SmartWay®
Transport Partnership
U.S. Environmental Protection Agency

Shipper Partner 2.0.12 Tool: Data Entry and Troubleshooting Guide 2012 Data Year - United States Version

EPA United States Environmental Protection Agency

SmartWay®
Transport Partnership
U.S. Environmental Protection Agency

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Transportation and Climate Division
Office of Transportation and Air Quality
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EPA United States Environmental Protection Agency

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Introduction

This document, the "Data Entry and Troubleshooting Guide" for the Shipper Tool, is the second of two guides available to help your company participate fully in the SmartWay Transport Partnership as a Shipper Partner. The Shipper Tool "Quick Start Guide" is a basic walk-through of the process of identifying, gathering, preparing, and submitting your data by using the SmartWay Shipper Partner Tool, and includes several worksheets referenced in this guide. (From this point on, this guide will refer to the SmartWay Shipper Partner Tool as the "Shipper Tool" or simply, the "Tool," for brevity.) The Quick Start Guide may be all you need to successfully complete the Shipper Tool. However, the Data Entry and Troubleshooting Guide is intended for situations in which you have already read the Quick Start Guide and prepared your data for entry, but need more information on how to complete your data submission than is provided in the Quick Start Guide.

The Table of Contents for this guide is laid out so that, if you have a very specific area that you need to review, you can find the relevant information without reading through the entire guide.

In this guide, you will learn how to enter the company and carrier data you collected (as mentioned in the Quick Start Guide and the online data entry forms it references) into the Shipper Tool. This guide covers:

- Downloading and setting up the Tool to run properly
- Basic organization of the Shipper Tool
- Entering your data
- Viewing company performance summary data
- Submitting data to SmartWay
- Troubleshooting the Tool
- Appendices

WARNING!

Completing this Tool requires a considerable amount of information about your company/companies and the freight carriers used by your companies. 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 the Quick Start Guide to understand key information about joining the Partnership and preparing the required data **BEFORE** attempting to complete the Tool.

PART 1: DOWNLOADING AND SETTING UP THE TOOL

Downloading and Setting up the Tool

About Microsoft Excel

Microsoft Excel is an electronic spreadsheet program used for storing and manipulating data. The Shipper Tool was built using Microsoft Excel Forms.

Downloading the Shipper Tool

The Tool, and information about the Tool, can be downloaded from the SmartWay website at: http://www.epa.gov/smartway/partnership/shippers.htm.

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. The instructions differ depending upon what version of Excel you use.

For 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*.

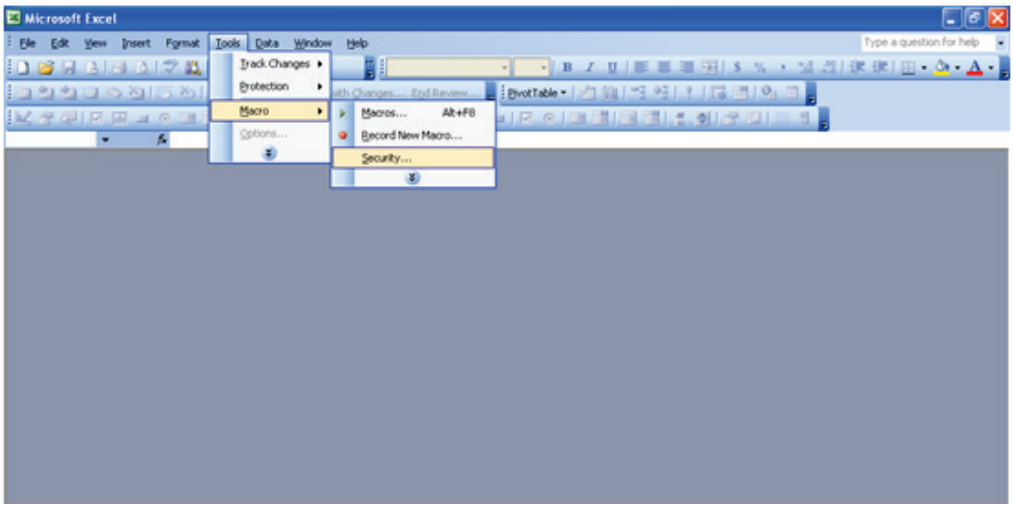


Figure 1: Macro Drop-Down Menu

2. When the "Security" window opens, select the Medium level.

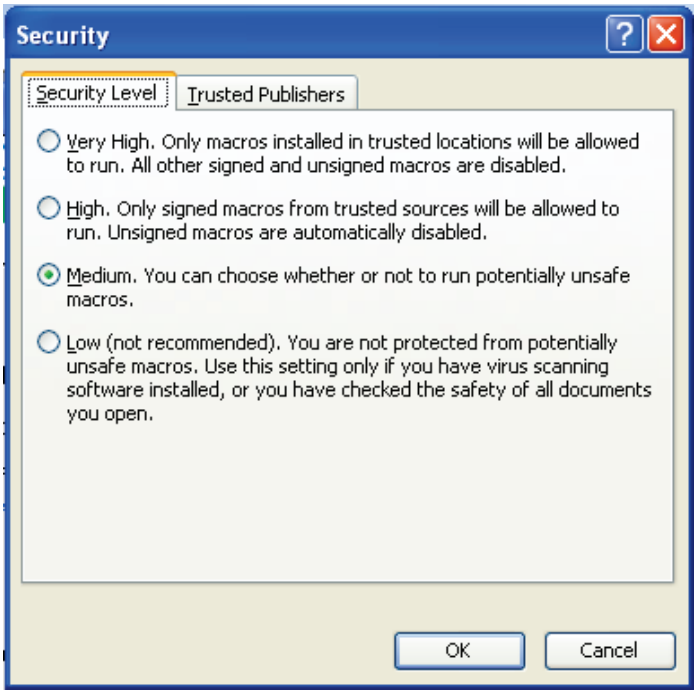


Figure 2: Security Dialog Box

To run the Tool:

1) Save the Tool to your computer in a folder on your hard drive; and,

2) Go to that folder and double-click on the file to open the Tool.

3) You will see a security warning box appear (**Figure 3**). Select the **Enable Macros** button in the security warning box.

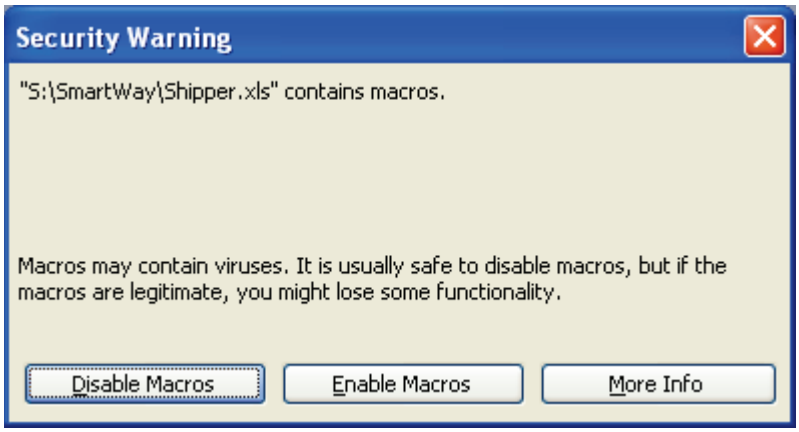


Figure 1: Security Warning Box

3) The following screen (**Figure 4**) should appear:

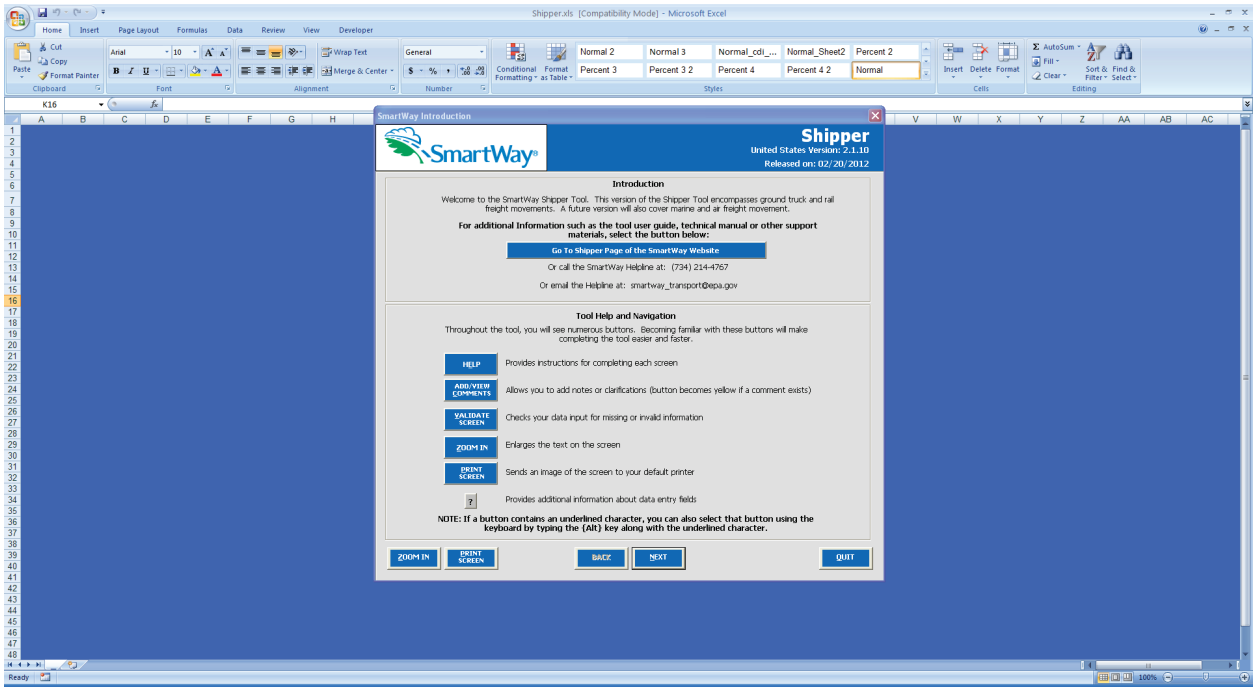


Figure 2: Shipper Tool Welcome Screen

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 select 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.

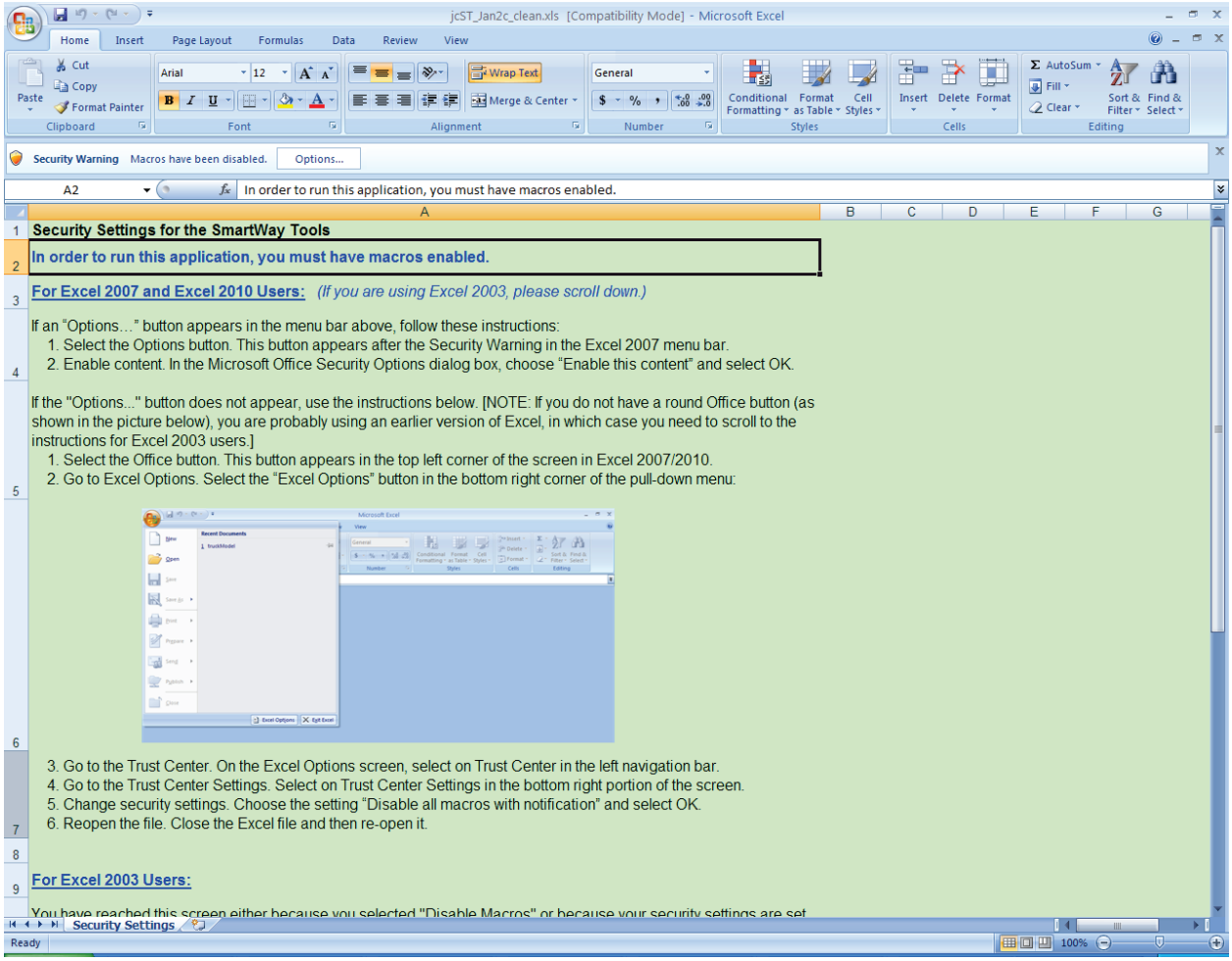


Figure 3: Security Warning Screen

3) In the **Microsoft Office Security Options** dialog box (**Figure 6**), choose “Enable this content” and select **OK**. The Tool should open after a short delay.

Figure 4: Security Options Dialogue Box

If the Tool opens, skip ahead to the next section, "Basic Organization of the Shipper Tool."

If you reach this point and the Tool does NOT open, you may have your security set too high. To adjust your security settings, select the **Office** button (in the top left corner of the screen) and then select the "Excel Options" button in the bottom right corner of the pull-down menu (**Figure 7**). Otherwise, please review the "**Software and Hardware Requirements"** in the Quick Start Guide.

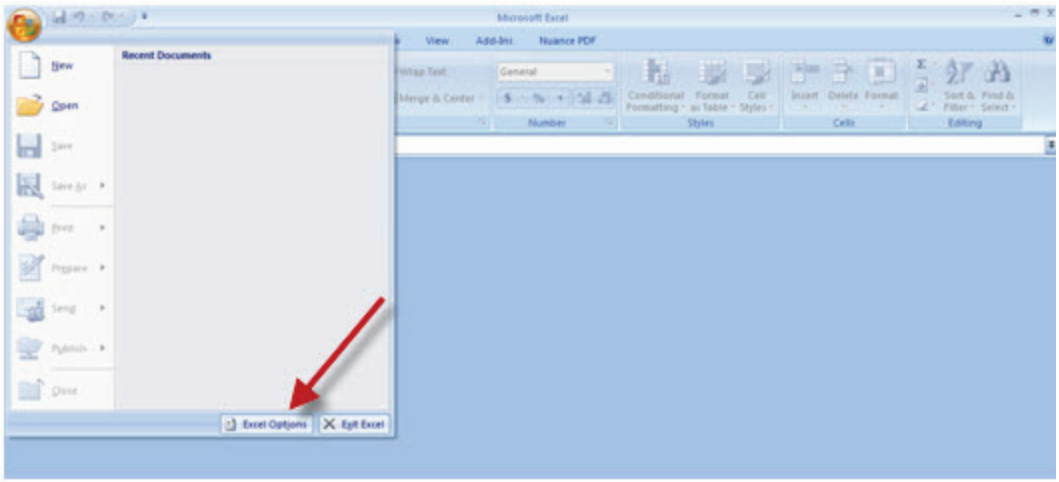


Figure 5: Excel Options Drop-Down Menu

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

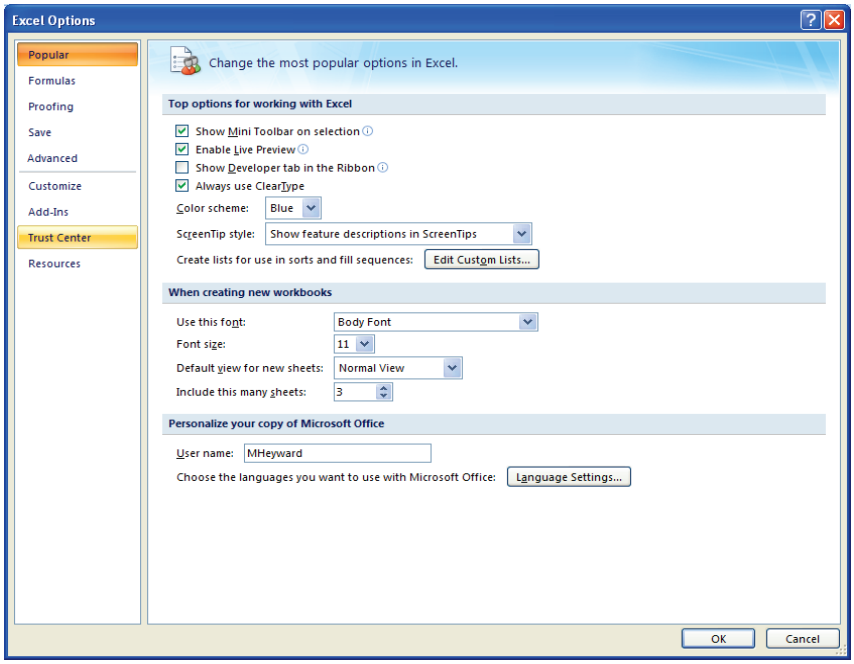


Figure 6: Excel Options Drop-Down Menu

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

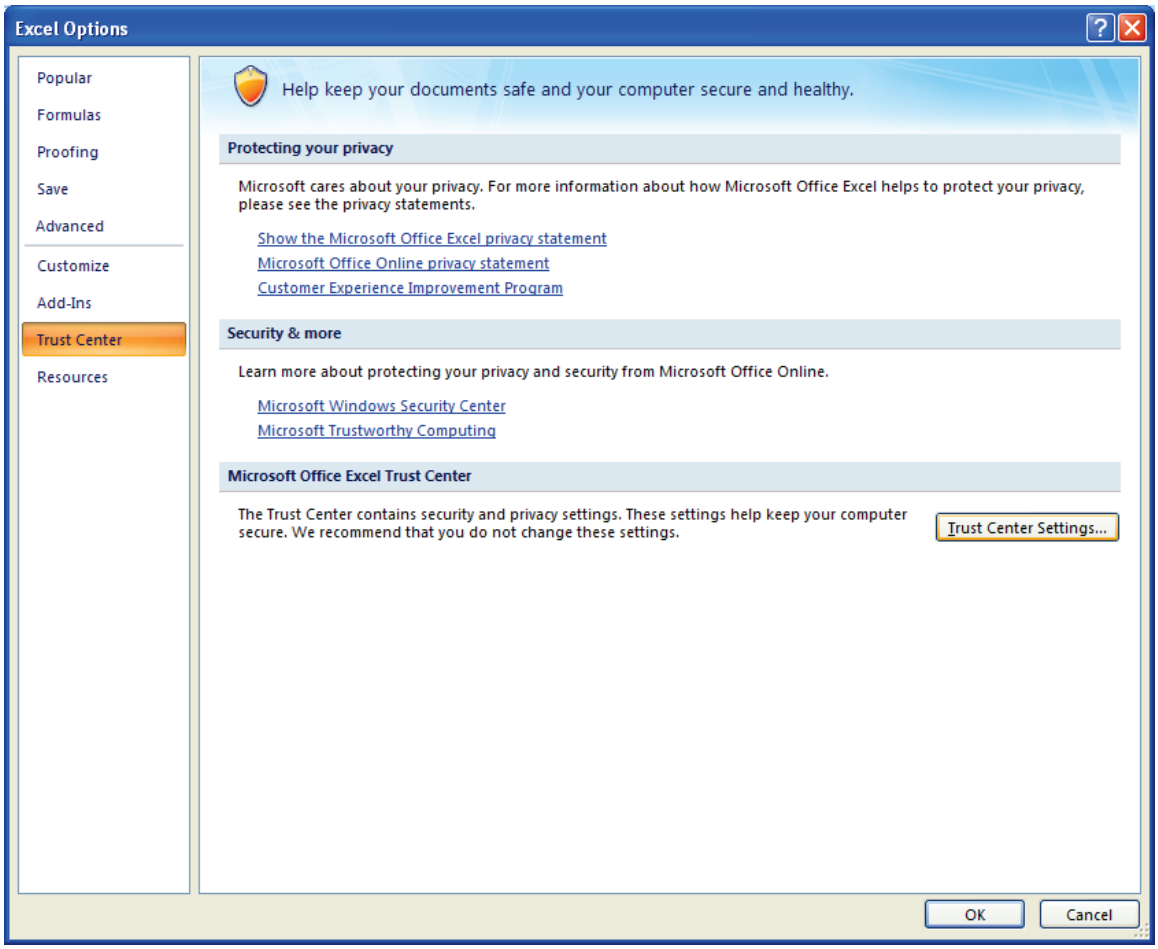


Figure 7: Trust Center Settings Screen

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

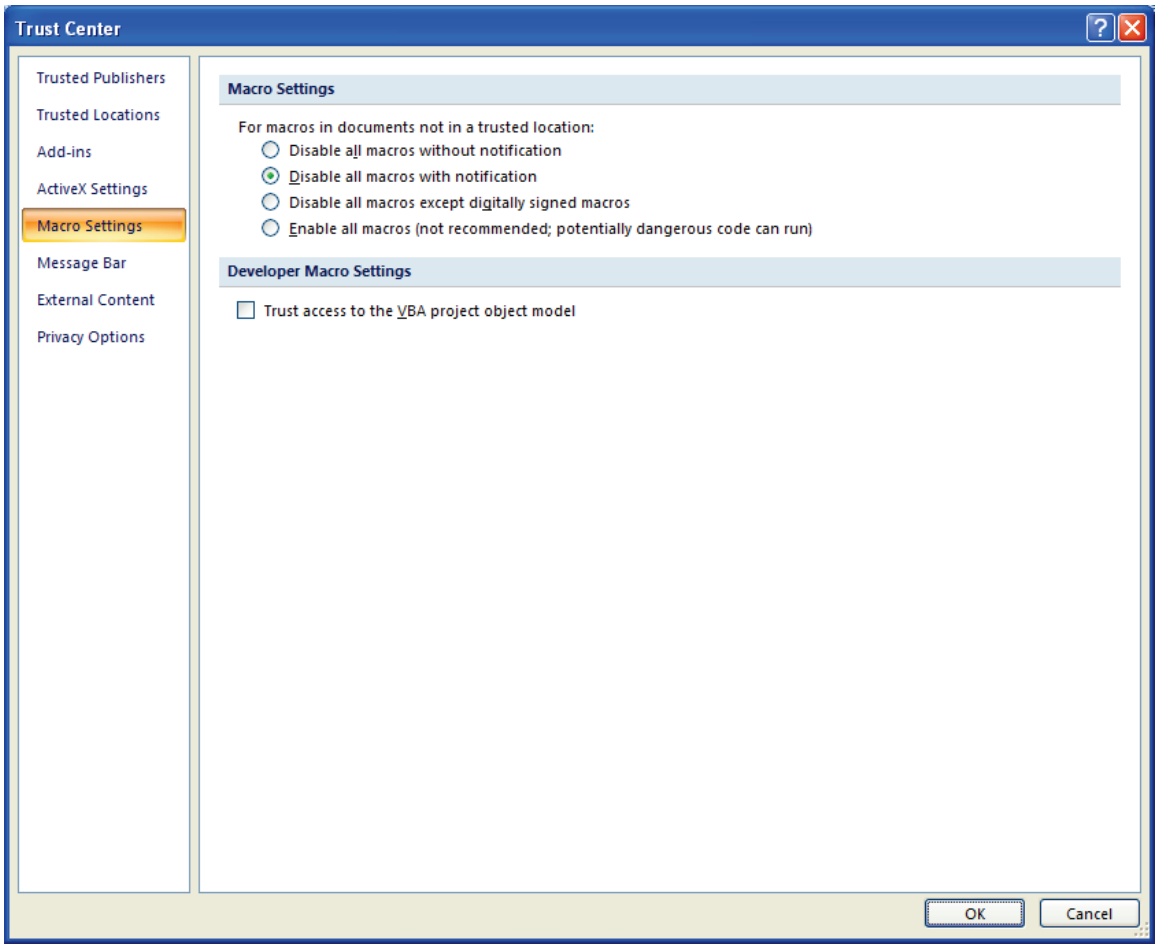


Figure 8: Macro Settings Screen

Next, to run the Tool:

1) Save it to your computer.

2) Open the file, and select 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 select **OK**. The Tool will then open after a brief delay.

If the Tool does not open at this point, return to the Software and Hardware Requirements in the Quick Start Guide. If after reviewing this section, you cannot determine how to correct the problem, contact your SmartWay Partner Account Manager or the SmartWay help line at 734-214-4767.

