

Shipper Partner 2.0.14 Tool: Data Entry and Troubleshooting Guide 2014 Data Year - United States Version





Shipper Partner 2.0.14 Tool: Data Entry and Troubleshooting Guide 2014 Data Year - United States Version

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



Office of Transportation and Air Quality
EPA-420-B-15-087
October 2015

Table of Contents

Table of Contents	3
What's New in this version?.....	5
Introduction	6
Downloading and Setting up the Tool	8
Software and Hardware Requirements	8
Downloading the SmartWay Shipper Company Tool	8
How to Set Security Levels for the SmartWay Tools.....	8
Basic Organization of the Shipper Tool.....	21
Reviewing the Introductory Screens	23
Navigating the Home Screen	29
Preparing for Data Entry.....	34
Section 1 Data Entry: Enter Partner Name.....	35
Section 2 Data Entry: Enter Company and Contact Information	36
Section 3 Data Entry: Shipper Company Characterization	42
Section 4: Download Latest SmartWay Carrier Data File.....	47
Section 5: Select Company for Data Entry (providing carrier activity information for your companies).....	48
"Company Status Review" Overview	48
Selecting a Business Unit to Review:	49
Basic or Comprehensive Screen	50
COMPLETING THE CARRIER SELECTION SCREENS.....	52
Overview	52
Steps for Inputting Carriers for a Shipper Company:.....	56
Steps for Completing the Manual Input SmartWay Carriers Tab:	56
Steps for Completing the Manual Input Non-SmartWay Carriers Tab:	57
Optional Carrier Differentiation Screen	57
Steps for Completing the Activity Data Screen	59
1. Entering Data Source Description	61
2. Selecting the Data Availability Option	62
3. Entering Ton-Mile and Mile Data	63
5. Validating Your Activity Data	64
Viewing the % SmartWay Screen	67

Viewing the Data Display Screens	68
Viewing Shipper Strategies Sections	72
System Activities Screen	72
Modal Shift Screen.....	73
Checking Company Status.....	76
Validating Your Data	78
Sections 6-8: Optional Steps—Year to Year Comparisons, Additional Information, and View	
Reports	81
Viewing the Year-to-Year Comparison Report.....	81
Partner Profile / Logo Info / Suggestions.....	84
Viewing Data Reports	88
Submitting Data to SmartWay.....	90
Troubleshooting the Tool.....	94

What's New in this version?

Version 2.0.14 of the Shipper Tool contains a number of updates and revisions to the prior version, 2.0.13. These updates have been implemented to enhance the usefulness and clarity of the Tool, and are summarized below:

- Logistics business units with a large number of carriers may use a new carrier matching function to help match their carrier lists with the records in the SmartWay database.
- Data Availability Options are now restricted to: a) ton-miles and total miles, b) ton-miles and average payload, c) total miles and average payload, and d) total miles only.
- Average Density and Average Load Percent has been removed from the Activity Data tab.
- Partners no longer have to select an inventory calculation method on the Activity Data tab.
- New partners must indicate how they initially heard about SmartWay.
- Miscellaneous text and format updates for clarification.

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 any time, 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

Software and Hardware Requirements

The Shipper Company Tool was designed in Microsoft Excel. Microsoft Excel is an electronic spreadsheet program used for storing and manipulating data. Microsoft Excel Forms were used to enable the functional capabilities of the Tool.

Completing the Shipper Company Tool requires the following software and hardware:

- A 2003 or later version of Microsoft Excel
- Excel security level set at Medium or lower
- A PC running Windows XP or newer operating system, or a Mac that is running the Windows XP operating system. The tool does not currently work using the Mac operating system
- At least 10 megabytes of available disk space (more disk space may be required based on the number of companies you define in your tool).
- Adequate memory (RAM) to run Microsoft Office
- A monitor resolution of at least 1,024 x 768

NOTE: The Excel web application in MS Office 365 (the cloud-based version of the Office operating system) does not currently support the macros used in the SmartWay tools. Therefore SmartWay tools do no function properly in Office 365 at this time.

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

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

Downloading the SmartWay Shipper Company Tool

To download the Shipper Company Tool, visit:

<http://www3.epa.gov/smartway/forshippers/index.htm> .

Save the Tool in a folder on your hard drive; this folder will house copies of your data and future updates.

How to Set Security Levels 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 (Excel 2003, 2007, 2010, or 2013).

Security Settings for Excel 2003 Users

To use the Shipper Company Tool in Microsoft Excel 2003, you will need to have your security levels set to “Medium.”

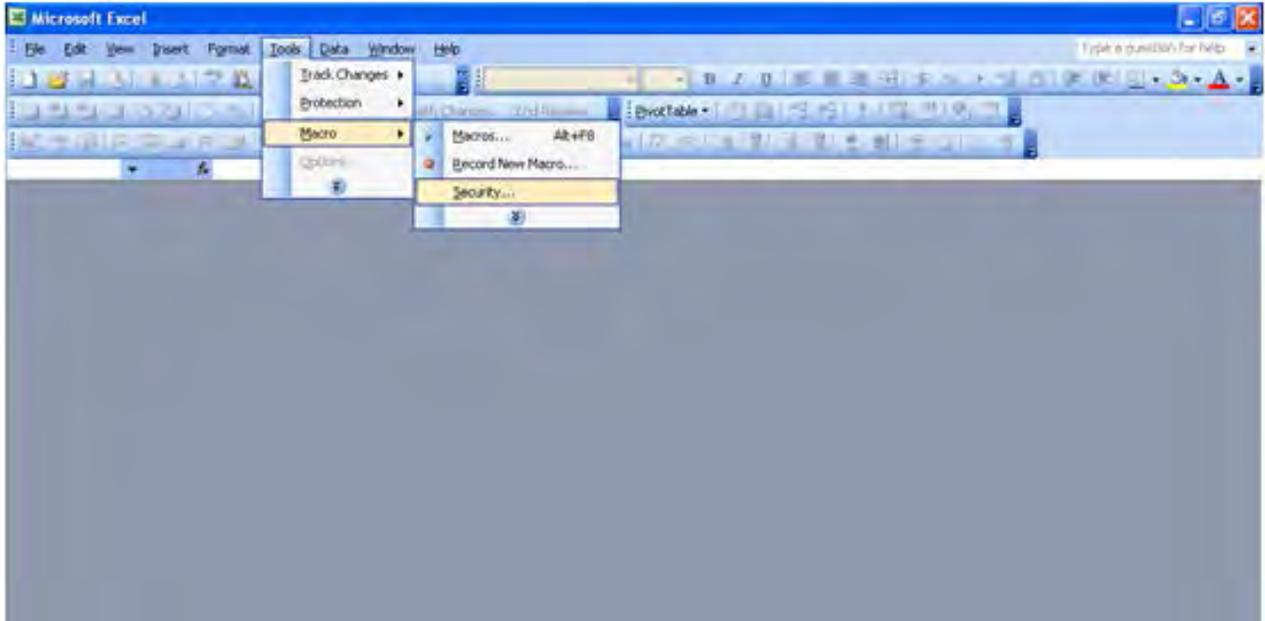


Figure 1: Macro Setting Tabs in Excel 2003

Setting Security Levels to Medium in Excel 2003

1. When using Excel 2003, on the menu bar, go to *Tools* → *Macro* → *Security Level*.
2. When the “Security” window opens, select the “Medium” level, and select **OK**.

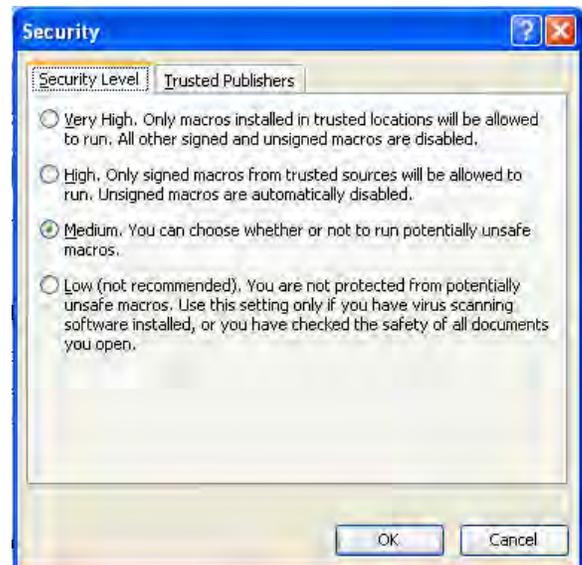


Figure 2: Security Level Setting Screen in Excel 2003

Running the Tool in Microsoft Excel 2003

1. Save the Tool to your computer in a folder on your hard drive.
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 button in the security-warning box.

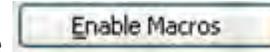


Figure 3: Screen showing “Enable Macros” button

The **Welcome** Screen for the Shipper Company Tool should then appear and you will be ready to begin working on your tool.

Security Settings For Excel 2007 Users

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

Running the Tool in Microsoft Excel 2007

- 1) Save the Tool to your computer.
- 2) Open the file, and select the  button that appears after the Security Warning just below the menu bar (**Figure 4**). Detailed instructions are also provided on the screen itself.

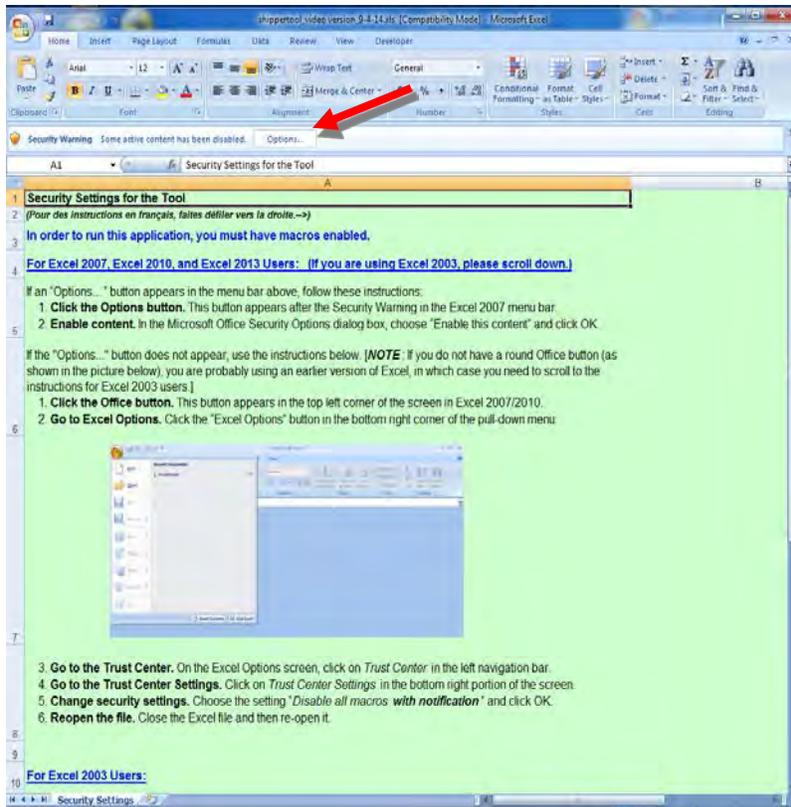


Figure 4: Security Warning Screen

- 3) In the **Microsoft Office Security Options** dialog box (Figure 5), choose "Enable this content" and select **OK**.



Figure 5: Security Options Dialogue Box

The **Welcome** Screen for the Shipper Company Tool should then appear and you will be ready to begin working on your tool.

Troubleshooting the Security Settings in Microsoft Excel 2007

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  button (in the top left corner of the screen) and then select the  button in the bottom right corner of the pull-down menu (**Figure 6**).



Figure 6: Excel Options Drop-Down Menu

On the **Excel Options** screen, select **Trust Center** in the left navigation bar (**Figure 7**):

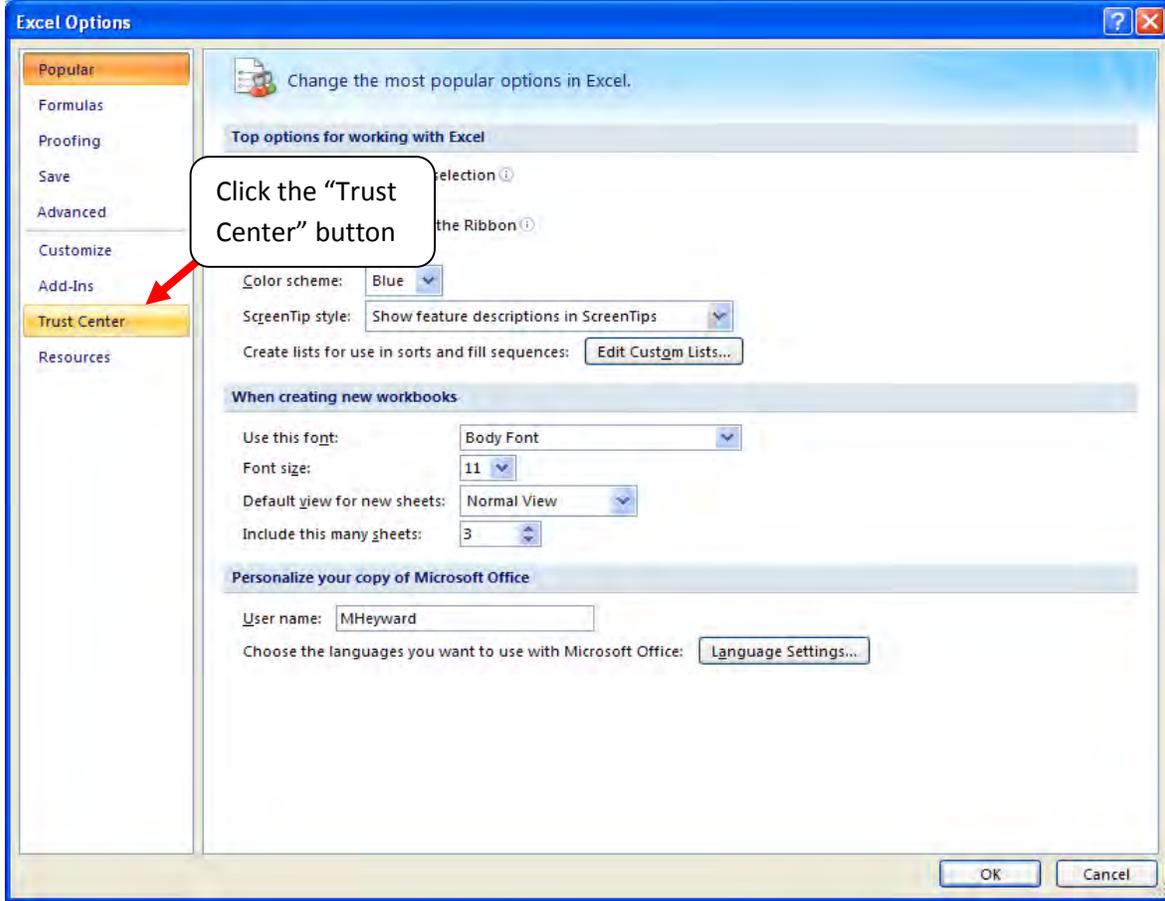


Figure 7: Excel Options Drop-Down Menu

When the Trust Center options display opens, select **Trust Center Settings** in the bottom right portion of the screen (**Figure 8**):

