

# Multi-modal Carrier FLEET Tool: Data Entry Guide

## *Part 3*



# Multi-modal Carrier FLEET Tool: Data Entry Guide

## *Part 3*

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

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## Part 3: DATA ENTRY GUIDE

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This guide is Part 3 of a three-part series designed to help your company participate fully in the SmartWay Transport Partnership.

In Part 3, you will learn how to enter the company and fleet/division data you collected using Part 2 into the SmartWay Multi-modal Carrier FLEET Tool. This guide covers:

1. Downloading and setting up to tool to run properly
2. Basic organization of the SmartWay Multi-modal Carrier FLEET Tool
3. Entering your data
4. Viewing fleet/division performance summary data
5. Submitting data to SmartWay
6. Troubleshooting the tool



### **WARNING!**

Completing this tool requires a considerable amount of information about your company, the divisions that are joining SmartWay, and the fleets within those divisions. There are many sections and screens to complete for each fleet/division that you operate. While you will have the ability to save your tool along the way and return to it at anytime, we **STRONGLY ENCOURAGE** you to review Part 1 to understand key information about joining the partnership and use Part 2 of this series to learn about the data requirements and gather your data **BEFORE** attempting to use Part 3 to complete the tool.

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## Downloading and Setting up the Tool

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### About Microsoft Excel

Microsoft Excel is an electronic spreadsheet program used for storing and manipulating data. The SmartWay Multi-modal Carrier FLEET Tool was built using Microsoft Excel Forms.

### Downloading the SmartWay Multi-modal Carrier FLEET Tool

The tool can be downloaded from the SmartWay website at:

<http://www.epa.gov/smartwaylogistics/partnership/multimodal.htm>

Please save the tool in a folder on your hard drive; this folder will house copies of your data and future updates.

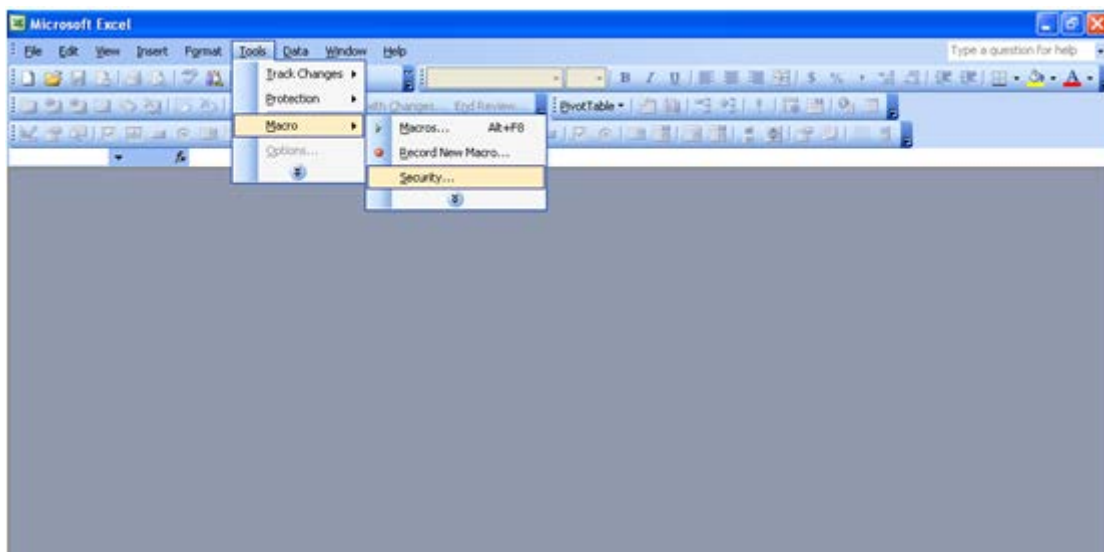
### Security Settings for the SmartWay Tools

The following instructions should appear on your screen *if* you need to change your security settings before running the tool.

#### *Excel 2003 Users*

Before you begin, be sure to set your Excel security setting level to “Medium.”

1. When using Excel 2003, on the menu bar, go to *Tools* → *Macro* → *Security Level*.

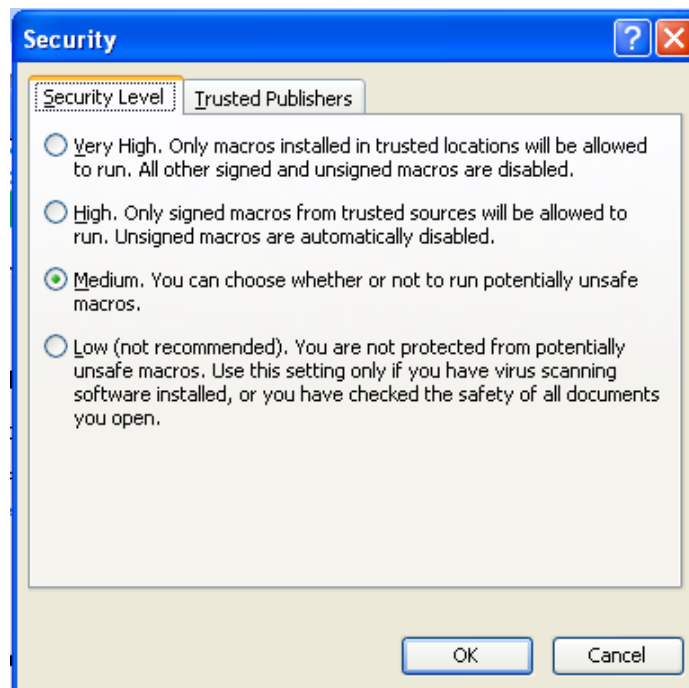


- 2.

a

**Figure 1: Macro Drop-Down Menu**

t window  
opens, click Medium.

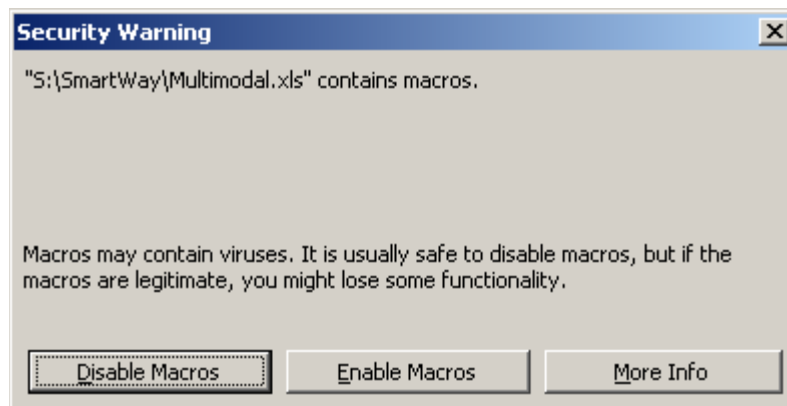


**Figure 2: Security Dialog Box**

To run the tool:

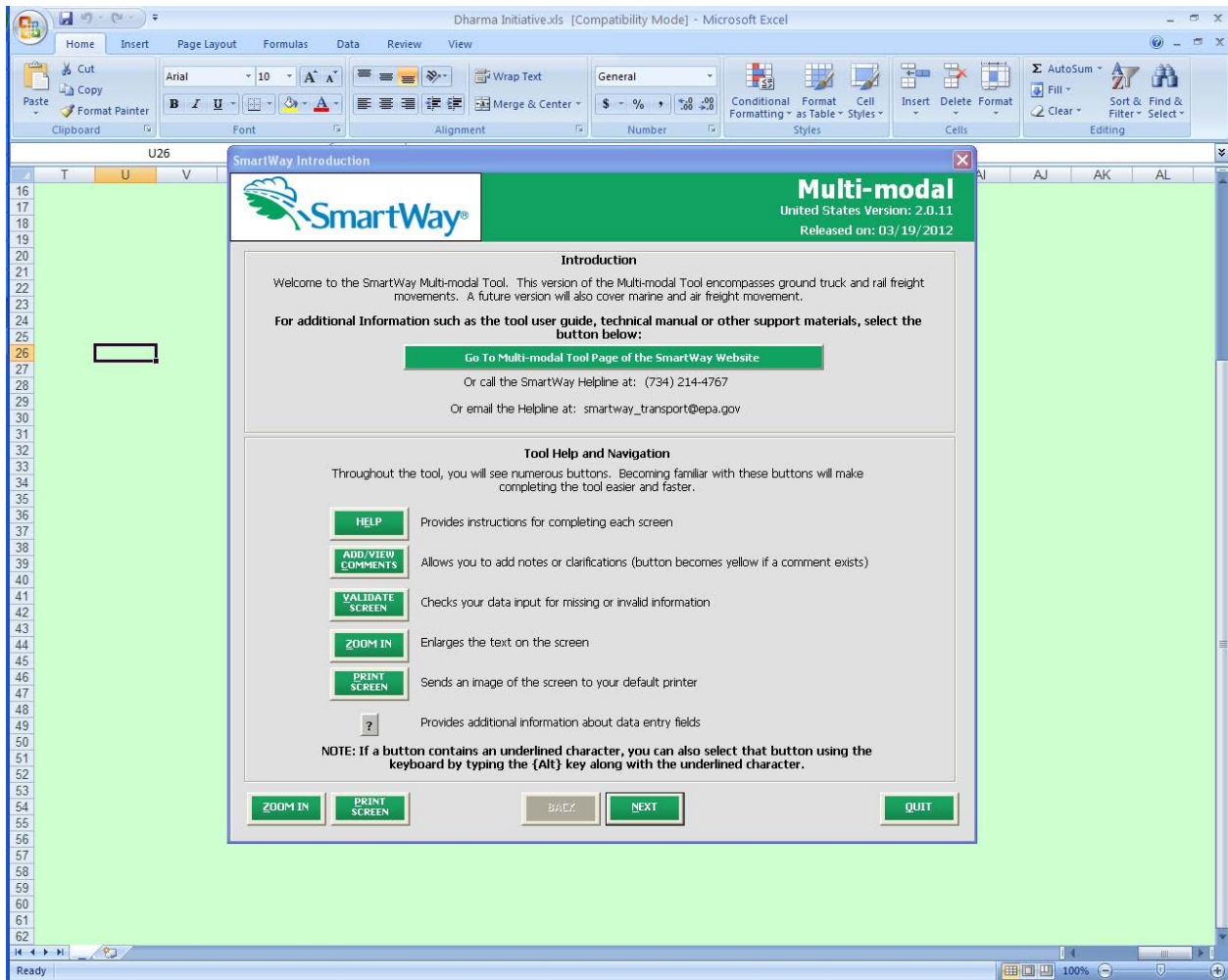
- 1) Save the tool to your computer in a folder on your hard drive; and,
- 2) Double-click on the file to open the tool.

You will see a security warning box appear (**Figure 3**).



**Figure 3: Security Warning Box**

- 3) Click on the **Enable Macros** button in the security warning box. The following screen (**Figure 4**) should appear:



**Figure 4: Multi-modal Carrier FLEET Tool Welcome Screen**

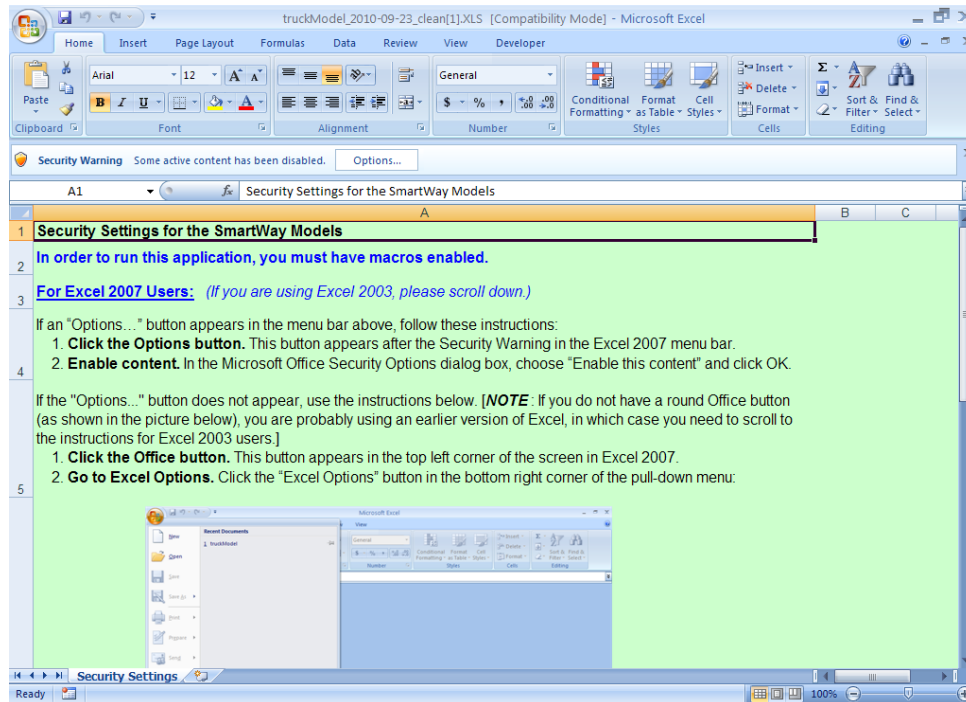
The part of the tool that you fill out resides in the gray, blue, and dark green forms that appear on the screen. The Excel workbook that remains in the background – and which normally appears as a light green screen as in **Figure 4** – is where all of the data you enter is actually stored. However, for the purpose of your data entry, please disregard the background workbook.

### ***Security Settings for Excel 2007 Users***

The default settings for Excel 2007 should enable you to run the tool without any changes. To run the tool:

- 1) Save the tool to your computer; and,

- 2) Open the file, and click the “Options...” button that appears after the Security Warning just below the menu bar (**Figure 5**). Detailed instructions are also provided on the screen itself.



**Figure 5: Security Warning Screen**

- 3) In the Microsoft Office Security Options dialog box (**Figure 6**), choose “Enable this content” and click **OK**.

