartWay Transport Partnership provides shipper companies with ways to reduce the environmental impact of their freight operations and address costs. Designed with and for the freight sector, the SmartWay Transport Partnership delivers solutions to marketplace needs and challenges. With access to the latest in EPA-tested technologies and peer-provided success stories, carriers that join the SmartWay Transport Partnership can gain a better understanding of their environmental footprint and assert their corporate leadership.

Additionally, SmartWay Partners are associated with an internationally recognized and respected brand that symbolizes cleaner, more efficient transportation choices.

Shipper companies that join SmartWay move significant amounts of freight with SmartWay Carriers. The higher efficiency of carriers in SmartWay compared to non-SmartWay carriers gives SmartWay shipper companies an opportunity to improve corporate freight efficiency, reduce their carbon footprint, and voluntarily advance freight sustainability for themselves and their customers.

PARTICIPATION IN SMARTWAY HELPS SMARTWAY SHIPPER PARTNERS

- identify opportunities to improve efficiency,
- demonstrate efficiency to customers and stakeholders,
- evaluate and compare carrier performance, and
- determine the company's transportation carbon footprint.

SmartWay provides shippers with free tools that help assess and compare various freight transportation options with detailed reports and analyses that support better business decision making.

HOW DO SHIPPERS JOIN THE SMARTWAY TRANSPORT PARTNERSHIP?

Shipper companies join SmartWay by submitting a SmartWay Shipper Tool (hereafter known as the "Shipper Tool," or simply, the "Tool.")

Shipper companies that submit tools that are approved by EPA are known as "SmartWay Shipper Company Partners."

When a shipper company submits a Shipper Tool to EPA, they agree to the requirements stipulated in the SmartWay Shipper Partnership Agreement--notably, that they will measure and report the emissions performance of their company _annually_ and provide supporting documentation to EPA upon request.

All SmartWay Shipper Partners agree to complete and submit the SmartWay Shipper Tool to

- define company composition,

- 🪶 characterize company activity,

- 🪶 individually benchmark multiple companies, and

- 🪶 track annual changes in performance.

Upon approval of a Shipper Tool submission, a shipper company will be identified as SmartWay Shipper Partner on EPA's website, on the SmartWay Partner List, and in a database used to identify companies that meet SmartWay's annual requirements. On-time submission and approval of the Tool also qualifies Shipper Partners for use of the SmartWay Logo. The carrier will also receive information on how to access its current SmartWay registration document and other information through the Partner Portal.

HOW DO I JOIN IF MY PARENT COMPANY HAS MULTIPLE SUBSIDIARIES?

Shippers with subsidiaries may submit a single tool for their parent company and all of its subsidiaries. If a shipper chooses to do this, the entire organization will be considered a SmartWay Partner and the performance rating will be assigned to the entire organization. The partner will be listed on the SmartWay website under the parent company's name.

Individual subsidiaries may join as separate partners if the parent company wishes to have them listed individually on the SmartWay website. Each subsidiary would submit a separate tool.

SmartWay highly recommends developing your list of subsidiary companies beforehand by using an organization chart or perhaps a customer interface web page. For example, evaluate how your organization contracts with carriers, identify your companies' different NAICS codes, and determine how they choose what carriers to hire.

The best strategy is to have a clear idea of how to define your companies before filling out the tool.

WHAT DATA DO I NEED TO GATHER TO COMPLETE THE SHIPPER TOOL?

To participate in SmartWay, shippers need to gather the following essential information to complete the Shipper Tool:

- 🪶 SmartWay ID number (if this is not your first tool submission)

- 🪶 The official company name to be used on the SmartWay website for public recognition of participation in SmartWay Company contact information

  - ■ Contact details for your Working Contact

  - ■ Contact details for an Executive Contact (cannot be the same as the working contact)

  - ■ Contact details for your Sustainability Contact and Other contacts (optional)

- North American Industry Classification System (NAICS) codes for the company; and

- A comprehensive list of all SmartWay carriers that the shipper uses to haul their freight for the reporting calendar year (this list should include all truck, rail, multimodal, barge, air, and logistics companies hired by the shipper)

Additional information is required depending on the shipper's selected level of participation. There are 4 ways shippers can participate in SmartWay. Way 1, the SmartWay Candidate level, is only for companies who want to learn more about SmartWay before joining as a SmartWay Shipper Partner. To become a SmartWay Shipper Partner, select Way 2, Way 3, or Way 4. Under Way 2, 3, or 4, shippers participate as full SmartWay partners and submit activity and performance data using the SmartWay Shipper Tool. Selecting Way 3 or 4 will qualify shippers to compete for an annual SmartWay performance award.