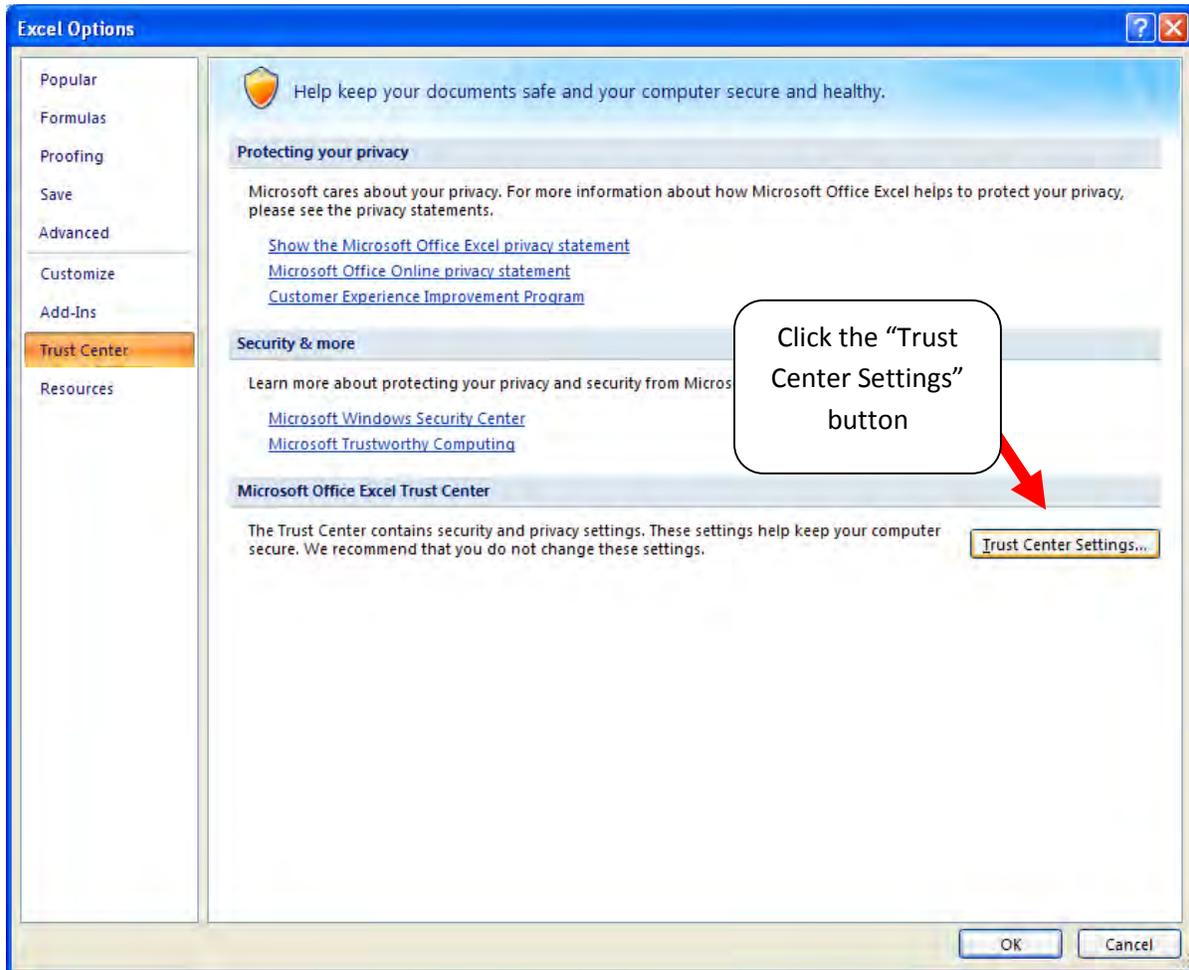


Figure 8: Trust Center Settings Screen

Choose the setting “Disable all macros with notification” (Figure 9) and select **OK**.

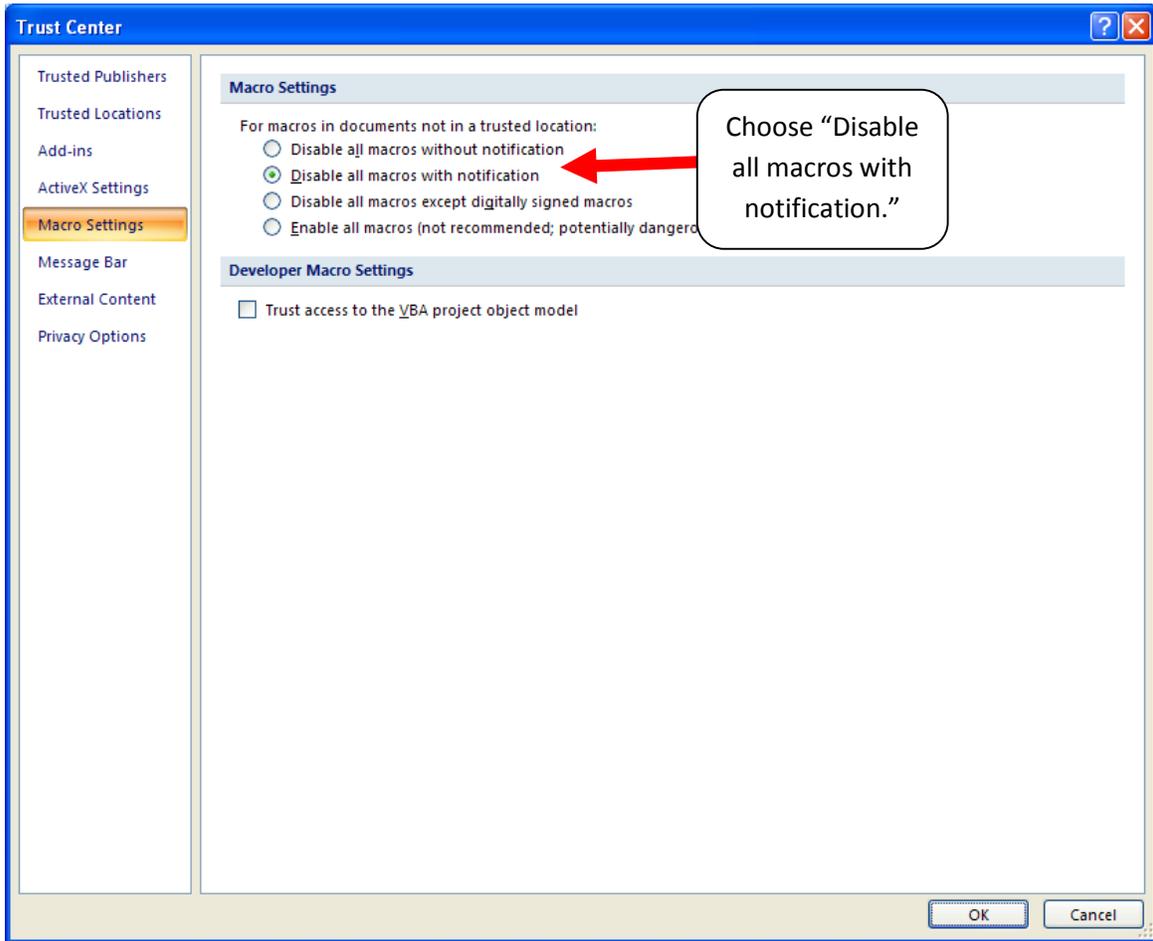


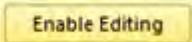
Figure 9: Macro Settings Screen

Then run the Tool.

If, at this point, the Tool does not open, review the “Software and Hardware Requirements” on page 8. If you after reviewing this section, you cannot determine how to correct the problem, contact your SmartWay Partner Account Manager.

Security Settings For Excel 2010 and newer Users

The default settings for Excel 2010 and 2013 should enable you to run the tool without any changes. To run the tool:

- 1) Save the tool to your computer.
- 2) Open the file. Depending on your Office settings, you may receive an “Enable Editing” popup. If you do, simply select the  button. This will allow you to enter data into the tool. You may only receive this popup the very first time you open the tool.

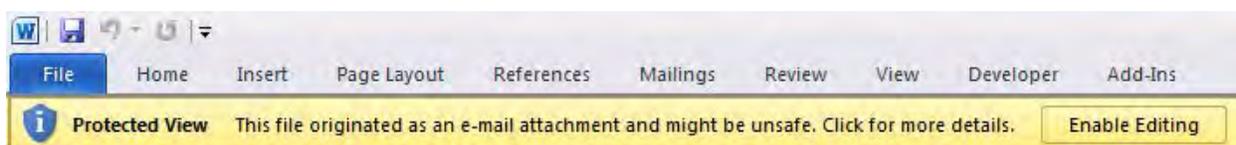


Figure 10: The Enable Editing Button

- 3) Depending on your Excel macro security settings, you may receive a  popup. If you do, simply select the  button. This will enable macros in the tool you just opened.

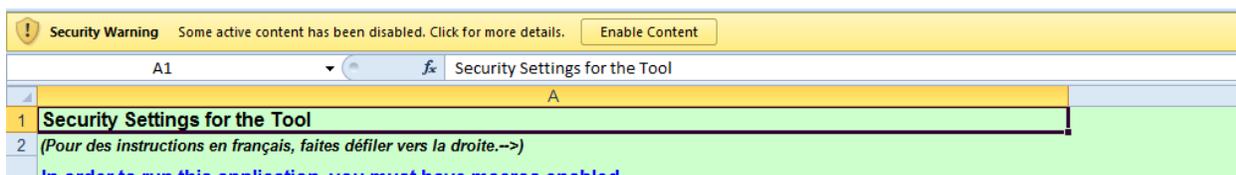
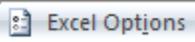


Figure 11: Security Warning Popup

If, at this point, the Tool does not open, review the “Software and Hardware Requirements” on page 8. Otherwise, you may have your security set too high. To adjust your security settings,

select the  button (in the top left corner of the screen) and then select the

 button in the bottom right corner of the pull-down menu (**Figure 12**):

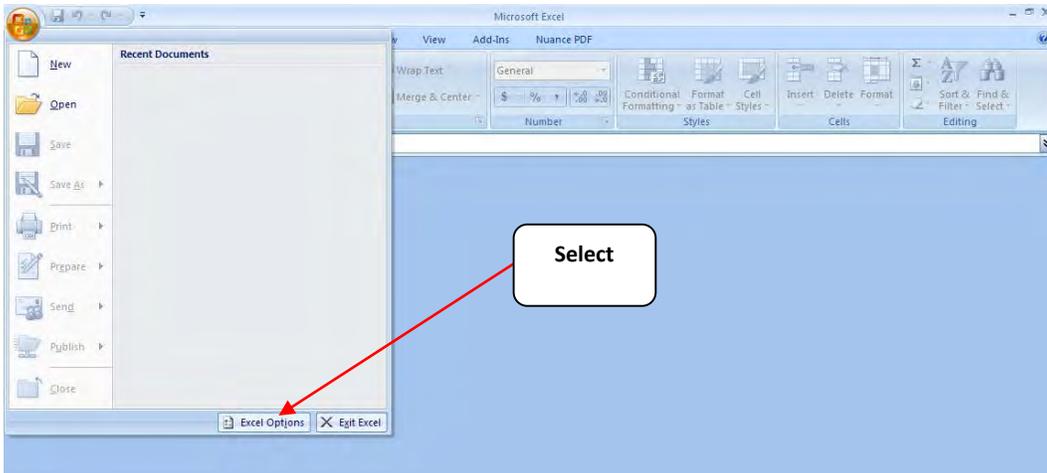


Figure 12: Excel 2010 Options Drop-Down Menu

On the Excel Options screen, select **Trust Center** in the left navigation bar (**Figure 13**):

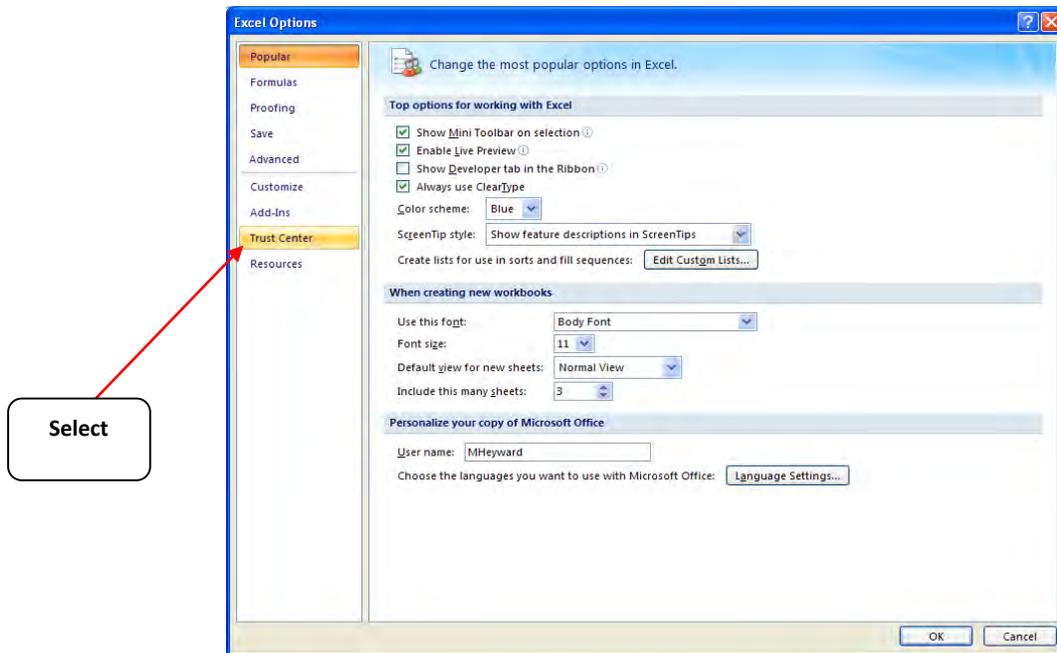


Figure 13: Excel 2010 Options Drop-Down Menu

When the Trust Center options display opens, select **Trust Center Settings** in the bottom right portion of the screen (**Figure14**):

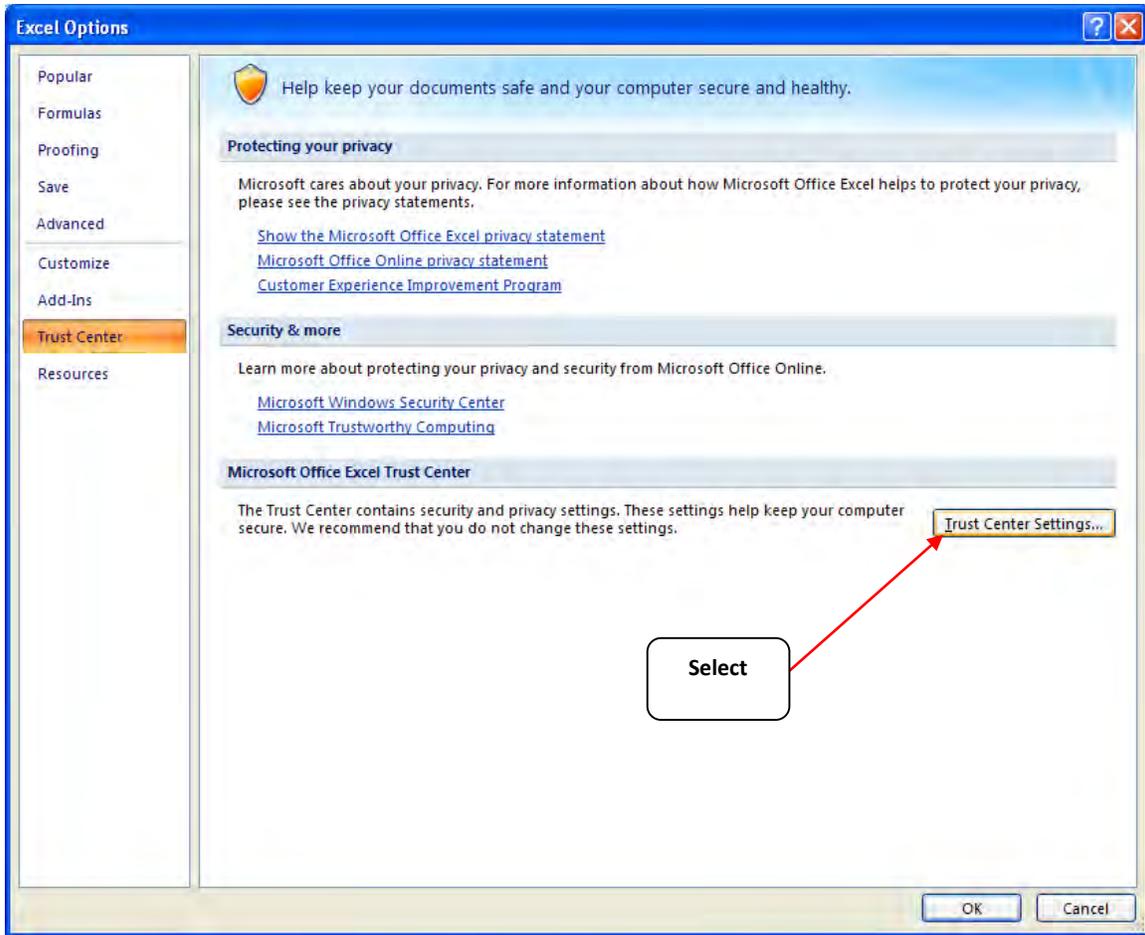


Figure 14: Trust Center Settings Screen

Choose the setting “Disable all macros with notification” (Figure 15) and select **OK**.