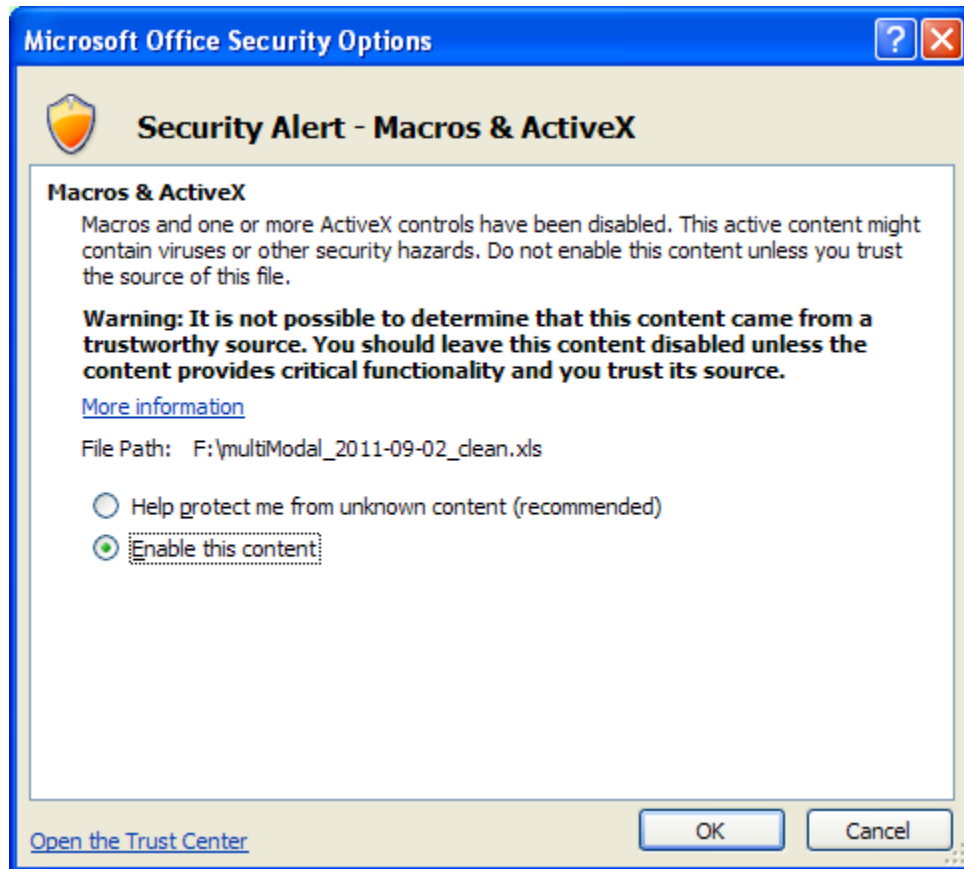
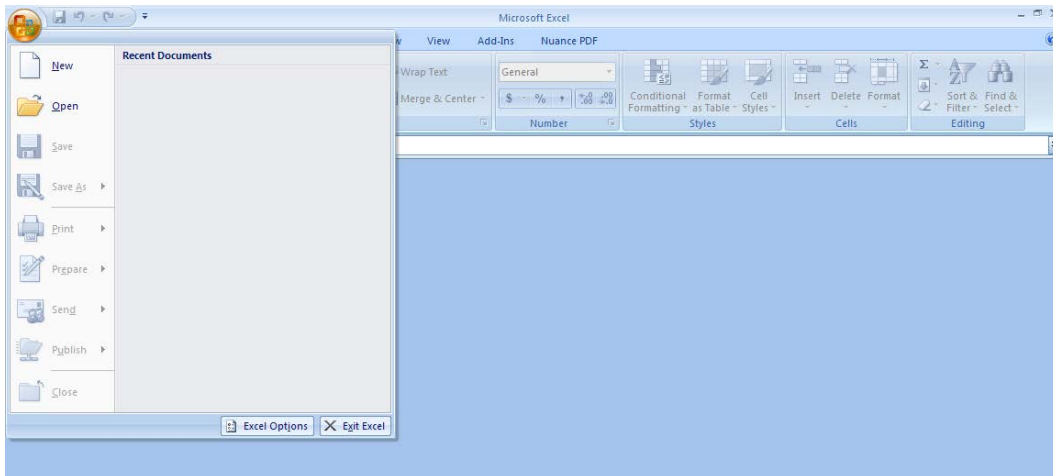


Figure 6: Security Options Dialogue Box

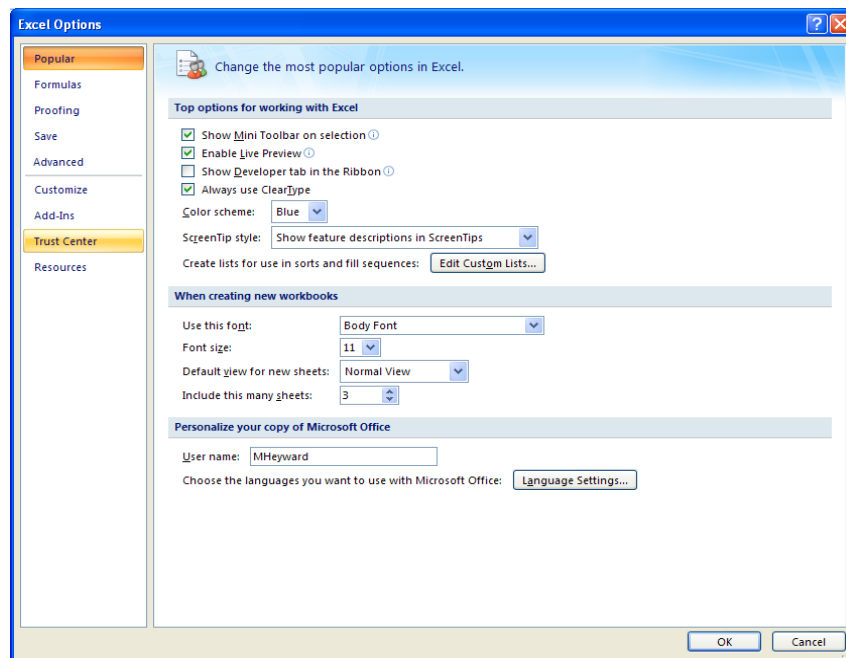
If you reach this point and the tool does not open, please review the “**Software and Hardware Requirements**” on Page 7 of Part 1 of the guidance series. Otherwise, you may have your security set too high. To adjust your security settings, click the **Office** button (in the top left corner of the screen) and then click the “Excel Options” button in the bottom right corner of the pull-down menu (**Figure 7**):





**Figure 7: Excel Options Drop-Down Menu**

On the Excel Options screen, click on **Trust Center** in the left navigation bar (**Figure 8**):



**Figure 8: Excel Options Drop-Down Menu**

When the Trust Center options display opens, click on **Trust Center Settings** in the bottom right portion of the screen (**Figure 9**):

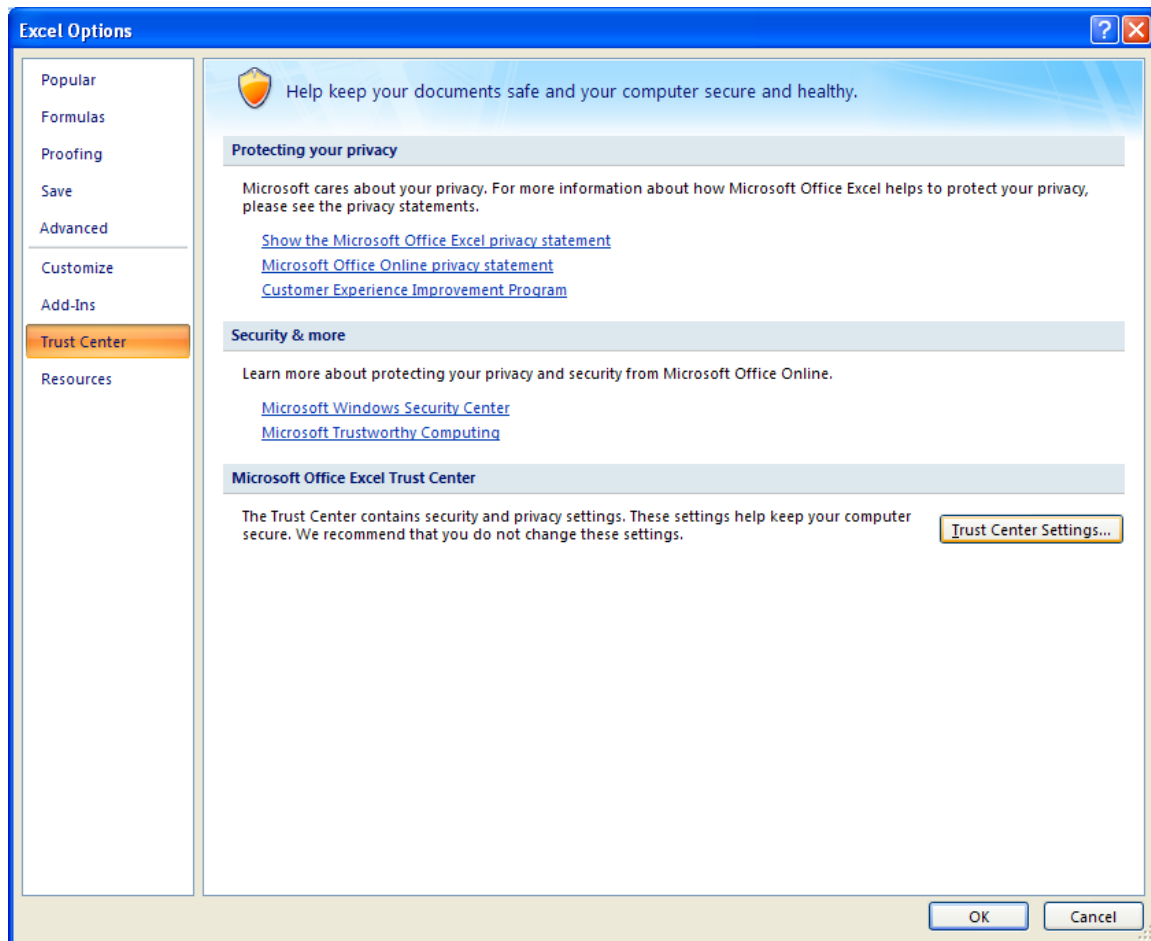
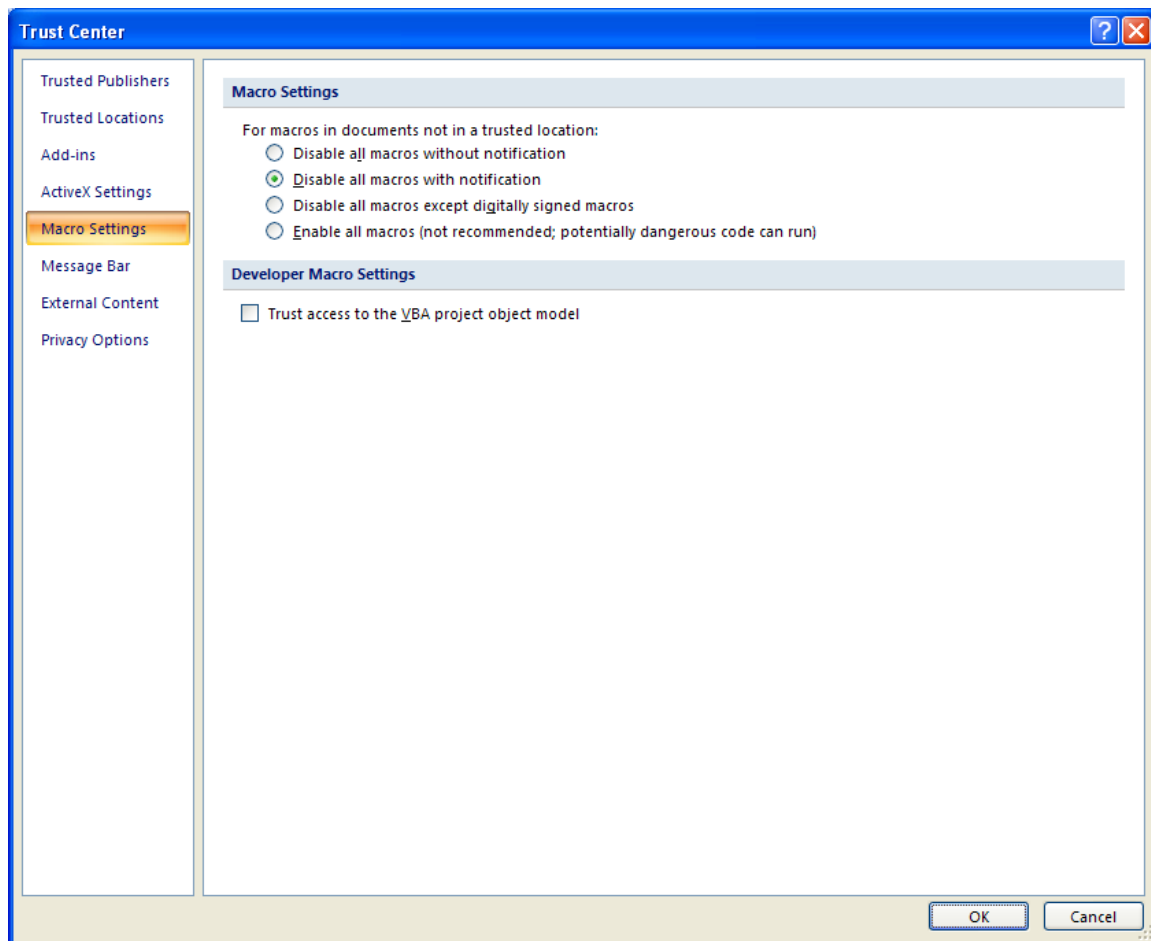


Figure 9: Trust Center Settings Screen

Choose the setting “Disable all macros with notification” (**Figure 10**) and click **OK**.



**Figure 10: Macro Settings Screen**

Next, to run the tool:

- 1) Save it to your computer.
- 2) Open the file, and click the Options or Enable Content button as described above.
- 3) In the Microsoft Office Security Options dialog box (**Figure 6**), choose “Enable this content” and click **OK**.

If the tool does not open at this point, please review the Software and Hardware Requirements in Part 1 of this guide.

## Basic Organization of the SmartWay Multi-modal Carrier FLEET Tool

### *Understanding the Tool Format and Structure*

The SmartWay Multi-modal Carrier FLEET Tool is organized around (1) information screens, (2) forms or worksheets, and (3) reports/summaries that guide you through the process joining the SmartWay Transport Partnership and/or providing your annual update to maintain your good standing with the program.

Each screen or form opens up within a Microsoft Excel spreadsheet. The screens generally look like the one shown here:

The screenshot shows a Microsoft Excel window titled "SmartWay Introduction". The window has a blue header bar with the SmartWay logo on the left and the text "Multi-modal United States Version: 2.0.11 Released on: 03/19/2012" on the right. The main content area is divided into two sections. The first section, titled "Introduction", contains a welcome message and a button labeled "Go To Multi-modal Tool Page of the SmartWay Website". Below this button are two lines of text: "Or call the SmartWay Helpline at: (734) 214-4767" and "Or email the Helpline at: smartway\_transport@epa.gov". The second section, titled "Tool Help and Navigation", contains a list of buttons with their functions: "HELP" (Provides instructions for completing each screen), "ADD/VIEW COMMENTS" (Allows you to add notes or clarifications (button becomes yellow if a comment exists)), "VALIDATE SCREEN" (Checks your data input for missing or invalid information), "ZOOM IN" (Enlarges the text on the screen), "PRINT SCREEN" (Sends an image of the screen to your default printer), and a question mark icon (Provides additional information about data entry fields). Below this list is a note: "NOTE: If a button contains an underlined character, you can also select that button using the keyboard by typing the {Alt} key along with the underlined character." At the bottom of the window, there are five buttons: "ZOOM IN", "PRINT SCREEN", "BACK", "NEXT", and "QUIT".