PART 2:
TOOL ORGANIZATION

Basic Organization of the Shipper Tool

Understanding the Tool Format and Structure

The Shipper Tool contains (1) information screens, (2) forms or worksheets, and (3) reports/summaries that guide you through completing your tool.

Each screen, or form, opens up within a Microsoft Excel spreadsheet. The screens generally look like the one shown here in **Figure 11**, with the **Report Year** displayed prominently at the top:

Figure 9: Opening Screen of Shipper Tool

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

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

Figure 10: 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 shown in blue and clearly labeled, as seen in **Figure 13**.

Figure 11: Screenshot of Link in the Tool

The screens also contain navigation buttons to direct you through the Tool (**Figure 14**).

Figure 12: Example Navigation Buttons in the Tool

Reviewing the Introductory Screens

Before you reach your data entry section of the Tool, you will move through three introductory screens that allow you to review the basics of participation in SmartWay for Shipper Partners:

- **The "SmartWay Introduction" Screen**
- **The "Partnership Agreement" Screen**
- **The "Required Information" Screen**

The features of these screens are described below.

SmartWay Introduction Screen

Figure 15: SmartWay Introduction Screen

The **SmartWay Introduction** screen is the first window that appears when the Tool is opened (**Figure 15**). This screen contains a button linking 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.

The screen also points out helpful buttons for Tool Help and Navigation that you will see throughout the Tool. In particular, note the "Validate Screen" button. It's a good idea to use the "Validate Screen" button whenever it appears in the Tool. This valuable function will help you screen for missing data, errors in data entry, or information that may fall out of expected ranges. Taking a moment to validate each screen helps you avoid time-consuming problems later.

When new concepts/topics are introduced on a screen, a small question mark ([?]) appears next to it. When you select the question mark, you will find additional definitions of terms or instructions to help you complete the screen properly. You may also find additional, detailed instructional material on how to successfully navigate and complete the different data entry screens within the Tool by selecting the

buttons at the bottom of selected screens.

SmartWay Partnership Annual Agreement Screen

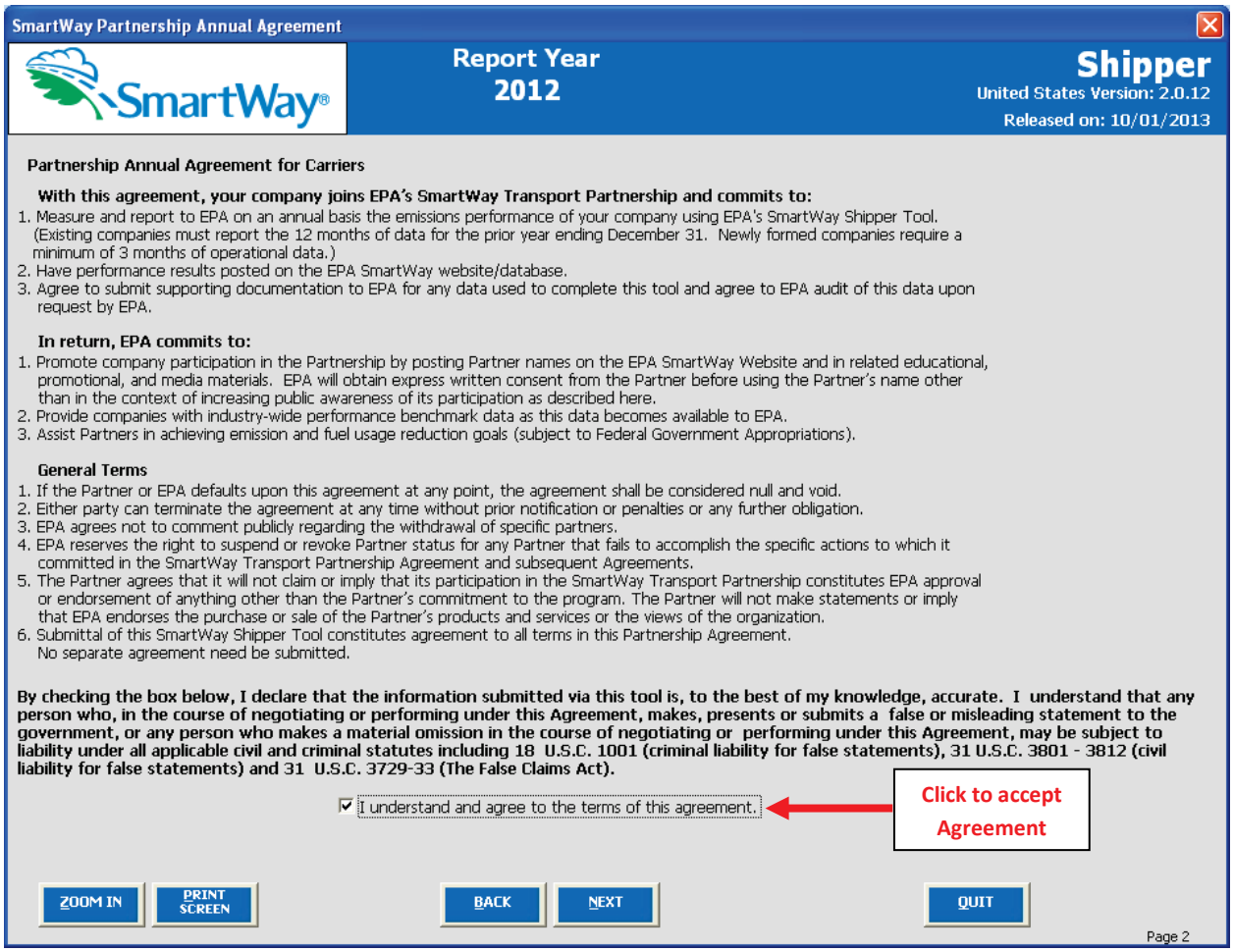


Figure 16: SmartWay Partner Agreement for Shippers

After selecting the NEXT button on the **SmartWay Introduction** screen, the **SmartWay Partner Agreement for Shippers** will appear (Figure 16). This screen replicates the agreement language found in the **Quick Start Guide**.

Submitting a Shipper Tool to EPA constitutes agreement to all terms of the Partnership Agreement, which is required for a company to join and continue as a SmartWay Shipper Partner. Therefore, it is important to review this screen or the text version in the **Quick Start Guide** and receive any necessary approvals ***before*** trying to input data into the Tool. You will not be able to continue on to the next screen to enter data into the Tool until this box is selected, indicating that your company accepts the terms of the agreement.

Shipper 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(s) 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, due to the large number of partners currently joining and submitting materials to SmartWay, this level of customized service* ***can no longer be supported****.*

Required Information Screen

The Required Information screen summarizes the information needed to complete the Shipper Tool. Select PRINT SCREEN ito print a hardcopy to use as a for reference as you complete the rest of the Tool.

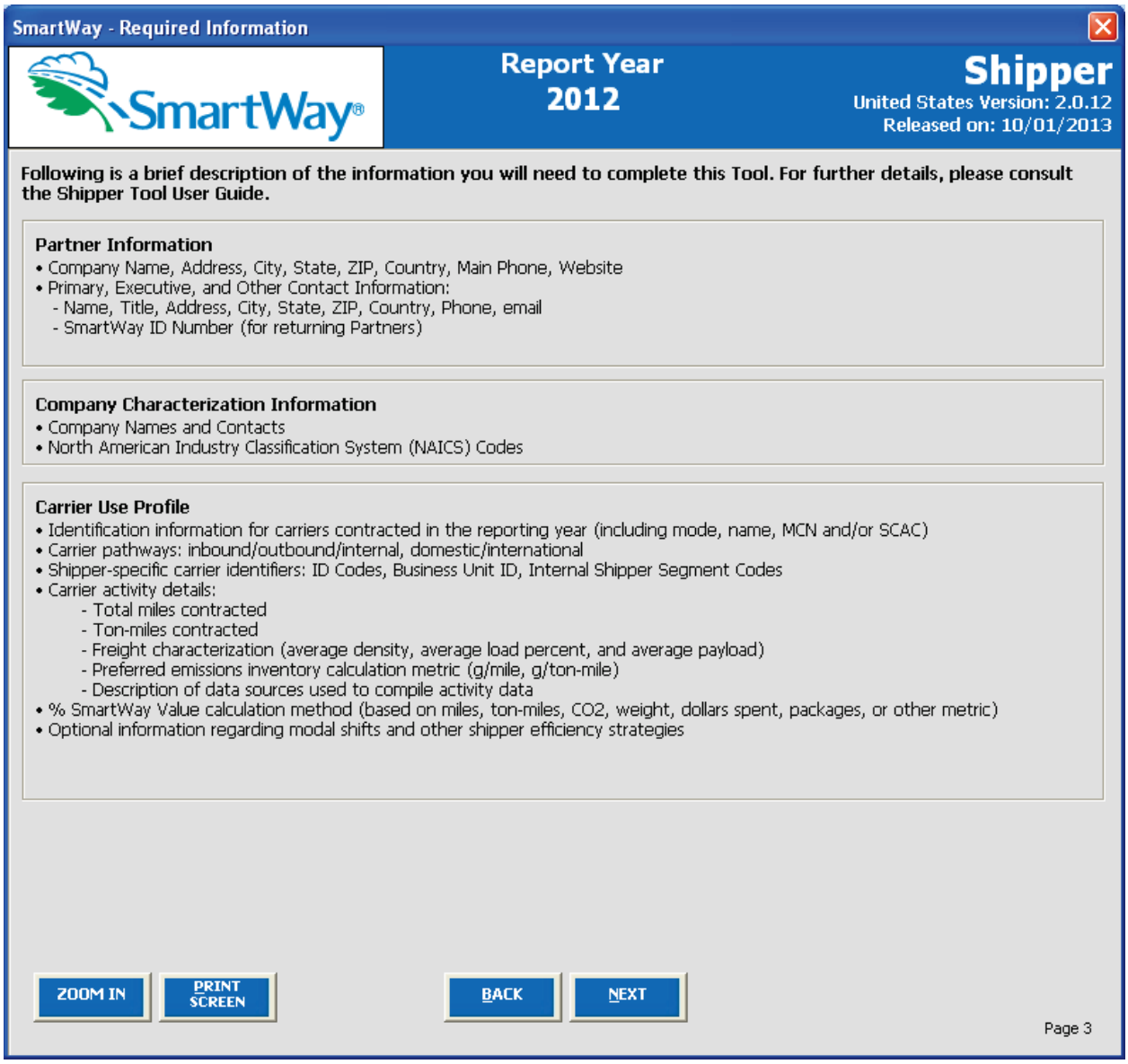


Figure 17: Summary of Shipper Tool Required Information

Once you have navigated through the three introductory screens, you will be taken to the Shipper Tool **Home** screen.

Navigating the Home Screen

All data entry screens are reached by starting on the Home screen.

Figure 18 displays the structure of the **Home** screen.

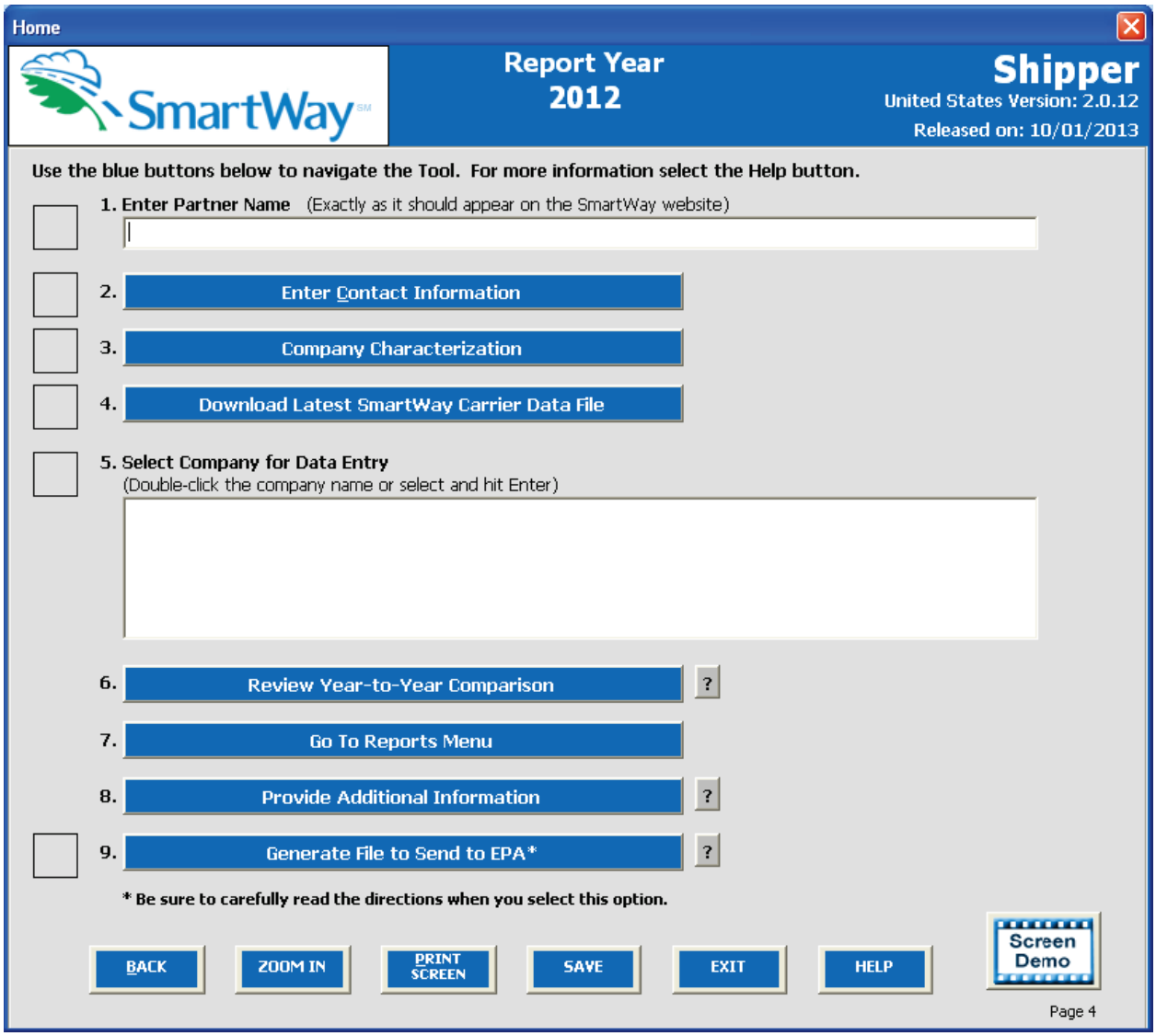


Figure 18: Main Tool Navigation or "Home" Screen

There are nine sections on the **Home** screen, each described briefly below. Each section has buttons linking to additional screens or worksheets within the Tool which are described below. The first five sections of the **Home** screen comprise all the steps needed to complete your Shipper Tool, and you must complete them in order**.** After they are completed, the remaining sections allow you to review your output, provide additional information, and/or submit your Tool to EPA.

Section 1: **Enter Partner Name (data field):** Specify your company's Partner Name, exactly as you want it to appear on the SmartWay website.

Section 2: **Enter Contact Information (button):** This button takes you to a screen that asks for general company contact information, a primary SmartWay point of contact, and a different executive-level contact. Additional contacts may also be included.

Section 3: **Shipper Company Characterization**: This button takes you to a screen that asks you to define all the shipper companies you operate. Once these companies are defined, the software will enable you to generate blank data entry forms for each company.

Section 4: **Download Latest SmartWay Carrier Data File**: Select Download Latest SmartWay Carrier File. Select this button to download the latest SmartWay Carrier performance data for use with your shipper companies. You must download the latest file to ensure you use the most up to date information on SmartWay Carrier Partners.

Section 5: **Select Business Unit for Data Entry:** Selecting a company name will take you to screens asking for the carrier and activity information necessary to calculate efficiency metrics for the company.

Section 6: **(Optional) Review Year-to-Year Comparison (button):** This optional step allows you to compare previous year data entries to the data entered for the current year. The comparison reports provide a useful tool for performing quality control of current data, as well as a method for evaluating trends in operation changes, activity levels and company performance over time.

Section 7: **(Optional) Go To Reports Menus (button)**: Here you can view final summaries of your data including all data inputs, company performance summaries, an "out of range" report (summarizing inputs that are higher or lower than expected values) and a summary of comments you have entered.

Section 8: **(Optional) Provide Additional Information (button):** Here you can provide information about your company's environmental accomplishments and give EPA feedback about the SmartWay program.

Section 9: **Generate File to Send to EPA (button)**: This button creates a version of the Tool (in XML format) for you to send as an attachment in an e-mail to your Partner Account Manager (PAM). Selecting the **OK** button on this screen does ***not*** automatically submit the file to EPA; you still need to submit it to EPA by attaching it in an e-mail.

ENTERING YOUR DATA

With the exception of Section 1, clicking on the buttons or list items in Sections 2 through 9 will take you to additional screens and worksheets that comprise the data entry segments of the Tool.

The first five sections of the home screen are mandatory and MUST be completed in order. These sections comprise all the data collection steps needed to complete your SmartWay Shipper Tool. After they are completed, you can review your output and/or submit your Tool to EPA. Once you complete each mandatory step, a will appear on the left of the screen.

SAVING YOUR DATA

You can save your data you have entered at any time by selecting the

button that appears at the bottom of most screens (including the **Home** screen). EPA recommends saving your data frequently if you are entering information for large numbers of carriers.

REVIEWING YOUR DATA

Before submitting, you should review your data. To generate a hard copy of screen text or your data inputs, select this button. The screen will be printed on your default printer.

Alternately, you can return to the Home screen, select the

button, identify the report of interest using the Reports Menu, and print them out for review. The data reports provided by the Shipper Tool are discussed further in the **Finalize Data Entry and View Reports** section of this guide.

SUBMITTING DATA TO SMARTWAY

Detailed instructions on properly submitting your data to EPA is included in this guide on page 72.

PART 3: SECTION-BY-SECTION DATA ENTRY GUIDANCE

Preparing for Data Entry

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

- The official Partner Name, EXACTLY as you would like it presented on the EPA website
- Company contact information
- Contact details for your Primary Contact
- Contact details for an Executive Contact (cannot be the same as the Primary Contact)
- Shipper company name(s) and associated NAICS codes and points of contact
- A comprehensive list of carriers used by your shipper companies including:
    - SmartWay carrier fleet names
    - Number and mode of non-SmartWay carriers (truck, rail, logistics, multi-modal)
    - Carrier-specific activity, including miles and/or ton-miles hauled
- Data sources for all data to be entered
- SmartWay ID number (if this is not your first Tool submission)

This data must be provided for all of your shipper companies. This data reflects the amount of freight carried by each carrier and the distance that freight is carried.

The next five sections of this guide explain how to enter your data on each of the required screens. You must complete these sections of the **Home** screen in order.

Section 1 Data Entry: Enter Partner Name

SECTION 1 OVERVIEW

Section 1 of the Shipper Tool asks you to "Enter Partner Name."

Figure 19: Field for Entry of Partner Name on Shipper Tool Home Screen

EPA publishes your company's official name on the EPA SmartWay website. This is how your customers will know that you are a SmartWay Partner. The name that EPA lists is known as your "Partner Name" and is defined within Section 1 of the Shipper Tool.

Therefore, it is essential that you specify your company's Partner Name EXACTLY as you want it to appear on the SmartWay website.

Pay special attention to proper capitalization, abbreviations, and punctuation, and remember that EPA will use whatever you enter EXACTLY as reported.

Steps for Entering Partner Name

1. Type your Partner Name EXACTLY as you would like it to appear on the SmartWay website in the field as indicated.
2. Proceed to Section 2 to enter contact information.

Section 2 Data Entry: Enter Company and Contact Information

REFER TO **WORKSHEET #1: Company Contact Information in the Quick Start Guide, or go to** http://www.epa.gov/smartway/partnership/shippers.htm to complete this section of the Shipper Tool.

SECTION 2 OVERVIEW

The Contact Information section is where you identify all points of contact between EPA and your company that are related to your participation in SmartWay.

Section 2 asks you to click the blue button labeled "Enter Contact Information."

Figure 20: Select Contact Information Button on "Home" Screen

You will then be taken to the **Contact Information** Screen. The Partner Name entered on the Home screen will appear automatically at the top (see arrow in **Figure 21**). On this screen you establish the following details about your company:

1. **Partner Information** includes details about the company location, phone numbers, and web address.
2. **The Primary Contact** is the person assigned to work directly with EPA regarding timely and accurate Tool submission, and is responsible for assembling information to complete/update company 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.)
3. **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 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. **Other Contacts** include any other company representatives that have a role in your participation in SmartWay. These may include representatives from other companies, media/public relations, staff, or anyone who has responsibility for specific companies beyond the person listed as the Primary Contact. This is especially important as you may be

identifying individual companies in the Tool and will be assigning contacts to each company separately.

NOTE: You must supply *at least two unique contacts* on the contact page to ensure EPA has access to at least two people for Tool submission follow-up. Duplicate contacts will be flagged as an error by the Tool.

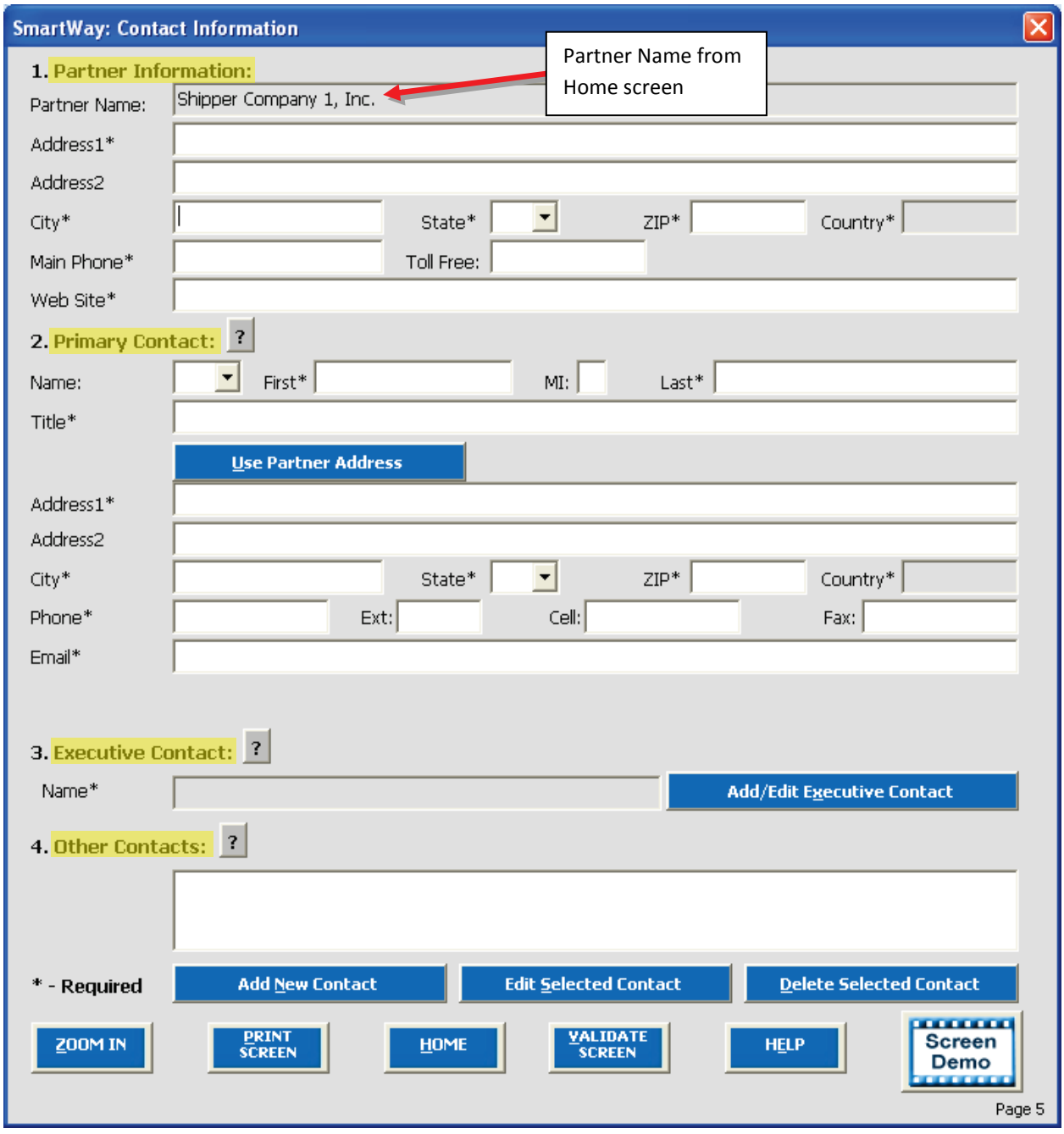


Figure 21: Entering Company Contact Information

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:

1. **Enter the Partner Information details** in Section 1 of the **Contact Information** screen.
2. **Enter Primary Contact details** in Section 2. If the Primary Contact's address is the same as the company, you can select the

button to automatically fill in the address section of this record.
3. **Enter the Executive Contact details** in Section #3 by selecting the

button to the right; enter the required data. Note that you MUST have at least two different contacts on the **Contact Information** screen.
4. **Enter Other Contacts** (if applicable) in Section 4 by selecting the

button. A new contact field will appear, labeled **Other Contact Information**. Enter the first Other Contact then select **OK** when done. You can add more contacts by selecting "Add New Contact" again. If you wish to edit an existing contact's information, highlight the name you wish to edit and then select the

button. You can remove an existing contact by highlighting the contact and then selecting the

button.
5. Select

at the bottom of the screen. If any information is missing, a dialogue box will appear informing you what additional information is required.
6. When finished, select the

button to return to the **Home** screen and proceed to Section 3.