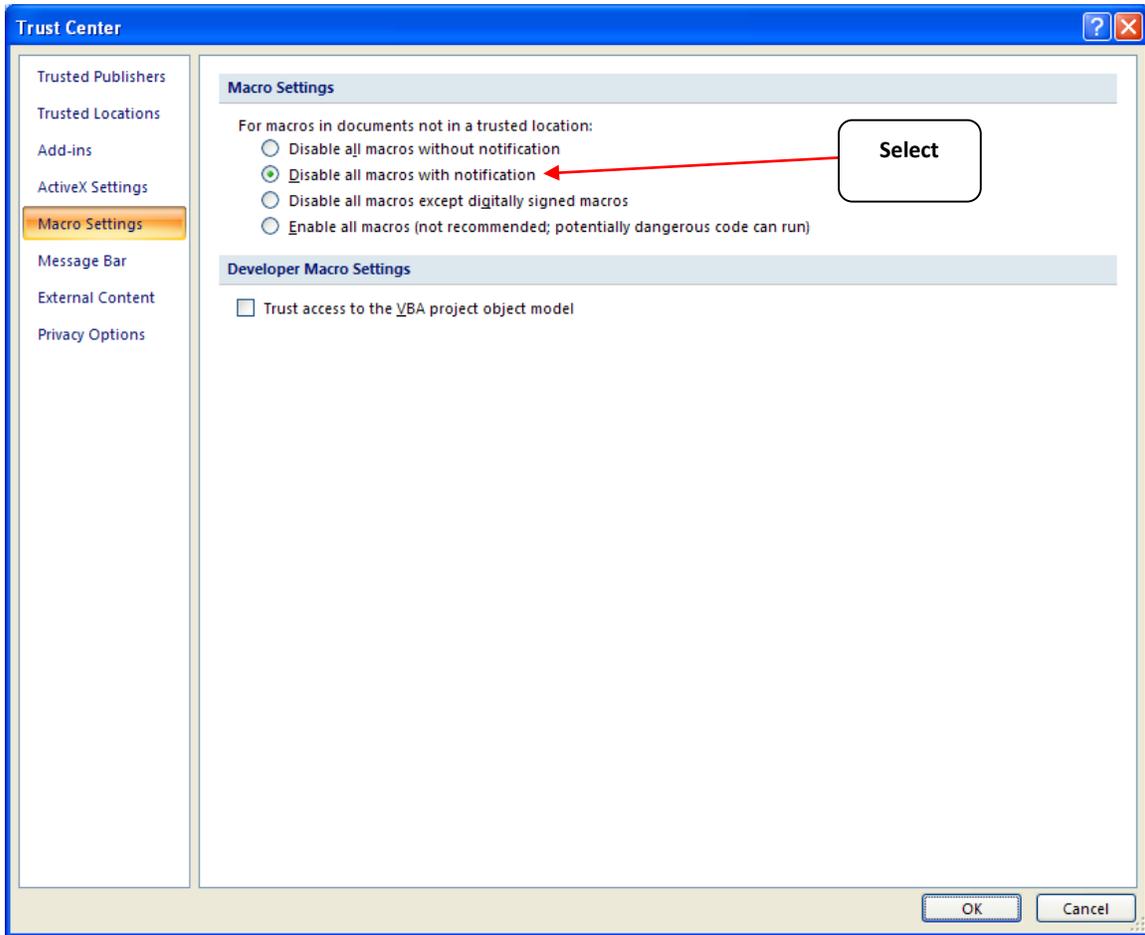


Figure 15: Macro Settings Screen

PART 2: TOOL ORGANIZATION

Basic Organization of the Shipper Tool

The Shipper Tool is the basis of the SmartWay Partnership for Shipper Companies. Completion and submission of a Shipper Tool is the first step to becoming a SmartWay Shipper Company Partner. Your tool submission must be approved by EPA before you are officially a Partner.

The Shipper Tool is organized around:

- information screens,
- forms or worksheets, and
- reports and summaries

Each screen, or form, opens up within a Microsoft Excel spreadsheet. The screens generally look like the one shown here in **Figure 16**, with the **Report Year** displayed prominently at the top:

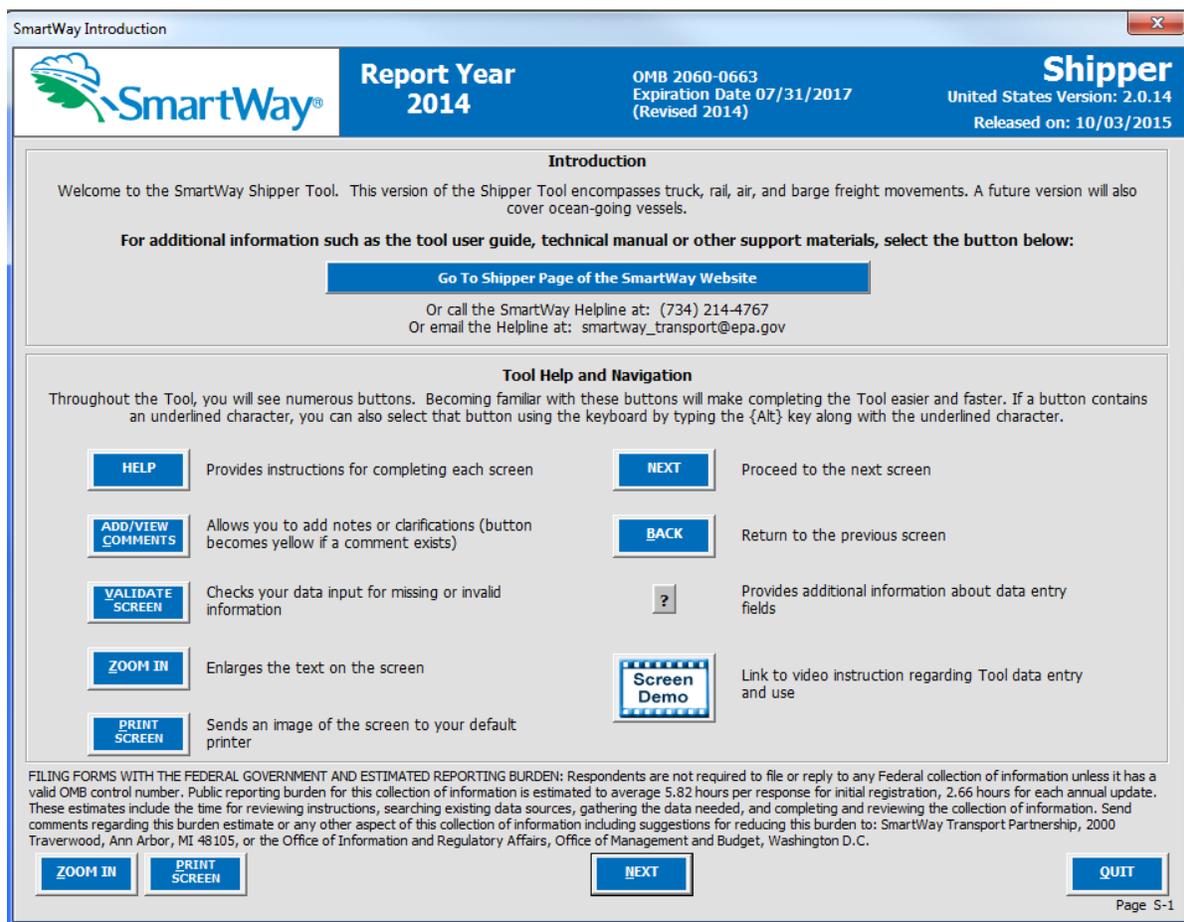


Figure 2: Opening Screen of Shipper Tool

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 17** – is where all of the data you enter is actually stored. However, for the purpose of your data entry, disregard the background workbook.

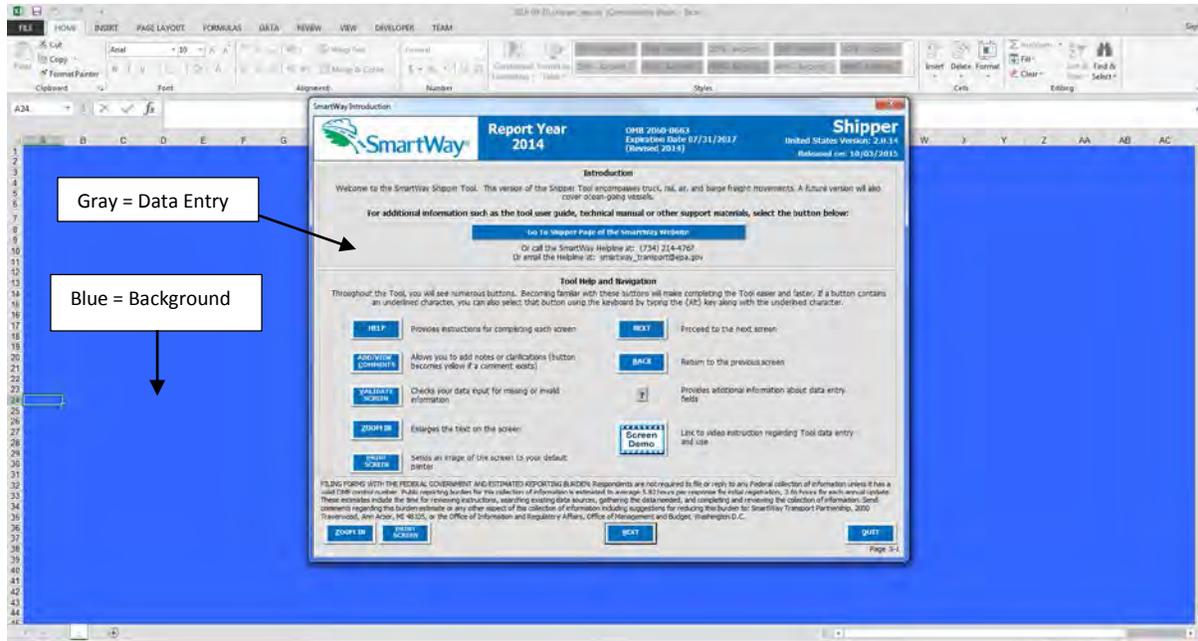


Figure 3: Data Entry Screens and Background Screen Illustration

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



Figure 4: 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 19**.



Figure 5: Screenshot of Link in the Tool

The screens also contain navigation buttons to direct you through the Tool (**Figure 20**).



Figure 20: Example Navigation Buttons in the Tool

Reviewing the Introductory Screens

Before you reach your data entry section of the Tool, you will move through four 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 “SmartWay Partner Schedule” Screen**

The features of these screens are described below.

SmartWay Introduction Screen

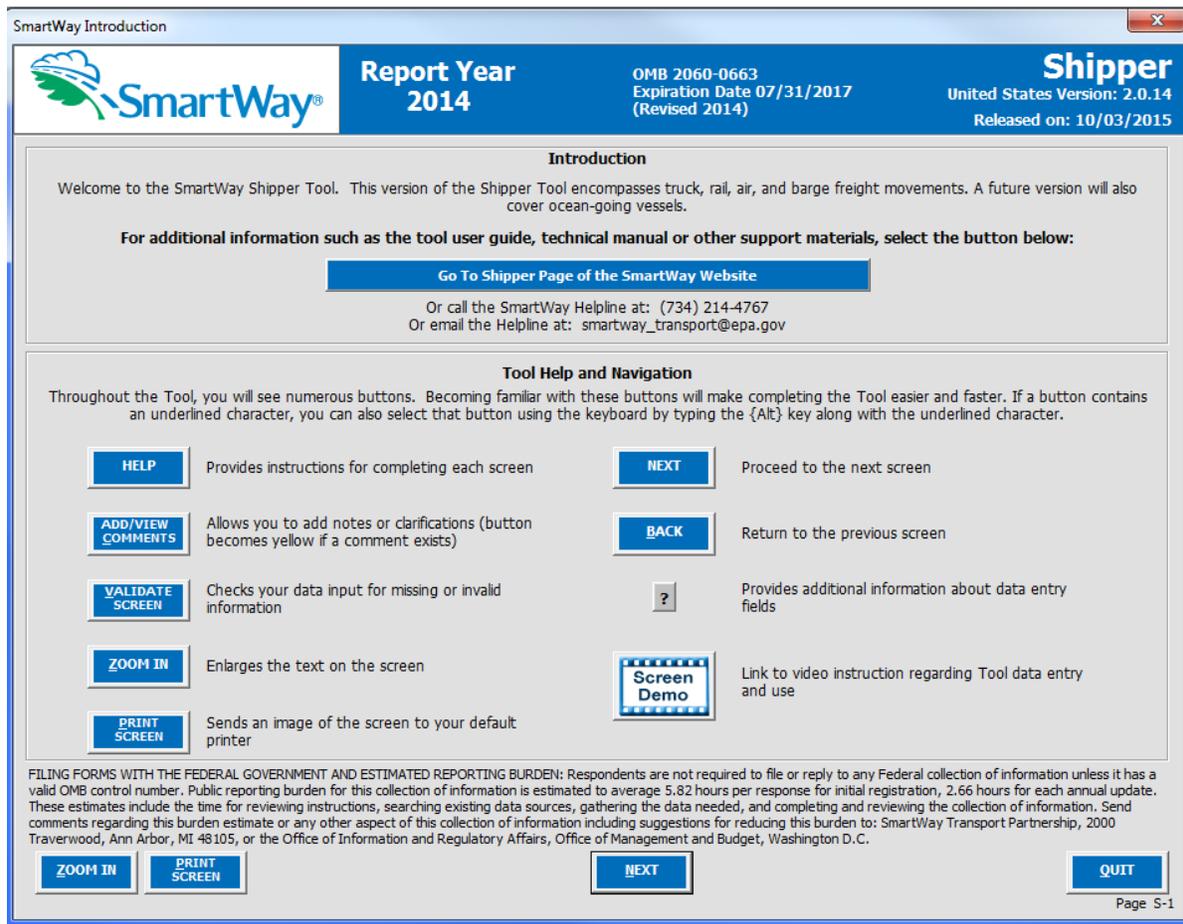


Figure 21: SmartWay Introduction Screen

The **SmartWay Introduction** screen is the first window that appears when the Tool is opened (**Figure 21**). 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