SmartWay Introduction

**Multi-modal**  
United States Version: 2.0.11  
Released on: 03/19/2012

**Introduction**

Welcome to the SmartWay Multi-modal Tool. This version of the Multi-modal Tool encompasses ground truck and rail freight movements. A future version will also cover marine and air freight movement.

For additional Information such as the tool user guide, technical manual or other support materials, select the button below:

**Go To Multi-modal Tool Page of the SmartWay Website**

Or call the SmartWay Helpline at: (734) 214-4767

Or email the Helpline at: smartway\_transport@epa.gov

**Tool Help and Navigation**

Throughout the tool, you will see numerous buttons. Becoming familiar with these buttons will make completing the tool easier and faster.

**HELP** Provides instructions for completing each screen

**ADD/VIEW COMMENTS** Allows you to add notes or clarifications (button becomes yellow if a comment exists)

**VALIDATE SCREEN** Checks your data input for missing or invalid information

**ZOOM IN** Enlarges the text on the screen

**PRINT SCREEN** Sends an image of the screen to your default printer

**?** Provides additional information about data entry fields

NOTE: If a button contains an underlined character, you can also select that button using the keyboard by typing the {Alt} key along with the underlined character.

**ZOOM IN** **PRINT SCREEN** **BACK** **NEXT** **QUIT**

Figure 11: Opening Screen of Multi-modal Carrier FLEET Tool

The name of each form appears at the top left-hand corner of the screen, in white text on the blue window bar.



**Figure 12: Screenshot of Title of Screen/Form**

Each screen contains text instructions or information about the program. Where applicable, the screen will also include buttons linking to the SmartWay website or other sections of the tool (e.g., the various data entry screens); these buttons will be appear in green as shown below.



**Figure 13 Screenshot of Button Link in the Tool**

The screens also contain navigation buttons to direct you through the tool.



**Figure 14 Screenshot Navigation Buttons in the Tool**

When new concepts/ topic are introduced on a screen, a small question mark ([?]) appears next to it. When you click on the question mark, you will find additional definitions of terms or instructions to help you complete the screen properly.

### **Reviewing the Introductory Screens**

Before you reach your data entry section of the tool, you will move through five introductory pages that allow you to review the basics of participation in SmartWay for multi-modal carriers:

- **The “SmartWay Introduction” Screen**
- **The “Partnership Agreement” Screen**
- **The “Is this the Right Tool for Me?” Screen**
- **The “Required Information” Screen**
- **The Summary Guidance Screen**

The features of these screens are described below.

#### ***The “SmartWay Introduction” Screen***

The **SmartWay Introduction** screen is the first window that appears when the tool is opened (**Figure 15**). This screen contains a link to the SmartWay website where you can view and download additional information about the program, the tool, and the technical basis for the calculations in the tool.

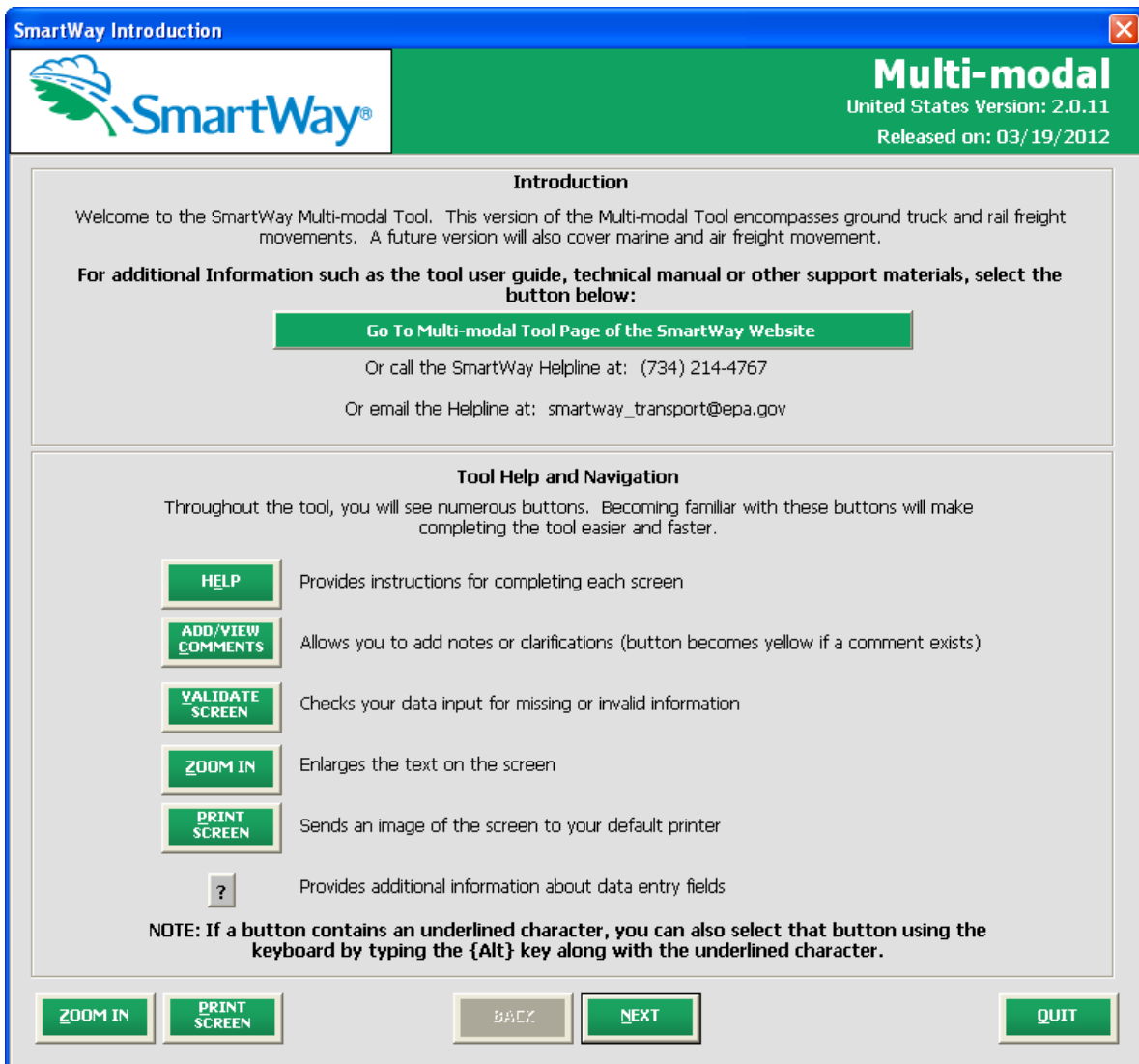
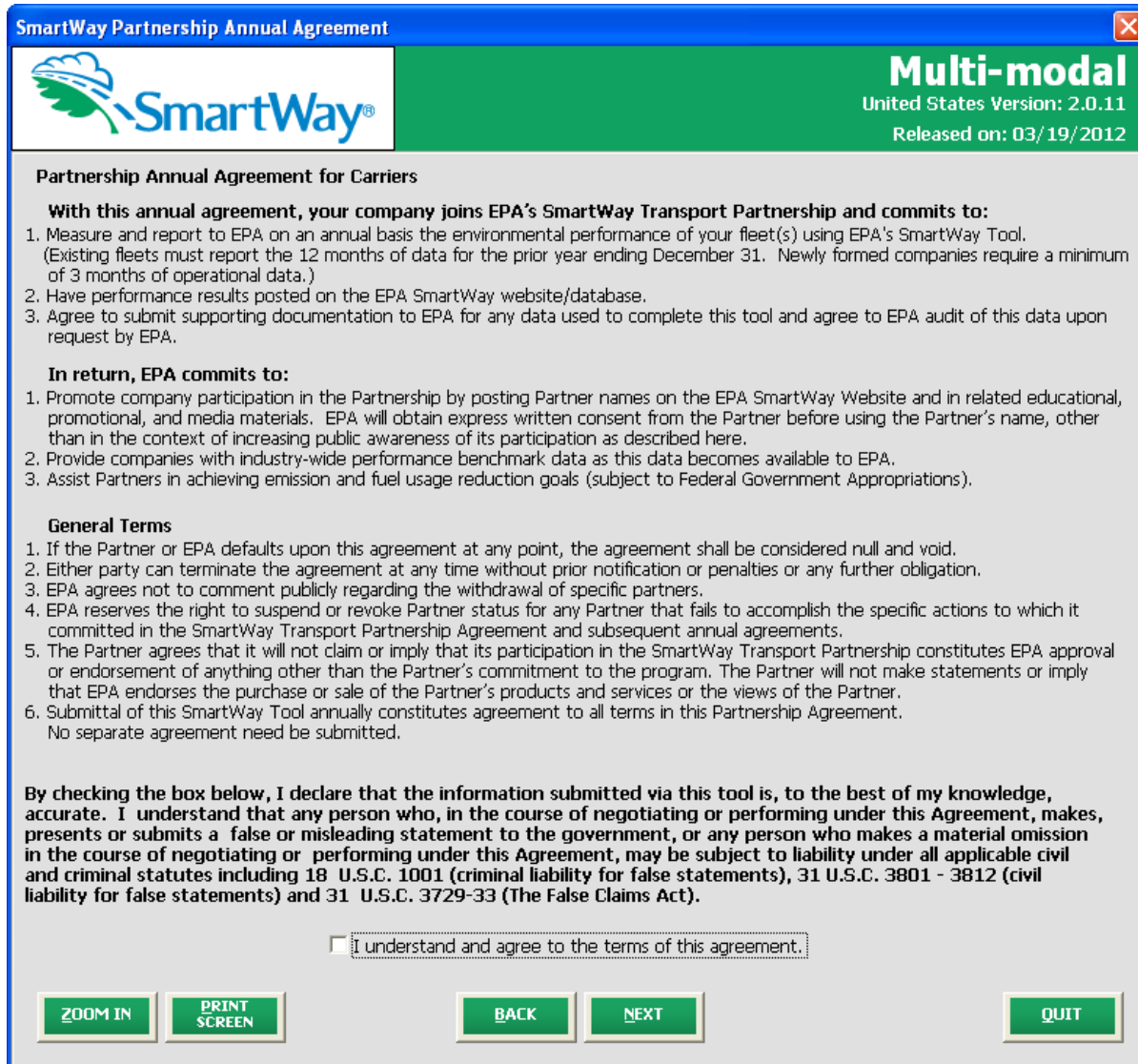


Figure 15: SmartWay Introduction Screen

## The “SmartWay Partner Agreement” Screen



SmartWay Partnership Annual Agreement

**Multi-modal**  
United States Version: 2.0.11  
Released on: 03/19/2012

**Partnership Annual Agreement for Carriers**

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

1. Measure and report to EPA on an annual basis the environmental performance of your fleet(s) using EPA's SmartWay Tool. (Existing fleets 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. Have performance results posted on the EPA SmartWay website/database.
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.

**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.
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 annual agreements.
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 Tool annually constitutes agreement to all terms in this Partnership Agreement. No separate agreement need be submitted.

**By checking the box below, I declare that the information submitted via this tool is, to the best of my knowledge, accurate. I understand that any person who, in the course of negotiating or performing under this Agreement, makes, presents or submits a false or misleading statement to the government, or any person who makes a material omission in the course of negotiating or performing under this Agreement, may be subject to liability under all applicable civil and criminal statutes including 18 U.S.C. 1001 (criminal liability for false statements), 31 U.S.C. 3801 - 3812 (civil liability for false statements) and 31 U.S.C. 3729-33 (The False Claims Act).**

☐ I understand and agree to the terms of this agreement.

ZOOM IN PRINT SCREEN BACK NEXT QUIT

Figure 16: SmartWay Partner Agreement

After clicking the  button on the [SmartWay Introduction](#) screen, the [SmartWay Partner Agreement for Carriers](#) will appear. This screen replicates the agreement language found in Part 1 of this Users Guide series.

Submitting a SmartWay Multi-modal Carrier FLEET Tool to EPA constitutes agreement to all terms in the Partnership Agreement, so please review this screen or the text version in Part 1 of this users guide series **before** sending your tool to EPA.

To reach the data entry sections of the tool, you must agree to this language to join the SmartWay Transport Partnership by clicking check box at the bottom of the screen.

SmartWay Multi-modal Carrier FLEET Tool submissions are due on an annual basis; therefore, when you submit your tool each year, this will constitute your renewal of your partnership agreement. **Failure to send your annual tool update will constitute a violation of the terms of the agreement and will result in immediate removal of your company name/fleet from the SmartWay partner list.**



**NOTE:** *While in the past, SmartWay supported a lengthy warning process for partners that were delinquent submitting their partnership materials; however, due to the large number of partners currently joining and submitting materials to SmartWay, this level of customized service can no longer be supported.*



## The “Is this the Right Tool for Me?” Screen

SmartWay offers several FLEET tools tailored for different business models and fleets/divisions. Most trucking companies will use the Truck Carrier FLEET Tool; however, it is advisable to review the checklist in Part 1 of the user guide series and/or this screen in the Multi-modal Carrier FLEET Tool to make sure it is the best option for your operations.



The screenshot shows a software window titled "SmartWay Tool Selection" with a close button in the top right corner. The window has a blue header bar with the SmartWay logo on the left and the text "Multi-modal United States Version: 2.0.11 Released on: 03/19/2012" on the right. The main content area has a light gray background and contains the following text:

**Is this the right SmartWay tool for me?**

SmartWay has a number of tools that may be appropriate for trucking companies: Truck Carrier, Logistics, and Multi-modal. Each of these tools is tailored to specific types of companies. Partners may need to complete different tools based on the transport modes employed (truck only, or intermodal) and/or the amount of business contracted to other companies. To help make sure that you are filling out the right tool, SmartWay has included guidance below:

**Truck Tool**

The Truck Tool is used by companies that predominately operate their own managed fleet (owned or leased), with less than 5% of the miles or ton-miles in other modes such as rail or third-party providers. If you operate your own managed fleet and move 5% or more of your miles or ton-miles with a third-party provider, then you should use the Multi-modal Suite. The third-party operations should be included in the Logistics Tool in the Multi-modal Suite. For-hire operation should be input separately from dedicated fleet operation in the Truck Tool. For dedicated fleets, you may include all dedicated operations in one fleet in the Truck Tool and characterize it as a private fleet type, or you may elect to track and publicly report your clients' dedicated fleets separately.

**Logistics Tool**

The Logistics Tool is intended for use by companies (such as 3PLs, non-asset based carriers, brokerage, and/or freight forwarders and similar companies) that employ third-party providers. If your company also has an internally managed fleet that is used in addition to third-party providers, then you should use the Truck Tool for the internal fleet and submit it to SmartWay by the Truck Tool submission date. You should then include this fleet in your Logistics Tool along with all your third-party operations. If your internal fleet is used only by your company, then it should be categorized as a private fleet in the Truck Tool. Third-party rail operations are included in the Logistics Tool.