Way 2 data requirements:

- A non-mileage-based measure of how much business you do with each carrier. Examples include the amount of money you spend with each carrier, or the number of shipments per carrier;

- A description of the data sources used to compile the alternative activity metric

    Note that Way 2 selection only provides shippers with a percent SmartWay score, not an emissions footprint, and will not qualify shippers for an annual SmartWay Award.

Way 3 data requirements:

- Activity data for all the carriers the shipper uses

    ■ Total miles contracted, ton-miles contracted, and/or average payload data for each SmartWay and non-SmartWay carrier

    ■ Description of data sources used to compile the activity data

Way 4 data requirements:

- All data required for Way 3 participation, plus at least one of the following:

    ■ Information to differentiate the freight the company moves with individual carriers by various methods, such as inbound versus outbound, domestic versus international, business unit, internal ID code, or other custom method

    ■ Information to evaluate company operational strategies eliminating miles or weight from their freight operations to reduce the shipper's carbon footprint

    ■ Information to evaluate strategies to shift freight from one mode to another (e.g., from truck to rail)

This data should be provided for all of the shipper's companies.

WHAT IS INCLUDED IN THE SMARTWAY SHIPPER PARTNERSHIP AGREEMENT?

To join the SmartWay Transport Partnership as a shipper company, you must agree to the language on the "Partnership Agreement for Shippers." When you begin working within the tool, you will be asked to check a box stating that you agree to the terms of the partnership agreement. **This agreement must be renewed annually.**

Please review this language with the appropriate personnel within your organization before completing or submitting a Tool to EPA.

**Partnership Agreement
for Shippers**

With this agreement, your company joins EPA's SmartWay Transport Partnership and commits to:

1. Measure and report to EPA on an annual basis the emissions performance of your company using EPA's SmartWay Shipper Tool. (Existing companies must report the 12 months of data for the prior year ending December 31. Newly formed companies require a minimum of 3 months of operational data.)

2. Agree to SmartWay listing your name on the SmartWay Transport Partnership website as a Partner company.

3. Agree to submit supporting documentation to EPA for any data used to complete this tool and agree to EPA audit of this data upon request by EPA.

4. Treat individual corporate data as sensitive business information.

In return, EPA commits to:

1. Promote company participation in the Partnership by posting Partner names on the EPA SmartWay website and in related educational, promotional, and media materials. EPA will obtain express written consent from the Partner before using the Partner's name, other than in the context of increasing public awareness of its participation as described here.

2. Provide companies with industry-wide performance benchmark data as this data becomes available to EPA.[2]

3. Assist Partners in achieving emission and fuel usage reduction goals (subject to Federal Government Appropriations).

General Terms

1. If the Partner or EPA defaults upon this agreement at any point, the agreement shall be considered null and void.

2. Either party can terminate the agreement at any time without prior notification or penalties or any further obligation.

3. EPA agrees not to comment publicly regarding the withdrawal of specific partners.

4. EPA reserves the right to suspend or revoke partner status for any Partner that fails to accomplish the specific actions to which it committed in the SmartWay Transport Partnership Agreement and subsequent Agreements.

---

[2] Individual corporate data will be treated as sensitive business information.

5. The Partner agrees that it will not claim or imply that its participation in the SmartWay Transport Partnership constitutes EPA approval or endorsement of anything other than the Partner's commitment to the program. The Partner will not make statements or imply that EPA endorses the purchase or sale of the Partner's products and services or the views of the Partner.

6. Submittal of this SmartWay Shipper Tool constitutes agreement to all terms in this Partnership Agreement. No separate agreement need be submitted.

WHAT SOFTWARE & HARDWARE IS REQUIRED TO COMPLETE THE SMARTWAY SHIPPER TOOL?