Section 3 Data Entry: Shipper Company Characterization

The next section of the Tool is the "Company Characterization" section. This is the section where you will define your companies.

The Shipper Tool allows you to assess your operations by defining multiple companies. If you operate more than one separate and distinct company you may wish to track each company separately.

On the **Home** screen select the **Go To Company Characterization Screen** button (**Figure 22**) to display the **Company Characterization** screen. This is the section where you will define the various components of your shipper companies.

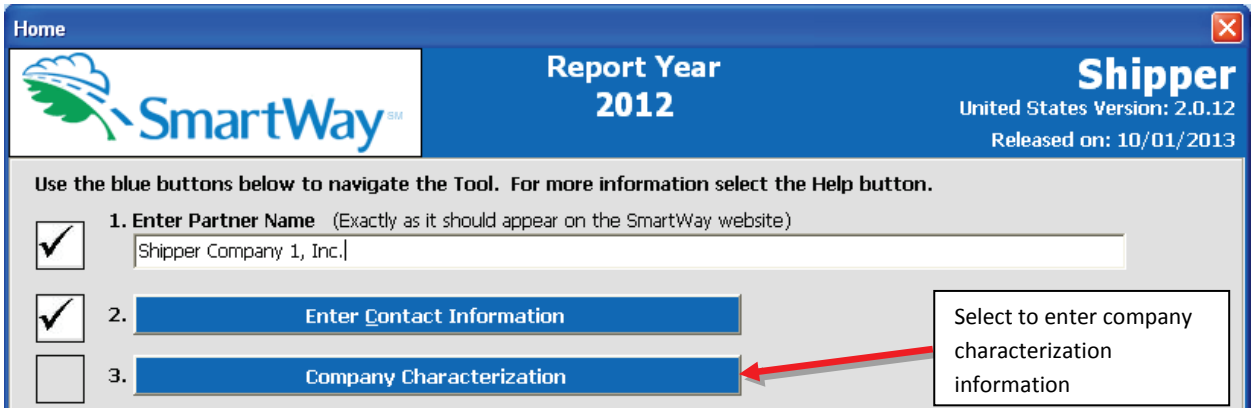


Figure 22: Selecting Shipper Company Characterization on Home Screen

The steps required to complete the **Company Characterization** screen are described below.

"Company Characterization" Screen Overview

The **Company Characterization** screen is shown below:

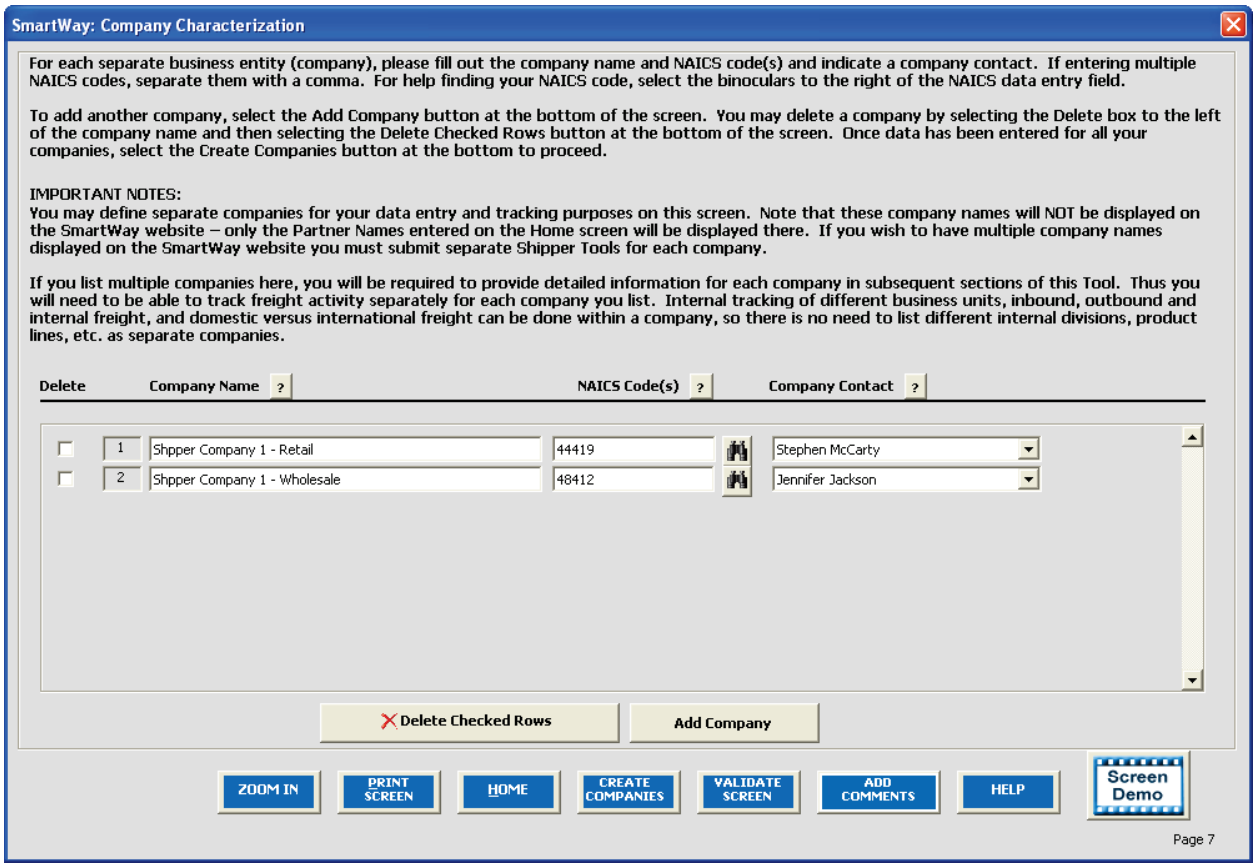


Figure 23: Characterizing Shipping Companies

This screen allows you to create multiple company data records. If you operate more than one separate and distinct company you may wish to track each company separately. Each individual data file has the ability to track companies, inbound/outbound freight, and international/domestic freight as well as other user-defined distinctions.

Most Partners should create one company; i.e., one line. However, if you are a global conglomerate that, for example, has a large home goods retail company, a wholesale parts supply company, and a product manufacturer, all with separate corporate identities and transportation systems, you may want to create three companies. However, note that these companies will not be listed separately on the Partner Listing on the SmartWay website. If you would like multiple companies displayed on the Partner Listing, submit separate Tools for each company.

Using data collected using Worksheet #2: Shipping Company Characterization **in the Quick Start Guide, or go to** *http://www.epa.gov/smartway/partnership/shippers.htm*, **enter data for your first company.**

- **Company Name(s)**: Name your companies, beginning with your partner name followed by the specific company name. Example: Shipper Company 1 – Retail.

- **NAICS Code**: NAICS, or North American Industry Classification System codes, are the Federal standard for classifying businesses by activity type. NAICS codes can be from two or three up to six digits in length, and are organized hierarchically, with successive digits providing greater specificity in its description. Use the NAICS code(s) that most appropriately describes your company. You can use the search icon to the right of the data entry field to identify and select NAICS code(s). If you need to enter multiple NAICS codes, you may check multiple boxes on the popup screen while holding down the "Ctrl" key on your keyboard, or simply enter them directly and separate them with commas.

  Note: Detailed information on NAICS codes can be found at http://www.census.gov/eos/www/naics/.

  Alternatively, you may contact your accountant who can locate your NAICS code:

  1. On your company's 1120 corporate tax return, filed with IRS, Schedule K, lines 2a, b and c.
  2. Or, on the 1120S corporate tax return, filed with IRS, Schedule B, lines 2a and b.

- **Company Contact**: Select your company contact(s). Use the drop-down menu to display the list of contacts you entered in the Contact Information screen and select one. If you need a contact for the company that is not already listed in the Contact Information screen, you will need to return to the Contact Information screen to add the contact information.

  NOTE: ***SmartWay highly recommends developing your list of companies beforehand by using an organization chart or perhaps a customer interface webpage. 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.***

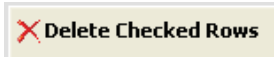
Adding Companies to Your List of Shipper Companies

To enter a shipper company, select the

button and fill in the Company Name, NAICS Code, and Company Contact, as described above. At this point you may add another shipper company by selecting

, or you may choose to delete a company, add notes, or finish data entry on the company characterization screen by following the instructions below.

Deleting Companies from Your List of Shipper Companies

To delete a company, select the box next to the company you wish to delete, and then select the 

button. Then you may add a company as described above or complete your shipper company characterization by selecting

.

Adding Comments/Notes

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

NOTE: *Please consider using the* ADD/VIEW COMMENTS *button located at the bottom right 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 and now read* VIEW/EDIT COMMENTS*, indicating to your reviewer that there are comments to be read.*

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

Finishing Your Shipper Company Characterization

Once you are sure you have entered your information correctly for each of your shipper companies, you may select the CREATE COMPANIES button at the bottom of the screen. Before proceeding to the next screen however, a popup screen will appear asking you to verify your company name(s) (**Figure 24)**.

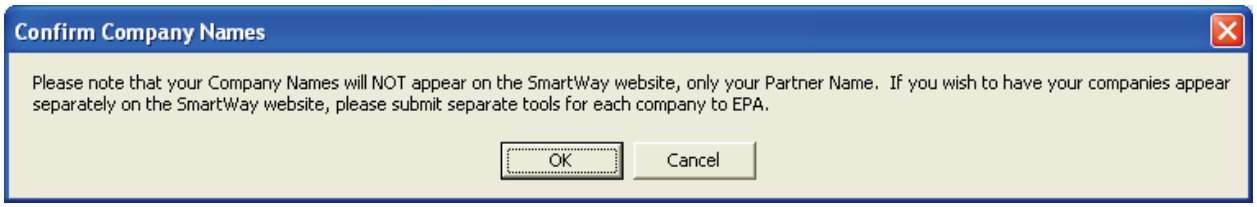


Figure 24: Shipper Company Name Verification Message

Select **OK** to proceed, or **Cancel** to revise your company name(s).

If, at a point later in the data entry process, you realize that you need to add a new company or delete an existing company, you can return to the **Company Characterization** screen. You can add or delete companies in the same way as described above, being sure to select the CREATE COMPANIES button at the end of the process. When you select this button, the system will create blank data entry forms only for the new company/companies you have added; any existing companies will not be affected. Note that, if

you are deleting a company for which you have already generated data entry forms, the system will prompt you to confirm the deletion.

Selecting

will take you back to the **Home** screen (see **Figure 25**). At this point you may define another shipper company following the same process, or proceed to **Step 4** on the **Home** screen.

Section 4: Download Latest SmartWay Carrier Data File

To ensure that the Shipper Tool gives you the most current list of SmartWay carriers to select from, you must click the "Download Latest SmartWay Data Carrier Data File" button on the **Home** screen, as shown in **Figure 25**. You will not be able to input the required shipper company data in Step 5 without this file. *You must have an active Internet connection to perform this step.*

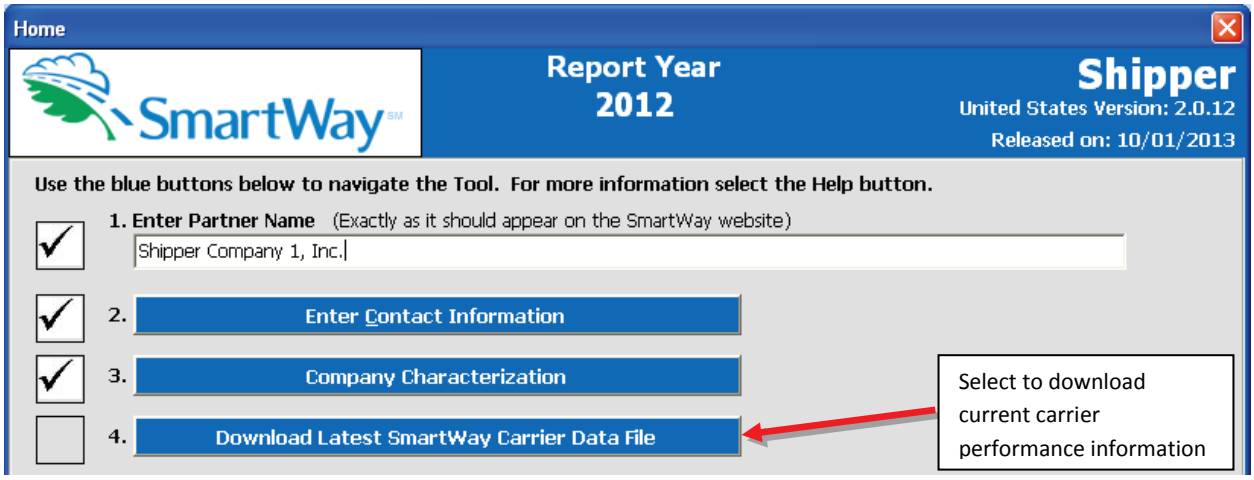


Figure 25: Downloading Latest SmartWay Carrier Data File

After selecting the button, the carrier file will be downloaded to your computer and the date of the file will be displayed to the right on the **Home** screen, as shown in **Figure 26**.

If you already have a SmartWay Carrier Data File located in the same folder as the Shipper Tool (perhaps used to create last year's submittal), the Tool will notify you before downloading the new file. If you would like to retain a copy of the old file for your records you can either rename the old file or move it to another folder before downloading the latest file. Otherwise you can download the new carrier file directly, over-writing the old file.

You are now ready to go on to selecting carriers and entering activity data for each company.

Section 5: Select Company for Data Entry (providing carrier activity information for your companies)

Now that you have defined your shipper companies, in Section 5 of the Shipper Tool, you will be asked to provide additional information for EACH company separately.

"Company Status Review" Overview

Once you have returned to the **Home** screen, you will see all of your shipper companies listed in the window below item # 5: **Select Company for Data Entry**.

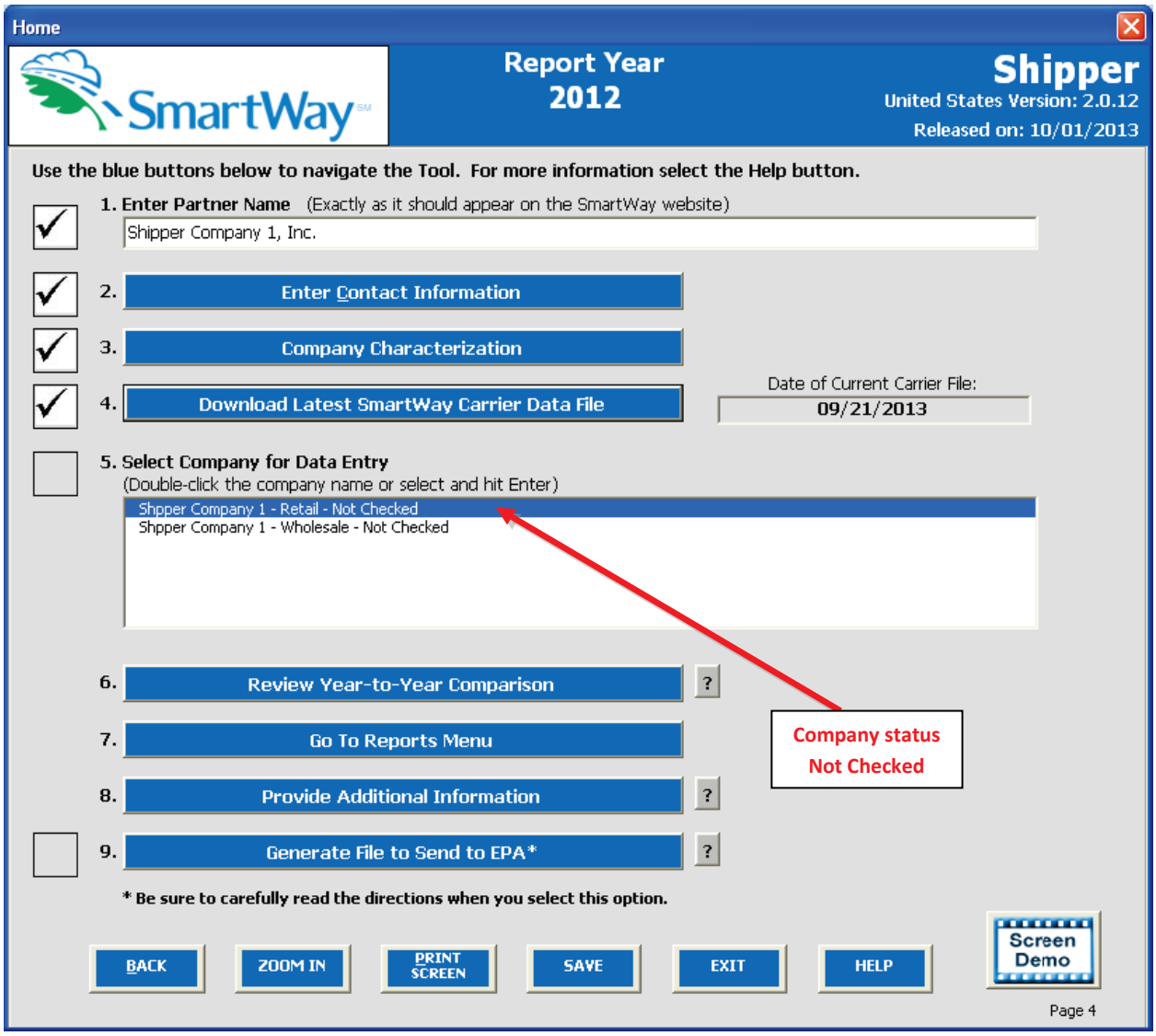


Figure 26: Home Screen with Shipper Company Status Prior to Carrier Activity Data Entry

A status message appears after each company name, indicating whether or not the data entry for that company is complete. There are three possible status messages:

- **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 messages above, you may also see one of two qualifiers: "Errors" or "Warnings."

- **Errors** prevent you from generating internal metrics reports (under the "Go to Reports Menu" section of the Tool), and **must be addressed** before you can submit your Tool to EPA. However, with errors, you will be able to use the **Review Year-to-Year Comparison** report to help identify missing data or otherwise clarify uncertainties by referring to previous year submissions.
- **Warnings** will still allow you to run 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 of addressing errors and warnings is described for the various input screens in the following sections.

Steps for Selecting a Business Unit to Review:

1. Using your mouse, select and highlight the name of the company for which you wish to enter data.
2. Double click the name; you will then be taken to the **Basic or Comprehensive** screen for that company.

Steps for Completing the Basic or Comprehensive Screen

After selecting a shipper company for data entry, you will see the **Basic or Comprehensive** screen (**Figure 27**).

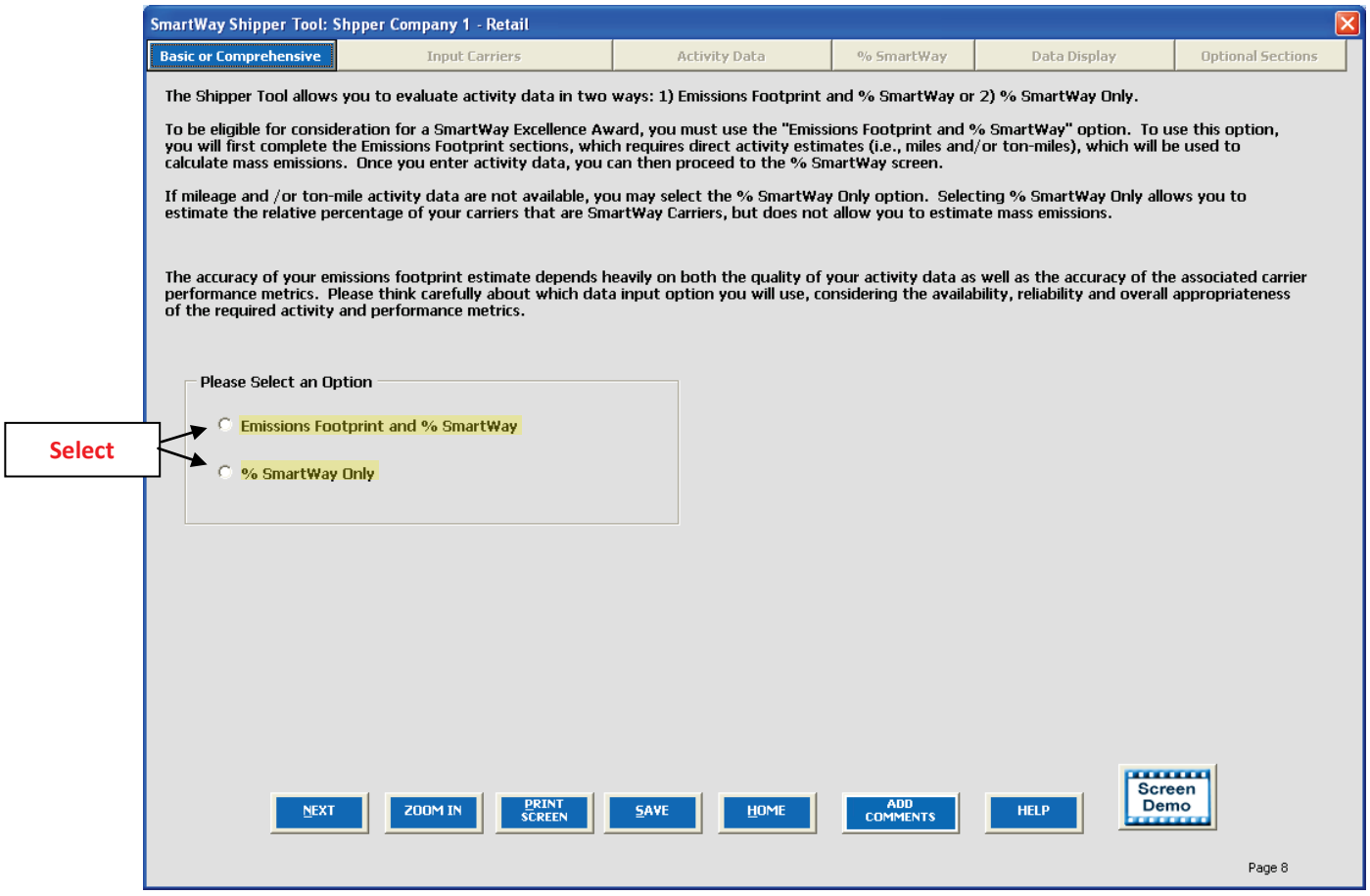


Figure 27: Basic or Comprehensive Screen

Two options are available for assessing the performance of the carriers used by your company on the **Basic or Comprehensive** screen. Selecting **Emissions Footprint and % SmartWay** (Comprehensive option) allows you to calculate the mass emissions associated with your company, as well as to determine your **% SmartWay Value** based on percent of ton-miles or miles traveled, or CO2 emitted, or other activity measure attributable to SmartWay Carrier Partners (we will use the name "SmartWay Carriers" to describe this group of Partners). The **Emissions Footprint and % SmartWay** selection also allows you to determine emission reductions from mileage- or weight-reducing strategies employed by your company, and to estimate the change in emissions due to various mode shifts.

Selecting **% SmartWay Only** (Basic option) allows you to estimate the relative percentage of your carriers that are SmartWay Carriers, but does not allow you to estimate mass emissions.

If you select the **Emission Footprint and % SmartWay** option then you will be required to enter direct activity estimates (i.e., miles and ton-miles) which are used to calculate mass emissions estimates for your carriers. Once you've entered the required data on the **Activity Data** screen you will calculate your **% SmartWay Value** on the **% SmartWay** screen. In this case, your % **SmartWay Value** will be used to determine if you qualify for a SmartWay Excellence Award.

If you do not have total mileage and/or ton-mile estimates available for each carrier you have hired in the reporting year, select the **% SmartWay Only** option. This will allow you to calculate your **% SmartWay Value** based on the weighted utilization of your carrier selections (using % spent, % weight, % packages, or % custom). However, note that the **Shipper Strategies** and **Modal Shift** screens will be unavailable, and you will be ineligible for the SmartWay Excellence Awards.

After you make your selection, use the NEXT button to proceed to the **Input Carriers** Screens.

COMPLETING THE CARRIER SELECTION SCREENS

Instructions Screen

The first screen you encounter under the **Input Carriers** tab is the **Instructions** screen, which describes the two basic methods of data input to specify your fleets in detail (**Figure 28**). Carefully read the instructions, using the scroll bar on the right to read the description of all five of the **Input Carrier** screen options. Afterward, you must check the box that will appear at the bottom of the **Instructions** screen acknowledging that you have read and understood the carrier data input instructions before proceeding to the next screen.