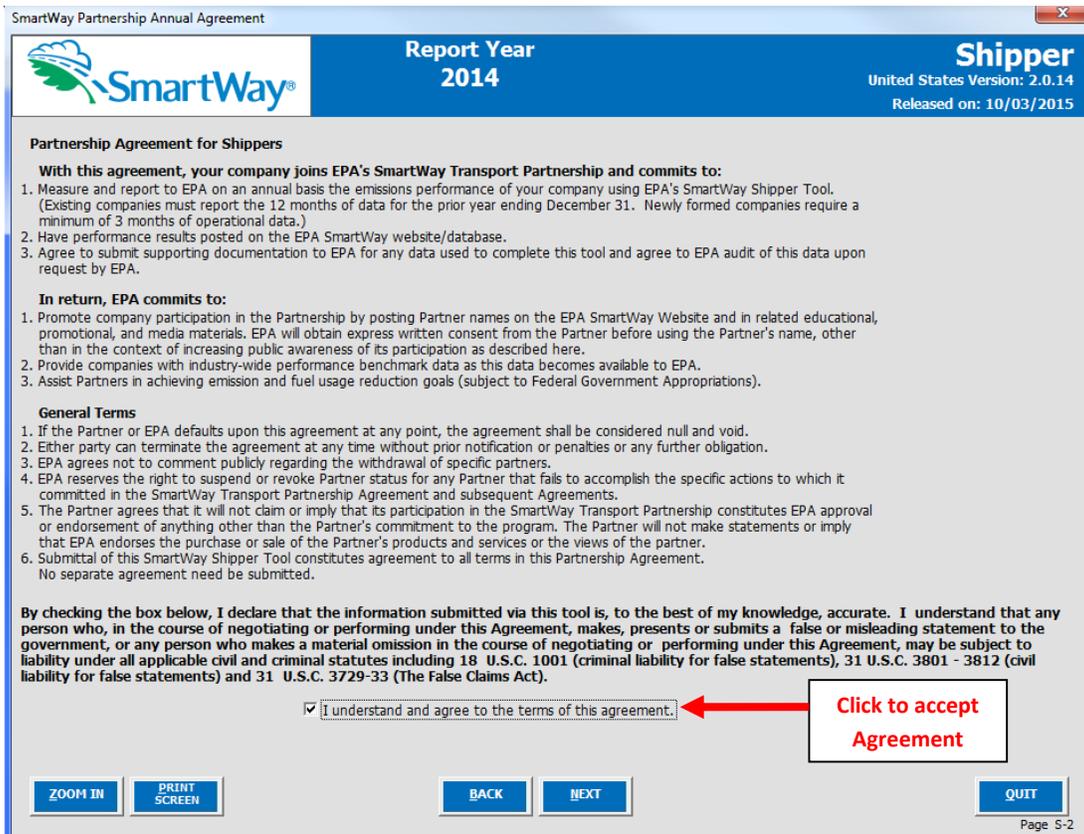


Figure 22: SmartWay Partner Agreement for Shippers

After selecting the **NEXT** button on the **SmartWay Introduction** screen, the **SmartWay Partner Agreement for Shippers** will appear (Figure 22). 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

This next screen summarizes the information needed to complete the Shipper Tool. Select



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

SmartWay: Required Information ☰



Report Year
2014

Shipper
United States Version: 2.0.14
Released on: 10/03/2015

Following is a brief description of the information you will need to complete this Tool. For further details, please consult the Shipper Tool User Guide.

Partner Information

- Company Name, Address, City, State, ZIP, Country, Main Phone, Website
- Working, Executive, and Other Contact Information:
 - Name, Title, Address, City, State, ZIP, Country, Phone, Email
 - SmartWay ID Number (for returning Partners)

Company Characterization Information

- Company Names and Contacts
- North American Industry Classification System (NAICS) Codes

Carrier Use Profile

- Identification information for carriers contracted in the reporting year (including mode, name, MCN and/or SCAC)
- Carrier pathways: inbound/outbound/internal, domestic/international
- Shipper-specific carrier identifiers: ID Codes, Business Unit ID, Internal Shipper Segment Codes
- Carrier activity details:
 - Total miles contracted
 - Ton-miles contracted
 - Freight characterization (average density, average load percent, and average payload)
 - Preferred emissions inventory calculation metric (g/mile, g/ton-mile)
 - Description of data sources used to compile activity data
- % SmartWay Value calculation method (based on miles, ton-miles, weight, dollars spent, packages, or other metric)
- Optional information regarding modal shifts and other shipper efficiency strategies

ZOOM IN

PRINT SCREEN

BACK

NEXT

QUIT

Page S-4

Figure 23: Summary of Shipper Tool Required Information

SmartWay Partner Schedule Screen

As seen in Figure 24, this screen shows the SmartWay Partner Schedule and Data Flow Diagram, which provides the various Tool release and due dates for the 2015 calendar year, for tools completed using 2014 data. Refer to these dates to help ensure on-time delivery of your tool submittal.

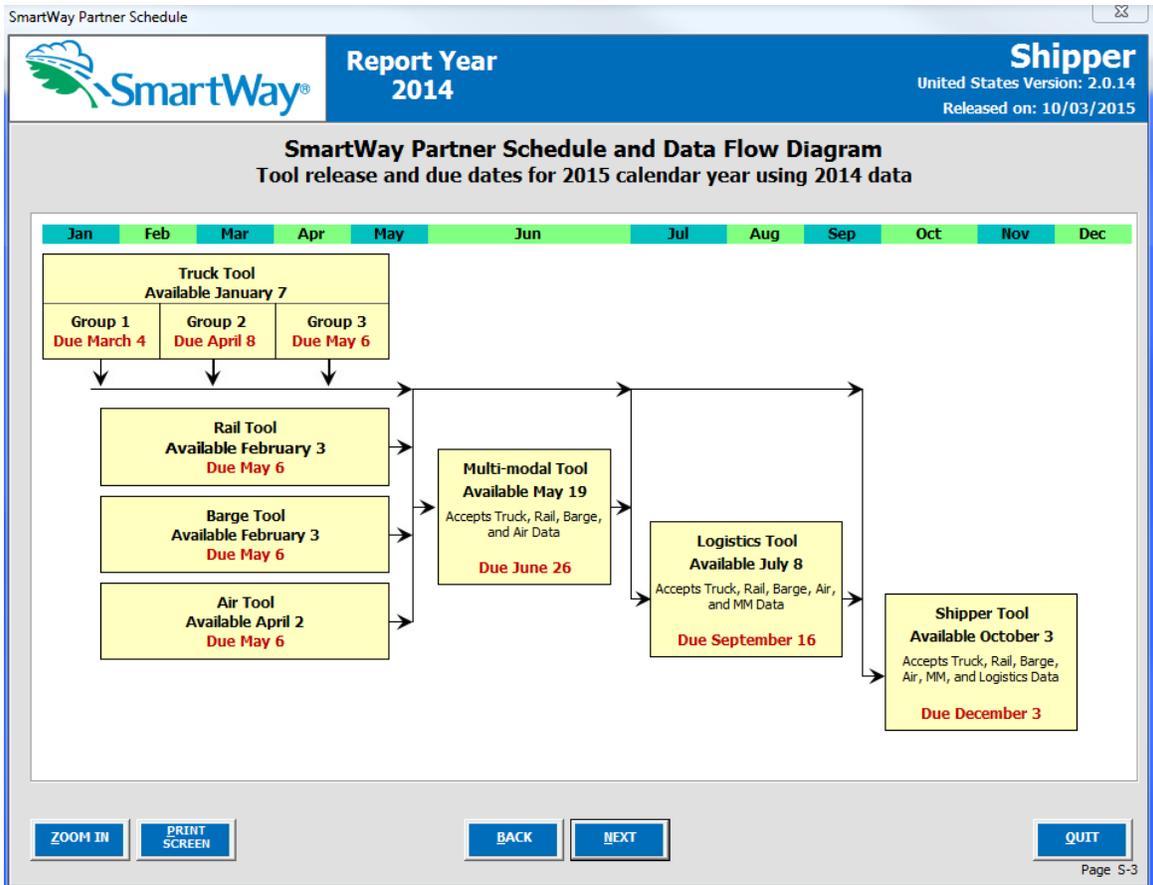


Figure 24: SmartWay Partner Schedule and Data Flow Diagram

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 25 displays the structure of the **Home** screen.

The screenshot shows a web application window titled "Home". The header includes the SmartWay logo, "Report Year 2014", and "Shipper United States Version: 2.0.14 Released on: 10/03/2015". The main content area contains a list of steps with checkboxes on the left and buttons for each step. A "Screen Demo" button is located at the bottom right, and a "Page S-5" label is at the bottom right corner.

Please complete the following steps. Check boxes on the left indicate successful completion of each step. For more information, select the 'Help' button.

1. Enter Partner Name (Exactly as it should appear on the SmartWay website)
2. Enter Contact Information
3. Company Characterization
4. Download Latest SmartWay Carrier Data File
5. Select Company for Data Entry
(Double-click the company name or select and hit Enter)
6. Review Year-to-Year Comparison ?
7. Partner Profile / Logo Info / Suggestions ?
8. View Your Data Reports
9. Generate Files to Send to EPA* ?

* After selecting this option, be sure to carefully read all directions before proceeding.

BACK ZOOM IN PRINT SCREEN SAVE QUIT HELP Screen Demo Page S-5

Figure 25: 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 working SmartWay point of contact, and a different executive-level contact. Additional contacts may also be included.
- Section 3:** **Company Characterization (button):** 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 (button):** 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 Company for Data Entry (selection list):** 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) Partner Profile / Logo Info / Suggestions (button):** Here you can provide information about your company’s environmental accomplishments, learn about SmartWay Logo terms and requirements, give EPA feedback about the SmartWay program, and assist SmartWay in recruiting new carriers.
- Section 8:** **(Optional) View Your Data Reports (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 9: Generate Files to Send to EPA (button): This button creates a version of the Tool (in XML format) for you to send along with your XLS file as attachments in an e-mail to your Partner Account Manager (PAM). Selecting the **OK** button on this screen does **not** automatically submit the files to EPA; you still need to submit them to EPA by attaching them in an e-mail.

ENTERING YOUR DATA

With the exception of Section 1, selecting 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.

Validating YOUR DATA

The Shipper Company Tool includes range checks and other validation rules to help identify potential data entry errors and/or unusual data values. To identify potential data problems and ensure a high quality data submission, select the  button before moving on to the next screen.

The Tool will identify any potential data problems on that screen and prompt you to modify the entry or provide a text explanation for legitimate anomalies.

SAVING YOUR DATA

You can save the 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.

Providing Additional Information

The Shipper Company Tool includes an optional section that allows you to provide EPA with additional information regarding your company’s environmental stewardship, potential use of

the SmartWay Logo, and general feedback regarding the SmartWay program. This section also allows you to provide information regarding your non-SmartWay carriers and related companies to help with partner recruiting efforts. Access this section by clicking the

[Partner Profile / Logo Info / Suggestions](#)

button on the **Home** screen.

REVIEWING YOUR DATA

A rectangular button with a thin border, containing the text "PRINT SCREEN" in all caps.

Each screen within the Tool has a  button. 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

[View Your Data Reports](#)

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 SmartWay is included in this guide on page 90.

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 SmartWay website
- Company contact information
- Contact details for your Working Contact
- Contact details for an Executive Contact (cannot be the same as the Working 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, logistics, multi-modal, barge)
 - 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 of the Shipper Company Tool asks you to “Enter Partner Name.”

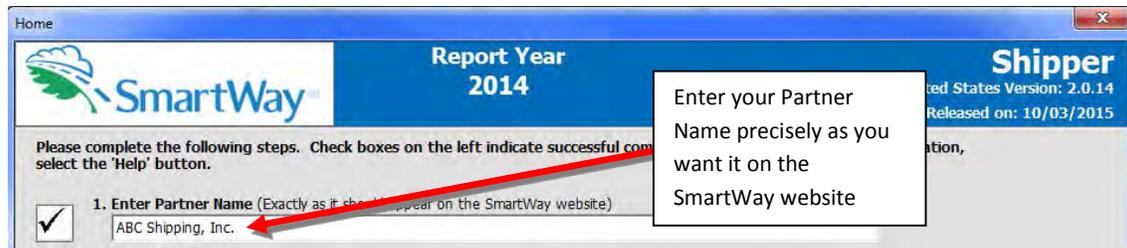


Figure 26: Field for Entry of Partner Name on Shipper Tool Home Screen

EPA publishes your company’s official name on the SmartWay website. This is how your customers will know that you are a SmartWay Partner. The name that SmartWay 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://www3.epa.gov/smartway/forshippers/index.htm> for more information on how to complete this section of the Shipper Tool.

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 27: Select Contact Information Button on “Home” Screen

You will then be taken to the **Contact Information** screen. This screen will ask you to, provide the following information:

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

SmartWay: Contact Information

Partner Information | Working Contact | Executive Contact | Other Contacts

Address1* 645 Ocean Way
 Address2 Suite 203
 City* Austin State* TX ZIP* 78731 Country* USA
 Main Phone* 512-555-5555 Toll Free 800-555-9999
 Web Site www.abcshipping.com **Show**

There must be at least two different people that SmartWay can contact. The Working Contact is the person assigned to work directly with EPA regarding timely and accurate Tool submission, and maintaining direct communication with SmartWay.

The Executive Contact is the company executive who is responsible for agreeing to the requirements in the SmartWay Partnership Annual Agreement and ensuring timely submission of the Tool to SmartWay. The Executive Contact should be a Vice President or higher-level representative for the company.

Working Contact: ?
 Name Mr. First* Glenn MI Last* Johnson
 Title* VP Operations

Executive Contact: ?
 Name Mr. First* Jack MI Last* Shephard
 Title* CEO

* - Required

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

Page S-6

Figure 28: Entering Company and 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:

Under the Partner Information tab:

1. **Enter the Company data.**
2. **Enter the Working Contact name and title.**

The **Working Contact** is the individual designated by the Executive Contact to directly interface with SmartWay regarding specific tasks involved in the timely submission of the Tool. The Working Contact is responsible for coordinating the assembly of

information to complete/update fleet data; completing and updating the Tool itself; maintaining direct communication with SmartWay; and keeping interested parties within the company apprised of relevant developments with SmartWay. (**NOTE:** To ensure that e-mails from SmartWay/EPA are not blocked, new contacts may need to add SmartWay/EPA to their preferred list of trusted sources.)

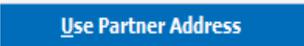
3. Enter the Executive Contact name and title

The **Executive Contact** is the company executive who is responsible for agreeing to the requirements in the SmartWay Partnership Annual Agreement, overseeing the Working Contact (as appropriate), and ensuring the timely submission of the Tool to SmartWay. The Executive Contact also represents the company at awards/recognition events. This person should be a Vice President or higher level representative for the company.