The Shipper Tool was designed in Microsoft Excel using forms and Visual Basic for Applications (VBA) macros and code. Completing the Shipper Tool requires the following software and system requirements:

Supported Operating Systems

- Microsoft Windows 7 or later

  - Includes Windows 7, Windows 8 and 8.1, and Windows 10

  - The Tool should also be compatible with Windows XP if all other requirements are met as well. However, Windows XP has reached end of support at Microsoft and this may affect tool performance.

System Requirements

- IBM Pentium processor or newer

- 2 GB Ram

- 100 MB disk space

- Monitor display setting of 1,024 x 768 or larger

Software Requirements

- Microsoft Excel 2010 or later

  - Includes Excel 2010, Excel 2013, Excel 2016 and Excel in Office 365

  - Must be the one-time purchase version of Microsoft Excel installed on a PC or the Office 365 subscription **desktop version** of the application; *cannot run with Microsoft Excel online or through OneDrive online*

  - The Tool should also be compatible with Excel 2007 if all other requirements are met as well. However, Excel 2007 has reached end of support and Microsoft no longer provides technical support, bug fixes, or security fixes. This may affect tool performance.

  - Excel 2010 will also reach end of support by Microsoft on October 13, 2020.

Please check with the user specifications for your computer, online support, or your company's IT department to make sure your system is set up to use the Shipper Tool.

We encourage you to make sure that your virus software is up to date, and to scan your PC before putting data in the Shipper Tool.

HOW TO SET SECURITY LEVELS FOR THE SMARTWAY TOOLS

In some cases, Microsoft Excel will ask you to adjust your security settings before opening the Tool. Instructions should appear on your screen *if* you need to change your security settings before running the Tool. The instructions differ depending upon what version of Excel you use (Excel 2010, 2013, or 2016).

If you need additional assistance with your security settings, download the guidance document labeled "2019 Shipper Company Partner Tool: User Guide. U.S. Version 2.0.18(Data Year 2018)" from https://www.epa.gov/smartway/smartway-shipper-partner-tools-and-resources and review the screen-by-screen guidance in "How Do I Set the Security Level when Opening SmartWay Tools?".

Overview of Shipper Data Collection and Input Requirements

This section will describe the data required for completing the required sections of the Shipper Tool.

INTRODUCTORY SCREENS

Upon opening the 2019 Shipper Tool you will see a **Welcome** screen. Next you will find several Introduction screens. If you are not familiar with the Tool, or if you wish to review the basic organization and functions of the Tool, these screens can help you become oriented. The **Assistance for New Users** screen appears first, and allows users to view an orientation video. Additional screens may be accessed from this screen including data collection needs, Tool help and navigation, the SmartWay Partner Schedule for 2019, and a link to the SmartWay website. These are general information screens and may be skipped if you are already familiar with the Tool. However, upon proceeding you MUST select the box at the bottom of the **Partnership Agreement** screen, indicating that you agree to the terms of the Partnership Agreement.

AUTO-POPULATION

Before proceeding to the **Home** screen you will see an **Auto-population** screen. This screen allows partners to input their SmartWay ID and automatically upload the information for the initial steps of the Tool (Partner Name, Contact Information, and, for existing partners, Shipper Company Description(s)), based on the prior year's submittal or, for new partners, information submitted through the on-line SmartWay Shipper Application.[3] This option can save time and ensure naming consistency for your contacts and subsidiary companies from year to year. A popup screen will appear displaying all the contact and company data uploaded for your review before proceeding. Corrections and revisions may be made on the **Home** screen if needed. If you do not have a SmartWay ID, or prefer to enter this data manually, you may skip this step.

DATA REQUIREMENTS FOR ESTABLISHING YOUR DATA COLLECTION YEAR

Before beginning your data collection, identify the last calendar year for which you have full annual (12 months) data. This means that you have data from January of the calendar year through December of the same year. If you are a new SmartWay partner and do not have a full year of operational data, please collect ___a minimum of three months' data___ for input into the SmartWay tool. In your next update year, you will be required to submit a full year's data.

---

[3] You may access the SmartWay Shipper application at https://www.epa.gov/smartway/become-smartway-shipper-partner.

DATA REQUIREMENTS FOR SECTION 1: SPECIFY OFFICIAL PARTNER NAME

Your Partner Name is the official name that your customers would recognize for your company.