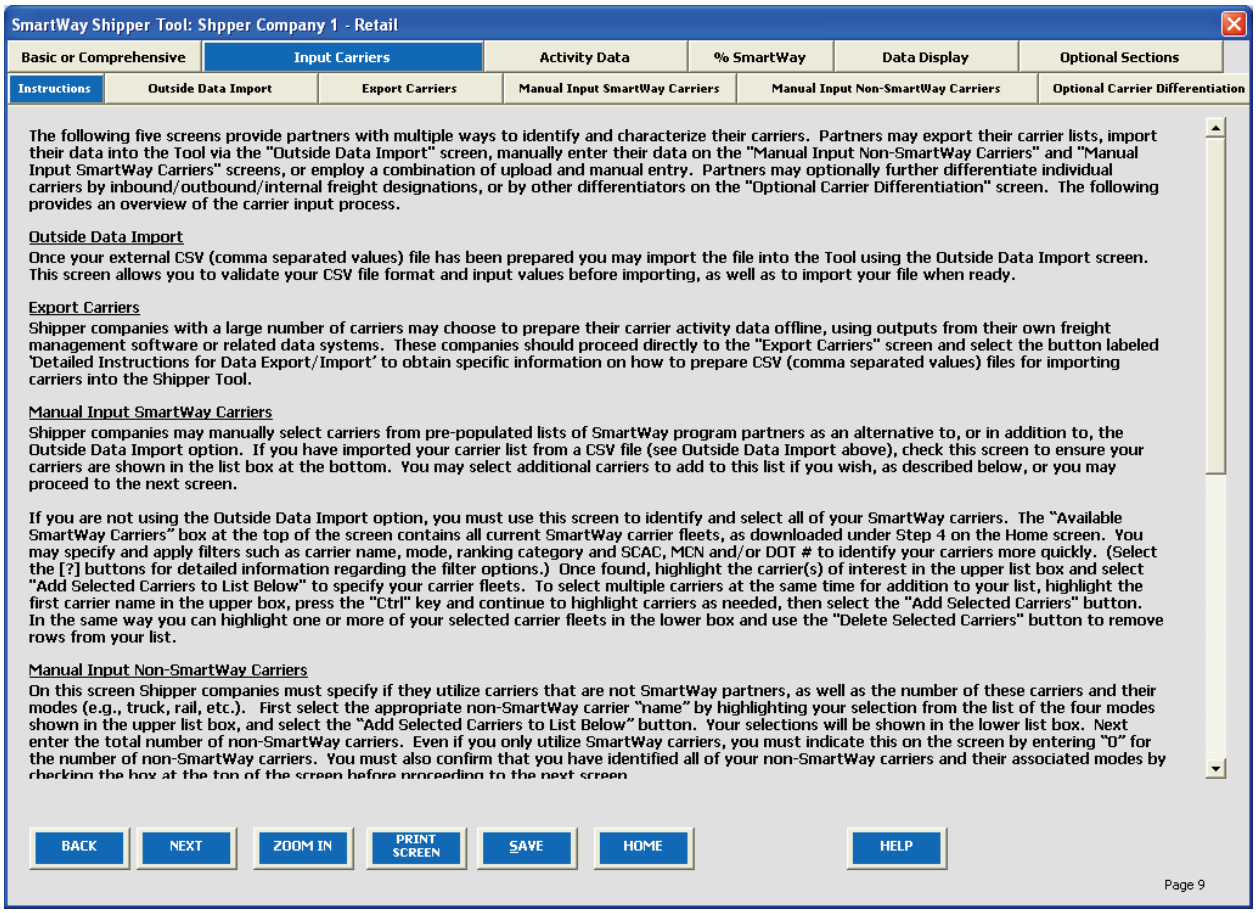


Figure 28: Input Carriers Instructions Screen

After reading the **Instructions** screen, you will need to identify the carriers used by each shipper company. Two options are available for identifying your carriers. If you have a large number of carriers (e.g., as a large 3PL), you may wish to develop your carrier details separately and upload your data in a single file using the **Data Import** method. Alternatively, if your company has a limited number of carriers, you may choose to specify your carriers one at a time using the **Manual Entry** method. These two methods are described in detail in the **Data Import/Export Guide** located at

http://www.epa.gov/smartway/documents/partnership/shipper/partnership/**420B13052.**pdf

.

Regardless of the method you choose, you will need to first identify the mode of transport for the carrier. Four carrier mode selections are available, including:

- Rail
- Truck
- Multi-modal
- Logistics

(Note: By selecting "All" on the Tool's **Select Carrier(s)** screen, you may search across all carriers, regardless of mode.)

Next, you may also specify a carrier ranking category for the Truck mode. Truck ranking categories include:

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

Ranking category selections are not currently available for other modes but may be added in the future. (Note: Multi-modal selections list "Truck/Rail" as the ranking category.)

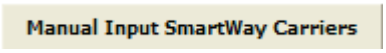
After identifying the mode (and ranking category, if available), you should identify each carrier's specific fleet name, as listed in the SmartWay Carrier Data file, along with any associated SCACs, MCNs, and DOT numbers. The Carrier Data File can be downloaded from the SmartWay website by selecting the button under Step 4 on the Shipper Tool **Home** screen and viewed on the **Select Carrier(s)** screen or offline using Microsoft® Excel.

In certain cases, a carrier may have multiple fleets associated with its operations. In the case of trucking, multi-modal and logistics Partners, you may use the SCAC list in the Carrier Data file to select

among multiple fleets. The **Select Carrier(s)** screen also allows you to filter carrier fleets by SCAC, MCN and/or DOT number if needed.

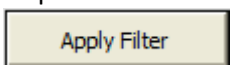
If one or more carriers used by your company are not SmartWay Partners, you should specify "Non-SmartWay" for the given mode – for example, Non-SmartWay Truck Carrier or Non-SmartWay Multi-modal Carrier. If you have any non-SmartWay carriers in your list, then you must also specify the number of non-SmartWay carriers utilized for each mode, *but only include carriers used during the reporting year.*

After reading the **Instructions** screen you must now decide how you will enter your data; i.e., via manual input or through the outside data import function. Refer to the "Shipper Company Partner 2.0.12 Tool: Guide to Importing Carrier Data Using Outside Data Import Function-2012" on the shipper page of the SmartWay website for more information about using the Outside Data Import function to enter your carriers.

Otherwise, proceed to the 

tab.

Steps for Completing the Manual Input SmartWay Carriers Tab:

1. To select carriers manually, you can enter all or part of the carrier's name directly into the "Carrier Name" input box and the select the 

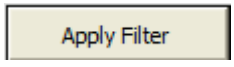
button. A new filtered list will appear in the Available SmartWay Carriers box.

   Double click on the carrier name to add it to the "Selected SmartWay Carriers" box.

2. You may also search for carriers by filtering using carrier mode, ranking category, SCAC, MCN, and/or DOT to find your carriers in the SmartWay Carrier data file.
3. To search by Carrier Mode, select the mode of transport from which you wish to choose a carrier. Five carrier mode selections are available, including "All," "Rail," "Truck," "Multi-modal" and "Logistics."

- Note that by selecting "All", you may search across all carriers, regardless of mode.

4. Next, if you select the Truck mode, you may also specify a carrier ranking category. Truck ranking categories include TL Dry Van, LTL Dry Van, Refrigerated, Flatbed, Tanker, Dray, Heavy/Bulk, Package, Auto Carrier, Moving, Utility, Specialized, Mixed, and Expedited.

   To select carriers manually, you can enter all or part of the carrier's name directly into the "Carrier Name" input box and the select the 

button. A new filtered list will appear in the Available SmartWay Carriers box.

   After identifying the desired carrier, double click on the carrier name to add it to the "Selected SmartWay Carriers" box.

5. Once you have successfully identified your carriers using the **Manual Entry** method, proceed to the Manual Input Non-SmartWay Carriers tab.

Steps for Completing the Manual Input Non-SmartWay Carriers Tab:

1. Enter the total number of Non-SmartWay Carriers for the shipper company into the data field.
2. Check the box to confirm that you have added all of the Non-SmartWay Carriers for your company.
3. Using your mouse, double-click on each non-SmartWay carrier ***type*** used by this company; double clicking will add it to the "Selected Non SmartWay Carriers" list.
4. Once the required data has been entered on the Manual Input Non-SmartWay Carriers tab, you can proceed to the **Activity Data** screen.

Optional Carrier Differentiation Screen

If you wish, after specifying (and importing if necessary) all of your SmartWay and Non-SmartWay carriers, you may provide additional information to help you reflect how your company uses and tracks its carriers. This screen allows you to differentiate your carriers' activity based on a variety of characteristics, including the following optional "tags":

- Business Unit Identifier
- ID Code
- Inbound/Outbound/Internal
- Domestic/International
- Internal Shipper Segment 1
- Internal Shipper Segment 2

An example **Optional Carrier Differentiation** screen is provided below (**Figure 29**).

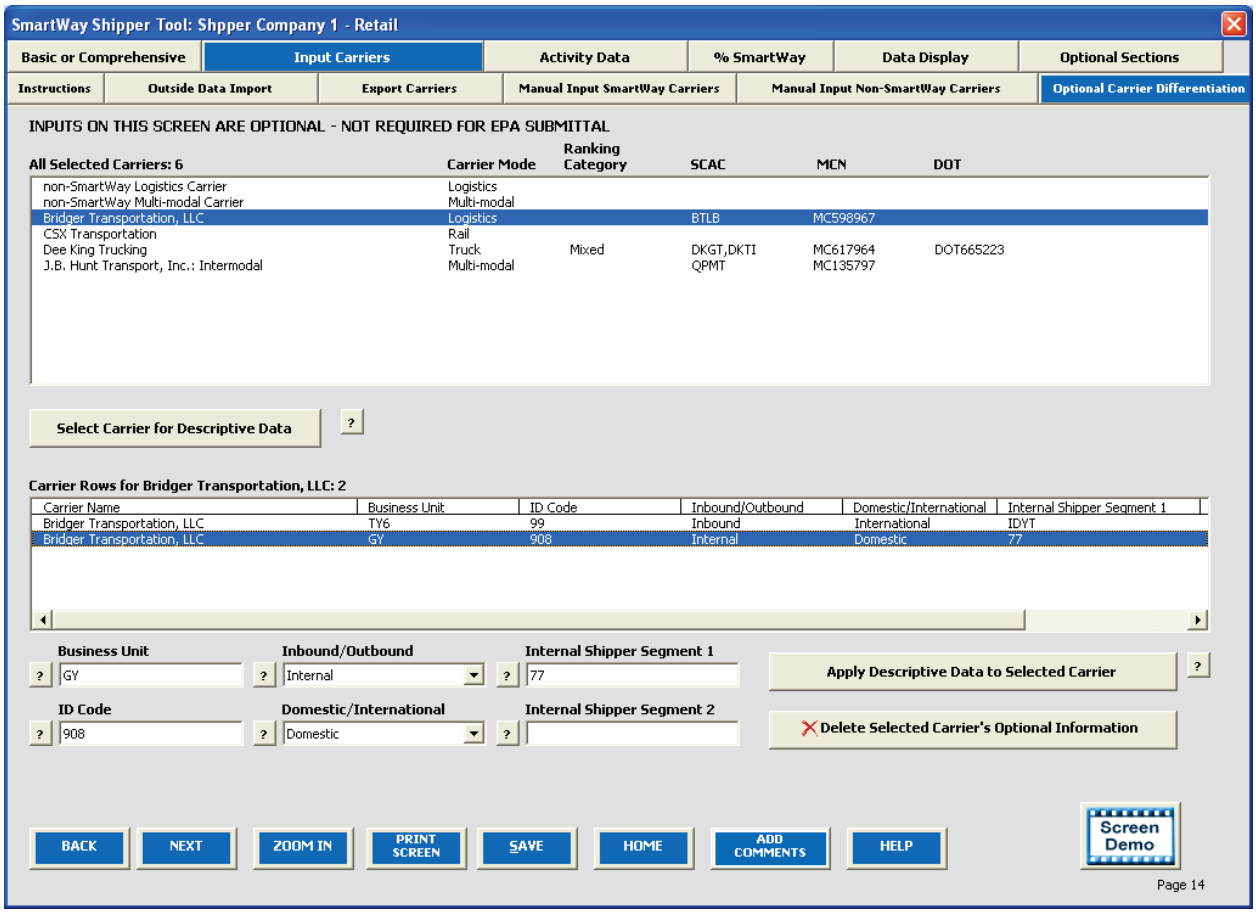


Figure 29: Optional Carrier Differentiation Screen

If you do not wish to provide such information you may proceed directly to the **Activity Data** screen.

If you do wish to provide additional information, look near the top of the Optional Carrier Differentiation screen for the complete list of carrier names you have specified up to this point, either manually or through data import, along with carrier information such as mode, ranking category, and SCAC/MCN/DOT. In order to provide additional information for a given carrier, first highlight the carrier name in the upper list box and you will see the carrier name appear in the lower list box. At this point you may enter one or more tags for the selected carrier. Once you enter the desired information, select the **Apply Descriptive Data to Selected Carrier** button at the lower right to associate the tag information with the carrier. If you wish to change the tag information, simply highlight the carrier name in the lower list box and repeat the process.

If you wish to differentiate the activity associated with a single carrier (e.g., splitting inbound and outbound freight movements), highlight the carrier name in the upper list box select the **Select Carrier for Descriptive Data** button immediately below the box. You will then see an additional row appear in the lower list box with the same carrier name. Enter the different tag combinations for each row as described above, and repeat the process as many times as necessary. Rows in the lower

text box may be deleted by highlighting them and selecting the

button at the bottom right. Once finalized, your complete list of differentiated carrier rows will be brought forward to the **Activity Data** screen.

At this point you may return to the **Export Carriers** screen to export your selected carrier list in CSV format, or you may proceed to the **Activity Data** screen to input the mile and/or ton-mile data associated with each of your carriers using the Tool itself. If you designated multiple tags for a given carrier, you must provide separate activity data inputs for each carrier tag.

> **NOTE:** *Before proceeding to the **Activity Data** screen, check your carrier listing to be sure the list includes all carriers that your company uses, and that the names, SCACs, MCNs and DOT numbers match perfectly. You may review your carrier list using the Input Summary Report available under the Reports Menu on the **Home** screen.*

Steps for Completing the Activity Data Screen

REFER TO **WORKSHEET #3B: Activity Data in the Quick Start Guide, or** go to http://www.epa.gov/smartwaylogistics/partnership/shippers.htm for additional help to complete this section.

Data reported on this screen are used to calculate your shipper company's overall performance and mass emissions. Carriers specified in the **Input Carriers** screens are automatically listed on this screen, along with their associated mode and performance ranking category, if applicable (**Figure 30**).

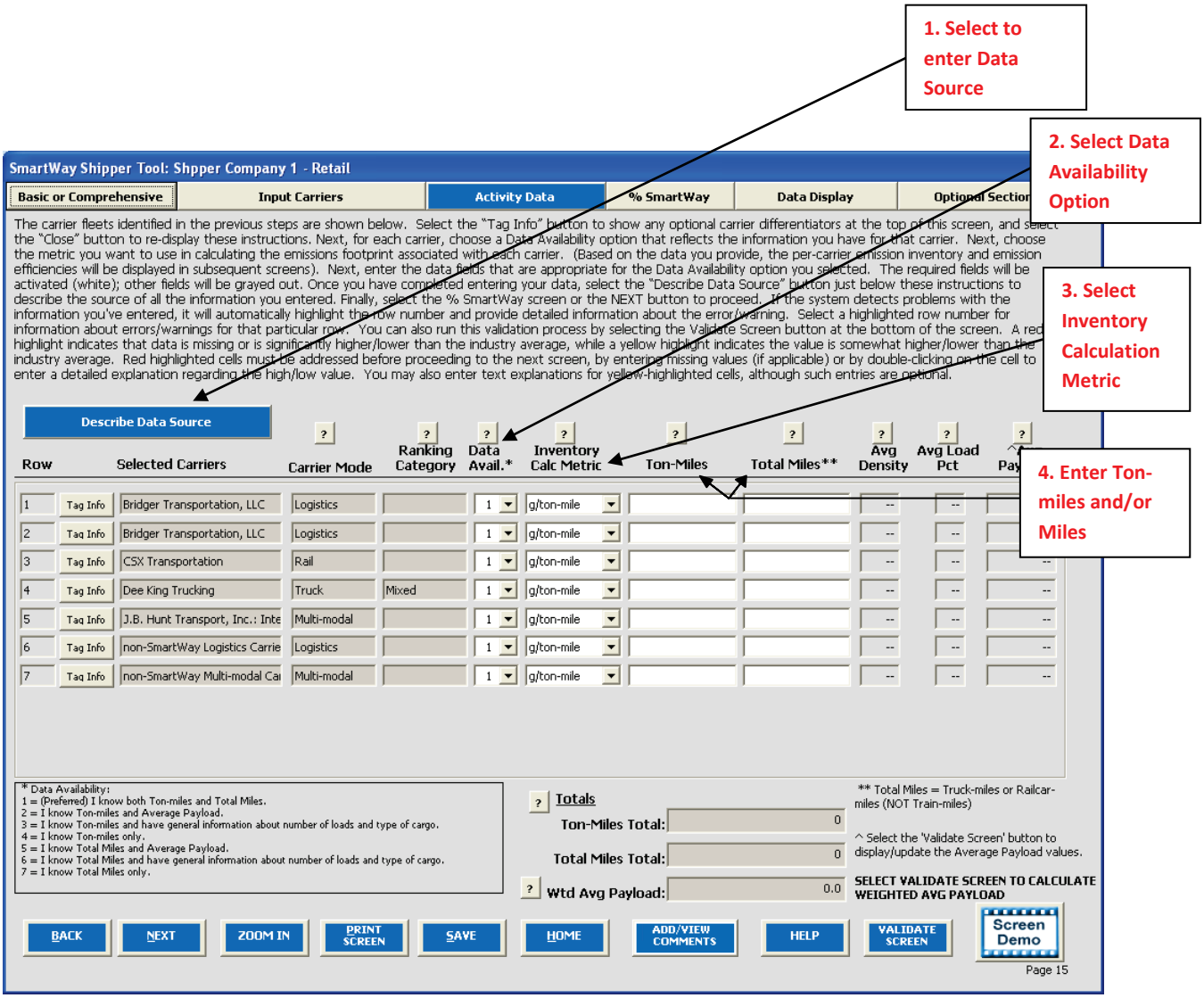


Figure 30: Activity Data Screen

Before proceeding with your activity data entry, note that you can display detailed tag information for each carrier row on the **Activity Data** screen by selecting the Tag Info button. Selecting this button will display the specific tags assigned to each carrier on the **Optional Carrier Differentiation** screen, as shown in **Figure 31**. The Shipper Tool provides this feature to assist SmartWay Shipper Partners that have defined multiple rows for a single carrier, in order to determine which activity data should be entered in which row. Select the **Close** button to re-display the screen instruction text.

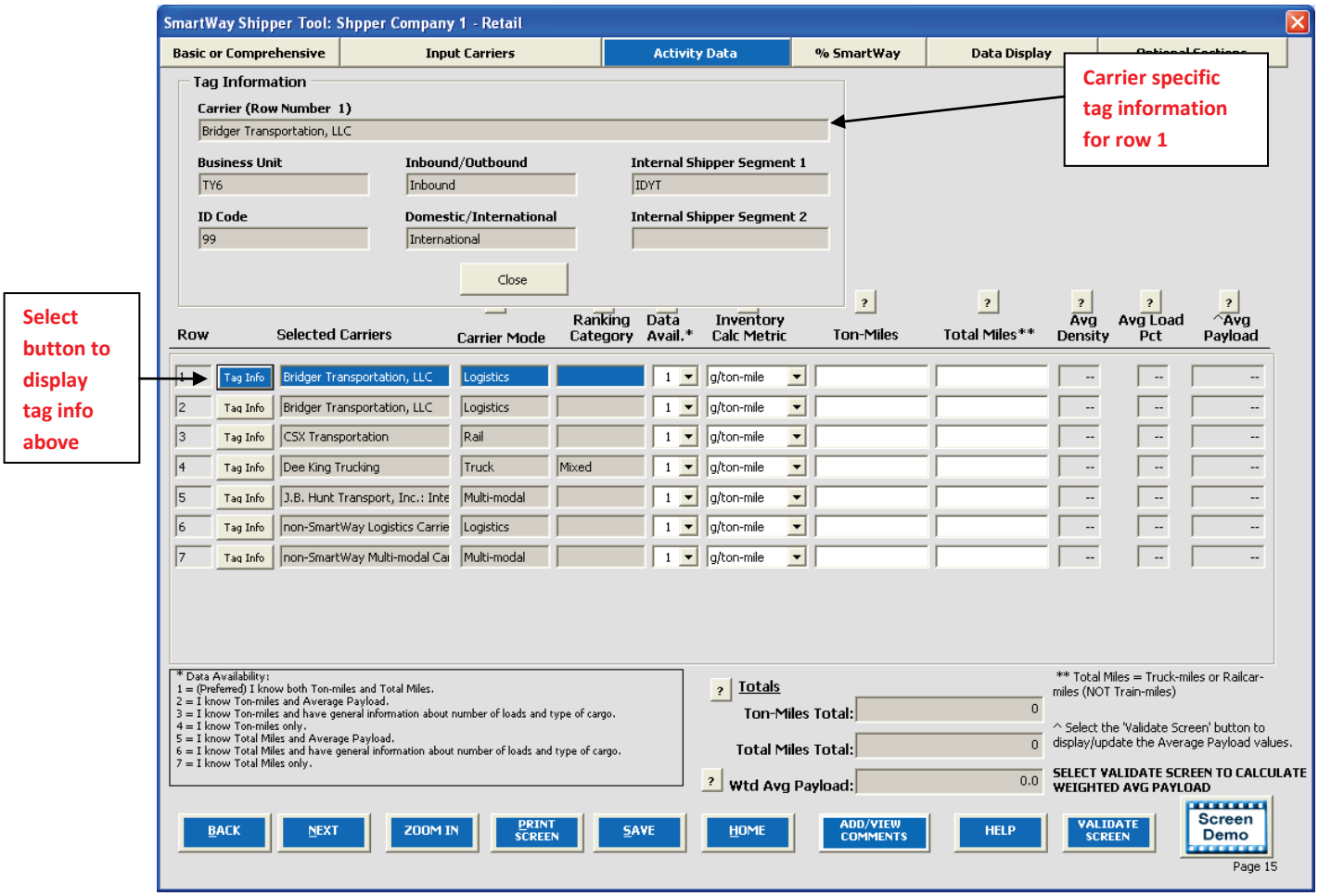


Figure 31: Activity Data Screen with Tag Information Displayed

The following describes the steps required for completing the **Activity Data** screen.

1. Entering Data Source Description

Before you begin entering activity data for your companies, select the

button and enter a detailed description of the sources used to generate your activity data in the popup text box (**Figure 32**). Be sure to indicate how you calculated miles and ton-miles, and where these data were obtained. For example, you may use PC Miler, carrier reports, or accounting/purchasing records to determine miles. Payload and ton-mile estimates may be based on bills of lading or other internal records.

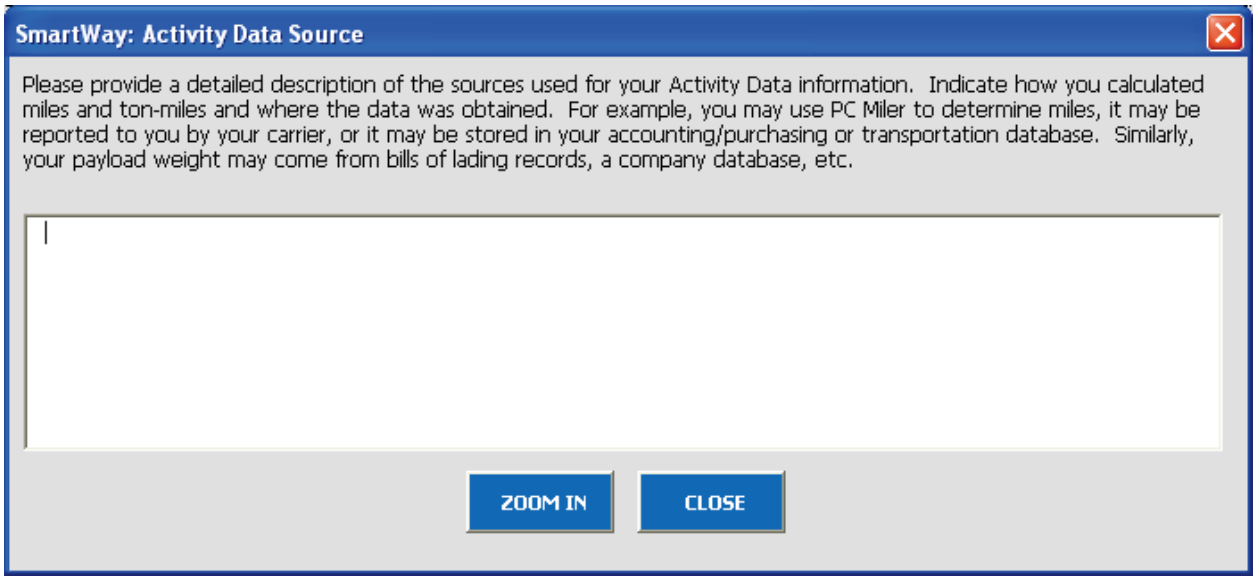


Figure 32: Activity Data Source Description Text Box

2. Selecting the Data Availability Option

To begin entering data regarding how you use each carrier, you must first specify a **Data Availability** option. There are seven **Data Availability** options offered, as summarized below (and listed near the bottom left area of the **Activity Data** screen for your reference; see **Figure 31**).

1. Enter ton-miles and miles
2. Enter ton-miles and average payload
3. Enter ton-miles, density, and load percentage
4. Enter ton-miles only
5. Enter miles and average payload
6. Enter miles, density, and load percentage
7. Enter miles only

Depending on the **Data Availability** option selected, the fields on the screen will become active (white) or remain grayed out.

Choose the method that uses the most accurate data at your disposal for each carrier. You can specify various data availability options for carriers, depending on what type(s) of data you have for each and the reliability of that data.