Under the Working Contact tab:

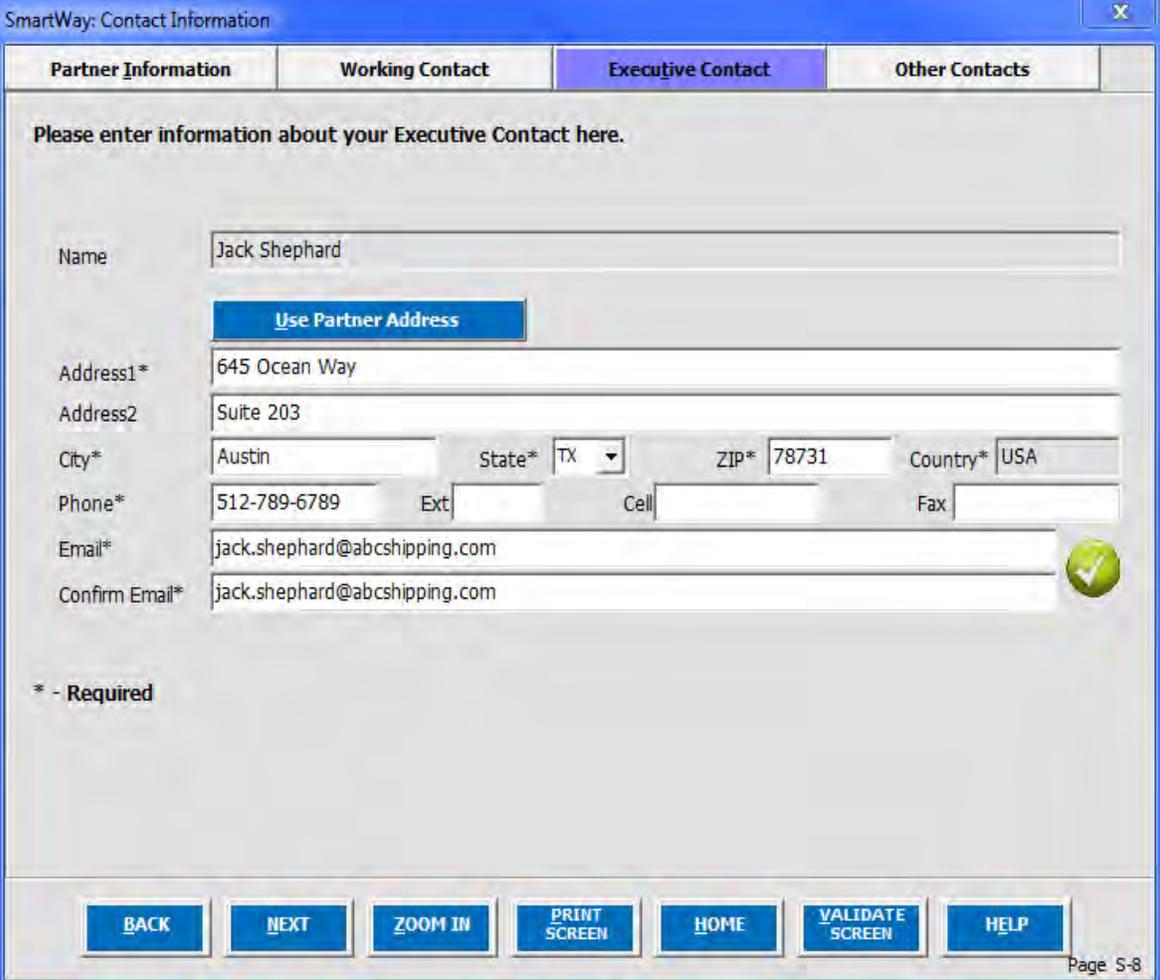
The screenshot shows a web application window titled "SmartWay: Contact Information". It has four tabs: "Partner Information", "Working Contact" (which is selected and highlighted in blue), "Executive Contact", and "Other Contacts". Below the tabs, there is a heading: "Please enter information about your Working Contact here." The form contains several input fields: "Name" with the value "Glenn Johnson"; a blue button labeled "Use Partner Address"; "Address1*" with "645 Ocean Way"; "Address2" with "Suite 203"; "City*" with "Austin", "State*" with a dropdown menu showing "TX", "ZIP*" with "78731", and "Country*" with "USA"; "Phone*" with "512-444-4444", "Ext" with "212", "Cell" with "512-777-7777", and "Fax" with "512-777-8888"; "Email*" with "glenn.johnson@abcshipping.com"; and "Confirm Email*" with "glenn.johnson@abcshipping.com". A green checkmark icon is visible to the right of the email field. At the bottom left, there is a note: "* - Required". At the bottom of the window, there are seven blue buttons: "BACK", "NEXT", "ZOOM IN", "PRINT SCREEN", "HOME", "VALIDATE SCREEN", and "HELP". The page number "Page S-7" is located in the bottom right corner.

Figure 29. Working Contact Information Screen

Enter the Working Contact information. If the Working Contact shares the same address as the company, you may select the  button to auto-populate the address section of

this record. Enter the email address twice to confirm its accuracy. When confirmed a  will appear to the right.

Under the Executive Contact tab:



SmartWay: Contact Information

Partner Information Working Contact **Executive Contact** Other Contacts

Please enter information about your Executive Contact here.

Name Jack Shephard



Address1* 645 Ocean Way

Address2 Suite 203

City* Austin State* TX ZIP* 78731 Country* USA

Phone* 512-789-6789 Ext Cell Fax

Email* jack.shephard@abcshipping.com 

Confirm Email* jack.shephard@abcshipping.com

* - Required

BACK NEXT ZOOM IN PRINT SCREEN HOME VALIDATE SCREEN HELP

Page S-8

Figure 30. Executive Contact Information Screen

Enter the Executive Contact information. If the Working Contact shares the same address as the company, you may select the  button to auto-populate the address section of this record.

Under the Other Contacts tab:

SmartWay: Contact Information

Partner Information Working Contact Executive Contact **Other Contacts**

Please enter information about your additional contacts here.

Other Contacts:

Add New Contact Edit Selected Contact Delete Selected Contact

BACK ZOOM IN PRINT SCREEN HOME HELP

Page S-9

Figure 31. Other Contact Information Screen

1. Enter Other Contacts (if applicable) by selecting the **Add New Contact** button.
2. Enter the first Other Contact then select **OK** when done.

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

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

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

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

4. Next select the  button to return to the **Home** screen and go to Step 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 **Company Characterization** button (**Figure 32**) to display the **Company Characterization** screen. This is the section where you will define the various components of your shipper companies.



Figure 32: 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:

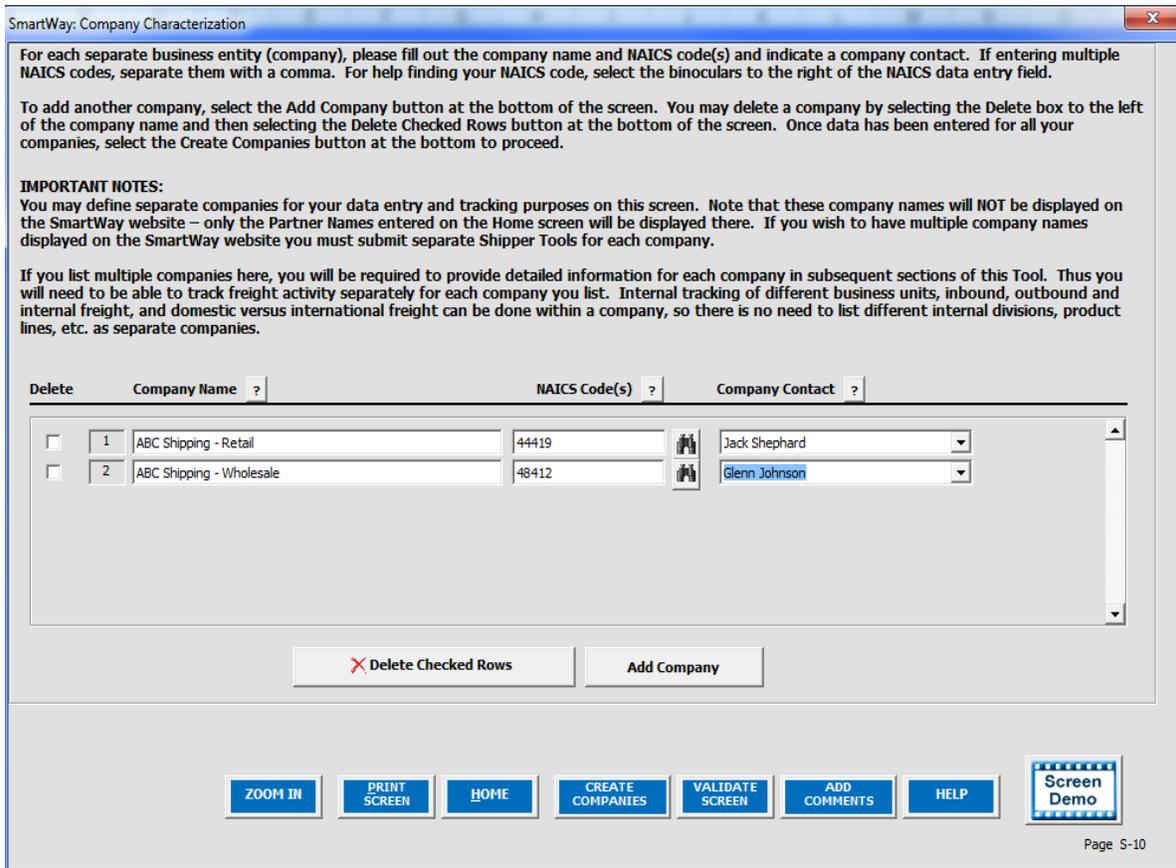


Figure 33: Characterizing Shipping Companies

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.

REFER TO **WORKSHEET #2: Shipping Company Characterization** in the **Quick Start Guide**, or go to <http://www3.epa.gov/smartway/forshippers/index.htm> for more information on how to complete this section of the Shipper Tool.

- **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  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 , indicating to your reviewer that there are comments to be read.

A  button is also available should you need assistance. You will also notice small gray icons with question marks  displayed throughout the Tool. When 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  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 34**).

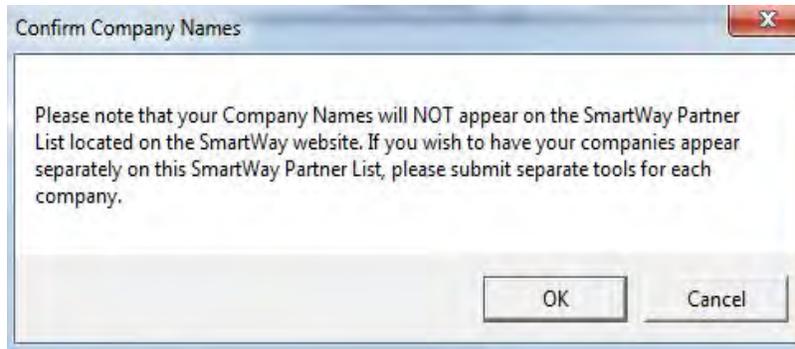


Figure 34: Shipper Company Name Verification Message

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

 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 35**). 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 select the “Download Latest SmartWay Data Carrier Data File” button on the **Home** screen, as shown in **Figure 35**. 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.*

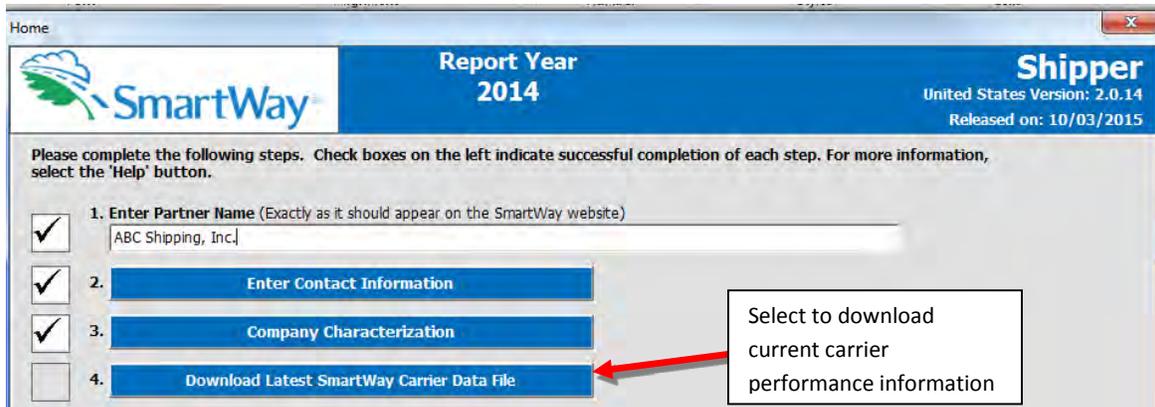


Figure 35: Downloading Latest SmartWay Carrier Data File

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 36**.

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**.

The screenshot shows the 'Home' screen of the Shipper tool. The header includes the SmartWay logo, 'Report Year 2014', and 'Shipper United States Version: 2.0.14 Released on: 10/03/2015'. The main content area contains a checklist of steps:

- 1. Enter Partner Name (Exactly as it should appear on the SmartWay website) - - ABC Shipping, Inc.
- 2. Enter Contact Information -
- 3. Company Characterization -
- 4. Download Latest SmartWay Carrier Data File - - Date of Current Carrier File: 09/11/2015
- 5. Select Company for Data Entry (Double-click the company name or select and hit Enter) - - ABC Shipping - Retail - Not Checked, ABC Shipping - Wholesale - Not Checked
- 6. Review Year-to-Year Comparison -
- 7. Partner Profile / Logo Info / Suggestions -
- 8. View Your Data Reports -
- 9. Generate Files to Send to EPA* -

* After selecting this option, be sure to carefully read all directions before proceeding.

At the bottom, there are buttons for BACK, ZOOM IN, PRINT SCREEN, SAVE, QUIT, HELP, and a Screen Demo button. The page number is S-5.

Figure 36: 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 “View Your Data Reports” 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.

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 **Awards/Data Entry Selection** screen for that company.

SmartWay Awards Screen:

The **SmartWay Awards** tab provides information regarding qualification for the SmartWay Excellence Awards Program.