**Multi-modal Suite**

The Multi-modal Suite contains the Truck Tool and Logistics Tools. The Multi-modal Suite should be used by companies that have a mix of internally operated fleets and third-party fleets and/or internally managed fleet components that do not match the fleets the public could hire. An example would be a company that has three internal truck fleets and a logistics fleet, but only has a "truckload division" and an "intermodal division" that can be hired by the public. In that case, the three truck fleets would be completed using the Truck Tool within the Multi-modal suite, and the logistics fleet using the Logistics Tool within the Multi-modal suite. The Multi-modal suite can then allocate your operations from the four internal fleets to the two externally hire-able entities.

**Examples**

Case 1: MH Trucking is a 200 truck fleet, that only contracts out a few loads at Christmas. These loads constitute less than 5% of MH Trucking's total loads. MH Trucking should complete the Truck Tool.

Case 2: RB Inc., operates none of its own trucks, and contracts other carriers to move all its freight. RB Inc., should complete the Logistics Tool.

Case 3: MP Services operates three divisions. A truckload division with its own fleet of 100 trucks, a Contract Carrier Division that contracts with 20 other truck companies, and an intermodal division that uses its own truck fleet and three rail companies. MP Services should use the Multi-modal Suite, creating a Truck Component Fleet for its truckload division, a Logistics Component Fleet run for its contract services division, and a Logistics Component Fleet for its intermodal division (using its own truck fleet as an input with the three rail companies).

**Still Not Sure?**

Call your Partner Account Manager (PAM) or the SmartWay Help Line for assistance: 734-214-4767.


At the bottom of the window, there are five buttons: "ZOOM IN", "PRINT SCREEN", "BACK", "NEXT", and "QUIT".

Figure 17: Determining Which Tool is Appropriate for your Fleets/Divisions

This screen provides basic information on three SmartWay tools (Truck, Logistics, and Multi-Modal) appropriate for different types of trucking operations. Your choice of tool will depend primarily on the transport modes you utilized and the amount of business you contract to other companies.

## The “Required Information” Screen

The next screen summarizes the information needed to complete the Multi-modal Carrier FLEET Tool.

Click  in order to retain a hardcopy for reference as you complete the rest of the tool.



The screenshot shows a software window titled "SmartWay - Required Information". The window has a blue header bar with the SmartWay logo on the left and the text "Multi-modal United States Version: 2.0.11 03/19/2012" on the right. Below the header, a grey box contains the text: "Following is a brief description of the information you will need to complete this tool. For further details, please consult the Multi-modal Tool User Guide." Below this, there are four sections, each with a title and a list of required information:

- Partner Information**
  - Company Name, Address, City, State, ZIP, Country, Main Phone, Website
  - Primary, Executive, and Other Contact Information:
    - Name, Title, Address, City, State, ZIP, Country, Phone, Email
- Company Characterization Information**
  - Company Names and Contacts
  - Standard Carrier Alpha Codes (SCACs) and/or Motor Carrier numbers
  - Fleet type (private/for-hire/dedicated)
  - Operation Type and Body Type
- Component Fleet/Division Profile\***
  - Types of equipment
  - Vehicle use by type
  - Fuel types used
  - Engine information
  - Total ton-miles
  - Total miles
- Composite Fleet/Division Characterization**
  - Composite Fleet/Division names
  - Associated Component Fleets/Division
  - Component Fleet/Division Allocation Percentages

At the bottom of the window, a grey box contains the text: "\* Specific data required will depend on the mode selected. Items above are general guidelines." Below this, there are four green buttons: "BACK", "NEXT", "ZOOM IN", and "PRINT".

Figure 18: Summary of Required Input Information

## The Summary Guidance Screen

The next screen provides guidance regarding use of the Multi-modal Carrier FLEET Tool, including an example definition for different types of fleets/divisions defined within the tool.

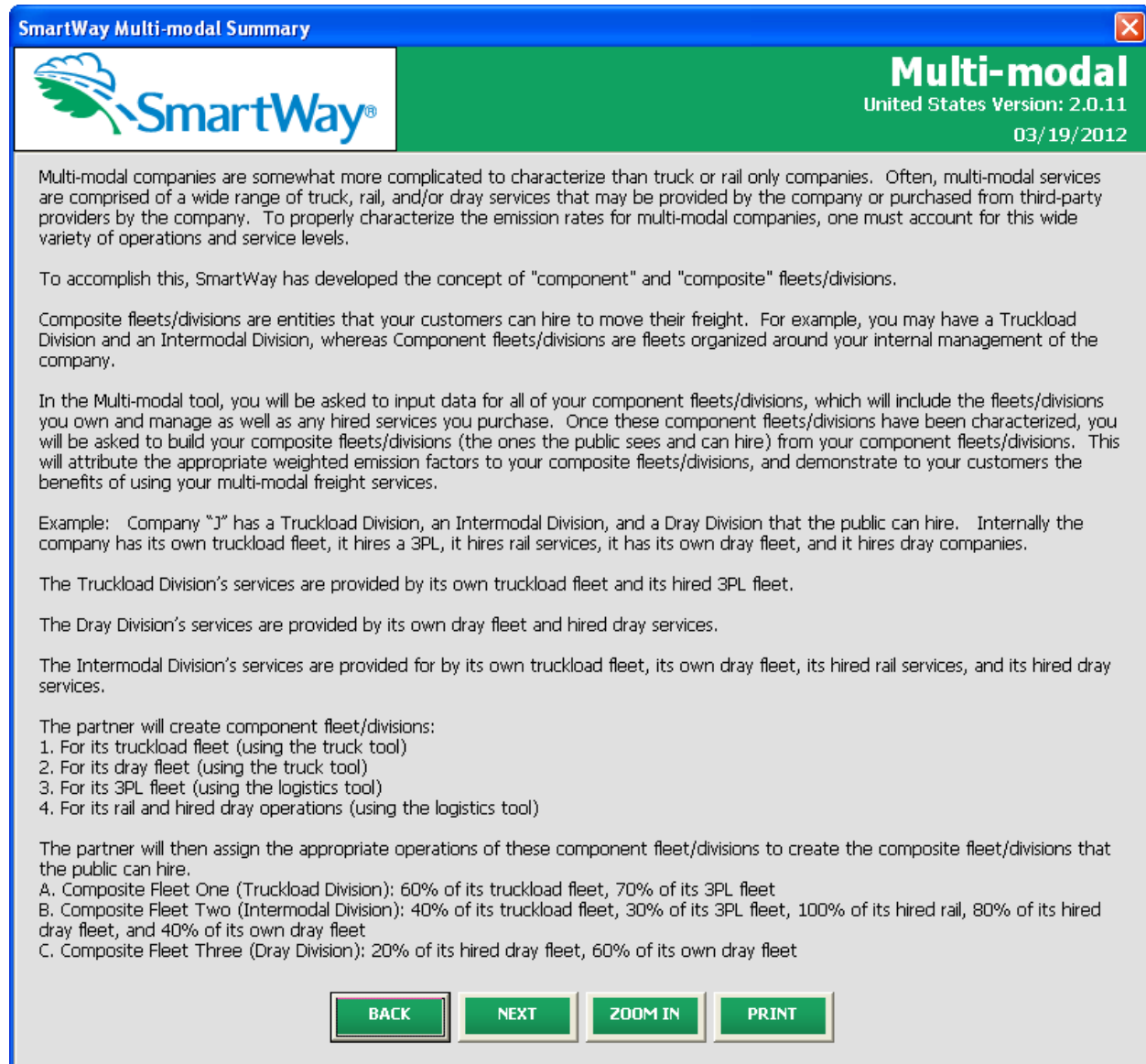


Figure 19: Summary of Required Input Information

Once you have navigated through the five introductory screens, you will be taken to the SmartWay Multi-modal Carrier FLEET Tool [Home](#) screen.

## Navigating the “Home” Screen

Figure 20 displays the structure of the [Home](#) screen.

The screenshot shows the 'Home' window of the SmartWay Multi-modal application. The title bar says 'Home' and the window has a close button. The header area features the SmartWay logo on the left and 'Multi-modal United States Version: 2.0.11 03/19/2012' on the right. The main content area lists eight steps for data entry, each with a corresponding button or input field. A 'Report Year' dropdown is set to '2011'. At the bottom, there is a row of navigation buttons: BACK, ZOOM IN, PRINT SCREEN, SAVE, QUIT, and HELP. A note at the bottom left states: '\* Be sure to read carefully the directions that appear when you select this option.'

Home

SmartWay<sup>SM</sup>

**Multi-modal**  
United States Version: 2.0.11  
03/19/2012

Please complete the following steps. For more information, select the 'Help' button.

1. Enter Partner Name (Exactly as it should appear on the SmartWay website)

Report Year: 2011

2. Enter Contact Information:

Go To Contact Information Screen

3. Define Your Component Fleets/Divisions ?

Choose a Carrier Mode: [Dropdown]

4. Download SmartWay Carrier Data File

Download Latest SmartWay Carrier Data File

5. Select Component Fleet/Division for Data Entry (Double-click the fleet name or select and hit Enter): ?

6. Define Your Composite Fleets/Divisions ?

Define your Composite Fleets/Divisions

7. View Reports

Go To Reports Menu

8. Create Final Version ?

Generate File to Send to EPA \*

\* Be sure to read carefully the directions that appear when you select this option.

BACK ZOOM IN PRINT SCREEN SAVE QUIT HELP

Figure 20: Main Tool Navigation or [Home](#) Screen

From the [Home](#) screen, you can:

- 1) Enter your Partner Name;
- 2) Fill out company and contact information;
- 3) Define your component fleet(s)/division(s) by mode;

- 4) Download the latest SmartWay Carrier data file;
- 5) Enter data to characterize your component fleet(s)/division(s);
- 6) Define your composite (multi-modal) fleet(s)/division(s);
- 7) View results of your data entry; and
- 8) Create final version to submit to EPA.

There are eight steps on the [Home](#) screen. Each step is described below:

- 1. Enter Partner Name:** Here you will enter the name of your organization, exactly as it should appear on the Partner Listing of the SmartWay Web site.
- 2. Enter Contact Information**
  - a. **Go To Contact Information Screen:** This button takes you to a screen that asks for general company contact information, a primary SmartWay point of contact, and an executive-level contact. Additional contacts may also be included.
- 3. Define your Component Fleets/Divisions**
  - a. **Choose a Carrier Mode:** Select the mode of interest. The Multi-modal Carrier FLEET tool currently allows users to define truck and logistics component fleet/divisions. Details regarding rail shipments may be entered by selecting the logistics mode.
  - b. When you select a Carrier mode, the software will automatically display screens where you will define all of the fleet/divisions your company operates in each transport mode. You will provide information describing the operation of those fleet/divisions.
- 4. Download SmartWay Carrier File**
  - a. **Download Latest SmartWay Carrier File:** Select this button to download the latest SmartWay Carrier performance data for use with logistic component fleet/divisions.
- 5. Select Component Fleet/Division for Data Entry**
  - a. **View or change the selected component fleet/division:** Select a component fleet/division to provide the activity, performance and fleet/division composition information necessary to calculate the efficiency metrics for your carrier fleet/divisions.
- 6. Define Your Composite Fleets/Divisions**
  - a. **Define Your Composite Fleets/Divisions:** This selection will allow you to identify your composite fleets/divisions (made up of one or more of your component fleet/divisions) and to allocate total annual mileage and ton-miles across the corresponding component fleet/divisions. For example, a “composite fleet/division” representing intermodal services might include three component fleet/divisions – one logistics carrier and two truck carrier companies.

7. **View Reports:** Here you can see final summaries of your data including:
  - a. **Go to Report Menu:** This button will display a reports menu screen which has multiple options for viewing and printing all of the data, as well as performance data for either your Component Fleet/Divisions or your Composite Fleet/Divisions.
8. **Create Final Version**
  - a. **Generate File to Send to EPA:** This button creates a ‘final’ version of the Multi-modal Tool which you will send as an E-mail attachment either to your Partner Account Manager (PAM) or the common Smartway E-mail address. Note that pressing the **OK** button does not automatically submit the data file to EPA – follow the instructions on the popup screens carefully to complete this process.

### **Entering Your Data**

*The first six sections of the [Home](#) screen should be completed in order, and comprise all the steps needed to complete your SmartWay Multi-modal Tool. After they are completed, you can review your output and/or submit your tool to EPA.*

### **Saving Your Data**

Although you will also be prompted to save your data after selecting “QUIT”, we recommend saving your data entry intermittently, especially if you are entering information for large numbers of carriers and/or logistics fleets. A “SAVE” button is located at the bottom of all data-entry screens for this purpose.

### **Reviewing Your Data**

The data reports provided by the Multi-modal Carrier FLEET Tool are discussed in the [View Reports](#) section below.

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## Entering Your Data

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You should complete the first six sections of the [Home](#) screen (see **Figure 21**) in order. The next six sections of this guide explain how to enter your data on each of the required and optional screens.

### **Section 1 Data Entry: Enter Partner Name**

- Enter the name of your organization, exactly as it should appear on the Partner Listing of the SmartWay Web site.
- Note that the reporting year for your data entry is shown next to “Report Year” to the right of the Partner name.

Home


**Multi-modal**  
United States Version: 2.0.11  
03/19/2012

Please complete the following steps. For more information, select the 'Help' button.

1. Enter Partner Name (Exactly as it should appear on the SmartWay website)

Report Year:  

2011

2. Enter Contact Information:

Go To Contact Information Screen

3. Define Your Component Fleets/Divisions ?

Choose a Carrier Mode:

Enter Name Here

4. Download SmartWay Carrier Data File

Download Latest SmartWay Carrier Data File

5. Select Component Fleet/Division for Data Entry (Double-click the fleet name or select and hit Enter): ?

6. Define Your Composite Fleets/Divisions ?

Define your Composite Fleets/Divisions

7. View Reports

Go To Reports Menu

8. Create Final Version ?

Generate File to Send to EPA\*

*\* Be sure to read carefully the directions that appear when you select this option.*

BACK

ZOOM IN

PRINT SCREEN

SAVE

QUIT

HELP

Figure 21: Step 1 – Enter Partner Name



## Section 2 Data Entry: Enter Company and Contact Information

PLEASE REFER TO **WORKHEET #1: Company and Contact Information** in the **Part II Data Collection and Workbook** to complete this section of the Multi-modal Carrier FLEET Tool.

From the **Home** screen, select the **Go To Contact Information Screen** button.

Home

**Multi-modal**  
United States Version: 2.0.11  
03/19/2012

Please complete the following steps. For more information, select the 'Help' button.