You must specify your company's official Partner Name, exactly as you want it to appear on the SmartWay website.
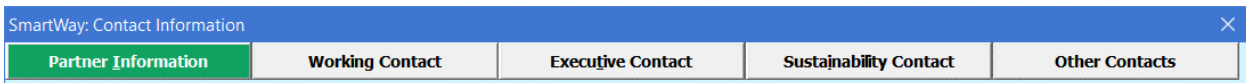
For example, if you enter

- ABC Company,

- ABC Company, Inc., or

- ABC COMPANY LLC

Your company will be listed **_exactly_** as you've entered above. Therefore, it is important to pay special attention to proper capitalization, abbreviations, annotations, and punctuation.

If you selected the auto-populate option please review the Partner Name as it appears on the screen, revising it as necessary.

DATA REQUIREMENTS FOR SECTION 2: ENTER CONTACT INFORMATION

Note: Use the Tabs at the top of the window to navigate between the 5 information screens

SmartWay: Contact Information				✕
Partner Information	Working Contact	Executive Contact	Sustainability Contact	Other Contacts

Each field marked with an asterisk must be filled out. You will not be able to submit the Tool to SmartWay without this information.

Under the Partner Information tab:

1. **Enter the Company address, phone numbers, and website (optional).**

2. **Enter the Working Contact name and title.**

   The **Working Contact** is the individual designated by the Executive Contact to directly interface with SmartWay regarding specific tasks involved in the timely submission of the Tool. The Working Contact is responsible for coordinating the assembly of information to complete/update carrier data; completing and updating the Tool itself; maintaining direct communication with SmartWay; and keeping interested parties within the company apprised of relevant developments with SmartWay. (NOTE: To ensure that e-mails from SmartWay/EPA are not blocked, new contacts may need to add SmartWay/EPA to their preferred list of trusted sources.)

3. **Enter the Executive Contact name and title.**

The **Executive Contact** is the company executive who is responsible for agreeing to the requirements in the SmartWay Partnership Annual Agreement, overseeing the Working Contact (as appropriate), and ensuring the timely submission of the Tool to SmartWay. The Executive

Contact also represents the company at awards/recognition events. This person should be a Vice President or higher level representative for the company.

4. **Enter the Sustainability Contact name and title (optional).**

The **Sustainability Contact** is the individual assigned responsibility for monitoring the company's environmental performance. The Sustainability Contact may be the same as the Working or Executive Contact (and specified by checking the "Same as" boxes in the Sustainability Contact section) but cannot be the same as any Other Contact.

Under the Working Contact tab:

Enter the Working Contact information. If the Working Contact shares the same address as the company, you may select the "**Use Partner Address**" button to auto-populate the address section of this record. Enter the email address twice to confirm its accuracy.

Under the Executive Contact tab:

Enter the Executive Contact information, including the contact email address. The same buttons and fields are available as described for the **Working Contact** Tab.

Under the Sustainability Contact tab:

If applicable, enter the Sustainability Contact information including the contact email address. The same buttons and fields are available as described for the **Working Contact** Tab.

Under the Other Contacts tab:

1. Enter Other Contacts (if applicable) by selecting the **"Add New Contact"** button.

2. Enter the first Other Contact then select **OK** when done.

Note: You must supply at least two unique contacts on the contact screen to ensure EPA has access to at least two people for Tool submission follow-up.

NOTE: In some cases, companies with multiple fleets will gather information from different sources within the company. You may find it useful to have this additional contact information stored within the Tool.

You can add more contacts to the **Other Contacts** box by repeating this process. If you wish to edit an existing contact's information, highlight the name you wish to edit and then select the **"Edit Selected**

Contact" button. You can remove an existing contact by highlighting the contact and then selecting **"Delete Selected Contact."**

To make sure you have filled out all required contact information, select **VALIDATE SCREEN** at the bottom of the screen on the **Partner Information** tab. If any information is missing or invalid, a dialogue box will appear informing you what additional information is required.

Next select the **HOME** button to return to the **Home** screen and go to Section 3.

DATA REQUIREMENTS FOR SECTION 3: DEFINE YOUR SHIPPER COMPANIES (COMPANY DESCRIPTION(S))

The Shipper Tool tracks shipping operations at the company level. Most partners should create one company, i.e. one line.

However, if you have multiple subsidiary companies all with separate corporate identities and transportation systems, you may want to create multiple company records in the tool and characterize their carrier operations individually.