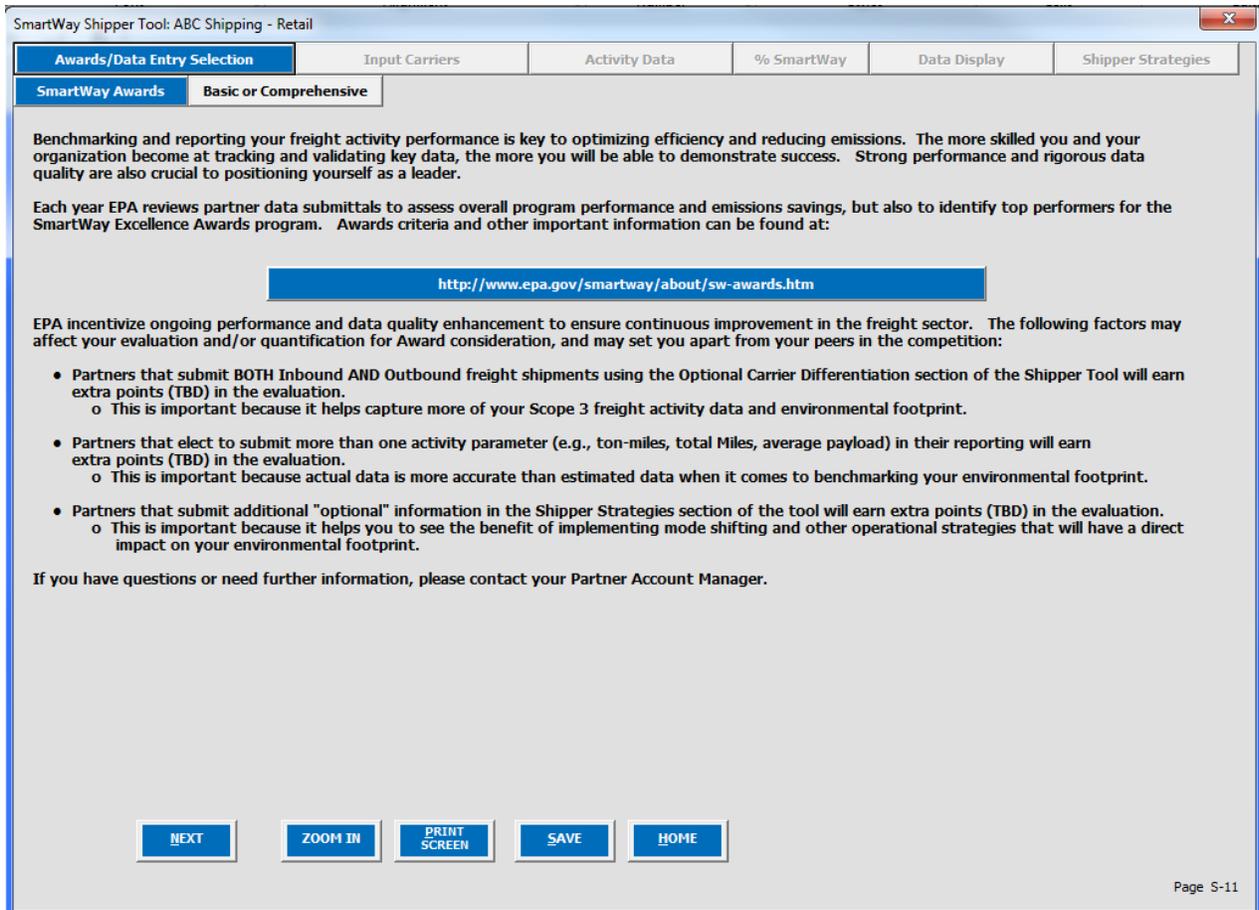


Figure 37: SmartWay Awards Screen

Basic or Comprehensive Screen

The second tab under the Awards/Data Entry Selection section is the **Basic or Comprehensive** tab (Figure 38).

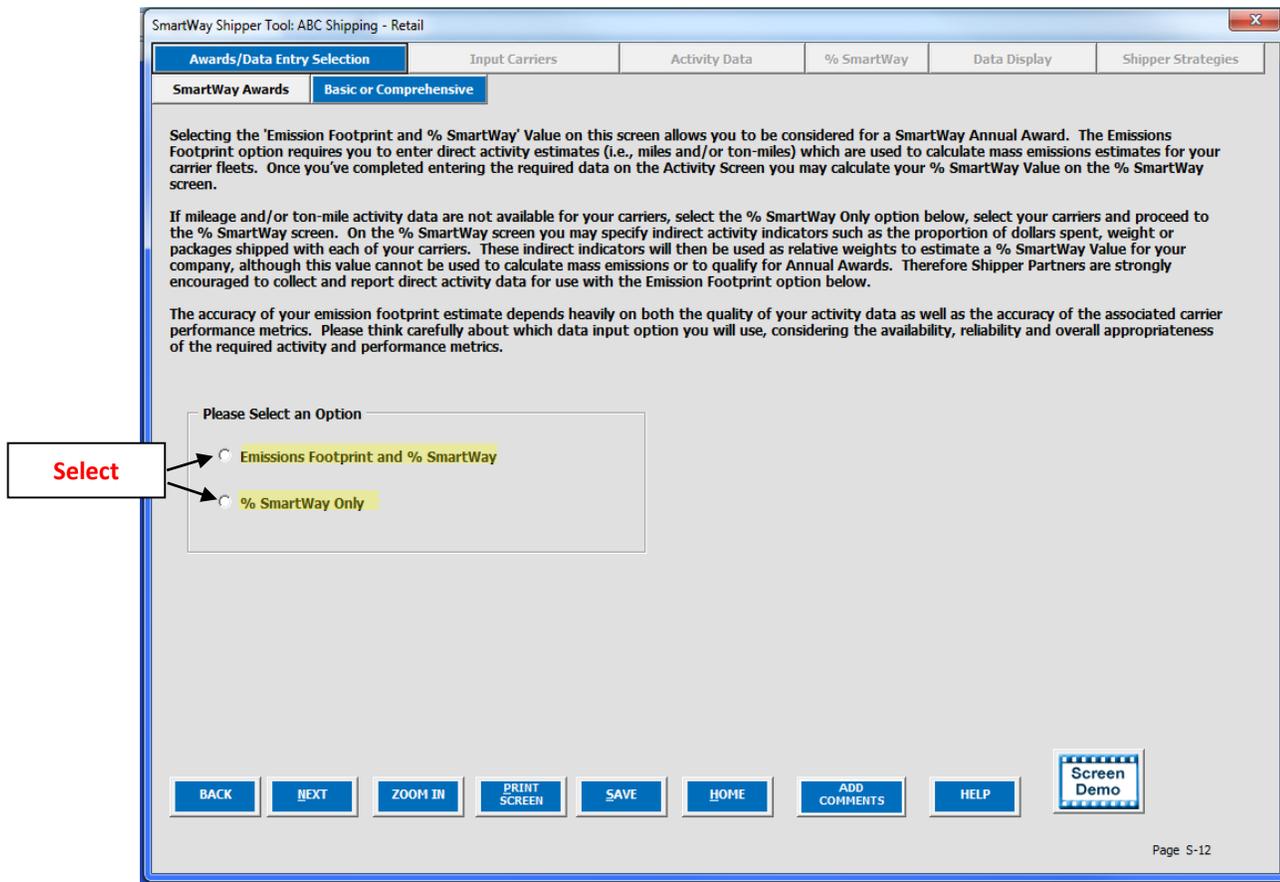


Figure 38: Basic or Comprehensive Screen

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 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 help 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  button to proceed to the **Input Carriers** Screens.

COMPLETING THE CARRIER SELECTION SCREENS

Overview

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 39**). 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.

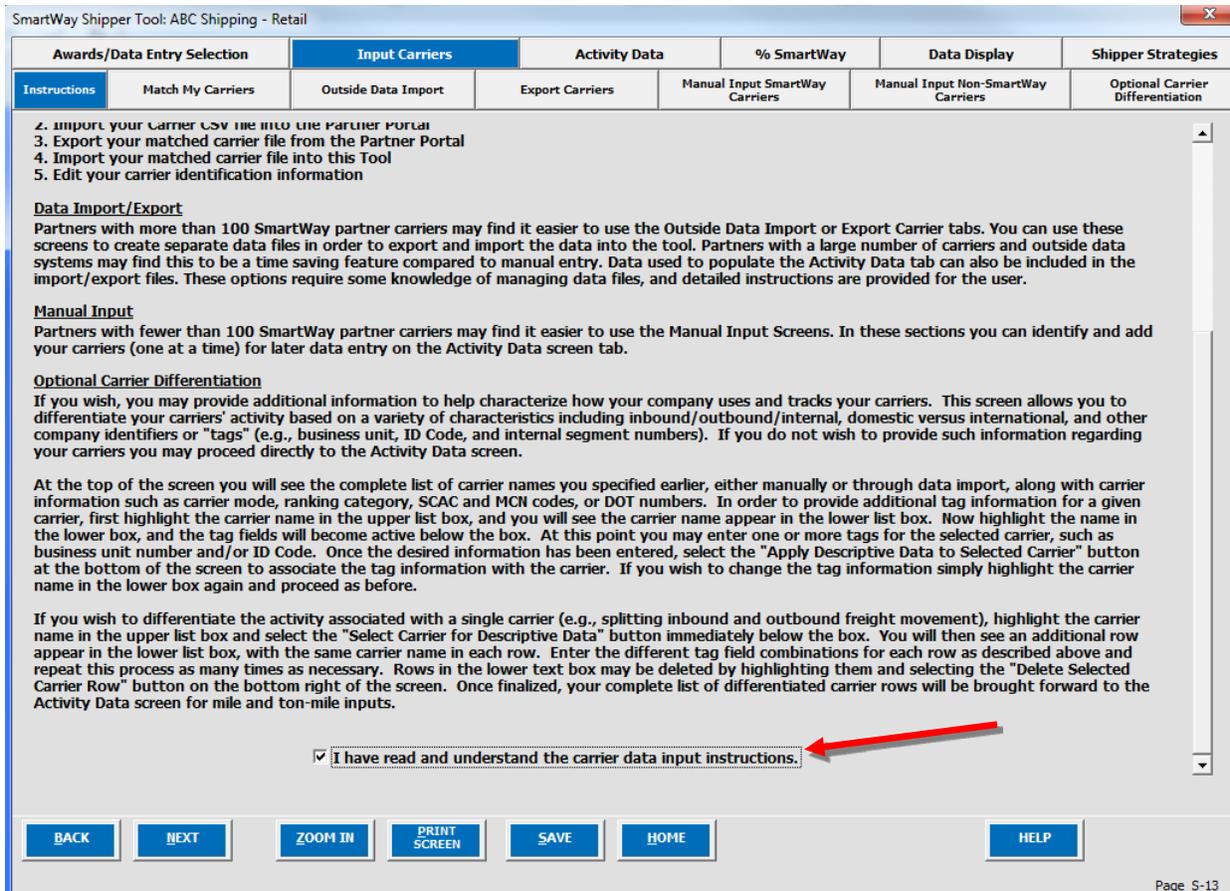


Figure 39: Input Carriers Instructions Screen

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., a large 3PL with 100 or more carriers), you may wish to develop your carrier details separately and upload your data in a single file using the **Outside Data Import** method. (You may also use the new carrier matching function contained in the Partner Portal to match your carriers with those in the SmartWay database before importing your data if you wish, as described below.) Alternatively, if your shipper company has a limited number of carriers, you may choose to specify your carriers one at a time using the **Manual Input SmartWay Carriers Entry** method. These two methods are described in detail in the **Data Import/Export Guide**.

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

- Rail
- Truck
- Multi-modal
- Logistics

- Barge

(Note: By selecting “All” on the Tool’s **Manual Input SmartWay Carriers** screen, you may search across all carriers, regardless of mode.)

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

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

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, DOT #s and MCNs. The Carrier data file must be downloaded from the SmartWay website by selecting the button under Step 4 on the Shipper Tool **Home** screen. This data can then be viewed on the **Manual Input SmartWay Carriers** 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 **Manual Input SmartWay Carriers** screen also allows you to filter carrier fleets by MCN, DOT number, and/or address if needed.

Carrier Matching: Some companies have had difficulty matching the carrier information in their databases with the data that carriers submit to SmartWay. Therefore a new carrier matching function has been added this year that enables partners to identify which of their current carriers are SmartWay Partners.

Starting this year you may add company-specific carrier identification information and/or carrier contact information into your CSV import file. Once you have created your file you can use the new matching function located in the Partner Portal to identify and match which of your carriers are SmartWay carriers. In the first reporting year (2014) you can match your carrier data using identification fields including carrier name, address, phone number, SCAC code, MCN code, and/or DOT number.

In future years you can match your carrier data with the SmartWay data by including your own unique identification data in the Carrier CSV. For example, if you have a unique Carrier ID for each of your carriers, include that in the Carrier CSV this year so that this information is stored in the SmartWay database. Then in subsequent years, when you include your unique identifier in the Carrier CSV file, you can use the Partner Portal to find your carriers for the current reporting year. Your company-specific match data is not shared with other companies.

The steps to use the new carrier matching function are described on the **Match My Carriers** screen within the Shipper Tool. **Follow the instructions in the “Guide to Importing Carrier Data Using the Outside Data Import Function - 2014 Data Year” for detailed guidance.**

After identifying your SmartWay carriers, you must then go to the **Manual Input Non-SmartWay Carriers** screen to enter the number of non-SmartWay carriers within the current shipper company. *Only include carriers used during the reporting year.* Enter the total number of non-SmartWay partners within the current fleet and check the box to confirm that all the non-SmartWay carriers in this shipper company have been added. If this company has non-SmartWay carriers, select the carrier mode(s) the non-SmartWay carrier(s) belong to.

The following describes the detailed steps for identifying the carriers used for your shipper companies.

Steps for Inputting Carriers for a Shipper Company:

1. On the **Home** screen, 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 **Input Carriers** data entry screen for that company.
3. You will see the **Instructions** screen; read the instructions and scroll to the bottom.
4. Check the box next to the words “I have read and understand the carrier data input instructions” when you have read them.
5. 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 “Logistics, Multi-modal and Shipper Partner 2.0.14 Tools: Guide to Importing Carrier Data Using the Outside Data Import Function - 2014 Data Year” 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 **Manual Input SmartWay Carriers** 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 **Apply Filter** button. A new filtered list will appear in the Available SmartWay Carriers box.

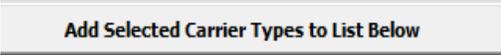
Double click on the carrier name to add it to the “Selected SmartWay Carriers” box.

2. You may also search for carriers by filtering using carrier mode, ranking category, SCAC, MCN, DOT, and/or address 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. Six carrier mode selections are available, including “All,” “Rail,” “Truck,” “Multi-modal,” “Barge,” and “Logistics.”
 - Note that by selecting “All”, you may search across all carriers, regardless of mode.
 - Next, if you select the Truck mode, you may also specify a carrier ranking category. Truck ranking categories include auto carrier, dray, expedited, flatbed, heavy/bulk, LTL dry van, mixed, moving, package, refrigerated, specialized, tanker, and TL dry van.
4. Once you have applied the desired filters, a list of available SmartWay carriers meeting your filter criterion appears in the Available SmartWay Carriers box. Using your mouse, double-click on the carrier name to add it to the “Selected SmartWay Carriers”

box. You may also use the  button to add selected carriers to the Selected SmartWay Carriers box.

4. Once you have successfully identified your carriers using the **Manual Entry** method, proceed to the  tab.

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

1. Enter the total number of Non-SmartWay Carriers for the 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. You may also use the  button to add selected carrier types to the Selected Non-SmartWay Carriers box.

Note – All rail carriers are treated identically in the Shipper Tool, assuming industry average performance levels. If your company uses rail carriers please choose the “Rail Modal Average” selection on the Manual Input SmartWay Carriers screen.