1. Enter Partner Name (Exactly as it should appear on the SmartWay website)  
Dharma Initiative

2. Enter Contact Information:  
**Go To Contact Information Screen** **Select this**

3. Define Your Component Fleets/Divisions ?  
Choose a Carrier Mode: [Dropdown]

4. Download SmartWay Carrier Data File  
**Download Latest SmartWay Carrier Data File**

5. Select Component Fleet/Division for Data Entry (Double-click the fleet name or select and hit Enter): ?  
[Empty List Box]

6. Define Your Composite Fleets/Divisions ?  
**Define your Composite Fleets/Divisions**

7. View Reports  
**Go To Reports Menu**

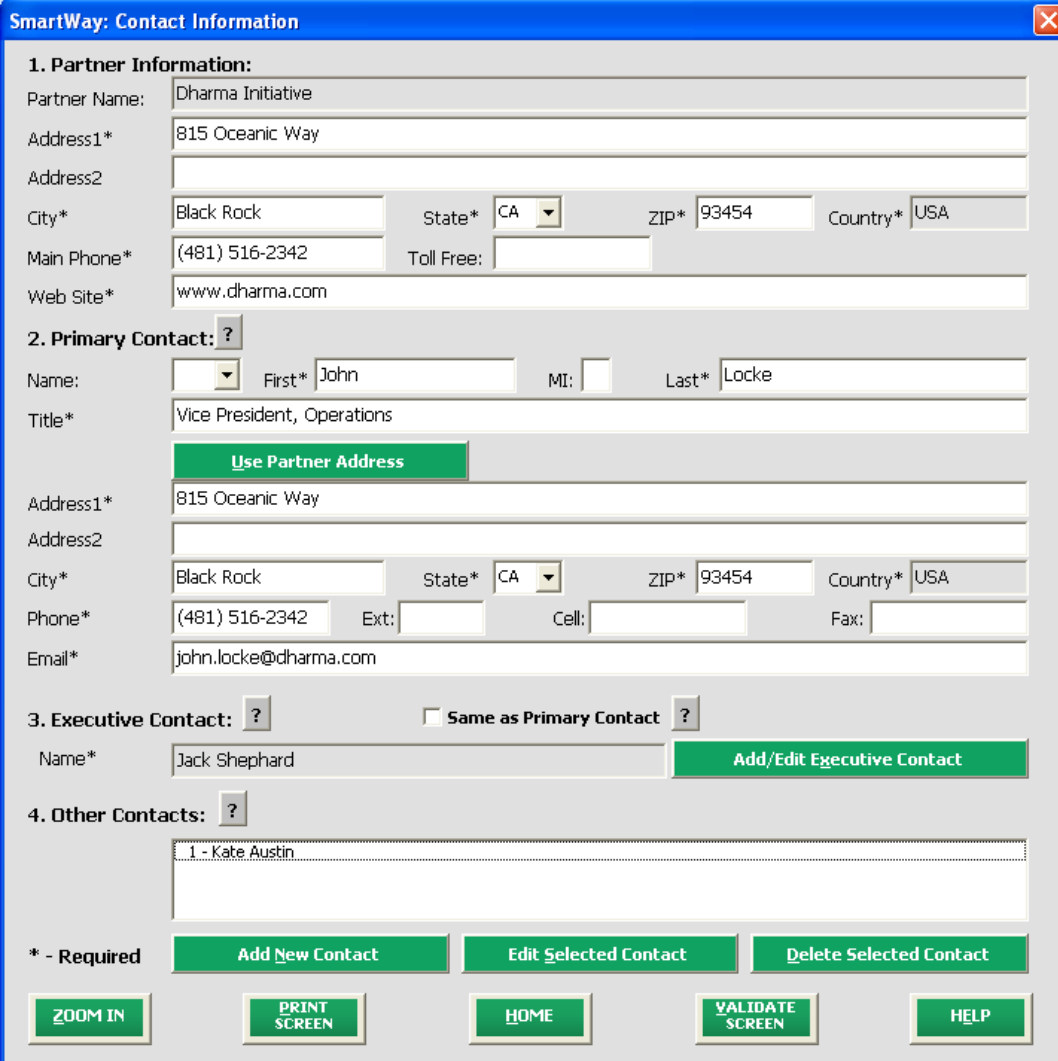
8. Create Final Version ?  
**Generate File to Send to EPA\***

*\* Be sure to read carefully the directions that appear when you select this option.*

**BACK** **ZOOM IN** **PRINT SCREEN** **SAVE** **QUIT** **HELP**

Figure 22: Accessing the Contact Information Screen

You will then be taken to the **Contact Information** screen. The **Partner Name** entered in Step 1 on the **Home** screen will be shown at the top of the screen. This screen will ask you to, provide the following information:



**SmartWay: Contact Information**

**1. Partner Information:**

Partner Name: Dharma Initiative

Address1\*: 815 Oceanic Way

Address2:

City\*: Black Rock State\*: CA ZIP\*: 93454 Country\*: USA

Main Phone\*: (481) 516-2342 Toll Free:

Web Site\*: www.dharma.com

**2. Primary Contact: ?**

Name: First\*: John MI: Last\*: Locke

Title\*: Vice President, Operations

**Use Partner Address**

Address1\*: 815 Oceanic Way

Address2:

City\*: Black Rock State\*: CA ZIP\*: 93454 Country\*: USA

Phone\*: (481) 516-2342 Ext: Cell: Fax:

Email\*: john.locke@dharma.com

**3. Executive Contact: ?** ☐ Same as Primary Contact ?

Name\*: Jack Shephard **Add/Edit Executive Contact**

**4. Other Contacts: ?**

1 - Kate Austin

\* - Required

**Add New Contact** **Edit Selected Contact** **Delete Selected Contact**

**ZOOM IN** **PRINT SCREEN** **HOME** **VALIDATE SCREEN** **HELP**

**Figure 23: Entering Company and Contact Information**

1. Company Information
2. Primary Contact information
3. Executive Contact (Vice President or higher)
4. 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.

### Steps for Entering Contact Information:


- **Enter the Company data** in section 1.
- **Enter the Primary Contact data** in section 2.

The **Primary 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 Primary Contact is responsible for coordinating the assembly of information to complete/update fleet/division 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 primary contacts may need to add SmartWay/EPA to their preferred list of trusted sources.)

If the Primary Contact shares the same address as the company, you may select the

 **Use Company Address**

button to auto –populate the address section of this record.

- **Enter the Executive Contact Information** by selecting the  **Add/Edit Executive Contact** button to the right; enter the required data.

The **Executive Contact** is the company executive who is responsible for agreeing to the requirements in the SmartWay Partnership Annual Agreement, overseeing the Primary 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.

If the Primary Contact and Executive Contact are one in the same, simply select the

 **Same as Primary Contact**

box to auto-populate the Executive Contact information.

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

Enter the first Other Contact then click **OK** when done.




**NOTE:** In some cases, companies with multiple fleets/divisions 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  at the bottom of the screen. If any information is missing or invalid, a dialogue box will appear informing you what additional information is required.

Next select the  button to return to the [Home](#) screen and go to Step 3.

## **Section 3 Data Entry: Define Your Component Fleets/Divisions**

PLEASE REFER TO **WORKHEET #2: Component Fleet Characterization** in the **Part II Data Collection and Workbook** to complete this section of the Multi-Modal Carrier FLEET Tool.

### **Understanding Component and Composite Fleets/Divisions:**

Multi-modal companies are somewhat more complicated to characterize than truck or rail-only companies. Often, multi-modal services are comprised of a wide range of truck, rail, and/or dray services that may be provided by the company or purchased from third party providers by the company. To properly characterize the emission rates for multi-modal companies, one must account for this wide variety of operations and service levels.



**Note:** Multi-modal rail freight is defined as *any* freight transported by a multi-modal carrier, which may include intermodal containers as well as other cargo configurations such as boxcars, tanker cars, etc.

To accomplish this SmartWay has developed the concept of “component” and “composite” fleets/divisions.

**Composite fleet/divisions** are entities that your customers can hire to move their freight. For example you may have a Truckload Division and an Intermodal Division, whereas **Component fleet/divisions** are organized around your internal management of the company.

In the Multi-modal tool you will be asked to input data for all of your component fleets/divisions which will include those you own and manage as well as any hired services you purchase. Once these component fleets/divisions have been characterized you will be asked to build your composite fleets/divisions (the ones the public sees and can hire) from your component fleets/divisions. This process will attribute the appropriate weighted emission factors to your composite fleets/divisions, and demonstrate to your customers the benefits of using your multi-modal freight services.

**Example:** Company “J” has a Truckload Division, an Intermodal Division, and a Dray Division that the public can hire. Internally the company has its own truckload fleet, it hires a 3PL, it hires rail services, it has its own dray fleet, and it hires dray companies.

The Truckload Division’s services are provided by its own truckload fleet and its hired 3PL fleet.

The Dray Division’s services are provided by its own dray fleet and hired dray services

The Intermodal Division’s services are provided for by its own truckload fleet, its own dray fleet, its hired rail services, and its hired dray services.

Therefore the partner defines the following component fleet/divisions:

1. For its truckload fleet (using the truck mode selection)
2. For its dray fleet (using the truck mode selection)

3. For its 3PL fleet (using the logistics mode selection)
4. For its rail and hired dray operations (using the logistics mode selection)

The partner will then assign the appropriate operations of these component fleets/divisions to define the composite fleet/divisions that the public can hire:

*Composite Fleet One: Truckload Division*

60% of its truckload fleet, 70% of its 3PL fleet

*Composite Fleet Two: Intermodal Division*

40% of its truckload fleet, 30% of its 3PL fleet, 100% of its hired rail, 80% of its hired dray fleet, and 40% of its own dray fleet

*Composite Fleet Three: Dray Division*

20% of its hired dray fleet, 60% of its own dray fleet



**NOTE: Drayage operations should be included in the SmartWay Multi-modal tool if your company controls drayage movements (e.g., receives payments directly to move the freight using your own drayage trucks, or purchases drayage services directly from a third party).**

**Identifying Component Fleet/Divisions:**

On the **Home** screen select the pull-down menu next to “Choose a Carrier Mode” to display the available component fleet/division modes. The Multi-modal Carrier FLEET tool currently allows users to define truck and logistics component fleet/divisions. Details regarding rail shipments may be entered by selecting the logistics mode. Other modes will be added to the tool in the future, including air, marine, and a rail-specific module.

Note that some terminology on the Define Component Fleet/Divisions screens are slightly inconsistent between the Truck mode and the Logistics mode, however the two modes work and act the same.

The screenshot shows the 'Home' screen of the 'Multi-modal' software, 'United States Version: 2.0.11', dated '03/19/2012'. The interface is divided into a header with the SmartWay logo and a main content area with a list of steps. Step 1, 'Enter Partner Name', has a text box containing 'Dharma Initiative' and a 'Report Year' dropdown set to '2011'. Step 2, 'Enter Contact Information', has a green button 'Go To Contact Information Screen'. Step 3, 'Define Your Component Fleets/Divisions', includes a dropdown for 'Choose a Carrier Mode' with 'Logistics' and 'Truck' options; an arrow points to this dropdown from a red box labeled 'Select here'. Step 4, 'Download SmartWay Carrier Data File', has a green button 'Download Latest SmartWay Carrier Data File'. Step 5, 'Select Component Fleet/Division for Data Entry', has a large empty text box. Step 6, 'Define Your Composite Fleets/Divisions', has a green button 'Define your Composite Fleets/Divisions'. Step 7, 'View Reports', has a green button 'Go To Reports Menu'. Step 8, 'Create Final Version', has a green button 'Generate File to Send to EPA\*'. At the bottom, a note reads '\* Be sure to read carefully the directions that appear when you select this option.' and there are buttons for 'BACK', 'ZOOM IN', 'PRINT SCREEN', 'SAVE', 'QUIT', and 'HELP'.

Home

**Multi-modal**  
United States Version: 2.0.11  
03/19/2012

Please complete the following steps. For more information, select the 'Help' button.

1. Enter Partner Name (Exactly as it should appear on the SmartWay website)  
Dharma Initiative

Report Year: 2011

2. Enter Contact Information:  
Go To Contact Information Screen

3. Define Your Component Fleets/Divisions ?  
Choose a Carrier Mode: Logistics  
Truck

Select here

4. Download SmartWay Carrier Data File  
Download Latest SmartWay Carrier Data File

5. Select Component Fleet/Division for Data Entry (Double-click the fleet name or select and hit Enter): ?

6. Define Your Composite Fleets/Divisions ?  
Define your Composite Fleets/Divisions

7. View Reports  
Go To Reports Menu

8. Create Final Version ?  
Generate File to Send to EPA\*

\* Be sure to read carefully the directions that appear when you select this option.

BACK ZOOM IN PRINT SCREEN SAVE QUIT HELP

Figure 24: Selecting Component Fleet Modes on Home Screen

When you select a Component Carrier Mode, a set of screens will automatically appear allowing you to characterize your fleet/division(s) for that mode.

There are four screens in the **Fleet Characterization** section of the tool:

1. Identify Fleets/Divisions
2. Fleet/Division Details
3. Operation Categories
4. Body Types

**Screen 1: Identify Fleets/Divisions** is shown below for the truck mode below. Note that the data entry screens for logistics carriers contains the same required fields as for the truck mode, with the exception of the “95+% Control” field, as discussed below.

**SmartWay: Fleet Characterization - Truck**

**Identify Fleets/Divisions** | Fleet/Division Details | Operation Categories | Body Types

Input information for each component truck fleet operated internally by your company. Component fleets are fleets organized around your internal management of the company, while Composite Fleets (defined under Step 6 on the Multi-modal tool Home screen), represent entities that your customers can hire to move their freight. For example, component fleets might include truckload, dray, and/or 3PL fleets. A Fleet/Division Suffix is only required when you have more than one Fleet.

If you still have questions you may contact your assigned SmartWay Partner Account Manager, or the SmartWay help line at 734-214-4767.

To add component fleets, simply select the “Add Another Fleet” button at the bottom of the screen. When you have added all your component fleets and filled out the required information proceed to the next tab.

Delete	Fleet/Division Prefix (Partner Name)	Fleet/Division Suffix	Fleet/Division Name
<input type="checkbox"/> 1	Dharma Initiative	Division 108	Dharma Initiative: Division 108
<input type="checkbox"/> 2	Dharma Initiative	Hanso Group	Dharma Initiative: Hanso Group

**Delete Checked Rows** **Add Another Fleet/Division**

**BACK** **NEXT** **ZOOM IN** **PRINT SCREEN** **HOME** **CREATE FLEET(S)** **SAVE** **VALIDATE SCREEN** **ADD COMMENTS** **HELP**

**Figure 25: Identifying Component Fleets/Divisions**

### **Steps for Completing “Identify Fleets/Divisions” Screen**

Using data collected using **Worksheet #2: Component Fleet Characterization** in the **Part II Workbook**, enter data for your first fleet/division:

- **Fleet/Division Prefix (Partner Name):** Each of your component fleet/division names will begin with the name of your company. This fleet/division "prefix" will be whatever you enter in the Fleet/Division Prefix (Partner Name) field on the Identify Fleets/Divisions screen. By default, this field is automatically populated with the first 50 characters of the Partner Name that was entered on the **Home** screen. Whatever you enter for Fleet/Division Prefix for the first fleet/division will automatically be used for any additional fleets/divisions you add. Similarly, any edits you make to the Fleet/Division Prefix for the first fleet/division will automatically be reflected on each subsequent fleet/division. Note that this field is called Company Name for Logistics component fleet/divisions.
- **Fleet/Division Suffix:** Please make sure to specify each fleet/division suffix name exactly as you want it displayed on the SmartWay website, including proper capitalization, any abbreviations,



and punctuation. Remember that it will automatically be combined with the Fleet/Division Prefix (Partner Name) field. NOTE: If you have only one fleet/division, you may leave the Fleet/Division Suffix field blank, in which case your fleet/division name will simply be your Partner Name. Note that this field is called the Business Unit Identifier for Logistics component fleet/divisions.