- **If you have reliable data for both ton-miles and total miles, select Option 1.**

- **If you don't have reliable mile data, but do have reliable ton-mile data, select Options 2, 3 or 4.**

In Option 2, you will need to provide average payload, which will be used to develop a mileage estimate. In Option 3, you may include information on load percentages and the types of cargo, and the Tool will calculate an average payload for you based on the commodities shipped with each carrier. In Option 4, the Tool will use an average payload number based on the bin category of the carrier to estimate a miles number for you. For all of these options, the miles estimates are paired with the carriers' g/mile efficiency factors to estimate mass emissions for each carrier. Although dependent on industry type and product mix, Option 2 is *generally* preferred to Option 3 in terms of data quality, while Option 3 is *generally* preferred to Option 4 (again, depending upon the accuracy of the data available for each carrier).

Providing ton-mile data (Options 2, 3, and 4) is generally preferable to simple mileage data for most modes. For example, when shipping bulk commodities by rail, ton-mile estimates are often available and will result in a more precise estimate of mass emissions (when combined with gram per ton-mile metrics for each carrier) than relying on gram per mile metrics. Ton-mile estimates are also most appropriate for LTL and package delivery truck shipments, given the uncertainty in cargo volume utilization. Ton-miles are also more appropriate for heavier TL shipments. Alternatively, mileage activity measures are most appropriate for light truckload shipments. However, for all calculations, where precise estimates of weight are often unknown, and distance estimates are highly reliable, mileage activity measures may be the better metric. See the ***SmartWay Shipper Tool Technical Documentation*** *for additional information on these calculations.*

> **NOTE: Data Availability options for less-than-truckload (LTL) carriers are restricted to numbers 2, 3, 5, and 6 due to the difficulty apportioning mileage activity in the absence of payload-related information.**

- **If you don't have reliable ton-mile data, but do have reliable mile data, select Options 5, 6 or 7.**

In Option 5, you will also need to provide average payload which will be used to develop a ton-miles estimate. In Option 6, you may include information on load percentages and the type of cargo, and the Tool will calculate an average payload for you. In Option 7 (miles only), SmartWay will use an average payload number based on the bin category of the carrier to estimate a ton-miles number for you. (Option 7 requires additional off-line calculation to account for partial loads.) In each of these three options, the ton-miles estimates are paired with the carriers' g/ton-mile efficiency factors to estimate mass emissions for each carrier. Although dependent on industry type and product mix, Option 5 is *generally* preferred to Option 6 in terms of data quality, while Option 6 is *generally* preferred to Option 7 (again, depending upon the accuracy of the data available for each carrier).

> **NOTE**: **Do not use Data Availability Option 6 or 7 for rail carriers.**

3. Selecting the Preferred Inventory Calculation Metric

For each carrier record in which you have selected Data Availability Option 1, you must define your preferred metric (**Inventory Calculation Metric**) for calculating mass emissions. For all other data availability options, the Tool will designate the metric for you.

Options for Data Availability Option 1 include grams per (truck) mile, grams per railcar-mile, and gram per ton-mile (all modes).

> **NOTE:** *The Shipper Tool calculates your emission performance based on the best available data for each of your carriers. Since your mass emissions inventory can be produced using either g/ton-mile or g/mile metrics, you may mix your selected metrics across carriers. Regardless of the metric you select, the Tool will calculate tons of emissions. In order to compare efficiencies across different carriers and/or modes, the Tool expresses performance in both g/ton-mile and g/mile.*

Use the metric most appropriate for characterizing your carrier activity where you have selected Data Availability Option 1. Select g/mile metrics for estimating mass emissions for lighter weight truck freight, while g/ton-mile should generally be used for rail and heavier truck freight.

> **NOTE:** *If your company uses Package Delivery carriers, choose ton-miles as the calculation metric if possible. However, if it is not properly calculated, you can make significant overestimates of the ton-miles. For example, consider the case in which your company has one pallet on a truck that is also carrying 21 other pallets belonging to other companies. If you base your calculations on miles x the g/mile factor for that truck carrier, your carbon allocation would be overstated a factor of 22. The same calculation for one package on a truck carrying 300 packages would overstate the carbon by a factor of 300.*

4. Entering Mile and Ton-Mile Data

After specifying the **Inventory Calculation Metric** for each carrier, enter the total activity data for the carrier for the associated unit type (ton-miles, miles, or railcar-miles). Enter the data to the nearest whole number. If you selected Data Availability Option 1 , enter both miles and ton-miles for the given carrier.

If you selected Data Availability Option 2, you must enter ton-miles along with the average payload in short tons (2,000 lbs). In this case the total miles for the carrier will be back-calculated by dividing ton-miles by tons.

If you selected Data Availability Option 3, first enter your ton-miles. Next, you must enter your freight density using the **Average Density Calculator**. The calculator, which is activated by selecting the appropriate **Calc** button in the **Average Density** column, allows you to specify the percentage of shipments that fall into various commodity groupings. Each grouping has an associated average density,

expressed in pounds per cubic foot of available cargo space. The densities for a given commodity category vary for rail and truck modes, since utilized container space varies by mode.[1] **Figure 33** presents example inputs for the **Density Calculator**.

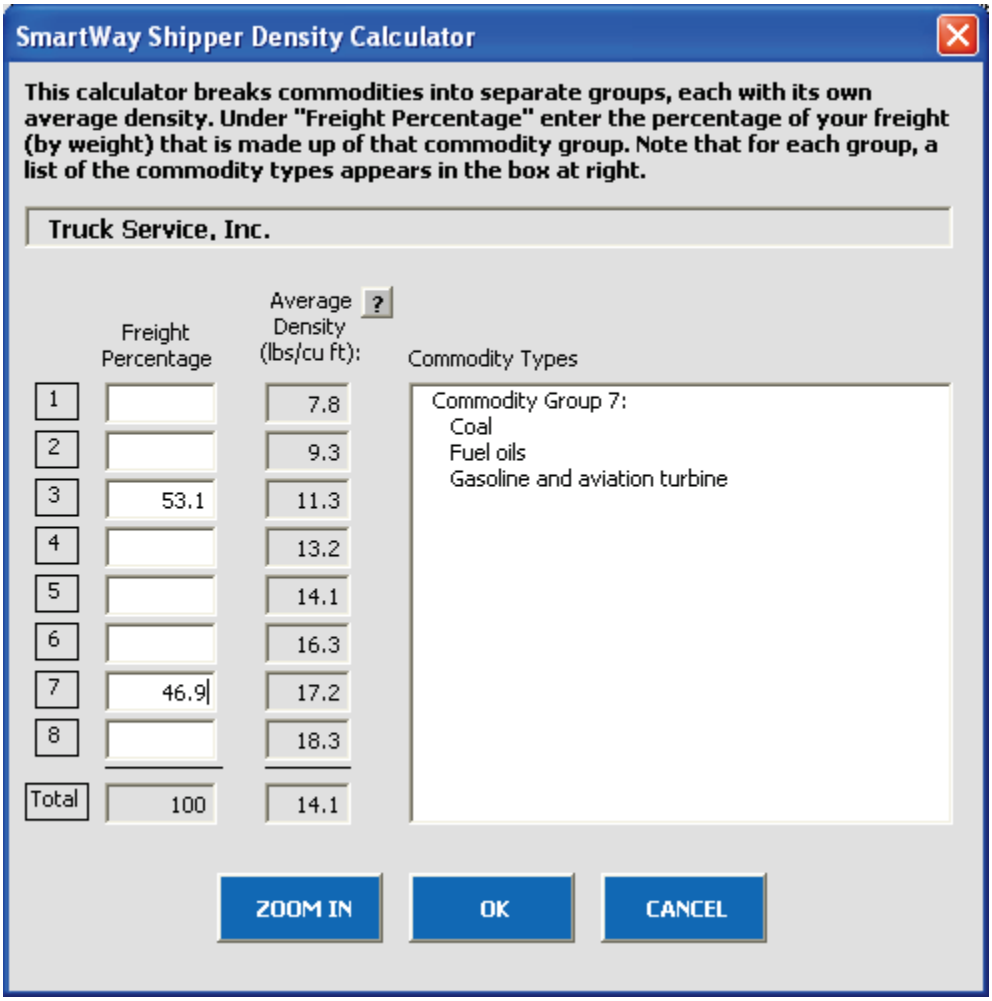


Figure 33: Example Average Density Calculator Inputs (Truck, Logistics, and Multi-modal Carriers)[2]

NOTE: *Be as precise as possible entering your mileage and ton-mile data. Enter to the nearest whole number.*

After inputting your freight distribution data into the **Average Density Calculator**, use the **Average Load Percent Calculator** to adjust your activity for partial loads. Load percentages can be either weight-based (with full truckloads weighing out), or volume-based (with full truckloads cubing out).

[1] The density categories for Logistics and Multi-modal carriers are assumed to be the same as for Truck carriers.
[2] Average density cagegories differ for rail carriers.

For example, if 3,000 loads of your LTL shipments are 50% truckload and 5,000 loads are 70% truckload, enter the corresponding load information in the **Average Load Calculator** (**Figure 34**). The calculator will then estimate the weighted average load (in this case, 62 percent) which will be applied to your total miles for this carrier.

> **NOTE:** *If you do not convert partial shipments into whole shipments, you will be assigned the carbon impact of the entire load. Refer to the* ***Shipper Company Tool Technical*** *Documentation for details regarding the application of the calculator inputs.*

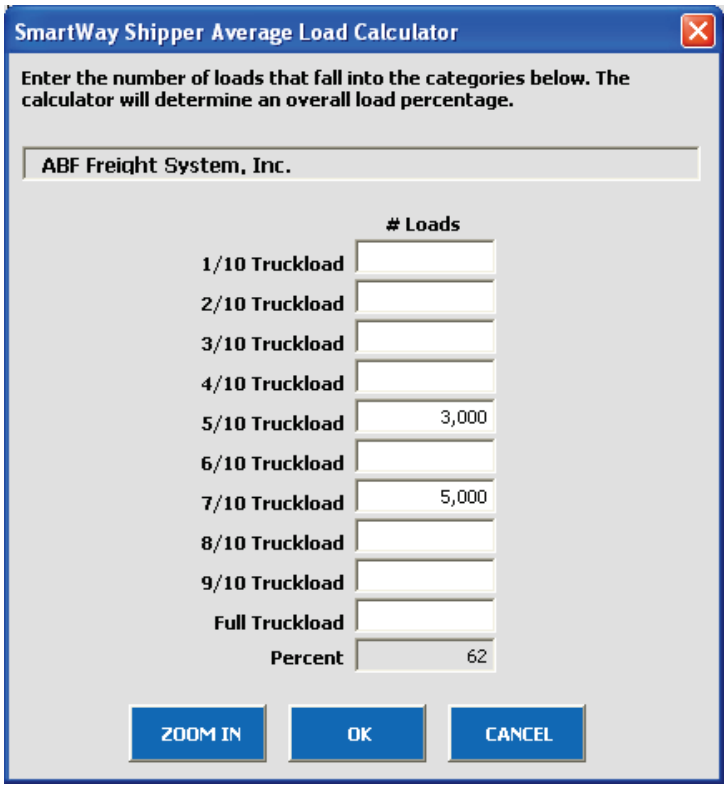


Figure 34: Example Average Load Calculator (Truck, Logistics, and Multi-modal Carriers)[3]

Once the calculator data have been entered, the resulting average density and load percentage will appear on the **Activity Data** screen. The back-calculated mileage values will also appear in gray boxes on the screen.

If you select Data Availability Option 4, simply enter your ton-miles, and the corresponding mileage will be back-calculated using the carrier's average payload value, as determined from the performance

[3] A similar calculator is used for calculating railcar load percentages.

ranking category averages. This option is the least accurate of the ton-mile-based calculations, since no information is provided regarding your shipper company's payload profile.

If you select Data Availability Option 5, enter your total miles, expressed as either truck miles (for truck, logistics, and multi-modal carriers), or railcar-miles for rail carriers. Next enter your average payload in tons and ton-miles will be back-calculated for you.

Selecting Data Availability Option 6 requires total miles to be entered, along with payload density information and load percentages using the calculators described above.

Selecting Data Availability Option 7 only requires entry of total miles, and ton-miles will be back-calculated using the carrier's average payload value.

> **NOTE:** *Correctly calculating Ton-Miles is **critically important** for the accurate determination of your carbon foot-print.*

Enter the ton-miles hauled per year attributable to each carrier. A ton-mile is one ton moving one mile.

> **NOTE:** ***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 your company's 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 = $\dfrac{\text{(total miles per carrier x total tons per carrier)}}{\text{total \# of trips per carrier}}$

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

5. Validating Your Activity Data

The Shipper Tool also contains data validation checks designed to identify missing and potentially erroneous data. Selecting the VALIDATE SCREEN button at the bottom of the screen will allow you to view any potential data entry errors. **Figure 35** provides an example validation screen check result.

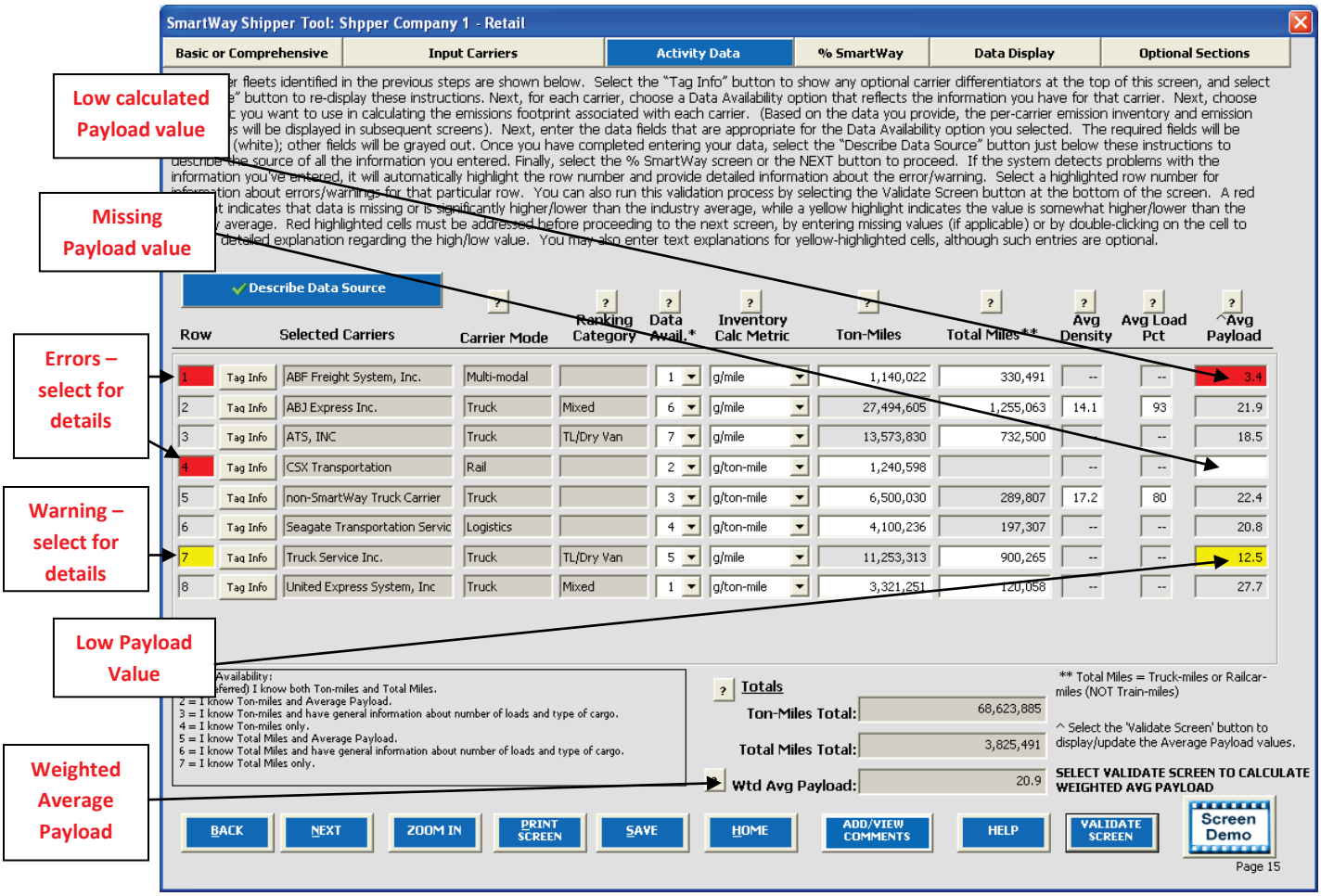


Figure 35: Example Validate Screen Check Result

The red highlighting in Row 4 indicates an error. Errors must be addressed before proceeding with the rest of your data entry. Selecting the red highlighting will display details – in this case, informing you that an **Average Payload** entry is required for **Data Availability** Option 2.

The yellow highlighting indicates a warning condition. Warnings do not have to be addressed before proceeding, but may indicate a **possible** data entry error. In row 7 above, the average payload entered, 12.5 tons, is less than the validation threshold of 14.5 tons.

Finally, row 1 indicates a possible error – dividing ton-miles by total miles results in a very low average payload value for this carrier (3.4 tons). By double-clicking on the **Average Payload** cell (highlighted in red on the far right), you may enter an explanation detailing the reasons for the unusual value (see **Figure 36**). After entering your text explanation and selecting **OK**, the highlighting will change from red (error) to yellow (warning) status.

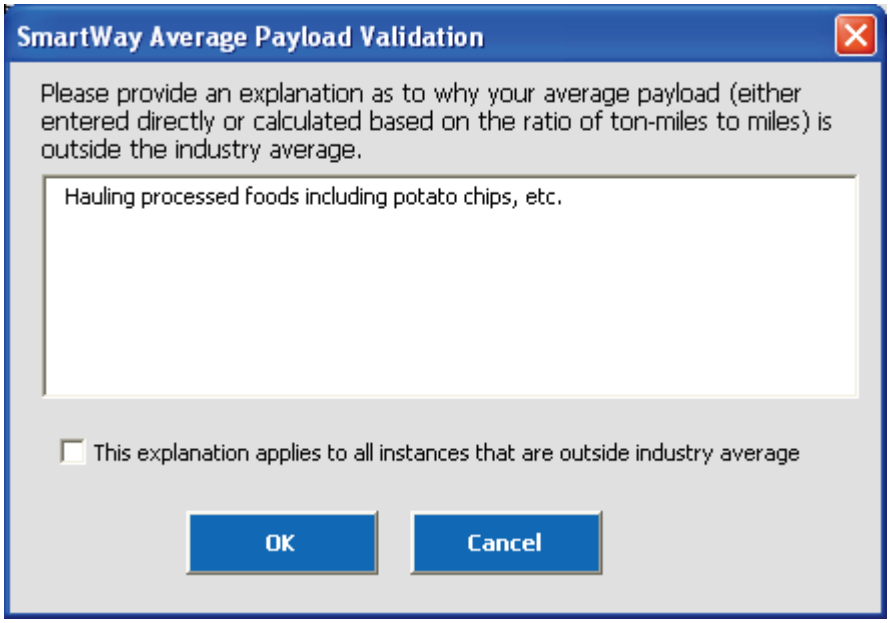


Figure 36: Example Average Payload Validation Explanation

NOTE: *By selecting the checkbox at the bottom of the **Average Payload Validation** text box, the user may apply the explanation to all instances of potentially high/low payload values on the **Activity Data** screen. This function is provided primarily for shippers importing large numbers of carriers resulting in the same error/warning condition multiple times.*

NOTE: *You must address all errors, whether highlighted in red or yellow. You can do this either by entering an explanation (by double-clicking on the highlighted cells) concerning the validity of the value, or by making any necessary corrections.*

Other validation messages may be presented for a variety of payload and ton-mile values. Please refer to the **Shipper Tool Technical Documentation** for a complete list of validation ranges used within the Shipper Tool.

Finally, the **Activity Data** screen provides company-level mile, ton-mile and payload summaries at the bottom of the screen (see **Figure 35**). You may check these values to help ensure the accuracy of your carrier activity inputs. The Total Miles and Total Ton-Miles values are simple summations of the individual carrier rows. However, the Weighted Average Payload is calculated by multiplying the average payload for each carrier (as shown in the far right column) by the fraction of the total ton-miles attributable to each carrier, and then summing across all carriers. Check this value for reasonableness before proceeding.

NOTE: Select the

button to calculate the company level weighted average payload, displayed at the bottom of the **Activity Data** screen (see **Figure 35**).

Viewing the % SmartWay Screen

REFER TO **WORKSHEET #3C: % SmartWay in the Quick Start Guide, or go to** http://www.epa.gov/smartwaylogistics/partnership/shippers.htm to complete this section of the Shipper Tool.

Once you finish entering your data you may proceed to the **% SmartWay** screen (**Figure 37**). The **% SmartWay** screen calculates your **% SmartWay Value**, reflecting the percentage of total emissions attributable to SmartWay Carriers. For Shipper Partners selecting the **Emissions Footprint and % SmartWay** option on the **Basic or Comprehensive** screen, the **% SmartWay Value** is used to determine eligibility for the SmartWay Excellence Awards.

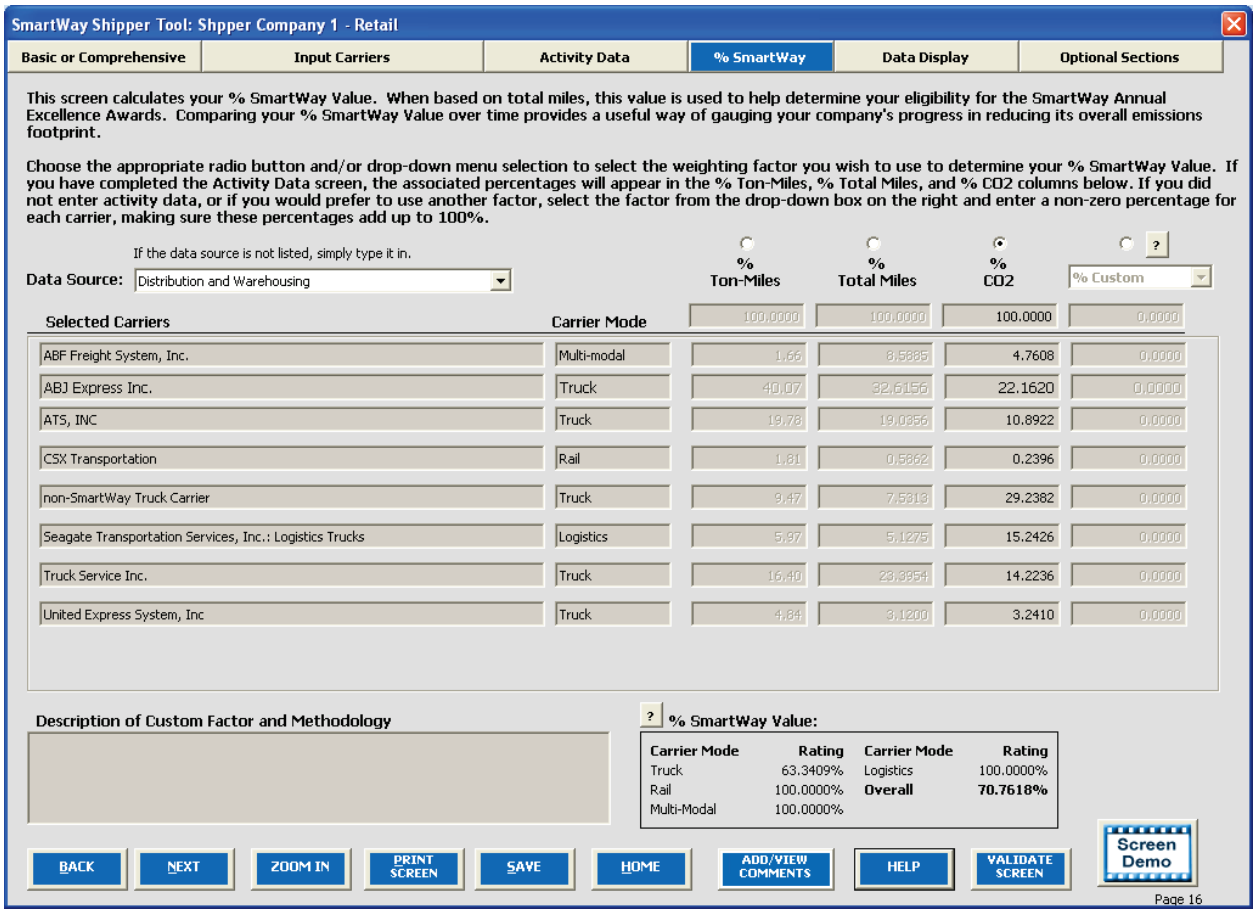


Figure 37: % SmartWay Screen

Carriers identified in the **Input Carriers** screens are automatically carried over to this screen. In addition, if the **Activity Data** screen has been completed, the fractional mileage, ton-mile, and CO_2 amounts attributable to each carrier are also shown here, and may be used as weighting factors across your carriers to calculate your **% SmartWay Value**. If you prefer, you may select other weighting factors (using the drop-down selection on the far right column) for calculating your **% SmartWay Value**, including the percentage of total payments, the percentage of total weight or total packages, or an alternative "custom" factor, across the different carriers. (If you selected **% SmartWay Only** on the **Basic or Comprehensive** screen, you will not see the Ton-Mile, Total Mile, or CO_2 columns.)

Enter the type of data you use for your percentage allocation estimates using the drop-down menu at the top left,[4] and then enter the percent allocated to each carrier. Percentages must sum to 100. The resulting weighted average **% SmartWay Value** is displayed at the bottom right of the screen.