Note that if you participate at the Way 4 level, you will also have the option of further refining your transportation activity for each company by internally tracking different business units, inbound/outbound/internal freight, and domestic versus international freight within the company's carrier data identification; therefore, there is no need to list different internal divisions, product lines, etc. as separate companies.

NOTE: Your Subsidiary Company Names will NOT appear on the SmartWay website, only your Partner Name. If you wish to have your companies/subsidiaries appear separately on the SmartWay website, please submit separate tools for each to EPA.

Requirements for "Company Description" Screen

For each shipper company, you will need to specify:

- **Company Name(s):** Name your companies, beginning with your Partner Name followed by the specific company name.

- **NAICS Code(s):** NAICS, or North American Industry Classification System codes, are the Federal standard for classifying businesses by activity type. NAICS codes can be up to six digits in length. Use the NAICS code(s) that most appropriately describes your company. Note: some large companies with multiple operations may only use two or three digit NAICS codes; in this case, you do not have to enter the full six digits. Detailed information can be found at http://www.census.gov/eos/www/naics/.

DATA REQUIREMENTS FOR SECTION 4: DOWNLOAD THE LATEST CARRIER DATA FILE

To ensure that the Shipper Tool gives you the most current list of SmartWay carriers to select from, you must select the **Download Latest SmartWay Carrier Data File** button on the **Home** screen. A new box will appear next to the button indicating the "**Date of Current Carrier File**." You are now ready to go on to selecting carriers and entering activity data for each shipper company.

You will not be able to input the required shipper company data in Section 5 without this file. You must have an active Internet connection to perform this step.

DATA REQUIREMENTS FOR SECTION 5: SPECIFY PARTICIPATION LEVEL AND DATA INPUT METHOD

No data are needed to complete this section, however you must choose the level at which you wish to participate and select how you would like to input data into the Tool. These choices will affect data needed to complete the following sections. On the **Participation Level** screen, you have the option to choose to participate at the Way 2, Way 3, or Way 4 level. The table below summarizes the three options and describes the benefits, inputs needed, and the input methods available.

Option	Way 2: Basic Freight Assessment	Way 3: Standard Freight Assessment	Way 4: Advanced Freight Assessment
Best for:	• Shippers with limited data that want to start freight efficiency planning.	• Shippers that want a freight emissions footprint to guide their freight decision making.	• Shippers that want a more-detailed freight emissions footprint and added analysis.
Inputs needed:	• Carrier names and relative data (e.g., amount spent, number of shipments, volume shipped, or another custom metric)	• Carrier names; mileage, ton-miles and/or payload data per carrier	• Carrier names; mileage, ton-miles and/or payload data per carrier; and additional operational strategies and mode split data
Benefits:	• Manual only	• Manual or data import	• Manual or data import

Option	Way 2: Basic Freight Assessment	Way 3: Standard Freight Assessment	Way 4: Advanced Freight Assessment
	• Define a relative freight performance metric (% SmartWay) • Be recognized as a SmartWay Partner	• All the benefits of Way 2 plus the ability to: • Build a freight performance assessment based on per carrier mileage and payload • Compete for recognition through the SmartWay Excellence Awards	• All the benefits of Way 3 plus the ability to: • Subdivide freight activity based on inbound vs outbound, domestic vs international, discrete business units, and/or other criteria • Compare emissions savings from various mode and operational strategy changes • Receive additional credit for SmartWay Excellence Award

DATA REQUIREMENTS FOR SECTION 6: ENTER DATA FOR EACH OF YOUR COMPANIES

Next you will identify the carriers included in each of your shipper companies, and then enter either **detailed activity data** or **relative carrier data** depending on the Participation Level you selected in the previous section. The screens you must complete will depend on the Participation Level and Data Input Method you specified in the previous section.

Select Shipper Company for Data Entry

On the **Home** screen, you will now see all the shipper companies you created listed in the window below item # 5: **Data Entry**. There will be a status message after each company, indicating whether or not the data entry for that company is complete. The following information may appear beside a company name:

🐾 **Not checked** - Data has not been entered yet.

🐾 I**ncomplete** - Some data is still missing and/or inconsistent.

🐾 **Complete** - All data requirements have been met and validation has occurred.

In addition to the status indicators above, you may also see one of two qualifiers: "Errors" or "Warnings."