### **Adding and Deleting Component Fleets/Divisions**



To enter another component fleet/division, select the **Add Another Fleet/Division** button. To delete a component fleet/division, select the box next to the row you wish to delete, and then select the **Delete Checked Rows** button. Once you have confirmed or modified the Partner Name and specified the Fleet/Division Suffixes, the full Fleet/Division Names will be displayed on the screen to the right of the screen.



### **Adding Comments/Notes**

Creating useful comments assists SmartWay tool reviewers in approving your tool as quickly as possible. Your comments help reviewers understand your business model. Any details that you can provide related to your business operations will speed up approval time.




Please note the  button located at the bottom of the screen. This allows you to enter notes about the collection process, your assumptions and methods, data, or other information. These details could prove useful for your reviewer when you or someone else fills out the tool next year.

If comments have been added for a particular screen, the  button will be highlighted in yellow on your screen and will now read  to indicate to your reviewer that there are comments to be read.

A  button is also available should you need assistance. You will also notice small gray icons with question marks  displayed throughout the tool. When clicked, these icons provide additional information about specific items located on the screen.

To proceed, select the [Fleet/Division Details](#) tab at the top of the screen, or simply select the

 button at the bottom of the screen.

Screen 2: Fleet/Division Details is shown below for the truck mode below.

**SmartWay: Fleet Characterization - Truck**

**Identify Fleets/Divisions** | **Fleet/Division Details** | Operation Categories | Body Types

Please provide the additional details requested below for all of the fleets/divisions you created on the previous screen. For each fleet/division, first confirm that you control over 95% of the operation of the vehicles (weighted by miles) by checking the box labeled '95+% Control'. Control means that you operate/route the fleet/division, regardless of ownership status. Control includes dedicated fleets/divisions that you operate for other parties. If you contract out more than 5% of a fleet's operation, return to the Home screen and define that component fleet as a Logistics component fleet. If you still have questions you may contact your assigned SmartWay Partner Account Manager, or the SmartWay help line at 734-214-4767. After completing the information on this screen please proceed to the next tab.

Fleet/Division Name	95+% Control	SCAC(s) ?	MCN ?	Fleet Type ?	Fleet/Division Contact ?
1: Dharma Initiative: Division 108	<input checked="" type="checkbox"/>	LOST	481516	For-Hire	Jack Shephard
2: Dharma Initiative: Hanso Group	<input checked="" type="checkbox"/>			Private/Dedicated	Kate Austin

Figure 26: Fleet/Division Details (Truck Mode)

### Steps for Completing “Fleet/Division Details” Screen

Using data collected using **Worksheet #2: Component Fleet Characterization** in the **Part II Workbook**, enter data for your fleets/divisions. For each you will need to specify:

- 95% Control:** Select the box if your company controls over 95% of the operation of each fleet/division, weighted by miles. “Control” means that you operate/route the fleet/division, regardless of ownership status. Control includes dedicated fleets/divisions that you operate for other parties. ***If you contract out more than 5% of the fleet/division’s operation, the Logistics mode should be selected instead for that fleet/division.*** (Note this box is not included in the [Fleet/Division Details](#) screen for the Logistics mode selection.)

The key question regarding definition of “control” is: Am I able to influence the fuel efficiency of the trucks, and can I collect data on the trucks? SmartWay understands that control within the trucking business exists along a continuum. On one hand, some fleets/divisions purchase their own trucks, spec, maintain, and route the trucks, and have full operational control over the trucks, for example controlling the speed the

trucks are allowed to drive, when and where they can idle, etc. These fleets/divisions have a high degree of control. On the other end of the continuum, some companies hire other parties to move the freight, and other than assigning a load with a pickup/destination point, have no interaction with the freight delivery, or ability to influence the fuel efficiency of the truck or the collection of data on the truck.

If you can actively affect the fuel efficiency of the truck and collect the data necessary on that truck to include in this tool, you have control. SmartWay understands that there are many organizational/operational permutations in the trucking industry and there may be “gray” areas that need further clarification. If you still have questions, you may contact your assigned SmartWay Partner Account Manager or the SmartWay help line at 734-214-4767.

- **Standard Carrier Alpha Codes (SCACs):** The Standard Carrier Alpha Code is a unique 2-4 alphabetic character code used by the transportation industry to identify transportation companies. If your fleet/division has a SCAC, please input that information. If you have a single fleet/division that has multiple SCACs, enter all of the codes into the SCAC field, and separate them with commas. It is not required to enter SCAC information for each component fleet/division. SCACs are assigned by the National Motor Freight Traffic Association, Inc., (NMFTA). If you cannot remember your SCAC(s), please contact NMFTA before proceeding. You can find NMFTA contact information at <http://www.nmfta.org/Pages/ContactUs.aspx>.
- **Motor Carrier Number (MCN):** The Motor Carrier Number is a 6 or 7 digit number provided by the Federal Motor Carrier Safety Administration. If your fleet/division has a Motor Carrier Number, please input that information. It is not required to enter MCN information for each component fleet/division.
- **Fleet/Division Type:** Fleet/Division Type is defined as the service type for your fleet/division. There are two options accepted by the tool—“For-Hire” and “Private/Dedicated.” If your company has only one fleet/division, your “Fleet Type” selection will reflect your company’s operations as a whole. If there are multiple fleets/divisions, each will have its fleet type defined separately.
- **Fleet/Division Contact:** This contact should be one of the contacts you already identified in the [Contact Information](#) section as the contact for each fleet/division. **NOTE:** A drop-down menu in the tool will supply this information; if there is a contact for the fleet/division that is not already listed in the **Contacts** worksheet, you will need to go back to the [Company and Contacts](#) screen to add the required contact information.

Screen 3: **Operation Categories** is shown below.

SmartWay: Fleet Characterization - Truck

Identify Fleets/Divisions | Fleet/Division Details | **Operation Categories** | Body Types

For each fleet/division, enter the percentage of total miles driven that fall into each operation category. Percentages must sum to 100 percent for each fleet/division.

When finished, select the "Body Types" tab above or select the NEXT button at the bottom of this screen.

Partner/Fleet Name	Operation Category (%)					Total
	Truckload	Less Than Truckload	Drayage	Package Delivery	Expedited	
1: Dharma Initiative: Division 108	4	8	15	16	57	100
2: Dharma Initiative: Hanso Group	23	42	4	8	23	100

BACK NEXT ZOOM IN PRINT SCREEN HOME CREATE FLEET(+) SAVE VALIDATE SCREEN ADD COMMENTS HELP

Figure 27: Operation Categories Screen

### Steps for Completing "Operation Categories" Screen:

For each component fleet/division, fill out the **Operation Category (%)** information by indicating the percentage of operation on a mileage basis. Operational categories include:

- **Truckload (TL)** - Truckload shipping is the movement of large amounts of homogeneous cargo, generally the amount necessary to fill an entire semi-trailer or intermodal container. A truckload carrier is a trucking company that generally contracts an entire trailer-load to a single customer.
- **Less-than-truckload (LTL)** - Less-than-truckload carriers collect freight from various shippers and consolidate that freight onto enclosed trailers for linehaul to the delivering terminal or to a hub terminal where the freight will be further sorted and consolidated for additional linehails.
- **Drayage** - Predominantly associated with port, or rail-head connections where freight is picked up, and moved to another transfer facility or transport mode terminal. Often these moves are short in nature, but can be longer depending on specific situations.

- **Package delivery (PD)** - Covers operations characterized by residential or business package delivery/pickup consisting primarily of single or small groups of packages. It does not include larger scale pickup delivery operations that are more properly characterized as LTL operations. Common examples of this type of operation are the brown UPS and white FedEx delivery vehicles.
- **Expedited** - Time-sensitive freight shipments, with trucks typically on stand-by.

Enter the percent of each operational category based on approximate mileage. This percentage calculation does not need to be exact but should be reasonably reflective of your fleet/division.

**Screen 4: Body Types** is shown below.

**SmartWay: Fleet Characterization - Truck**

**Body Types**

For each fleet/division, enter the percentage of total vehicles by body type. Percentages must sum to 100 percent for each fleet/division.

When finished, select the CREATE FLEET(S) button at the bottom of this screen to create the data entry forms for your fleets/divisions.

Partner/Fleet Name	Body Type (%)										Total
	Dry Van	Reefer	Flatbed	Tanker	Chassis	Heavy/Bulk	Auto Carrier	Moving	Utility	Special Hauler	
1: Dharma Initiative: Division 108	4	8	15	16	23	34					100
2: Dharma Initiative: Hanso Group						42	4	8	15	31	100

Buttons: BACK, NEXT, ZOOM IN, PRINT SCREEN, HOME, CREATE FLEET(S), SAVE, VALIDATE SCREEN, ADD COMMENTS, HELP

**Figure 28: Body Types Screen**


### Steps for Completing “Body Types” Screen:

Next, fill out the **Body Type** fields, indicating the percentage by body type for each component fleet/division. Body Type categories include:


- Dry van

- Refrigerated (Reefer)
- Flatbed
- Tanker
- Intermodal chassis containers (pooled and owned)
- Heavy/Bulk hauler
- Auto carriers
- Moving
- Utility<sup>1</sup>
- Special hauler (e.g., Hopper, Livestock, and other specialized carriers)

The percentages specified can be approximate, based on vehicle populations. The percentages for each fleet/division must sum to 100%.

Once you are sure your information is input correctly, you may click the  button at the bottom of the page.

If, at a point later in the data entry process, you realize that you need to add a new fleet/division or delete an existing fleet/division, you can return to the [Identify Fleets/Divisions](#) screen. To add a new fleet/division, follow all of the instructions on the screen regarding defining your fleets/divisions,

including clicking the  button. When you select this button, the system will create blank data entry forms only for the new fleet(s)/division(s) you have added; the existing fleets/divisions will not be affected.

If you need to delete an existing fleet/division, simply check the box next to the fleet/division and then click the **Delete Checked Rows** button. Note that, if you have already generated data entry forms for the fleet/division you are deleting, the system will prompt you to confirm the deletion.



***If you choose to delete a component fleet/division, and if you have allocated any activity to this fleet/division to the composite multi-modal fleets/divisions (defined under Step 6 on the [Home](#) screen) then you must re-allocate your composite fleet/division activity to reflect this change. Similarly, adding a new component fleet/division may require modifying your composite fleet/division activity allocations under Step 6 as well.***

As on the other screens there is a  button as well as an  button. Clicking



will take you back to the [Home](#) screen (see **Figure 24**). At this point you may define

<sup>1</sup> The utility category encompasses class 2b to 8b vehicles that do not carry typical commercial freight. Examples include garbage, recycle, service, work, dump, landscape, cement, bucket, boom, ambulance, armored, fire, farm, wrecker and other similar trucks. Because these trucks do not carry traditional freight payload, the user should self-define their payloads so as to make the emissions per payload efficiency useful to the user. SmartWay will not use the emissions per payload results for the utility category. Users may experience yellow or red warning labels on the Activity screen due to the unique nature of utility “payload.” In the case of red alerts, simply input text defining your special conditions in the required text boxes that appear.

another component fleet/division following the same process, or proceed to Step 4 on the [Home](#) screen.

#### **Section 4: Download SmartWay Carrier Data File**

Once you are back on the Home screen, if you have any Logistics Component Fleet/Divisions, you will need to select the button in step # 4: [Download Latest SmartWay Carrier Data File](#). This will ensure that you have the latest carrier performance data for characterizing logistic fleet performance. You will not be able to input the required logistics fleet data in Step 5 without this file. You must have an active Internet connection to perform this step.

## Select Component Fleet/Division for Data Entry

On the [Home](#) screen, you will now see all the fleets/divisions you created listed in the window below item # 5: [Select Component Fleet/Division for Data Entry](#).

The screenshot shows the 'Home' screen of the SmartWay Multi-modal application. The header includes the SmartWay logo and the text 'Multi-modal United States Version: 2.0.11' with a date of '03/19/2012'. The main content area lists eight steps for data entry. Step 1, 'Enter Partner Name', has a text box containing 'Dharma Initiative' and a 'Report Year' dropdown set to '2011'. Step 2, 'Enter Contact Information', has a green button labeled 'Go To Contact Information Screen'. Step 3, 'Define Your Component Fleets/Divisions', has a dropdown menu for 'Choose a Carrier Mode'. Step 4, 'Download SmartWay Carrier Data File', has a green button 'Download Latest SmartWay Carrier Data File' and a date field 'Date of Current Carrier File' set to '3/13/2012'. Step 5, 'Select Component Fleet/Division for Data Entry', is the active step and features a list box with the following items: 'Dharma Initiative: Division 108 [Truck1] - Incomplete (Errors)', 'Dharma Initiative: Hanso Group [Truck2] - Not Checked' (highlighted), 'Dharma Initiative: Hydra Shipping [Logistics1] - Complete', and 'Dharma Initiative: Tempest Development [Logistics2] - Not Checked'. Step 6, 'Define Your Composite Fleets/Divisions', has a green button 'Define your Composite Fleets/Divisions'. Step 7, 'View Reports', has a green button 'Go To Reports Menu'. Step 8, 'Create Final Version', has a green button 'Generate File to Send to EPA \*'. At the bottom, there is a note: '\* Be sure to read carefully the directions that appear when you select this option.' and a row of buttons: 'BACK', 'ZOOM IN', 'PRINT SCREEN', 'SAVE', 'QUIT', and 'HELP'.

Home

**SmartWay**<sup>SM</sup>

**Multi-modal**  
United States Version: 2.0.11  
03/19/2012

Please complete the following steps. For more information, select the 'Help' button.

1. Enter Partner Name (Exactly as it should appear on the SmartWay website)

Dharma Initiative

Report Year: 2011

2. Enter Contact Information:

Go To Contact Information Screen

3. Define Your Component Fleets/Divisions ?

Choose a Carrier Mode:

4. Download SmartWay Carrier Data File

Download Latest SmartWay Carrier Data File

Date of Current Carrier File: 3/13/2012

5. Select Component Fleet/Division for Data Entry (Double-click the fleet name or select and hit Enter): ?

Dharma Initiative: Division 108 [Truck1] - Incomplete (Errors)  
Dharma Initiative: Hanso Group [Truck2] - Not Checked  
Dharma Initiative: Hydra Shipping [Logistics1] - Complete  
Dharma Initiative: Tempest Development [Logistics2] - Not Checked

6. Define Your Composite Fleets/Divisions ?

Define your Composite Fleets/Divisions

7. View Reports

Go To Reports Menu

8. Create Final Version ?

Generate File to Send to EPA \*

\* Be sure to read carefully the directions that appear when you select this option.