[4] If you select the "% Custom" option for allocating your % SmartWay Value, you must provide a detailed description of the custom factor used in the text box at the lower left of the screen.

Viewing the Data Display Screens

Once you finish entering your data, you may view your performance on the **Emissions Summary, Carrier Performance** and **Carrier Performance (Ranking Category Detail)** screens under the **Data Display** tab. Based on the shipper company activity data inputs and the carrier performance data downloaded from the EPA website, weighted average g/mile and g/payload ton-mile factors are calculated for CO_2, NOx, PM10, and PM2.5 for each carrier, as well as total mass emissions (based on the preferred metric designated for each carrier). The company-specific g/mile and g/ton-mile factors, as well as total mass emissions, are shown on the **Emissions Summary** screen.[5] A full range of summary data is displayed on the **Carrier Performance** screen. The **Carrier Performance (Ranking Category Detail)** screen provides this same information, but allows the user to display carrier data by truck performance ranking category (e.g., TL/Dry Van, Dray, etc.) Note that mass emissions displays are only provided for partners selecting the **Emissions Footprint and % SmartWay** option on the **Basic or Comprehensive** screen.

The **Emissions Summary** screen (see **Figure 38**) displays emissions performance by carrier and for your shipper company as a whole, presented in terms of grams per mile and grams per ton-mile. Select the pollutant to display using the buttons at the top of the screen.

[5] The gram per mile and gram per ton-mile values provided for SmartWay Truck carriers actually represent averages for a given truck operating category (e.g., TL Dry Van operators), indicating range midpoints for the ranked set of all operators in this category. In this way precise performance metrics are not attributed to any given carrier. Alternatively, performance metrics for rail are industry-averages, without ranges.

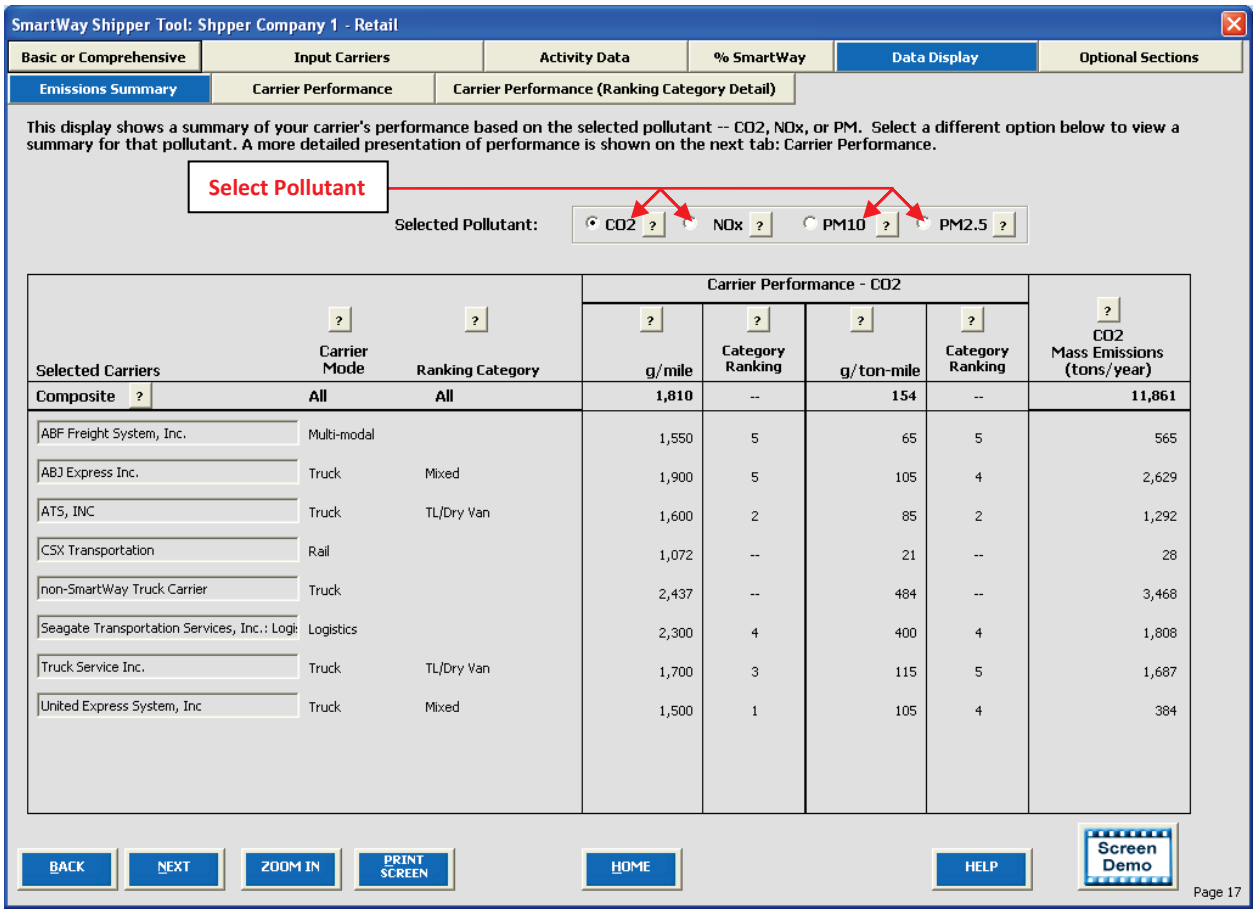


Figure 38: Emissions Summary Screen

The **Emissions Summary** screen also displays the performance category ranking for any truck carriers. Truck carrier emission factors are determined by placing similar trucking companies in groups called Ranking Categories. There are 13 current ranking categories for truck carriers:

- Truckload-dry van /container
- Less than truckload-dry van
- Refrigerated
- Tanker
- Flatbed
- Package delivery
- Dray
- Auto Carrier
- Expedited
- Heavy/bulk
- Moving
- Specialized hauler
- Mixed

The fleets in each ranking category are divided by performance into five roughly equal sets (ranges.) The midpoint of performance for each range represents the emission factor for all fleets in that range. Thus, a fleet will have a ranking for each of the four pollutants and two performance metrics. Rankings are currently used for truck, logistics, and multi-modal carriers. Mass emissions in tons per year are also calculated in the right hand column of the **Emissions Summary** screen. The **Composite** row at the top of the table provides the activity-weighted average performance metrics across all carriers and modes. This summary, plus other detailed reports can be printed by returning to the **Home** screen and selecting **Go to Reports Menu**.

The **Carrier Performance** screen displays data at a more detailed level than the **Emissions Summary** screen. Emission factors, mass emissions or category ranking may be selected for display using the **Display Type** drop-down box (**Figure 39**).

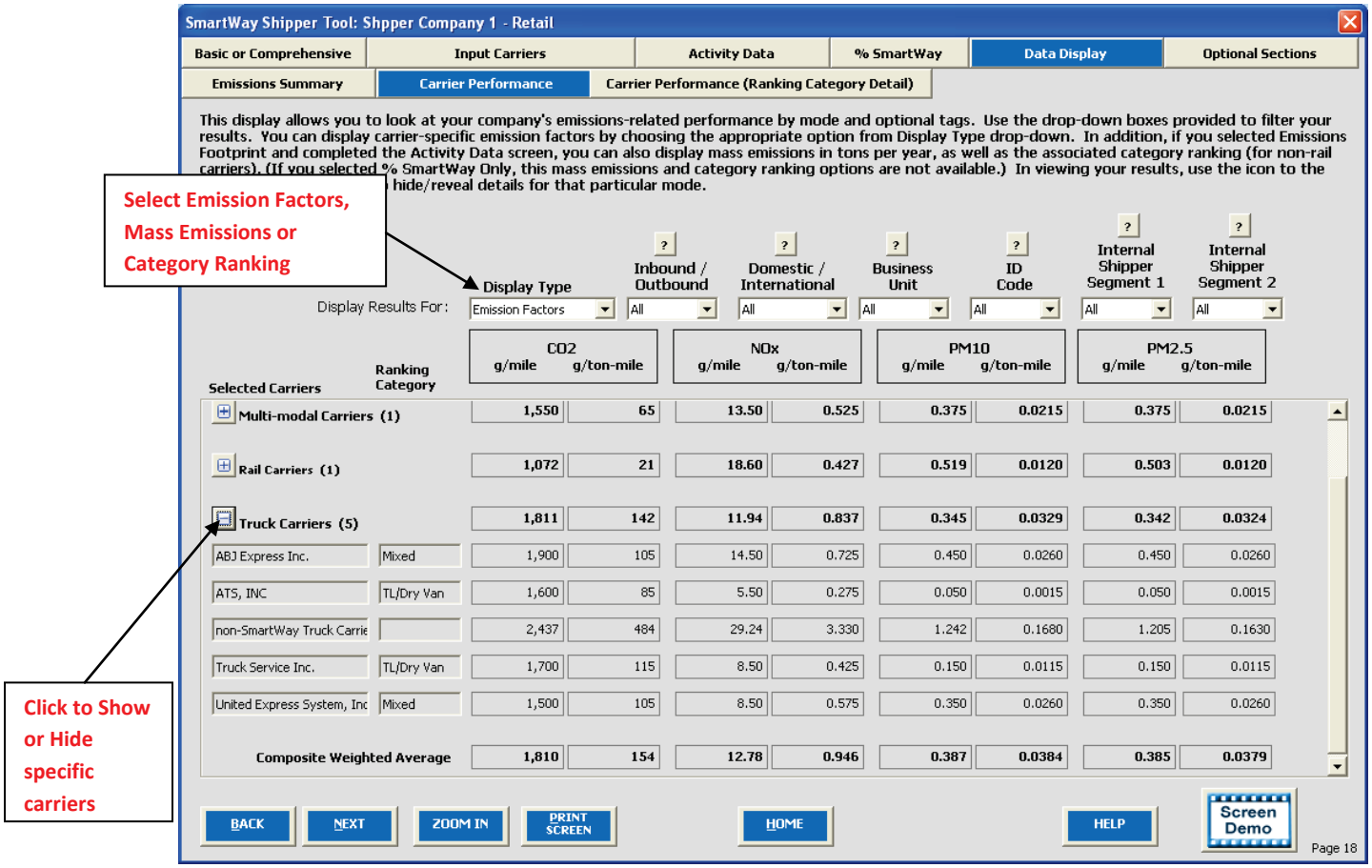


Figure 39: Carrier Performance Screen

You may also expand or aggregate the display rows to show carrier performance by individual carrier by clicking the icons to the left.

The **Carrier Performance (Ranking Category Detial)** screen displays data at an even more detailed level than the **Carrier Performance** screen. Emission factors, mass emissions or category ranking may be selected for display on this screenusing the **Display Type** drop-down box for any truck category of interest (**Figure 40**).

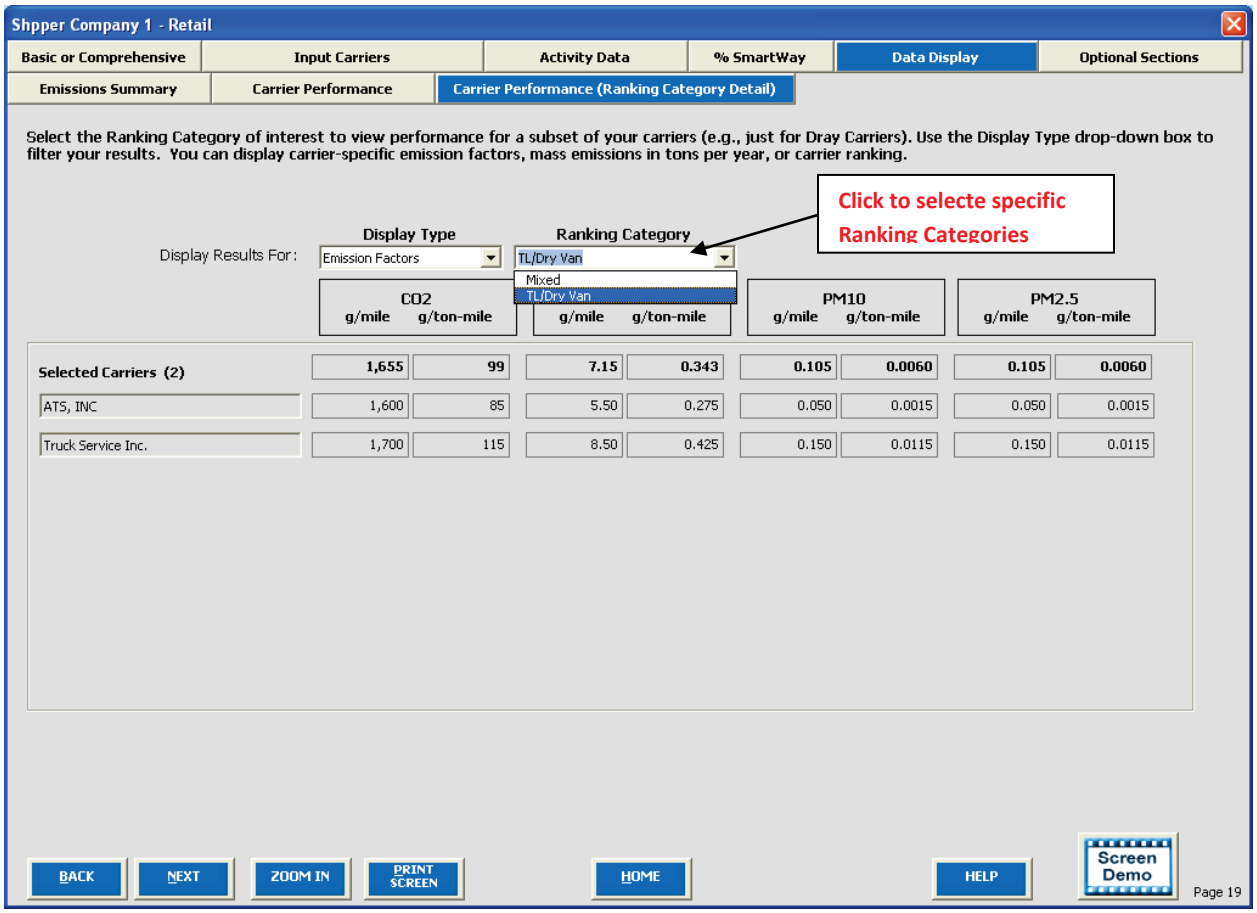


Figure 40: Carrier Performance (Ranking Category Detail) Screen

These data, plus other detailed reports, can be printed out by returning to the **Home** screen and selecting Go To Reports Menu.

Viewing Optional Sections

The Shipper Strategies Screen

REFER TO **WORKSHEET #4A: Shipper Strategies in the Quick Start Guide, or go to** http://www.epa.gov/smartway/partnership/shippers.htm to complete this section.

The Shipper Tool calculates the emissions savings impacts for a range of activities and best practices which are known to impact the emission footprint of the transportation supply chain. Using the **Shipper Strategies** screen (**Figure 41**), you can input specific information pertaining to your company's strategies to impact emissions that are *already being implemented for the reporting year*. On this screen, all strategies are based on eliminating miles or weight from the system.

Note: The use of this screen is optional and not required for submitting the Tool to SmartWay.

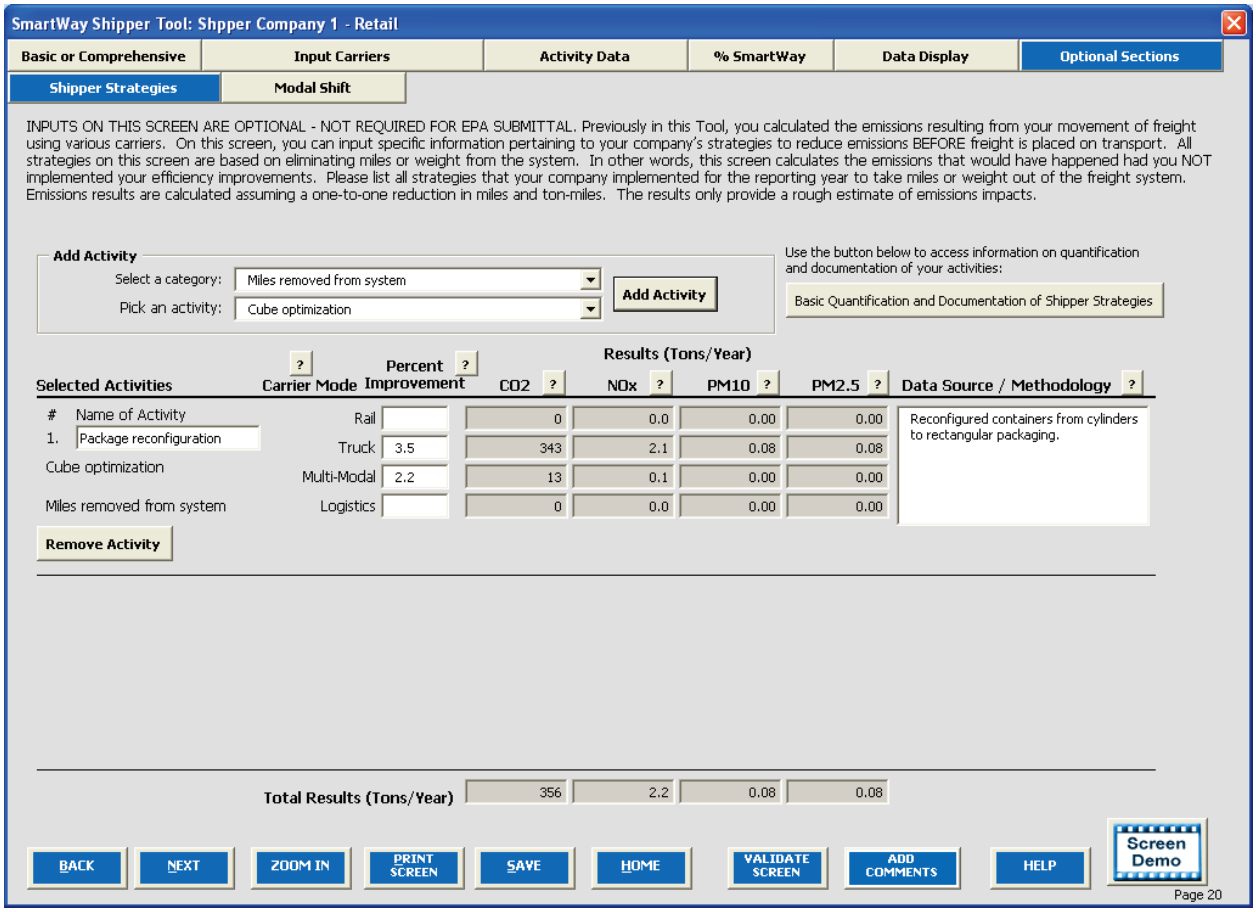


Figure 41: Shipper Strategies Screen

First, select an activity category from the drop-down menu at the upper left, and then chose a specific activity from the options provided. You may select from the following options:

- Miles Removed from the System

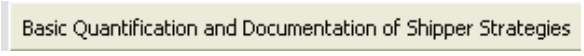
- Distribution center relocation
- Retail sales relocation
- Routing optimization
- Cube optimization
- Larger vehicles and/or trailers

- Weight Removed from System
  - Product weight reduction
  - Package weight reduction
  - Vehicle weight reduction

For each strategy selected, you must provide an estimate of the percentage impact (in terms of miles or ton-miles, as appropriate), for each mode of interest, along with a text description of the strategy itself and details regarding the methods and assumptions used to estimate the changes. Based on actual data from your current carriers, the Tool will calculate the quantity of emissions changed for each pollutant. You can repeat this process for each strategy that your company has implemented.

The Tool assumes that total mass emissions are changed in direct proportion with the specified mileage or weight reductions. This assumption should be accurate for weight reduction strategies when applied to truck-load shipments that weigh out. Additional uncertainty arises though in the case of LTL and package delivery shipments, where such reductions may not result in one-to-one impact in miles hauled. Uncertainties are even greater for non-truck modes, where the shipper commonly does not control the entire content of the container.

Please carefully document the procedure used to estimate the percentage impacts associated with your different measures, including how you established your baseline performance levels.

Use the 

button on the upper right of the screen to obtain additional information regarding how shipper strategies should be quantified and documented. If you have questions regarding calculations and/or documentation, contact your SmartWay Partner Account Manager.

Modal Shift Screen

REFER TO **WORKSHEET #4B: Modal Shift in the Quick Start Guide, or go to** http://www.epa.gov/smartway/partnership/shippers.htm to complete this section of the Shipper Tool.

The **Modal Shift** screen is intended for scoping purposes and scenario evaluations only. Shippers should develop carrier emissions inventories (and associated average emissions factors for their company) by inputting activity data in the **Activity Data** screen.

Note: The use of this screen is optional and not required for submitting the Tool to SmartWay.

The **Modal Shift** screen allows you to estimate the emissions impact of shifting modes by selecting one or more modal shifts between air, marine, truck, logistics, multi-modal and rail operations. The resulting

estimates of emissions impacts are for partner information only and are not used in determining performance estimates.

On the **Modal Shift** screen (**Figure 42**), you can specify the mode from which you have shifted freight or are considering shifting freight ("From Mode"), as well as the target mode ("To Mode"). You have several options for selecting an emissions factor for both the "From Mode" and "To Mode":

Shipper's Carrier Average – This option will utilize the weighted average gram per mile or grams per ton-mile metric from your carriers, for a specified mode (e.g., rail or truck), based on data you provided in the **Activity Data** screen. If this option is selected for the "From" mode, filters can also be applied to evaluate a subset of your current operations (e.g., inbound/domestic only). Note that in most cases performance metrics represent midpoints for the given ranking category range, rather than the precise value for a given carrier. If you have data specific to your carriers, select the **User Input** option (see below). Note that the **Shipper Carrier Average** option is not available for air and marine modes at this time.

Modal Average – This option will use an industry-average performance metric for the mode in question. Metric options include g/ton-mile and g/mile (or g/railcar-mile, as appropriate). The data sources and assumptions used to derive these values are discussed in the **Shipper Tool Technical Documentation**. You may want to use this option to investigate shifting freight to a transportation mode that you have not used previously, although we recommend that you use a more representative emission factor to analyze scenarios whenever possible. The **Modal Average** option is not available for air and marine modes at this time.

User Input – This option allows you to input performance metric estimates for any carrier mode, using alternative data sources. This is the only option available for Air and Marine modes at this time. If you select this option, you MUST provide a description of the data sources that you used to develop these estimates (by clicking the User Input Data Source button.) This option may prove particularly useful in those cases when you have access to carrier-specific performance estimates. We also encourage you to use this option when you have access to an emissions factor that reflects the full emissions impact (e.g., including likely drayage emissions) and/or that best represents the fleet equipment and operational type that you are most likely to work with for your unique freight movement.

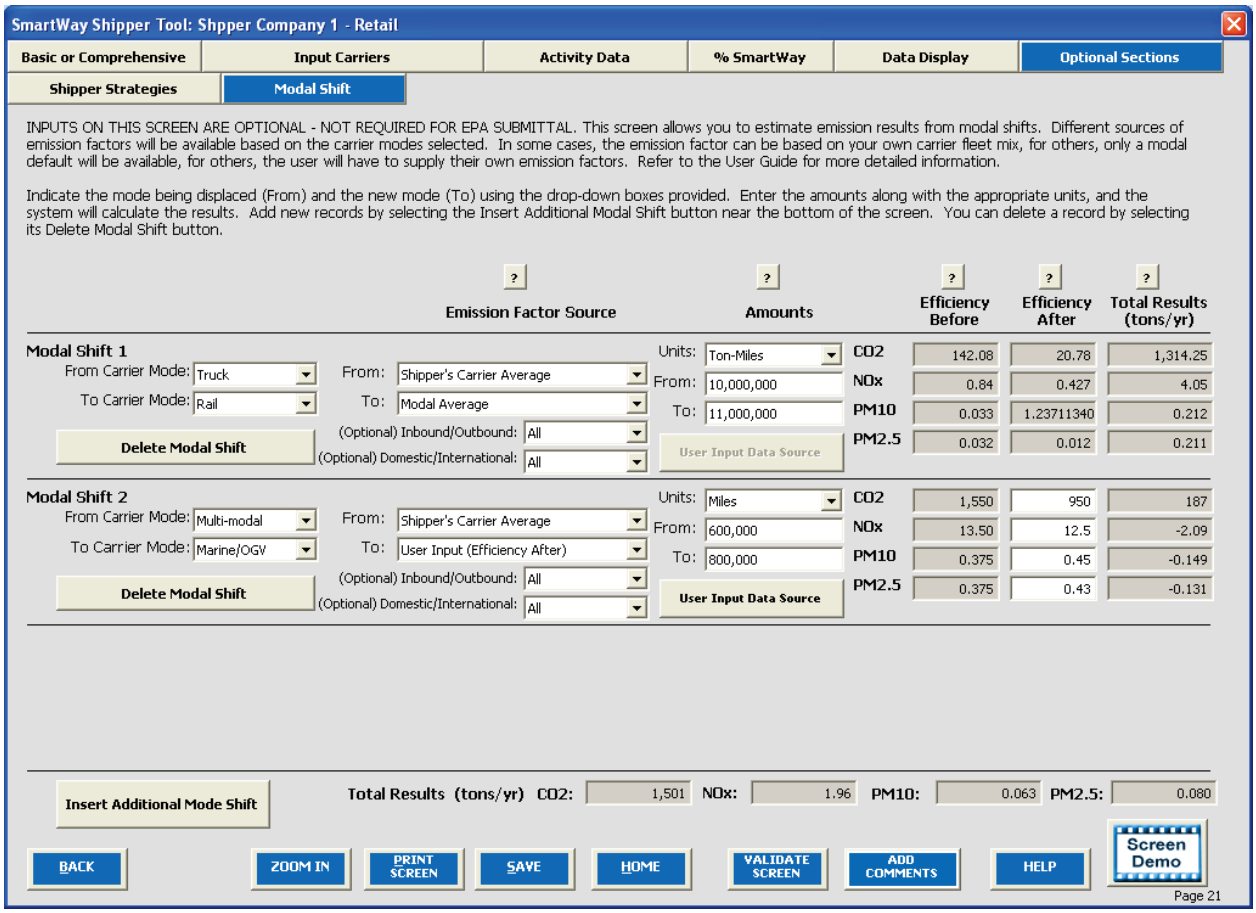


Figure 42: Modal Shift Screen

Note that emissions factors that automatically appear in the **Modal Shift** screen do not include all potential emissions impacts; for example the factors do not include emissions associated with drayage (i.e., short-distance trips often required to move freight from one mode to another) or the operation of intermodal facilities.