4. Once the required data has been entered on the  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 40).

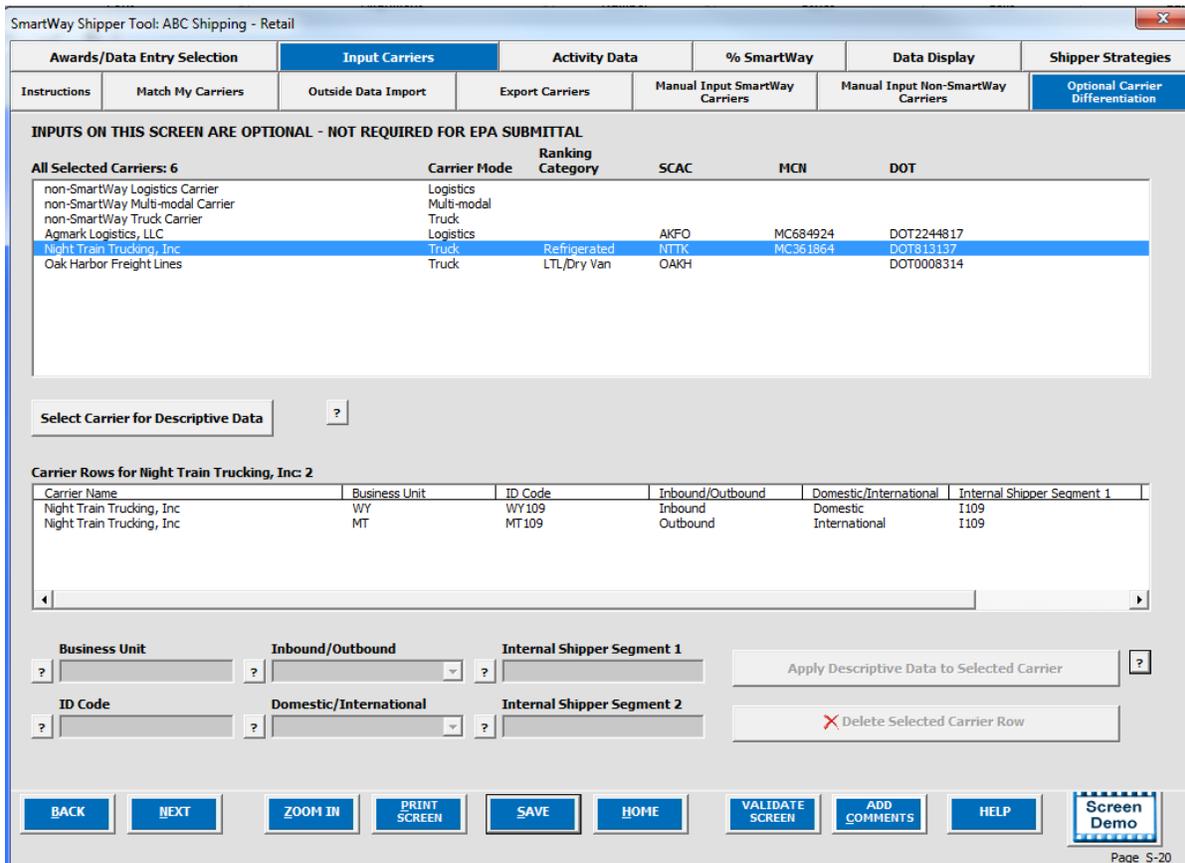


Figure 40: Optional Carrier Differentiation Screen

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

If you 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

Delete Selected Carrier's Optional Information

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 exactly. 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://www3.epa.gov/smartway/forshippers/index.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 41**).

SmartWay Shipper Tool: ABC Shipping - Retail

Awards/Data Entry Selection | **Input Carriers** | **Activity Data** | **% SmartWay** | **Data Display** | **Shipper Strategies**

The carrier fleets identified in the previous steps are shown below. Select the "Tag Info" button to show any optional carrier differentiators at the top of this screen, and select the "Close" button to re-display the information you have for that carrier. Based on the data you provide, the per-carrier emission inventory and emission efficiencies will be calculated. Next, enter the data fields that are required for the Data Availability option you selected. The required fields will be activated (white); other fields will be disabled (gray).

Once you have completed entering the data for a carrier, click the "Describe Data Source" button just below the table to describe the source of all the information you entered.

Finally, select the % SmartWay tab or the NEXT button to proceed. If the system detects problems with the data you've entered, it will automatically highlight the rows with errors/warnings for that particular row. You can also run this validation process by selecting the Validate Screen button at the bottom of the screen. A red highlight indicates that data is missing or is significantly higher/lower than the industry average, while a yellow highlight indicates the value is somewhat higher/lower than the industry average. Red highlighted cells must be addressed before proceeding to the next screen, by entering missing values (if applicable) or by double-clicking on the cell to enter a detailed explanation regarding the high/low value. You may also enter text explanations for yellow-highlighted cells, although such entries are optional.

1. Select to enter Data Source

2. Select Data Availability Option

4. Enter Ton-miles, Miles, and/or Average Payload

Row	Selected Carriers	Carrier Mode	Ranking Category	Data Availability *	Ton-Miles	Total Miles**	^Average Payload
1	Tag Info Agmark Logistics, LLC	Logistics		a - Ton-miles and Total miles			--
2	Tag Info Night Train Trucking, Inc	Truck	Refrigerated	d - Total miles only			--
3	Tag Info Night Train Trucking, Inc	Truck	Refrigerated	c - Total miles & Avg. Payload			
4	Tag Info non-SmartWay Logistics Carrier	Logistics		b - Ton-miles & Avg. Payload			
5	Tag Info non-SmartWay Multi-modal Carrier	Multi-modal		a - Ton-miles and Total miles			--
6	Tag Info non-SmartWay Truck Carrier	Truck		a - Ton-miles and Total miles			
7	Tag Info Oak Harbor Freight Lines	Truck	LTL/Dry Van	b - Ton-miles & Avg. Payload			

*** NOTE about new Data Availability Options**

* Data Availability:
a = (Preferred) I know both Ton-miles and Total Miles.
b = I know Ton-miles and Average Payload.
c = I know Total Miles and Average Payload.
d = I know Total Miles only.

Totals

Ton-Miles Total: 0
Total Miles Total: 0
Weighted Average Payload: 0.0

** Total Miles = truck, railcar, air, and/or barge-miles (NOT train or tug-miles).
^ Select the 'Validate Screen' button to display/update the Average Payload values.

SELECT "VALIDATE SCREEN" TO CALCULATE WEIGHTED AVG PAYLOAD

BACK | NEXT | ZOOM III | PRINT SCREEN | SAVE | HOME | VALIDATE SCREEN | ADD COMMENTS | HELP | Screen Demo

Page S-21

Figure 41: 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 42**. 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.

The screenshot shows the 'SmartWay Shipper Tool: ABC Shipping - Retail' interface. The 'Activity Data' tab is active. A 'Tag Information' popup is displayed for 'Carrier (Row Number 2)'. The popup contains the following fields:

- Carrier (Row Number 2): Night Train Trucking, Inc.
- Business Unit: WY
- Inbound/Outbound: Inbound
- Internal Shipper Segment 1: I109
- ID Code: WY109
- Domestic/International: Domestic
- Internal Shipper Segment 2: S05

The main table below has the following columns: Row, Selected Carriers, Carrier Mode, Ranking Category, Data Availability *, Ton-Miles, Total Miles**, and ^Average Payload. Row 2 is highlighted, and the 'Tag Info' button is selected. A red box on the left points to this button with the text 'Select button to display tag info above'. Another red box on the right points to the 'Carrier (Row Number 2)' field in the popup with the text 'Carrier specific tag information for row 2'.

At the bottom of the screen, there is a 'NOTE about new Data Availability Options' section with a legend:

- * Data Availability:
 - a = (Preferred) I know both Ton-miles and Total Miles.
 - b = I know Ton-miles and Average Payload.
 - c = I know Total Miles and Average Payload.
 - d = I know Total Miles only.

There are also 'Totals' fields for Ton-Miles Total and Total Miles Total, both showing 0. A 'Weighted Average Payload' field shows 0.0. A 'VALIDATE SCREEN' button is present at the bottom right.

Figure 42: 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 43**). 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.

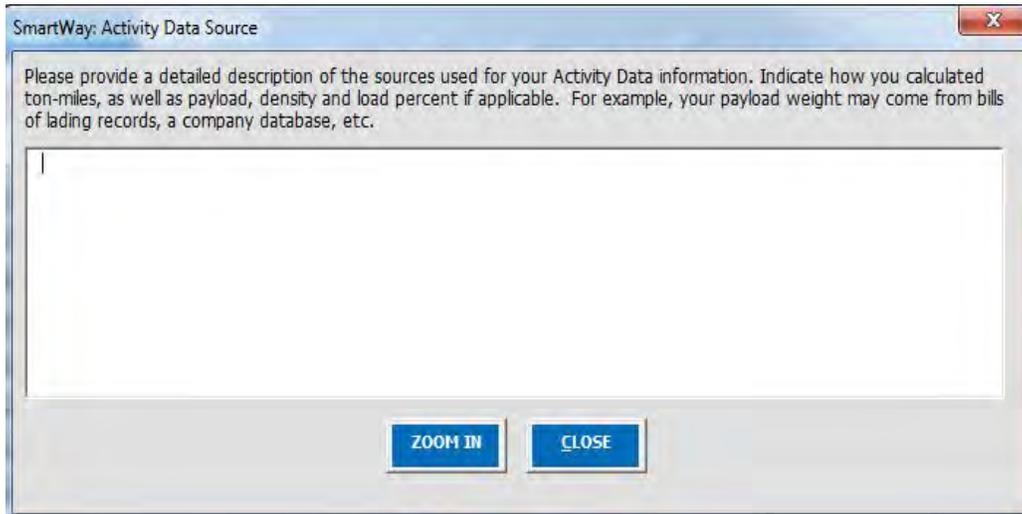


Figure 43: Activity Data Source Description Text Box

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 42**).

- a - Ton-miles and Total miles,
- b - Ton-miles and Average Payload,
- c - Total miles and Average Payload, and
- d - Total 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 a.**
- **If you don't have reliable mile data, but do have reliable ton-mile data, select Option b.**

In Option b, you will need to provide average payload, which will be used to develop a mileage estimate. For this option, the miles estimate is paired with the carriers' g/mile efficiency factors to estimate mass emissions for each carrier.

*Providing ton-mile data (Option b) 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 often acceptable 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.*

- **If you don't have reliable ton-mile data, but do have reliable mile data, select Option c.** In Option c, you will also need to provide average payload which will be used to develop a ton-miles estimate. In this option, the ton-miles estimates are paired with the carriers' g/ton-mile efficiency factors to estimate mass emissions for each carrier.
- **If you only have reliable mile data, select Option d.**

NOTE: Only carriers in ranking categories TL/Dry Van, Refrigerated, Flatbed, Tanker, Moving, Dray and Auto Carrier may select Option d, due to the difficulty in estimating payloads for these carrier types.

3. Entering Ton-Mile and Mile Data

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

If you selected Data Availability Option b, 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 select Data Availability Option c, enter your total miles, expressed as either truck miles (for truck, logistics, and multi-modal carriers), railcar-miles for rail carriers, and barge-miles for

barge carriers. Next enter your average payload in tons and ton-miles will be back-calculated for you.

Selecting Data Availability Option d 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 =
$$\frac{\text{(total miles per carrier x total tons per carrier)}}{\text{total \# of trips per carrier}}$$

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  button at the bottom of the screen will allow you to view any potential data entry errors. **Figure 46** provides an example validation screen check result.

High Payload value

Errors – select for details

Warning – select for details

Low Payload Value

Weighted Average Payload

Row	Selected Carriers	Carrier Mode	Ranking Category	Data Availability *	Ton-Miles	Total Miles**	^Average Payload
1	Tag Info Agmark Logistics, LLC	Logistics		a - Ton-miles and Total miles	15,555,555	758,967	20.5
2	Tag Info Corporate Courier, Inc	Truck	Package	a - Ton-miles and Total miles	36,365,899	1,325,896	27.4
3	Tag Info Night Train Trucking, Inc	Truck	Refrigerated	d - Total miles only	72,127,338	3,658,958	19.7
4	Tag Info Night Train Trucking, Inc	Truck	Refrigerated	c - Total miles & Avg. Payload	40,294,480	2,154,785	18.7
5	Tag Info non-SmartWay Logistics Carrier	Logistics		b - Ton-miles & Avg. Payload	23,589,696	1,502,528	15.7
6	Tag Info non-SmartWay Multi-modal Carrier	Multi-modal		a - Ton-miles and Total miles	36,857,489	2,063,652	17.9
7	Tag Info non-SmartWay Truck Carrier	Truck		c - Total miles & Avg. Payload	79,768,744	3,625,852	22
8	Tag Info Oak Harbor Freight Lines	Truck	LTL/Dry Van	b - Ton-miles & Avg. Payload	325,896,398	38,797,190	8.4

* NOTE about new Data Availability Options

* Data Availability:
a = (Preferred) I know both Ton-miles and Total Miles.
b = I know Ton-miles and Average Payload.
c = I know Total Miles and Average Payload.
d = I know Total Miles only.

Weighted Average Payload: 14.3

** Total Miles = truck, railcar, air, and/or barge-miles (NOT train or tug-miles).
^ Select the 'Validate Screen' button to display/update the Average Payload values.

SELECT "VALIDATE SCREEN" TO CALCULATE WEIGHTED AVG PAYLOAD

Figure 46: Example Validate Screen Check Result

The red highlighting in row 2 indicates a possible error – a high average payload value for this carrier (27.4 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 47**). After entering your text explanation and selecting **OK**, the highlighting will change from red (error) to yellow (warning) status.

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 5 above, the average payload entered, 15.7 tons, is less than the validation threshold of 16.7 tons.

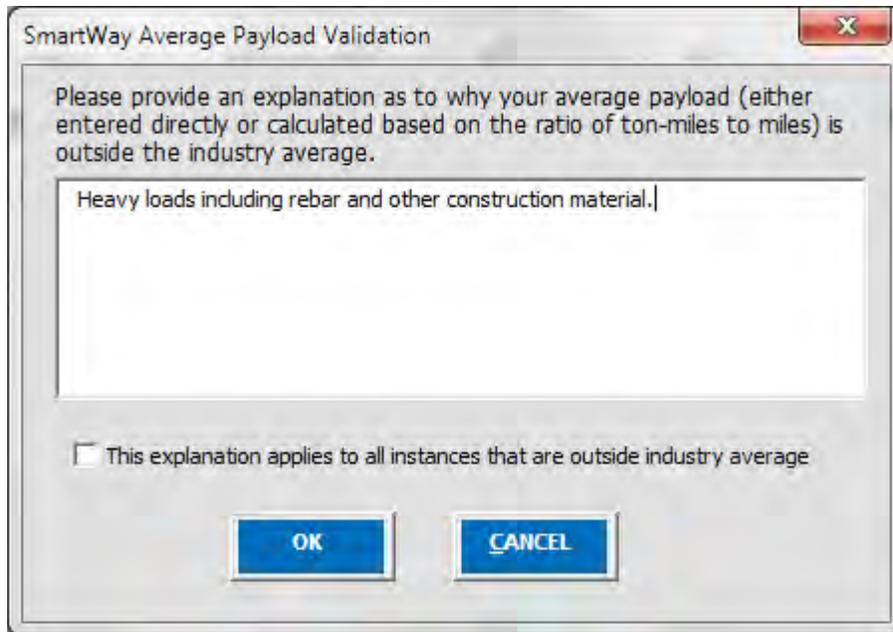


Figure 47: Example Average Payload Validation Explanation

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: While providing explanatory comments for “yellow” warnings is optional, you must address all “red” errors. 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. Red errors will prevent you from submitting your Tool.