🐾 **Errors** will prevent you from generating the metrics reports under the **Review Your Results** section and must be addressed before you can submit your Tool to EPA.

🐾 **Warnings** will still allow you to proceed and submit your data to EPA. However, it is strongly recommended that you carefully review each warning message before sending your data to EPA so

that you can anticipate questions that may come from a Partner Account Manager as a result of your data being outside the expected ranges. The method addressing errors and warnings is described for subsequent input screens in the following sections.

To add data to a particular company, highlight the company name and then double-click. You will then proceed to the Tool **Data Entry Screens**.

Input Carriers Screens

In this section, you must specify the carriers that your shipper company uses. There are different methods to select carriers depending on your level of participation and input method. Regardless of the method you choose you will need to first identify the mode of transport for the carrier. Six carrier mode selections are available, including:

- Rail
- Truck
- Multimodal
- Logistics
- Barge
- Air

Next, you may also specify a SmartWay Category for the Truck and Multimodal modes. Truck SmartWay Categories include:

- Auto Carrier
- Dray
- Expedited
- Flatbed
- Heavy/Bulk
- LTL Dry Van
- Mixed
- Moving
- Package
- Refrigerated

- Specialized

- Tanker

- TL Dry Van

Multimodal SmartWay Categories include:

- Surface

- Surface-Air

- Surface Marine

- Surface-Air-Marine

SmartWay Category selections are not currently available for other modes but may be added in the future.

After identifying the mode (and SmartWay Category, if available), you should identify each carrier's specific fleet name, listed in the SmartWay Carrier Data file, along with any associated SCACs, DOT numbers, MCNs, and NSCs.

After identifying your SmartWay carriers, you must also enter the number of non-SmartWay carriers used by the shipper company. *Only include carriers used during the reporting year.* If the company has non-SmartWay carriers, you will also select the carrier mode(s) associated with the non-SmartWay carrier(s). For truck carriers, specify the appropriate carrier type (e.g., non-SmartWay Dray). If you are not sure of the appropriate truck carrier type, select the "General" option.

Details on data entry and which screens you will have to complete depending on your participation level and input method selections are described in the Data Entry section below.

Carrier Subdivision Screen

NOTE: This screen is only applicable to the Way 4 participation level.

If you selected the Way 4 participation level, you may specify supplemental information to help you further characterize your carrier use on this screen. For example, you can designate certain carriers used for domestic or international routes. The optional information may be applied to any carrier and include the following:

- Company Identifier

- ID Code

- Inbound/Outbound/Internal

- Domestic/International
- Internal Shipper Segment 1
- Internal Shipper Segment 2

You must complete this screen, the **Mile & Weight Improvements** screen, or the **Modal Shift Impacts** screen if you selected the Way 4 level. If you select Way 4 but do not enter data for **Mile & Weight Improvements** of **Modal Shifts** then you must differentiate activity for at least one of your carriers, rather than just specifying descriptors. For example – you can specify both inbound and outbound activity for a particular carrier.

Activity Data Screen

NOTE: This screen is only applicable to the Way 3 and Way 4 level.

First provide detailed text describing the **Data Source(s)** used to estimate your mileage and ton-mile data for your carriers. Be sure to indicate how you calculated the values, and where this data was obtained.

Next, identify any carrier fleets operated directly by the shipper company by checking the **Shipper Carrier** box. This allows the Tool to exclude these carriers from the Scope 3 emissions calculations provided in the **Public Disclosure Report**. See the **Shipper Tool Technical Documentation** for further details on the Public Disclosure Reports.

Next specify a **Data Availability** option for each carrier. There are four Data Availability options:

- a - Ton-miles and Total miles (preferred option),
- b - Ton-miles and Average Payload,
- c - Total miles and Average Payload, and
- d - Total miles only[4]

You should use the option for which you have the most reliable data:

- If you have reliable data for both ton-miles and miles, you should select Option a.
- If you don't have reliable miles data, but do have reliable ton-mile data, select Option b.
- If you don't have reliable ton-miles data, but do have reliable miles data, select from options c or d.

NOTE: LTL and Package carriers may not select Option d, due to the importance of estimating

---

[4] Option d is available for TL/Dry Van, Expedited, Heavy/Bulk, Mixed, Specialized, Refrigerated, Flatbed, Tanker, Moving, Dray, and Auto carrier categories only.

precise payloads for these carrier types.