You may select to perform the emission impact calculation based on miles or ton-miles inputs, by specifying the **Units** in the drop-down menu under the **Amounts** column. Mile inputs for truck, logistics, and multi-modal modes correspond to truckload miles, or railcar-miles for rail modes. Once the **Units** are selected for the calculation, the screen will present the "Before" and "After" efficiency factors for the "From" and "To" modes for each of the four pollutants, in the table on the right. (**User Input** selections will result in empty white cells which require manual entry of the required values.) Next, the actual amount of freight to be shifted must be specified for both the "From" and "To" modes, in terms of miles or ton-miles, as appropriate. (Note that these two values can be different, since the point to point distance travelled is likely to be different across modes.) The corresponding emissions impact is then presented in tons per year for each pollutant. Emissions increases are shown as negative values.

Note that the **Shipper Carrier Average** and **Modal Average** values for railcar gram per mile values are adjusted to reflect truckload-equivalents (on a volume basis). Refer to the **Shipper Tool Technical Documentation** for details.

Sections 6-8: Optional Steps—Year to Year Comparisons, View Reports, and Provide Additional Information

After completing Steps 1 – 5 on the **Home** screen, you have access to three optional sections of the Tool.

The **Year-to-Year Comparison Report** allows the user to compare the shipper company characteristics and activity values, as well as CO_2 performance metrics for the current year with those of a 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. You can access this report by selecting

under item #6 on the **Home** screen.

The **Reports** section gives you access to 14 reports to help you understand your data and use it to make better performance decisions. You can access these reports by selecting

under item #7 on the **Home** screen.

The **Provide Additional Information** section allows you to provide EPA with input about your company, potential use of the SmartWay Logo, and general feedback regarding the SmartWay program. This information is optional and is not required in order to submit your Shipper Tool data to EPA. Selecting the

button under item #8 on the **Home** screen will open the **Partner Information** forms.

*****Once you've reviewed these sections, you will be ready to submit your Tool to EPA*****

Validating Your Data

The Shipper Tool has validation checks embedded at different points in the Tool to ensure data quality, including checks of payload and ton-miles, to help ensure the reasonableness and quality of Partner data.

In most instances the validation ranges are based on Truck Partner data distributions from the 2012 calendar year. (Refer to the **Shipper Tool Technical Documentation** (found on the website at http://epa.gov/smartway/partnership/shippers.htm) for a detailed discussion of all validation criteria used within the Tool.)

At any time, you can select the

button at the bottom of the screens to make sure you have filled out everything properly before proceeding to the next screen.

Any time you leave a particular screen, the Tool will automatically perform a *screen* validation.

Any time you return to the Home screen, the Tool will automatically perform a *company-level* validation.

If you select the

button and no potential errors are identified, the following message will be displayed. Select **OK** to proceed.

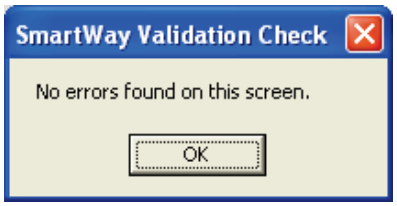


Figure 43: Validation Check Notification – No Errors

If missing or potentially erroneous inputs are identified, you will see the following message.

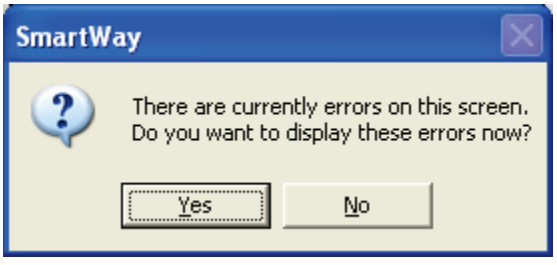


Figure 44: Validation Check Notification – with Errors/Warnings

Select **Yes** to see a complete list of validation errors/warnings. An example **Validation** Check results screen is provided in **Figure 45**.

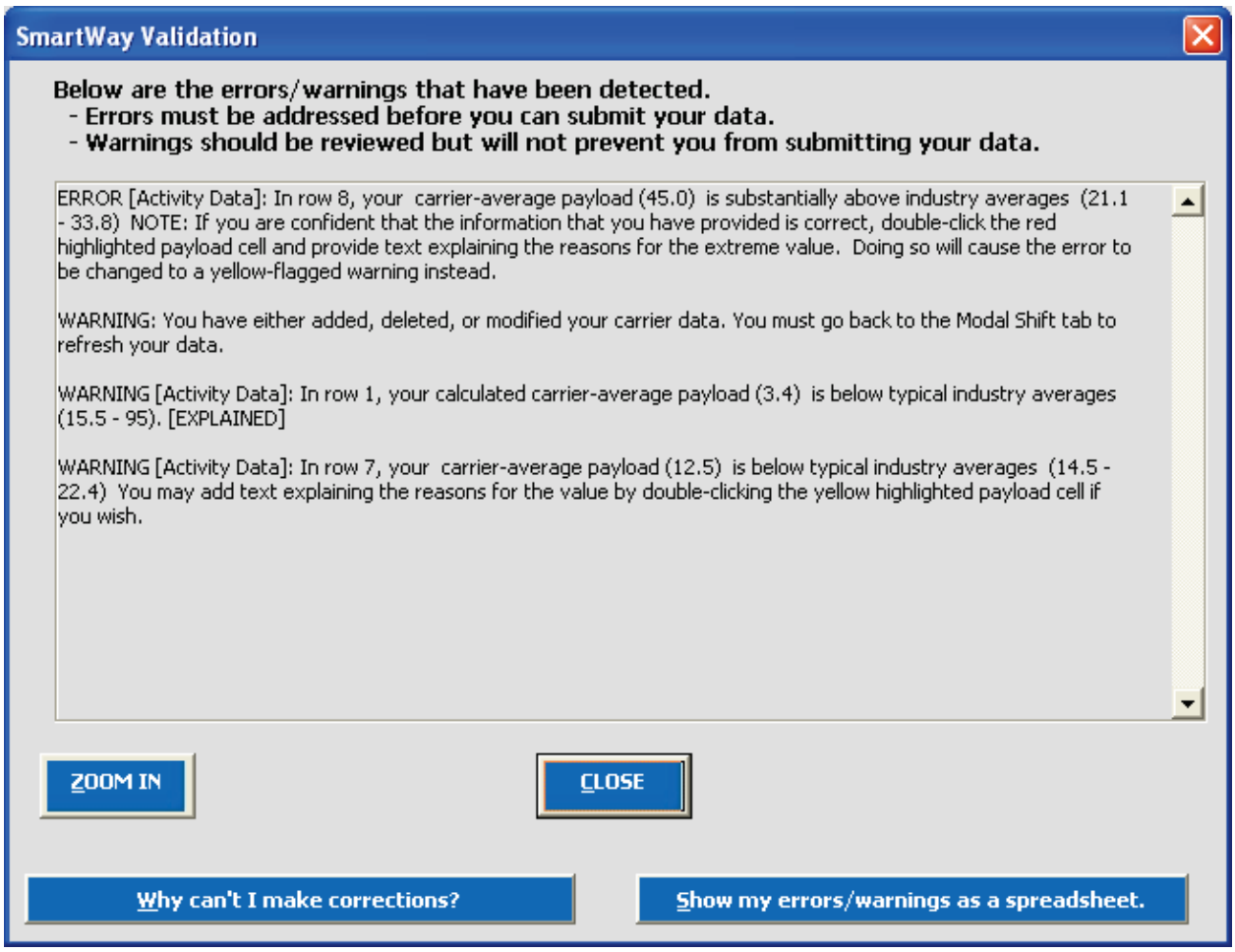


Figure 45: Validation Check Screen - Error/Warning Details

The

and

buttons at the bottom of the screen provide additional information to assist you in correcting any errors.

Once you close the **Validation** check screen, you will see warnings and errors highlighted in a red or yellow on the **Activity Information** screen. Entering new data in a highlighted cell will cause the colored shading to disappear, ***even if the new value is still invalid***. To check the validity of your newly entered data, select the

button again and repeat the procedure described above as necessary.

For a complete listing of all validation checks used in the Tool, refer to the **Shipper Tool Technical Documentation**.

Once all potential validation errors have been corrected or otherwise verified, select

to proceed to the next step.

Viewing Reports

Once you have returned to the **Home** screen, notice that the company that you filled out and validated now identifies its status as “Complete” or “Complete (with Warnings).” You may now highlight the next company if you have another one to complete. In the example below, the company listed as “Shipper Company 1 - Wholesale" remains to be finished. Fill out unfinished company in the same manner as the previous company.

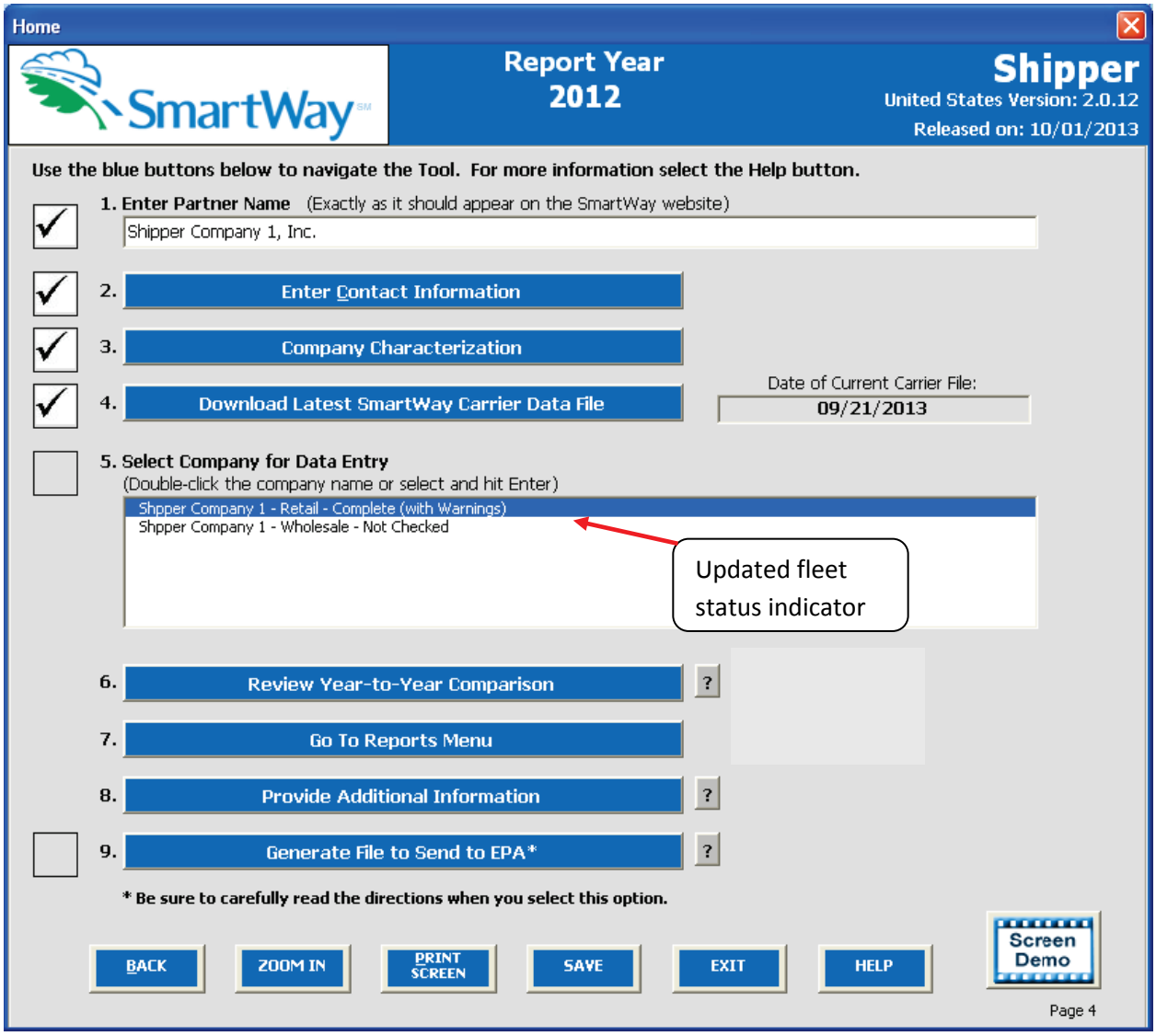


Figure 46: Home Screen - After Completing the Data Entry/Modification Process for First Business Unit

Once you have filled out information for all your companies, be sure that all companies show "Complete” or “Complete with Warnings” beside the name. If, and only if, all companies are marked as

such, you can move on to the next step. If one or more companies are not marked as such, review the data you entered for errors or omissions.

Viewing the Year-to-Year Comparison Report

The **Year-to-Year Comparison Report** allows the user to compare the activity values, as well as CO_2, NOx and PM performance metrics for the current reporting year with those of the previous 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. You can access this report by selecting Review Year-to-Year Comparison under item #6 on the **Home** screen.

Figure 47 shows the data entry screen for the comparison report. Note that your current year's data is already "loaded," including the data you have entered for your current company/companies. In order to load data for the previous year, select the Load Data from Previous Year button. A screen will appear allowing you to specify the location of your 2011 file, using the Browse... button as shown in **Figure 48**.

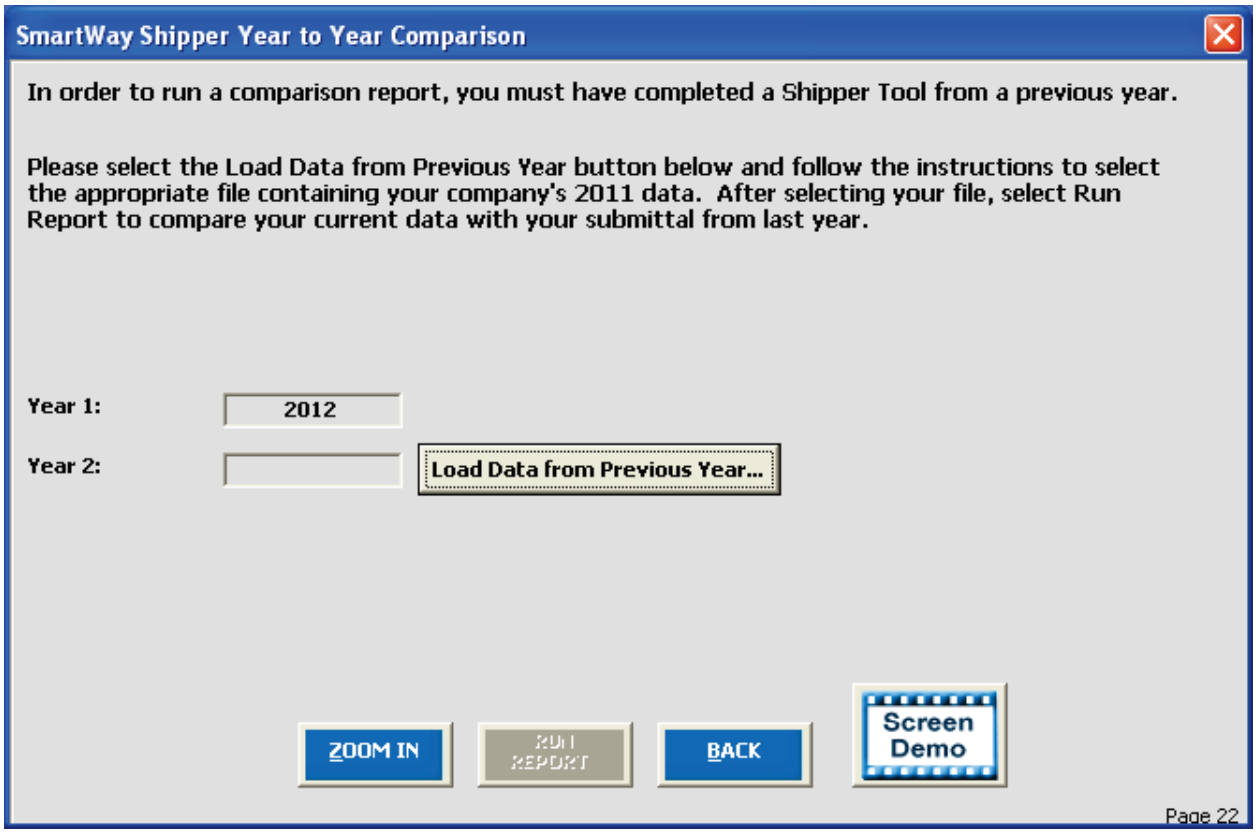


Figure 47: Year-to-Year Comparison Report Input Screen

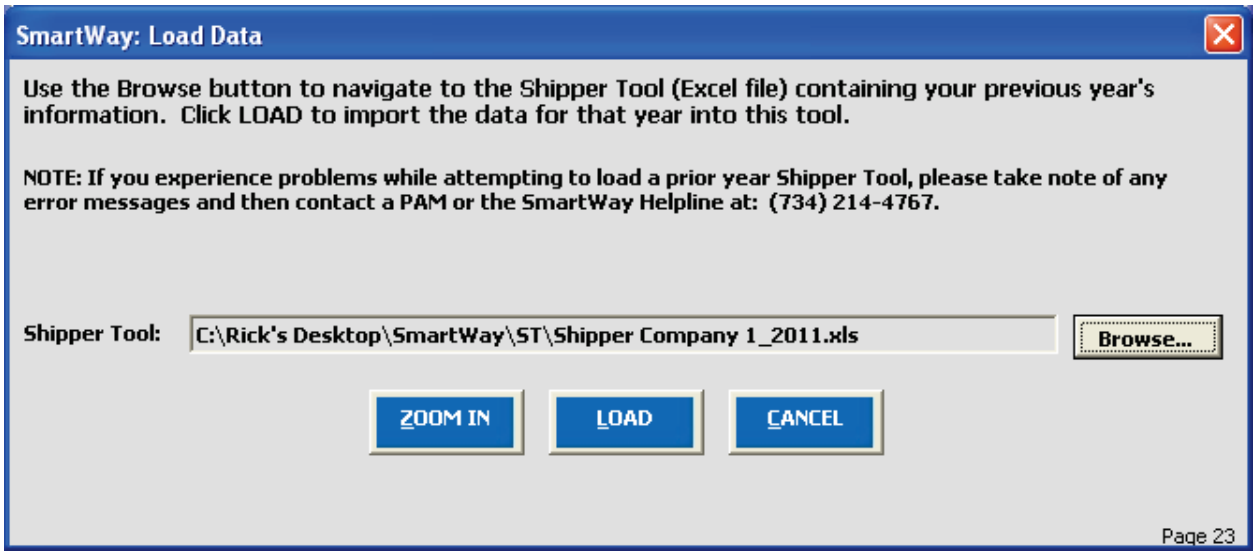


Figure 48: Data Load Screen for Year-to-Year Comparison Report

Once your comparison years have been specified and your prior year data loaded into the Shipper Tool, select the "RUN REPORT" button to view the line-item data entry comparisons. An example report is presented in **Figure 49.**

Comparison Report **Report Year: 2012**

Tool: Shipper

Metric	Change %	Change Amount	2012	2011
Partner Name			Shipper - 1, Inc.	Shipper - 1, Inc.
Primary Contact			Stephen McCarty	Stephen McCarty
Phone		X	214-817-8946	214-817-8989
Total Miles Total	-38.4%	-2,409,246	3,866,542	6,275,788
SmartWay Total Miles	-40.2%	-2,409,246	3,576,735	5,985,981
% SmartWay Total Miles	-3.0%	-2.88%	92.50%	95.38%
Non-SmartWay Total Miles			289,807	289,807
% Non-SmartWay Total Miles	62.4%	2.88%	7.50%	4.62%
Ton Miles Total	-41.3%	-47,761,475	67,943,910	115,705,385
SmartWay Ton Miles	-43.7%	-47,761,475	61,443,880	109,205,355
% SmartWay Ton Miles	-4.2%	-3.98%	90.40%	94.38%
Non-SmartWay Ton Miles			6,500,030	6,500,030
% Non-SmartWay Ton Miles	70.9%	3.98%	9.60%	5.62%
Ton-Miles % SmartWay Allocation Truck	-33.4%	-31.35%	62.61%	93.96%
Ton-Miles % SmartWay Allocation Rail			100.00%	100.00%
Ton-Miles % SmartWay Allocation Multi-modal			100.00%	100.00%
Ton-Miles % SmartWay Allocation Logistics			100.00%	100.00%
Ton-Miles % SmartWay Allocation Overall	-25.5%	-24.09%	70.30%	94.38%
***Average Weighted Payload**	-4.7%	-0.8586	17.5578	18.4164
***Average Weighted Density**			14.6815	14.6815
Average Weighted Load Percent			90.5613	90.5613
Emission Metrics CO2 g/mile	4.7%	82	1,812	1,730
Emission Metrics CO2 g/ton-mile	24.0%	30	155	125
Emission Metrics NOx g/mile	29.3%	2.91	12.84	9.93
Emission Metrics NOx g/ton-mile	40.9%	0	0.950	0.674
Emission Metrics PM10 g/mile	52.7%	0.135	0.391	0.256
Emission Metrics PM10 g/ton-mile	64.5%	0.0151	0.0385	0.0234
Emission Metrics PM25 g/mile	52.8%	0.134	0.388	0.254
Emission Metrics PM25 g/ton-mile	64.2%	0.0149	0.0381	0.0232
CO2 Mass Emissions	-26.7%	-4,245	11,675	15,920
NOx Mass Emissions	-15.6%	-14.1	76.4	90.5
PM10 Mass Emissions	-3.7%	-0.1092	2.8250	2.9342
PM25 Mass Emissions	-3.8%	-0.1092	2.7892	2.8984

*WEIGHTED AVERAGE ONLY APPLICABLE WHERE DATA WAS ENTERED

Figure 49: Example Year-to-Year Comparison Report

The example above indicates that a change in phone number has occurred for the Primary Contact since 2011, with no other changes in basic contact information. Comparisons are also shown for a number of activity parameters including:

- Total Miles and Ton-Miles, for both SmartWay and Non-SmartWay carriers
- Activity allocation (in this case based on ton-miles) for SmartWay Value by mode
- average payload, density and load percent

A variety of calculated annual performance metrics are also shown, including:

- mass emissions in short tons for all pollutants
- grams per mile for all pollutants
- grams per ton-mile for all pollutants

Percentage changes are also indicated for each of these items, relative to the earlier year baseline values. Note that all comparisons are at the aggregated Partner level rather than the individual company level.

Viewing Other Data Reports

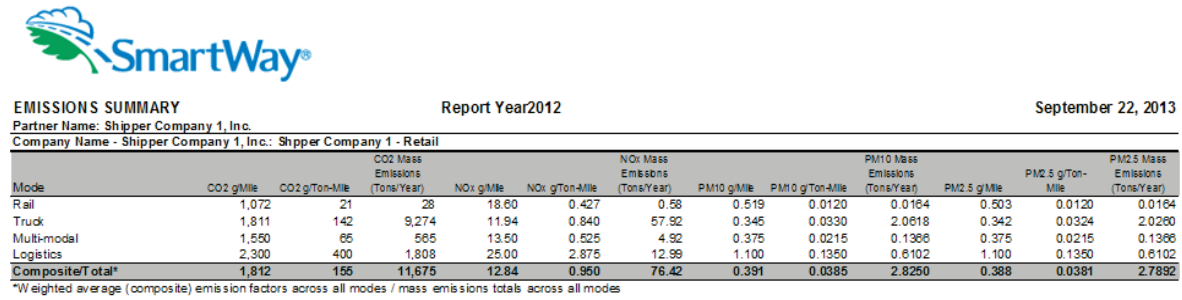
Once you are ready to continue, select

to go to the following screen:

Figure 50: View Reports Menu

Selecting any of the blue buttons on this screen will display the indicated data. Several reports summarize the data you entered on specific data input screens, such as the **Company Characterization** and **Input Summary Report**. The **Out of Range Report** may be particularly useful in identifying and addressing those inputs flagged as potentially erroneous during company validation.

Selecting any of the summary report types will take you to a screen allowing you to preview and print your reports. **Figure 51** shows one of many sample reports that the Tool can generate for you; in this case summarizing emission reductions in tons and assorted performance metrics at the carrier mode level (including all carriers). These reports will prove useful for your company's evaluation and improvement efforts.



EMISSIONS SUMMARY Report Year2012 September 22, 2013

Partner Name: Shipper Company 1, Inc.