BACK ZOOM IN PRINT SCREEN SAVE QUIT HELP

Figure 29: Home Screen with Component Fleet/Divisions Status

There will be a status message after each fleet/division, indicating whether or not the data entry for that fleet/division is complete. The following information may appear beside a fleet/division name:



- **Not checked** - Data has not been entered yet.
- **Incomplete** - 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 **Internal Metrics Reports** under item #7, [View Reports](#), and must be addressed before you can submit your tool to EPA.
- **Warnings** will still allow you to run the **Internal Metrics Reports** 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 (PAM) 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 fleet/division file, highlight the fleet/division name and then double-click. You will then proceed to the tool **Data Entry Screens**.

**Section 5 Data Entry: Enter fuel and/or activity information for each of your component fleets/divisions**

**PLEASE REFER TO THE TRUCK TOOL AND LOGISTICS TOOL USER GUIDES FOR DETAILED INSTRUCTIONS REGARDING DATA ENTRY FOR YOUR COMPONENT FLEETS.**

## **Section 6 Data Entry: Define Your Composite Fleets/Divisions**

Now that you have identified and characterized your component fleets/divisions, you will be asked to provide information for EACH composite fleet/division. In this section, you will be asked to allocate component fleet/division miles and ton-miles across the different composite fleets/divisions.

The “**Define Your Composite Fleet/Division**” section of the tool has three subsections:

1. Identify Composite Fleet/Divisions
2. Allocate Component Fleet/Divisions
3. Composite Fleet/Division Details

The requirements for each subsection are described below.

**Please use Worksheet # 3 to prepare for filling out the composite fleet/division information in the Multi-modal Carrier FLEET Tool.**

Once you have entered data for all of your component fleets/divisions, and resolved any error notifications, you may proceed to Step 6, [Define Your Composite Fleets/Divisions](#). This step allows you to group your component fleets/divisions into larger, *composite fleet/divisions* operating across one or more modes. Composite fleet/divisions are entities that your customers can hire to move their freight. For example you may have a Truckload Division and an Intermodal Division for hire.

### **Identify Composite Fleet/Divisions**

First, enter the name of your composite fleets/divisions on the first screen, [Identify Composite Fleets/Divisions](#), as shown in **Figure 30**. Names include your Partner Name combine with your Fleet/Division Identifier. Remember to enter your composite fleet/division names exactly as you want them to be seen on the SmartWay website.



**Note: Your company’s name and your composite fleet(s)/division(s) will be listed on the SmartWay website to indicate your participation in the SmartWay Transport Partnership. Your shipper and logistics customers can also use the SmartWay Online Database to search for your company by the name you submit in the tool, your SCAC number or your Motor Carrier Number. Therefore, it is critical that you identify your company and composite fleet/division(s) in the tool as you would have them appear on the SmartWay website and within other SmartWay Tools.**

Delete	Company Name	Composite Fleet/Division Identifier	Composite Fleet/Division Name
<input type="checkbox"/>	1 Dharma Initiative	Sawyer Van Lines	Dharma Initiative: Sawyer Van Lines
<input type="checkbox"/>	2 Dharma Initiative	Widmore Industries	Dharma Initiative: Widmore Industries
<input type="checkbox"/>	3 Dharma Initiative	Faraday Shipping	Dharma Initiative: Faraday Shipping

Figure 30: Identifying Composite Fleet/Divisions

You may add more fleet/divisions by selecting **Add Another Composite Fleet/Division**. To proceed to the next screen, select the **Allocate Component Fleets/Divisions** tab or select **NEXT**.

## Allocate Composite Fleet/Divisions

Proceed to the **Allocate Component Fleet/Divisions** screen (**Figure 31**) to see a list all of the component fleet/divisions you defined under Step 3 (**Define Your Component Fleet/Divisions**). All of the miles and ton-miles associated with each of these fleet/divisions must be assigned across one or more of the composite fleet/divisions you defined on the previous screen. You must allocate component fleet/division activity based on the percentage of total miles and total ton-miles attributable to each composite fleet/division. The total miles and ton-miles listed for each component fleet/division is automatically calculated from Step 5 where you entered the activity data for your component fleet/divisions. (Note that Total Miles refers to truckload miles for truck modes, and railcar-miles for rail modes.)

**SmartWay: Composite Fleet/Division Characterization**

**Identify Composite Fleet/Divisions    Allocate Component Fleet/Divisions    Composite Fleet/Division Details**

For each component fleet/division listed below, follow steps 1 - 3. Component fleets/divisions are organized around your internal management of the company. As you assign each component fleet/division, its status will change from "Not Assigned" to "Allocated." Repeat the steps for each component fleet/division until they have all been allocated. To view a summary of the allocation percentages for all component fleets/divisions, select the "Show Allocations" button. When you are done, please proceed to the final step of entering your Composite Fleet/Division Details.

**Component Fleets/Divisions**

- Dharma Initiative: Division 108 [Truck1] - Allocated
- Dharma Initiative: Hanzo Group [Truck2] - Allocated**
- Dharma Initiative: Hydra Shipping [Logistics1] - Not Allocated
- Dharma Initiative: Tempest Development [Logistics2] - Not Allocated

**Show Allocations**

1. Select a fleet/division from the list. Note that the header below will change to indicate the selected component fleet/division. The Total Miles and Ton-Miles values will also change to reflect the miles and ton-miles for the selected component fleet/division.

2. For each composite fleet/division in the bottom section of the screen, enter the appropriate percentages for miles and ton-miles. (The miles and ton-miles associated with the selected component fleet/division will be calculated automatically, reflecting the percentage allocation entered.)

3. Continue allocating the component fleet/division until you have accounted for 100% of its miles and ton-miles.

**Dharma Initiative: Hanzo Group [Truck2]**

Composite Fleets/Divisions		Total Miles*		Ton-Miles	
1	Dharma Initiative: Sawyer Van Lines	23 %	2,300,000	20 %	18,199,998
2	Dharma Initiative: Widmore Industries	42 %	4,200,000	45 %	40,949,996
3	Dharma Initiative: Faraday Shipping	35 %	3,500,000	35 %	31,849,997

\* Miles refers to truckload-miles and/or railcar-miles, depending upon modes utilized.

**Totals:** 100 % 10,000,000 100 % 90,999,991

**BACK    NEXT    ZOOM IN    PRINT SCREEN    HOME    VALIDATE SCREEN    VALIDATE FLEET(S)    ADD COMMENTS    HELP**

**Figure 31: Allocating Component Fleet/Divisions**

*Note that the percentage allocations must sum to 100 for each component fleet/division. In addition, if you enter a non-zero percentage for a particular total miles assignment, and zero percent for the corresponding ton-mile assignment (or vice versa), the tool will display an error and you will not be allowed to proceed until reconciling the discrepancy.*

The **Show Allocation** button located below the component fleet/division list allows you to view a summary of your composite fleet/division percentage allocations across all of your different component fleets/divisions, in order to confirm the accuracy of your assignments. An example is provided in **Figure 32**.

The **Validate Screen** button will validate the information you enter on this screen. The ratio of total allocated ton-miles to total miles is checked for each composite fleet/division. If any of these ratios differ from industry standards, you will receive a warning message. These warning messages are intended to flag possible data entry errors; however these warning messages will not prevent you from submitting your completed Multi-modal Tool to EPA.

Please refer to **Appendix A** for a description of the procedure used to calculate the gram per mile and gram per ton-mile performance metrics for composite fleets/divisions.

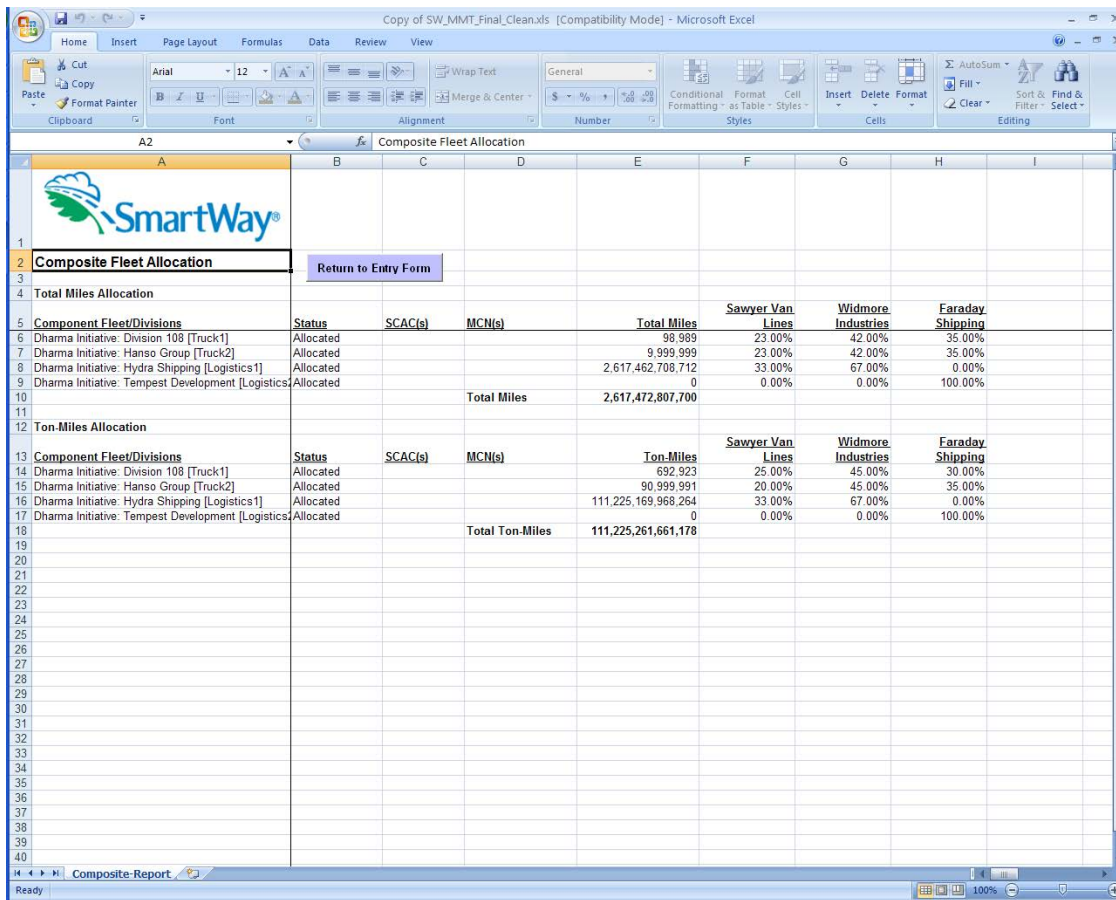


Figure 32: Example Composite Fleet/Division Allocation Summary

Select the **Return to Entry Form** button to leave the spreadsheet and return to the allocation screen shown in **Figure 31**.

## Composite Fleet/Division Details

First proceed by entering the SCAC and MCN values for each composite fleet (see **Figure 32**). Separate multiple values by a comma if necessary. Next select the appropriate contact from the drop-down menu. These values are not mandatory but will assist Shippers and Logistics Companies in identifying your fleets/divisions.

Once you have allocated all of your component fleet/divisions across the composite fleet/divisions, select the **HOME** button to return to the **Home** screen.

SmartWay: Composite Fleet/Division Characterization

Identify Composite Fleet/Divisions

Allocate Component Fleet/Divisions

Composite Fleet/Division Details

Please enter the following detail information for each of your Composite Fleets listed below. The SCAC and MCN information you enter here will be what the SmartWay partners will see when they are searching for SmartWay Multi-modal carriers. Please enter 'N/A' for SCAC and/or MCN if your composite fleet doesn't have these.

Composite Fleet/Division Name	SCAC(s)	MCN(s)	Fleet/Division Contact
Dharma Initiative: Sawyer Van Lines	HOTH	481516	Jack Shephard
Dharma Initiative: Widmore Industries	TAIL, HUGO, EKO	0002342	John Locke
Dharma Initiative: Faraday Shipping	MON, STER	N/A	Kate Austin

BACK

NEXT

ZOOM IN

PRINT SCREEN

HOME

VALIDATE SCREEN

VALIDATE FLEET(S)

ADD COMMENTS

HELP

Figure 33: Example Composite Fleet/Division Details Screen

## View Reports

Once you complete allocating component fleet/division activity across your composite fleets/divisions and return to the [Home](#) screen, you may select [View Performance Data](#) which will take you to the following screen:

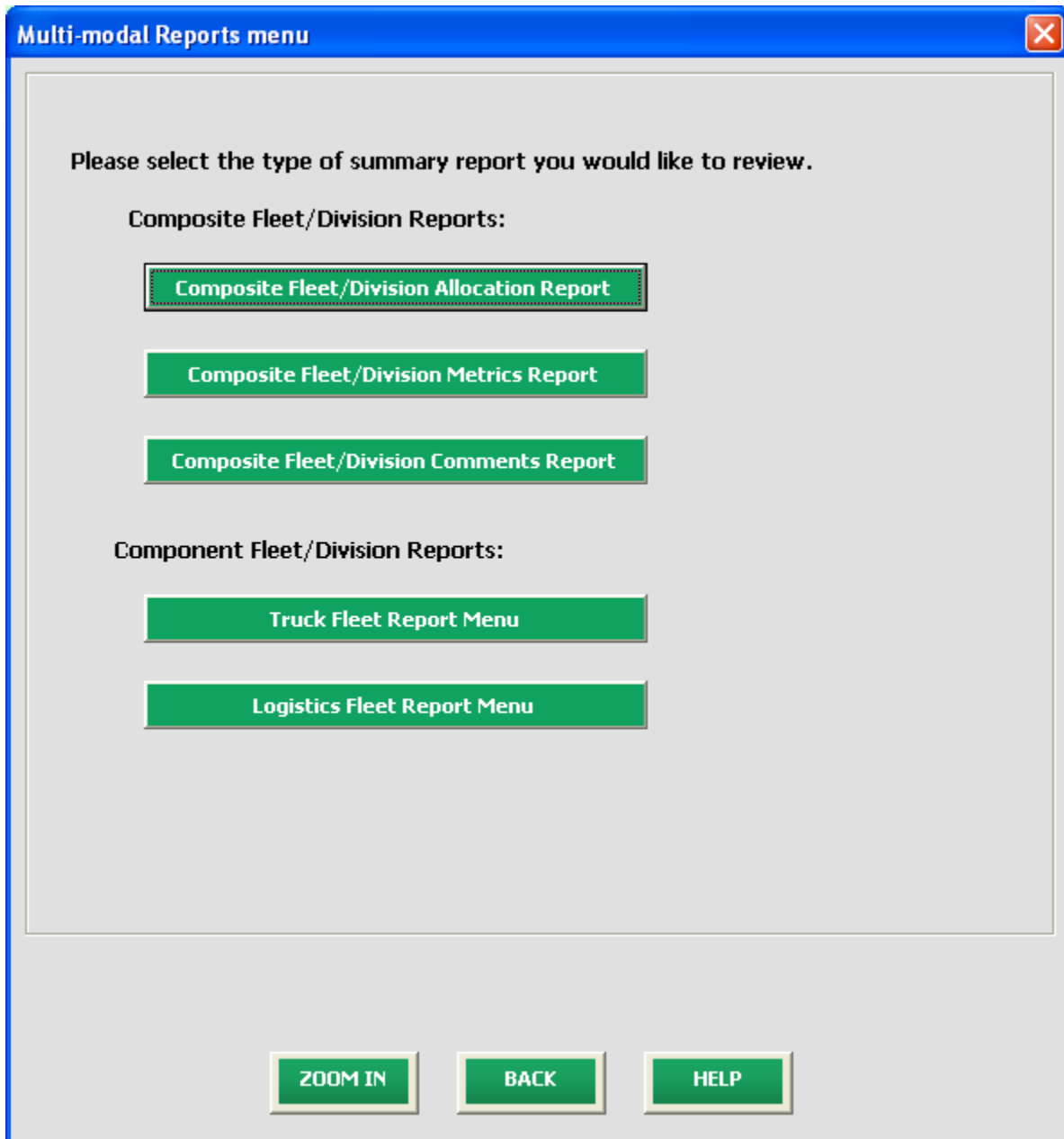
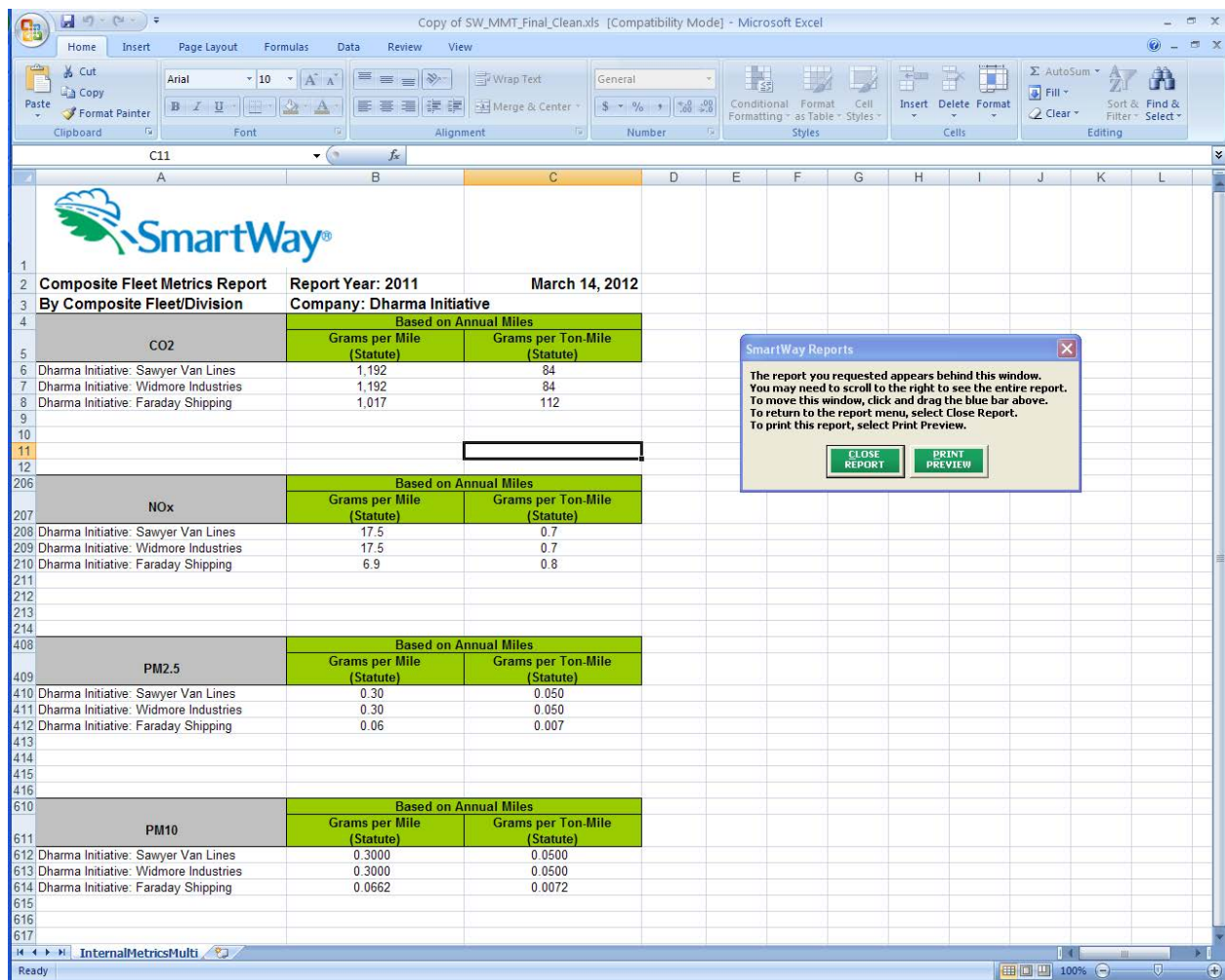


Figure 34: View Reports Menu



Selecting any of the green buttons will display data for the selected fleet/division type (component by mode, or composite). You will then proceed to another screen where you can choose how to view the results. Selecting any of the summary report types will take you to a screen allowing you to preview and print your reports. **Figure 35** shows one of many sample reports that the model can generate for you, in this case summarizing the performance metrics for each composite fleet/division. Similar composite reports are available by carrier mode and Partner-level totals, as well as component fleet/division reports by mode type. (Note that reports for air, marine, and rail component fleets/divisions will be available in the future.) These reports will prove useful for your company's evaluation and improvement efforts.



**Figure 35: Example of Completed Composite Fleet/Division Performance Metrics Report**

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## Submitting Data to SmartWay

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Congratulations! You are now ready to send your data to EPA.

Select the [Generate File to Send to EPA](#) button, which will create a file with the following naming convention:

**PartnerName\_Year\_Multi-modal\_V0.xls**

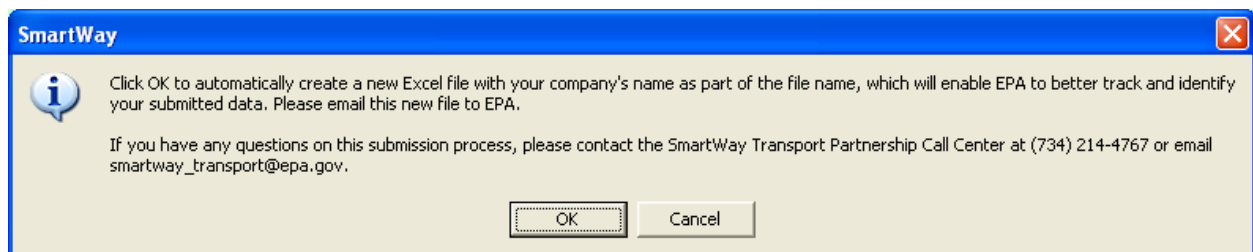
**For example, Dharma\_Initiative\_2011\_Multi-modal\_V0.xls**

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

*The system will display a message indicating that an Excel file will be created with your company's name as part of the file name. The file will be saved to the same folder where the tool itself is currently saved. You will need to locate the file and attach it in an e-mail to your Partner Account Manager (PAM).*

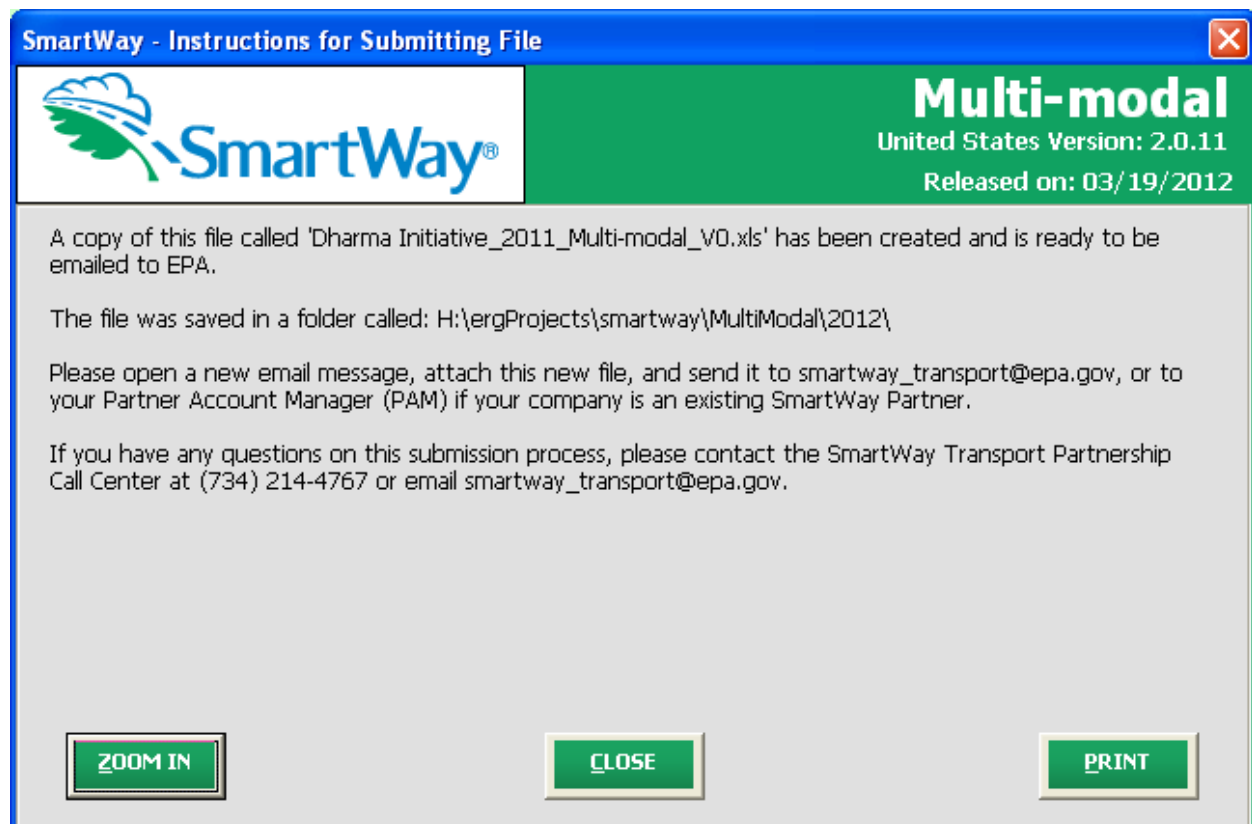
**NOTE: DO NOT ZIP the File. Send it to EPA as a normal file attached in an e-mail. EPA security will not allow zipped files through the EPA firewall.**

The system will first display a message asking you to confirm your decision to save a copy of your tool on your hard drive (**Figure 36**).



**Figure 36: Data Saving Confirmation**

Upon clicking **OK**, the file will be saved, and the following instructions will appear. Follow these instructions for submitting your multi-modal tool to SmartWay. Upon clicking **CLOSE** a screen will appear allowing you to close the Multi-modal Carrier FLEET tool or return to the **Home** screen.



**Figure 37: Data Submission Instructions**

If you have any comments about the tool and/or User Guide, please submit these with your tool in a separate document.

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## Troubleshooting the Tool

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Although the revised SmartWay Tools have been tested extensively, you may encounter errors. Intermittent errors have been encountered when opening the tools directly from an e-mail rather than from a drive, or when multiple Excel files are open simultaneously. If you encounter an error during use of the tool, please try restarting it directly from a disk drive, with all other Excel files closed. In addition, make sure that your computer is using a system and application version validated for use with the SmartWay 2011 Tools (XP, Vista, or Windows 7 operating systems; Excel Office 2003, 2007, or 2010.)

If you continue to encounter problems, please make a screen capture of the error message, and save the data at that point. (You can make a screen capture by pressing Alt-Prt Scr, and then pasting the image into a document such as MS Word.) Then send the screenshot, along with the saved data to your Partner Account Manager for further assistance.

## Appendix A – Calculating Composite Fleet/Division Performance Metrics

The Multi-modal tool calculates gram per mile and gram per ton-mile performance metrics for composite fleet/divisions using the carrier-specific performance metrics associated with the associated component fleet/divisions. The percentage distributions provided for miles and for ton-miles are used as weighting factors in developing these composite values.

The following example illustrates how the composite metrics are calculated for CO<sub>2</sub> grams per mile.

- 1) Three Component Fleet/Divisions are defined: Logistics 1, Truck 1, and Logistics 2
- 2) Three Composite Fleet/Divisions are defined: Composite 1, Composite 2, Composite 3
- 3) Component fleet/division activity is allocated across the composite fleets/divisions as summarized below:

<b>Total Miles Allocation</b>					
<b>Component Fleets</b>	<b>Total Miles</b>	<b>Composite 1</b>	<b>Composite 2</b>	<b>Composite 3</b>	<b>Total</b>
Logistics 1	6,679,941	30%	50%	20%	100%
Truck 1	1,234,567	50%	50%	0%	100%
Logistics 2	1,000,000	35%	12%	53%	100%
<b>Total</b>	<b>8,914,508</b>				

- 4) The mileage associated with each component/composite fleet combination is calculated by multiplying the total miles in the table above by the associated fraction, with the results summarized as follows:

<b>Miles</b>	<b>Logistics 1</b>	<b>Truck 1</b>	<b>Logistics 2</b>	<b>Total</b>
Composite 1	2,003,982	617,284	350,000	<b>2,971,266</b>
Composite 2	3,339,971	617,284	120,000	<b>4,077,254</b>
Composite 3	1,335,988	0	530,000	<b>1,865,988</b>
<b>Total</b>	<b>6,679,941</b>	<b>1,234,567</b>	<b>1,000,000</b>	<b>8,914,508</b>

- 5) The corresponding composite-based mileage fractions are as follows:

<b>Miles</b>	<b>Logistics 1</b>	<b>Truck 1</b>	<b>Logistics 2</b>	<b>Total</b>
Composite 1	67%	21%	12%	100%
Composite 2	82%	15%	3%	100%
Composite 3	72%	0%	28%	100%

6) The CO<sub>2</sub> grams per mile values calculated for each component fleet/division are as follows:

- Logistics 1: 2,261 g/mi
- Truck 1: 1,649 g/mi
- Logistics 2: 1,163 g/mi

7) Using the composite-based mileage distributions and component fleet/division grams per mile values, the grams per mile value for Composite Fleet 1 is calculated as follows:

$$\text{Composite 1 g/mi} = (0.67 \times 2,261 + 0.21 \times 1,649 + 0.12 \times 1,163) = 2,001 \text{ g/mi}$$

Gram per mile values for Composite Fleets 2 and 3 are calculated in a similar fashion, as are the corresponding gram per ton-mile values. Values for NO<sub>x</sub> and PM are calculated in an identical fashion.