Choose the method that uses the most accurate data at your disposal for each carrier. In this way the Tool will utilize the most accurate data available for the ton-mile and mile comparison metrics as well as for the emissions footprint calculations.

After specifying the **Data Availability Option**, record your activity data.

If the carrier mode is rail, record total railcar-miles, or if barge, then record barge-miles, otherwise specify total truckload-miles. Enter the data to the nearest whole number.

Data Availability Option a – Enter total ton-miles and total miles. Total miles corresponds to truck miles, railcar miles, or barge miles, as appropriate. For rail carriers, DO NOT enter train miles, and for barge carriers, DO NOT enter miles for the entire string of barges – enter the sum of miles for each individual railcar and/or barge load.

Data Availability Option b - Enter total ton-miles along with your estimated average payload (per truck or railcar, as appropriate) in short tons (2,000 lbs.)

Data Availability Option c - Enter total miles along with your estimated average payload (per truck, barge or railcar, as appropriate) in short tons (2,000 lbs.)

Data Availability Option d - Enter total miles.

IMPORTANT: Correctly calculating Ton-Miles is critically important for the accurate determination of your carbon footprint.

You can calculate your company's ton-miles as follows:

Enter the ton-miles hauled per year attributable to each carrier. A ton-mile is one ton moving one mile. DO NOT ESTIMATE TON-MILES BY SIMPLY MULTIPLYING TOTAL MILES BY TOTAL TONS - this calculation effectively assumes your entire tonnage is transported on EACH AND EVERY truck and will clearly overstate your ton-miles.

There are two ways to calculate ton-miles:

1. Companies can determine their average payload per carrier, multiply the average payload by the total miles per carrier, and sum the results for all carriers for the reporting year; or

2. Set Ton-miles per carrier = (total miles per carrier x total tons per carrier)
   total # of trips per carrier

> To check your estimate, divide ton-miles by miles. The result is your fleet-average payload. If this number is not reasonable, please check your calculations.

% SmartWay Screen

The **% SmartWay** screen calculates your % SmartWay Value, reflecting the fraction of miles, ton-miles, or user-provided custom metric attributable to SmartWay carrier partners.

The % SmartWay Value is used to help determine eligibility for SmartWay Excellence Awards for Way 3 and Way 4 participants.

Carriers identified in the **Input Carriers** screens are automatically carried over to this screen. If you selected the Way 3 or Way 4 participation level, the fractional mileage and ton-mile amounts attributable to each carrier are also shown here and may be used as weighting factors across your carriers to calculate your **% SmartWay Value**. There are no data requirements if you select to use ton-miles or total miles as the weighting factor on this screen.

If you selected the Way 2 participation level or would like to use something other than ton-miles or total miles, you must specify an alternative weighting factor to apply across the different carriers, such as the percentage of total payments, the percentage of total weight or total packages, or an alternative "custom" for calculating your **% SmartWay Value**. In this case you must enter the type of data you use for your percentage allocation estimates using the drop-down menu at the top of the screen, and then enter the percent allocated to each carrier. Percentages must sum to 100. You must also document the custom factor methodology in the text box presented at the lower left of the screen.

Note: If you are participating at the Way 2 level, you will not see the Ton-Mile or Total Mile columns presented on the **% SmartWay** screen.

Mile & Weight Improvements Screen

Note: This screen is only applicable to the Way 4 participation level.

This screen allows users to estimate the emissions savings impacts for a range of activities and best practices which impact the emission footprint of the transportation supply chain (e.g., reducing miles traveled in the transportation network through route or cube optimization, or reducing weight through package reduction, among others). You should have data about your company's activities or possible activities to complete this screen. You must complete this screen, the **Carrier Subdivision** screen, or the **Modal Shift Impacts** screen if you selected the Way 4 level.

Modal Shift Impacts Screen

NOTE: This screen is only applicable to the Way 4 participation level.

The **Modal Shift Impacts** screen allows partners to evaluate the emissions impact of moving to different modes (e.g. truck-to-rail or rail-to-barge). You need data about potential modal shifts in order to complete this screen. You must complete this screen, the **Carrier Subdivision** screen, or the **Mile & Weight Improvements** screen if you selected the Way 4 level.