Company Name - Shipper Company 1, Inc.: Shipper Company 1 - Retail

Mode	CO2 g/Mile	CO2 g/Ton-Mile	CO2 Mass Emissions (Tons/Year)	NOx g/Mile	NOx g/Ton-Mile	NOx Mass Emissions (Tons/Year)	PM10 g/Mile	PM10 g/Ton-Mile	PM10 Mass Emissions (Tons/Year)	PM2.5 g/Mile	PM2.5 g/Ton-Mile	PM2.5 Mass Emissions (Tons/Year)
Rail	1,072	21	28	18.60	0.427	0.58	0.519	0.0120	0.0164	0.503	0.0120	0.0164
Truck	1,811	142	9,274	11.94	0.840	57.92	0.345	0.0330	2.0618	0.342	0.0324	2.0260
Multi-modal	1,550	65	565	13.50	0.525	4.92	0.375	0.0215	0.1366	0.375	0.0215	0.1366
Logistics	2,300	400	1,808	25.00	2.875	12.99	1.100	0.1350	0.6102	1.100	0.1350	0.6102
Composite/Total*	**1,812**	**155**	**11,675**	**12.84**	**0.950**	**76.42**	**0.391**	**0.0385**	**2.8250**	**0.388**	**0.0381**	**2.7892**

*Weighted average (composite) emission factors across all modes / mass emissions totals across all modes

Figure 51: Example of Emissions Summary Report

Providing Additional Information

After completing Steps 1 – 4 on the **Home** screen, you may provide EPA with additional information regarding your company, potential use of the SmartWay Logo, and general feedback regarding the SmartWay program. This information is optional and is not required in order to submit your Shipper Tool data to EPA. Selecting the Provide Additional Information button on the **Home** screen will open the **Partner Information** form (see **Figure 52**).

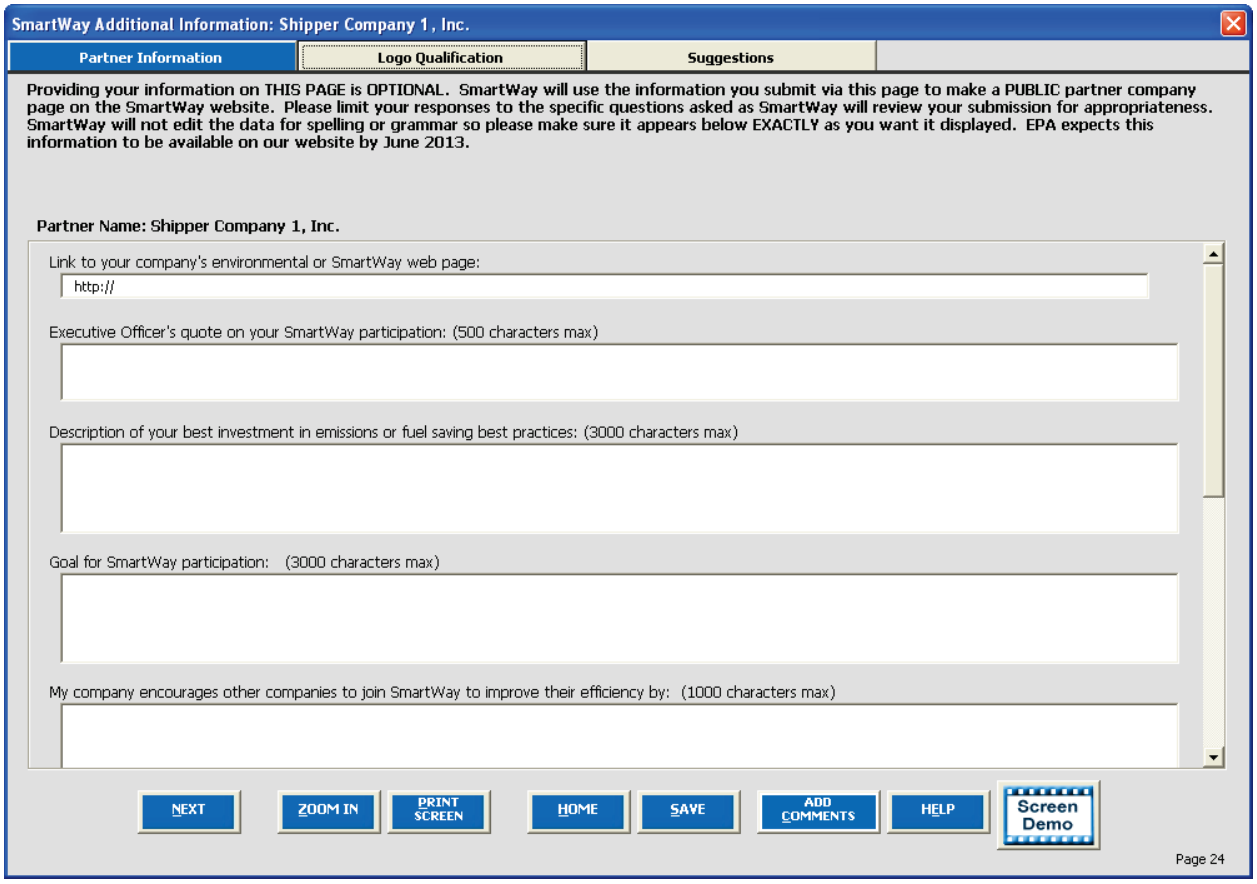


Figure 52: Partner Information Screen

Use this page to provide information you would like to share publicly. Information should be entered in the text boxes displayed. Use the scroll bar to the right to display additional questions. SmartWay will use this information to create a SmartWay Partner profile page for your company on the SmartWay website. You do not need to complete every question. **SmartWay will NOT edit for spelling or grammar, so make sure the text is exactly as you wish it to appear.** If your company contains public relations functions, you may want them to review this information before submittal, however, keep your SmartWay due date in mind. **SmartWay WILL review this data for appropriate content. Information provided should be informational in nature, and speak to the question.**

Figure 53 shows the **Logo Qualification** screen. The SmartWay Partner Logo is provided at the company level to Partners that submit and have their Tools approved on-time. Use this screen to provide information regarding your qualification for, and planned use of, the Partner Logo. Use the scroll bar to display more questions and input fields. Additional information on Logo qualification and use can be found by selecting the SmartWay Partner Logo Information button link.

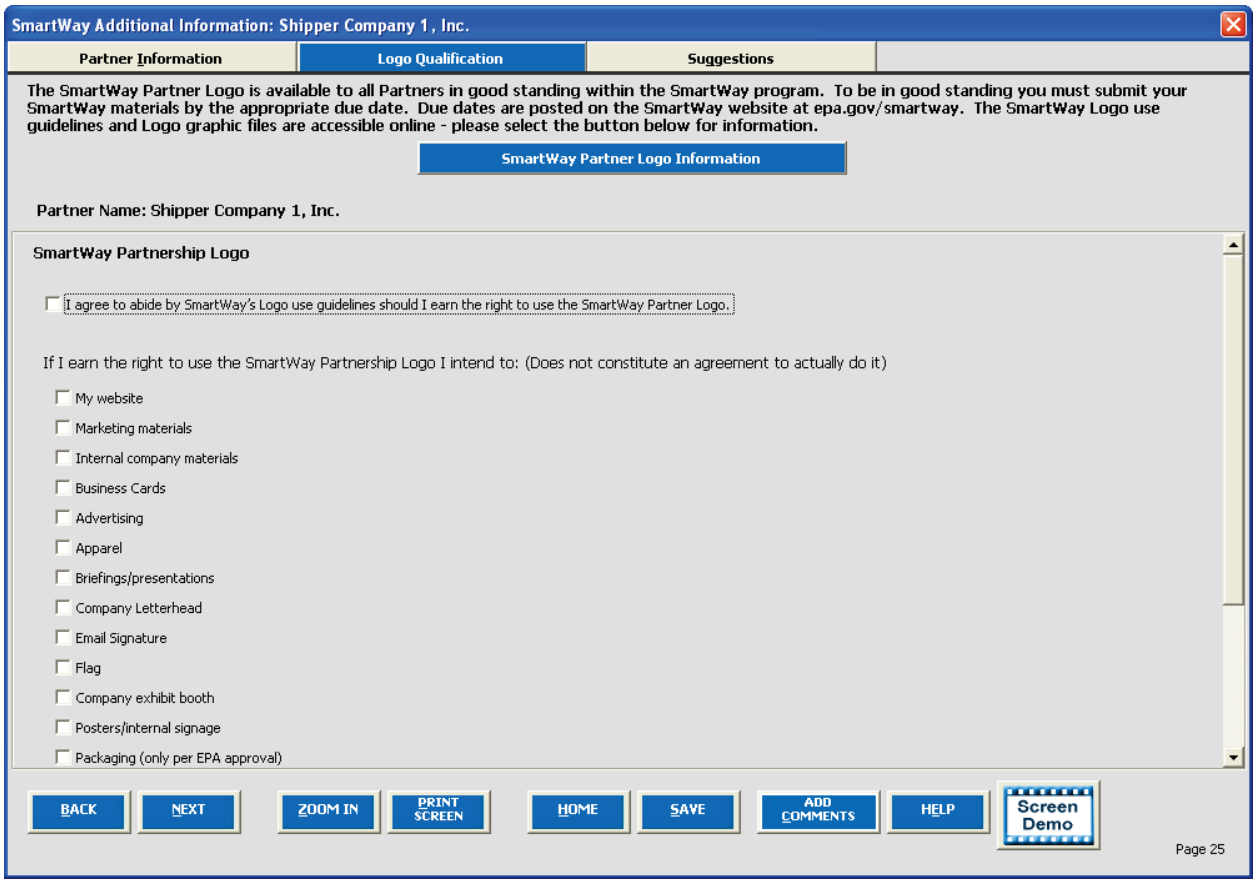


Figure 53: Logo Qualification Screen

Figure 54 displays 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.

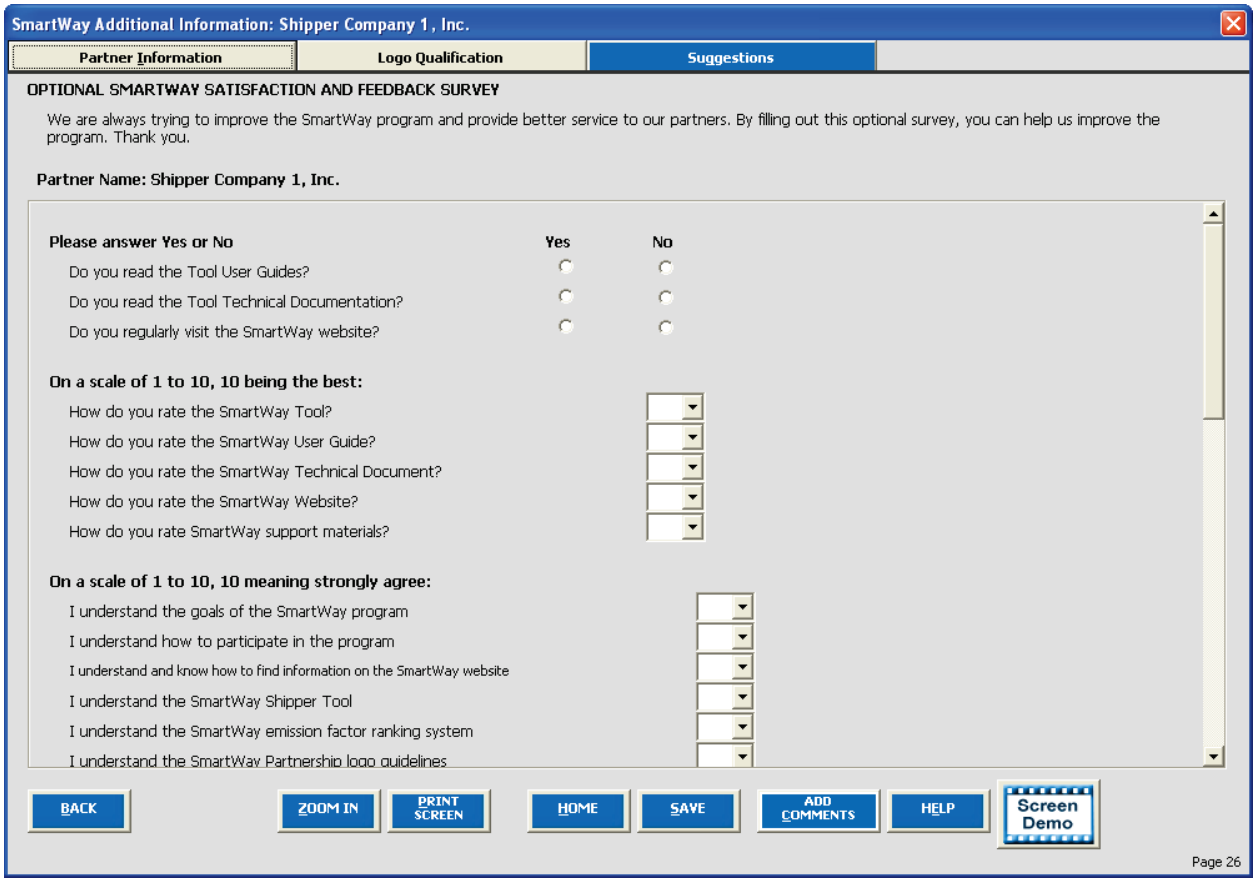


Figure 54: Suggestions Screen

Once you have completed these three screens, select the

button to return to the **Home** screen.

Submitting Data to SmartWay

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

From the **Home** screen, select Generate File to Send to EPA*, which will open the following screen.

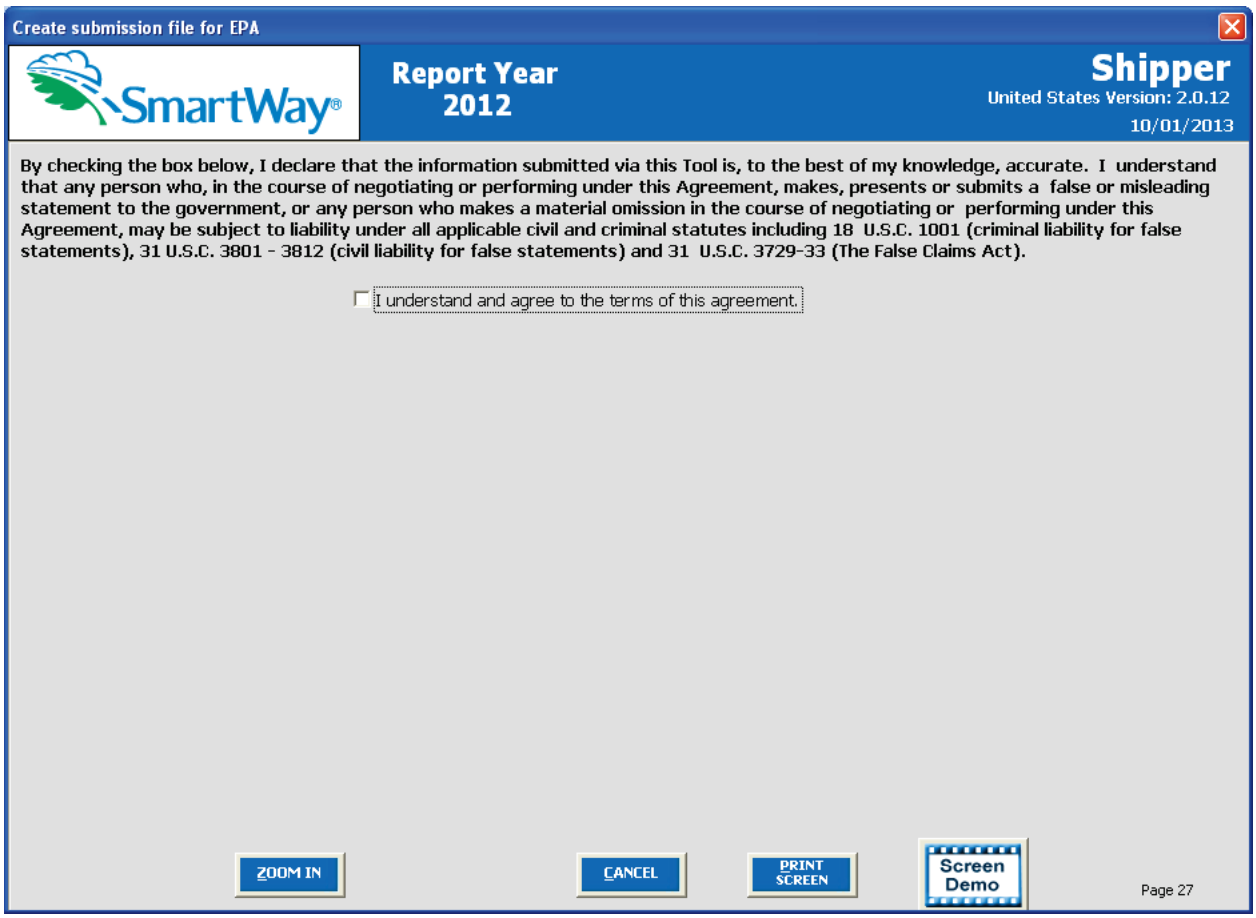


Figure 55: Creating Submission File for EPA

Select the checkbox to indicate you understand the terms of the SmartWay Partnership Agreement once again. Next, a question will appear asking if you are an existing SmartWay Partner (Y/N). If you are, a question will appear asking if you submitted your data the previous reporting year. If so, you must then enter your Annual Submission ID, which has been sent to you by your SmartWay PAM via email. If you cannot locate your submission ID you can select the link "Email me my SmartWay ID" to have your ID sent to you.

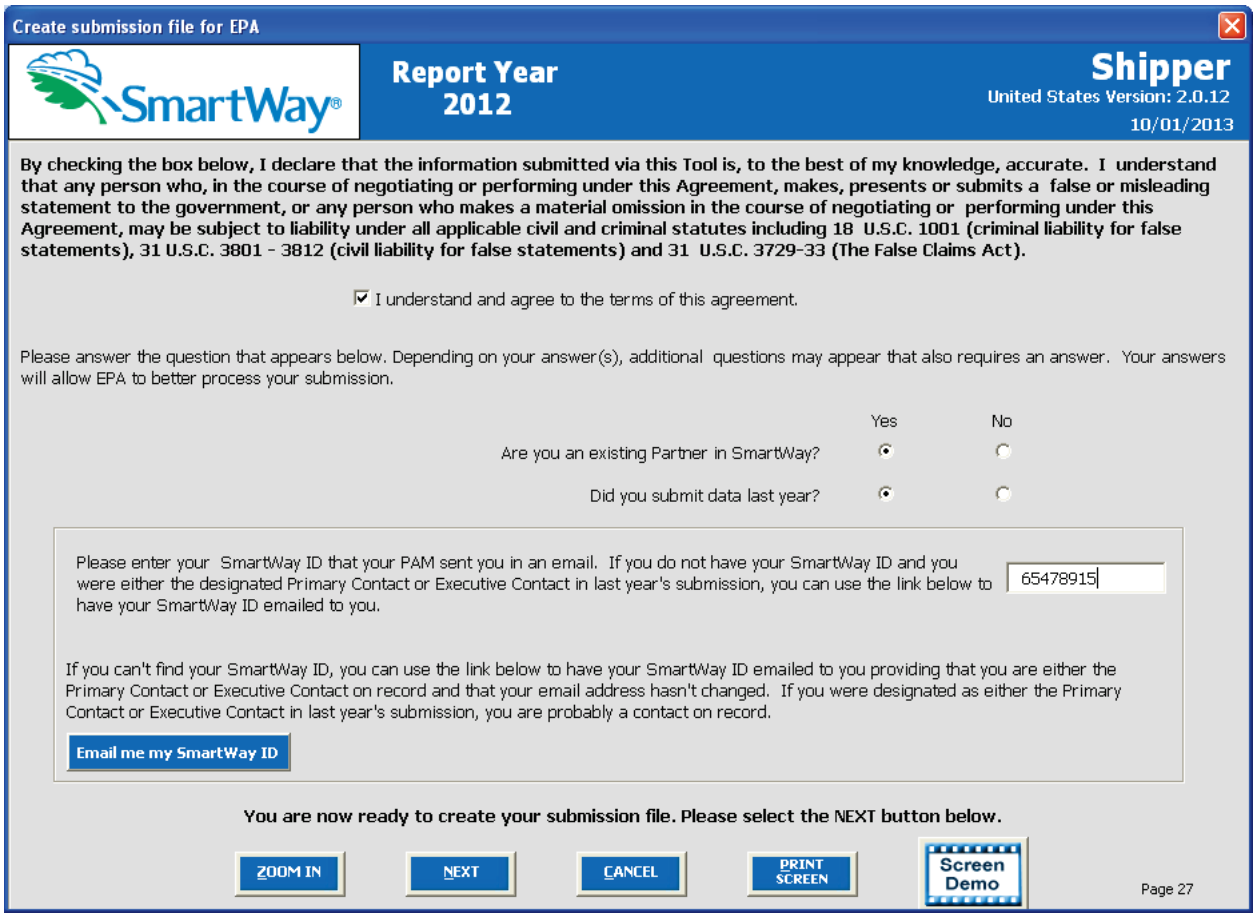


Figure 56: Completed Submission File Screen

When ready, select NEXT to create a file with the following naming convention:

PartnerName_ Year_ Shipper_V0.xls

For example, ABC Company_2012_Shipper_V0.xls

where **PartnerName** 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.

Next specify the folder where you would like to save the .xml file. After specifying the folder and selecting **Save**, and the following screen will appear.

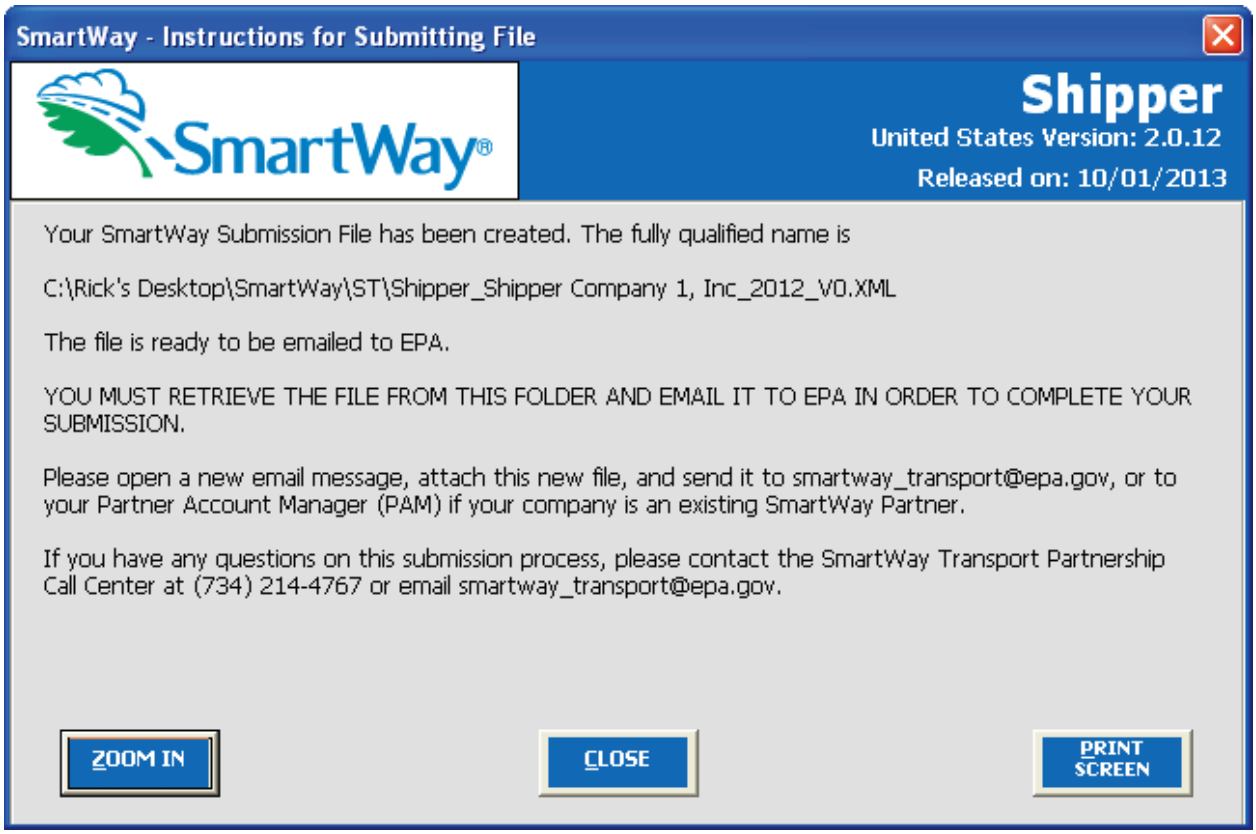


Figure 57: Completed Submission File Screen

Follow these instructions for submitting your .xml file to SmartWay. Note that the .xml file is approximately 10 times smaller than the .xls files the Tool generated in the past. Upon selecting

a screen will appear that allows you to close the Shipper Tool or return to the **Home** screen.

NOTE: The XML file is not sent to EPA automatically. You will need to locate the file and attach it in an e-mail to your Partner Account Manager).

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.

Please visit http://www.epa.gov/smartway/partnership/shippers.htm for additional resources, including printable data collection worksheets and technical documentation for the Shipper Tool.

Troubleshooting the Tool

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 or from the SmartWay website rather than from a drive, or when multiple Excel files are open simultaneously. If you encounter an error during use of the Tool, 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 2012 Tools (XP and Vista operating systems, and Excel Office 2003 and 2007.)

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.