REVIEW YOUR RESULTS

Now that you have identified your carriers and provided the required activity information, you must examine your company's emission performance and mass emission estimates by selecting the **Review Your Results** button under Section 6 on the **Home** screen. Carefully review the three reports shown on the **Emissions Summary**, **Carrier Performance**, and **Truck Carrier Performance (SmartWay Category Detail)** screens. These reports provide high level emissions and performance summaries as well as detailed breakouts by mode and for specific carriers, as well as by other category groupings. Review the results carefully for any anomalous results that may indicate possible carrier and/or activity data entry errors.

You will not be allowed to proceed through the Tool until you view each of these three screens. Once complete you can return to the **Home** screen.

ADDITIONAL SMARTWAY RESOURCES (OPTIONAL)

After completing Sections 1 – 7 on the **Home** screen, EPA strongly encourages you to explore the optional sections of the Tool available at the bottom of the screen before completing your submission. Four options are provided in this section including the following.

View Summary Data Reports – this button gives you access to 14 reports to help you understand your data and use it to make better performance decisions, including the new **Public Disclosure Report** containing Scope 3 emissions.

Feedback and Recruiting Assistance – On the **Suggestions** screen, you may respond to some or all of these questions in order to provide feedback regarding the various aspects of the SmartWay program. SmartWay values your feedback. Any information you provide will be used to improve the program, and will be kept confidential. Use the scroll bar to the right to display additional questions. On the **Recruiting Targets** screen, you may select up to 10 of your largest non-SmartWay carriers to help target companies for potential recruitment into the program.

Year-to-Year Performance - The **Year-to-Year Performance Report** allows the user to compare the company characteristics and activity values, as well as performance metrics for the current year with those of the prior year. This report is particularly helpful in identifying any changes that may have occurred since your last reporting period, determining trends in activity and performance over multiple years, and performing general quality assurance of the inputs used for your current Tool.

Visit the Partner Portal - You may select the **Visit the SmartWay Partner Portal** button which will open a web browser to the login page of the **EPA SmartWay Portal.** The portal provides access to a range of useful

documents and functions including the partner registration document, the SmartWay Partner Logo, a sample press release, an online version of the feedback survey, and Awards information if applicable.

SUBMITTING YOUR TOOL TO EPA

Once data entry is successfully completed you will generate a file in XML format to send to EPA following these steps.

1. Select the **"Generate a (.xml) data file"** button which will open a new screen.

2. Select the checkbox to indicate you understand the terms of the SmartWay Partnership Agreement once again.

3. When ready, select **NEXT** to create a file with the following naming convention: Shipper_PartnerName_Year_V0.xml[5]

    For example, Shipper_ABCompany_2018_V0.xml

where PartnerName is your company's name as entered in Section 1 on the **Home** screen, and Year indicates the year for which you are submitting your data.

1. Next specify the folder where you would like to save the .xml file, and a screen will appear.

2. Follow these instructions for submitting your .xml and .xlsm files to SmartWay. Note that the .xml file is approximately 10 times smaller than the .xlsm file.

3. Upon selecting **NEXT**, a screen will appear that allows you to close the Shipper Tool or return to the **Home** screen.

    NOTE: DO NOT ZIP the .xlsm and .xml files. Send them to EPA as normal files attached in an e-mail. EPA security will not allow zipped files through the EPA firewall.

    NOTE: DO NOT CHANGE THE NAME OF THE XML OR XLS FILES.

---

[5] If you create the XML file multiple times the file name will increment each time (e.g., Shipper_ABCompany_2018_V1.XML for the second iteration, etc.

Next Steps

Your next step is to download the detailed Shipper Tool User Guide and the Tool itself to begin completing your Shipper Tool submission.

Please visit https://www.epa.gov/smartway/smartway-shipper-partner-tools-and-resources for additional resources.

For more information:

U. S. Environmental Protection Agency
Office of Transportation and Air Quality
1200 Pennsylvania Ave. NW
Washington, DC 20460
(734) 214-4333

www.epa.gov/transportation-air-pollution-and-climate-change

U. S. Environmental Protection Agency
National Vehicle and Fuel Emissions Laboratory
2565 Plymouth Rd.
Ann Arbor, MI 48105
(734) 214-4200

www.epa.gov/aboutepa/about-national-vehicle-and-fuel-emissions-laboratory-nvfel