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 total company-level mile, ton-mile and average payload values at the bottom of the screen (see **Figure 46**). 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 **VALIDATE SCREEN** button to calculate the company level weighted average payload, displayed at the bottom of the **Activity Data** screen (see **Figure 46**).

Viewing the % SmartWay Screen

REFER TO **WORKSHEET #3C: % SmartWay in the Quick Start Guide**, or go to <http://www3.epa.gov/smartway/forshippers/index.htm> to complete this section of the Shipper Tool.

Once you finish entering your data you may proceed to the **% SmartWay** screen (**Figure 48**). The **% SmartWay** screen calculates your **% SmartWay Value**, reflecting the percentage of total activity 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 help determine eligibility for the SmartWay Excellence Awards.

The screenshot shows the '% SmartWay' screen in the Shipper Tool. The interface includes a navigation bar at the top with tabs for 'Awards/Data Entry Selection', 'Input Carriers', 'Activity Data', '% SmartWay', 'Data Display', and 'Shipper Strategies'. The main content area contains instructions on how to use the screen and a table of selected carriers. Below the table is a section for 'Description of Custom Factor and Methodology' and a summary of the '% SmartWay Value'.

Selected Carriers	Carrier Mode	% Ton-Miles	% Total Miles	% Custom
Agmark Logistics, LLC	Logistics	2.4674	1.2455	0.0000
Corporate Courier Inc	Truck	5.7682	7.0661	0.0000
Night Train Trucking, Inc	Truck	11.4405	6.4855	0.0000
Night Train Trucking, Inc	Truck	6.3913	3.8199	0.0000
non-SmartWay Logistics Carrier	Logistics	3.7417	2.4173	0.0000
non-SmartWay Multi-modal Carrier	Multi-modal	5.8462	3.6584	0.0000
non-SmartWay Truck Carrier	Truck	12.6526	6.4273	0.0000
Oak Harbor Freight Lines	Truck	51.6922	53.7759	0.0000

Carrier Mode	Rating	Carrier Mode	Rating
Truck	85.6131%	Barge	N/A
Rail	N/A	Air	N/A
Multi-Modal	0.0000%	Overall	77.7596%
Logistics	39.7380%		

Figure 48: % 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 and ton-mile amounts attributable to each carrier are also shown here, and may be used as weighting factors across your carriers to calculate your **% SmartWay Value**. 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 or Total Mile columns.)

Enter the type of data you use for your percentage allocation estimates using the drop-down menu at the top left, 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. If you select any of the user-defined allocation options under the far right column you must also specify a data source in the cell on the upper left of the screen. In addition, 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 CO₂, NO_x, PM₁₀, and PM_{2.5} 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.¹ CO₂ mass emissions can also be displayed in either short tons or million metric tons on this screen. 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

¹ The gram per mile and gram per ton-mile values provided for SmartWay Truck, logistics and multi-modal carriers actually represent averages for a given ranking 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. Values for rail carriers are all the same, based on industry averages, while barge-carrier emissions are specific to each carrier.

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 49**) 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.

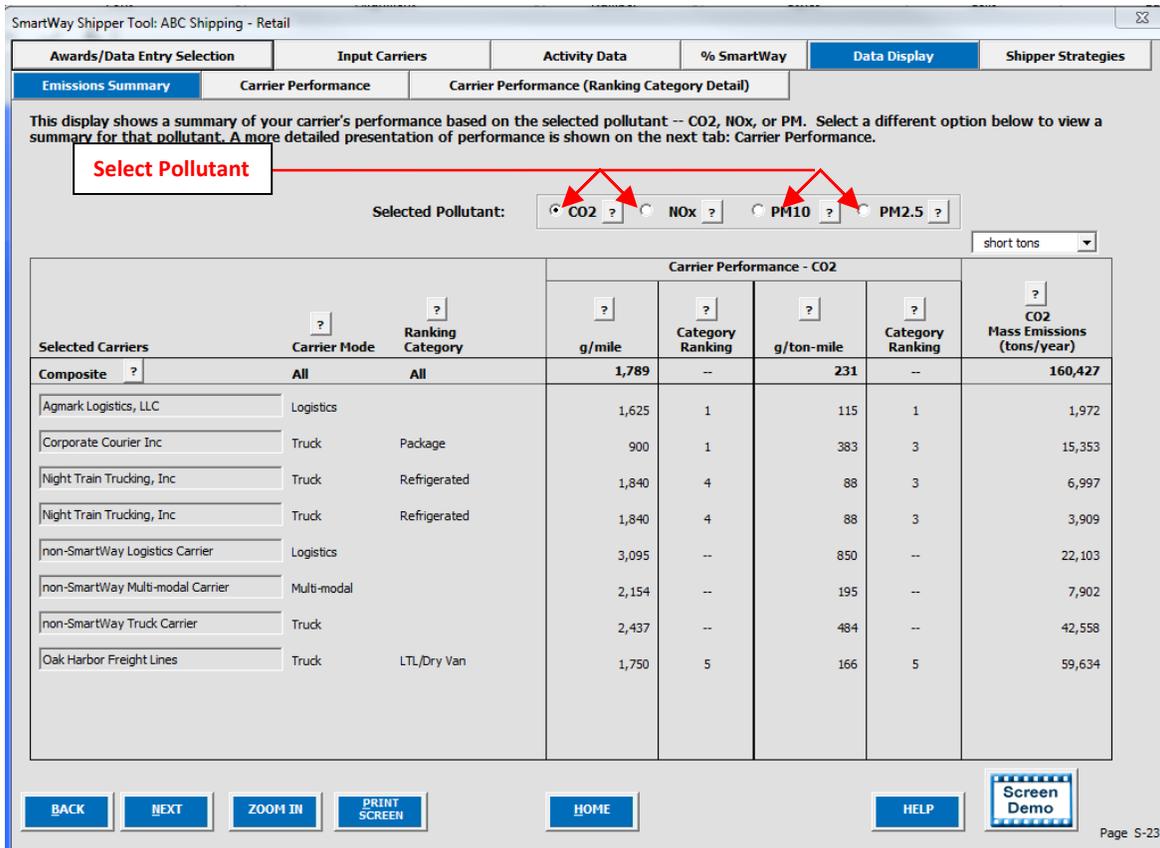


Figure 49: Emissions Summary Screen

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:

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

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 **View Your Data Reports**.

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 50**).

Select Emission Factors, Mass Emissions or Category Ranking

Click to Show or Hide specific carriers

Selected Carriers	Ranking Category	CO2		NOx		PM10		PM2.5	
		g/mile	g/ton-mile	g/mile	g/ton-mile	g/mile	g/ton-mile	g/mile	g/ton-mile
Logistics Carriers (2)		2,569	558	27.85	4.316	1.435	0.3886	1.416	0.3886
Multi-modal Carriers (1)		2,154	195	21.50	1.700	0.825	0.5170	0.875	0.5170
Truck Carriers (5)		1,743	210	6.91	0.934	0.281	0.0456	0.278	0.0449
Corporate Courier Inc	Package	900	383	3.05	1.500	0.137	0.0810	0.137	0.0810
Night Train Trucking, Inc	Refrigerated	1,840	88	8.40	0.425	0.185	0.0093	0.185	0.0093
Night Train Trucking, Inc	Refrigerated	1,840	88	8.40	0.425	0.185	0.0093	0.185	0.0093
non-SmartWay Truck Carri		2,437	484	29.24	3.330	1.242	0.1680	1.205	0.1630
Oak Harbor Freight Lines	LTL/Dry Van	1,750	166	5.00	0.460	0.220	0.0242	0.220	0.0242
Composite Weighted Average		1,789	231	8.23	1.189	0.344	0.0944	0.343	0.0938

Figure 50: 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 Detail)** 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 screen using the **Display Type** drop-down box for any truck category of interest (**Figure 51**).

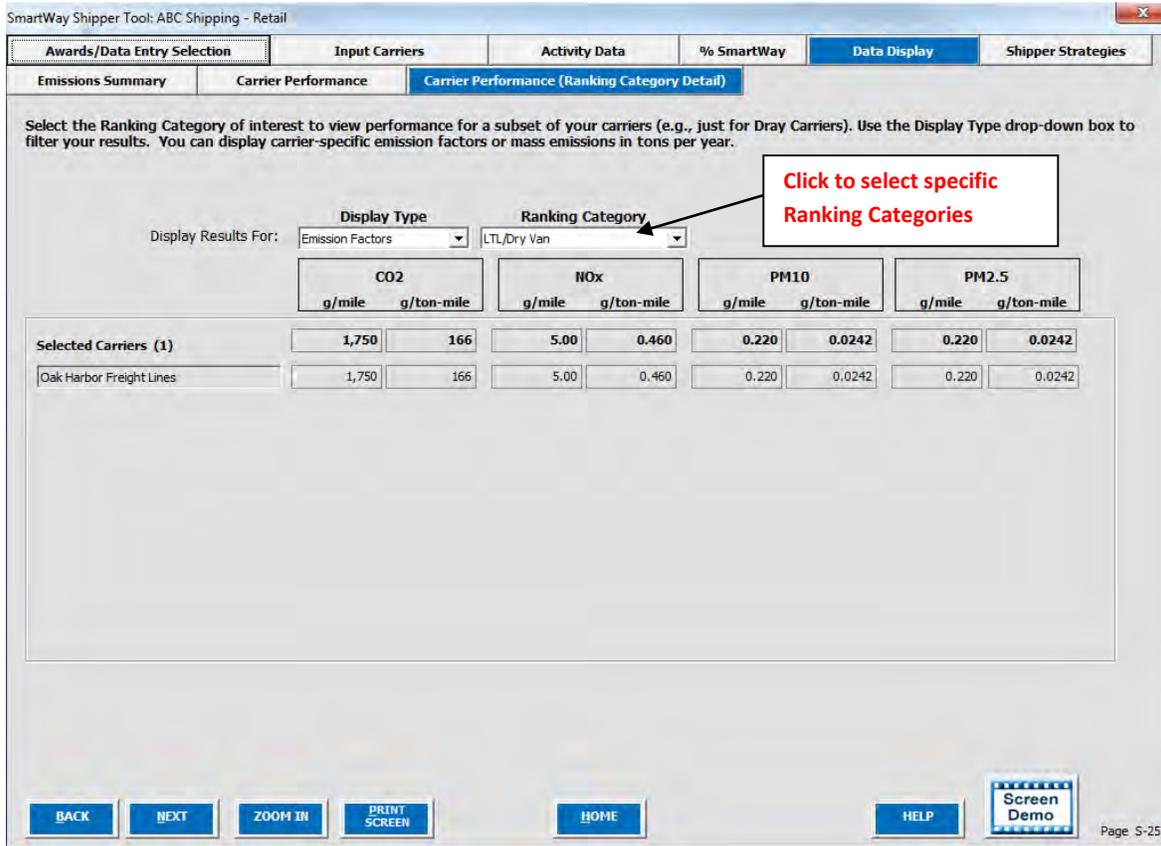


Figure 51: Carrier Performance (Ranking Category Detail) Screen

These data, plus other detailed reports, can be printed out by returning to the **Home** screen and selecting [View Your Data Reports](#).

Viewing Shipper Strategies Sections

Two optional screens are available for evaluating emission reductions associated with various initiatives under the **Shipper Strategies** tab.

System Activities Screen

REFER TO **WORKSHEET #4A: System Activities in the Quick Start Guide**, or go to <http://www3.epa.gov/smartway/forshippers/index.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 **System Activities** screen (**Figure 52**), 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.

SmartWay Shipper Tool: ABC Shipping - Retail

Awards/Data Entry Selection | Input Carriers | Activity Data | % SmartWay | Data Display | Shipper Strategies

System Activity | Modal Shift

INPUTS ON THIS SCREEN ARE OPTIONAL - NOT REQUIRED FOR EPA SUBMITTAL.

Previously in this Tool, you calculated the emissions resulting from your movement of freight using various carriers. On this screen, you can input specific information pertaining to your company's strategies to reduce emissions BEFORE freight is placed on transport. All strategies on this screen are based on eliminating miles or weight from the system. In other words, this screen calculates the emissions that would have happened had you NOT implemented your efficiency improvements. Please list all strategies that your company implemented for the reporting year to take miles or weight out of the freight system. Emissions results are calculated assuming a one-to-one reduction in miles and ton-miles. The results only provide a rough estimate of emissions impacts.

Add Activity

Select a category: Miles removed from system
Pick an activity:

Use the button below to access information on quantification and documentation of your activities:

Selected Activities	Carrier Mode	Improvement	Results (Tons/Year)				Data Source / Methodology
			CO2	NOx	PM10	PM2.5	
# Name of Activity	Rail		0	0.0	0.00	0.00	Reconfigured packaging shape from cylindrical to rectangular
1. Package Reconfiguration	Truck	3.5	751	7.0	0.29	0.28	
Cube optimization	Multi-Modal	2.2	207	2.2	0.08	0.09	
Miles removed from system	Logistics	1.3	224	1.6	0.13	0.13	
<input type="button" value="Remove Activity"/>	Barge		0	0.0	0.00	0.00	
Total Results (Tons/Year)			1,183	10.8	0.50	0.50	

Page: S-24

Figure 52: 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 Basic Quantification and Documentation of Shipper Strategies 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://www3.epa.gov/smartway/forshippers/index.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 53**), 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, as described above. 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 self-propelled 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) and are currently available for truck, rail, multi-modal and logistics modes. 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 self-propelled 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.

INPUTS ON THIS SCREEN ARE OPTIONAL - NOT REQUIRED FOR EPA SUBMITTAL.

This screen allows you to estimate emission results from modal shifts. Different sources of emission factors will be available based on the carrier modes selected. In some cases, the emission factor can be based on your own carrier fleet mix, for others, only a modal default will be available, for others, the user will have to supply their own emission factors. Refer to the User Guide for more detailed information.

Indicate the mode being displaced (From) and the new mode (To) using the drop-down boxes provided. Enter the amounts along with the appropriate units, and the system will calculate the results. Add new records by selecting the Insert Additional Modal Shift button near the bottom of the screen. You can delete a record by selecting its Delete Modal Shift button.

Emission Factor Source	Amounts	Efficiency Before	Efficiency After	Total Results (tons/yr)
Modal Shift 1				
From Carrier Mode: Truck	From: Shipper's Carrier Average	Units: Ton-Miles	CO2	386.17
To Carrier Mode: Rail	To: Modal Average	From: 10,000,000	NOx	2.59
	(Optional) Inbound/Outbound: All	To: 11,000,000	PM10	0.126
	(Optional) Domestic/International: All		PM2.5	0.123
				1.23711340
				1.243
				1.211
Modal Shift 2				
From Carrier Mode: Multi-modal	From: Shipper's Carrier Average	Units: Miles	CO2	1,880
To Carrier Mode: Marine/OGV	To: User Input (Efficiency After)	From: 600,000	NOx	20.41
	(Optional) Inbound/Outbound: All	To: 800,000	PM10	0.729
	(Optional) Domestic/International: All		PM2.5	0.766
				950
				12.5
				0.45
				0.127

Total Results (tons/yr) CO2: 4,411 NOx: 25.86 PM10: 1.329 PM2.5: 1.338

Figure 53: 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, barge-miles for barge modes, and 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 and barge gram per mile values are adjusted to reflect truckload-equivalents (on a volume basis). Refer to the **Shipper Tool Technical Documentation** for details.

Checking Company Status

Once you completed your activity and associated data entry and 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 “ABC Shipping - Wholesale” remains to be finished. Fill out unfinished company in the same manner as the previous company.

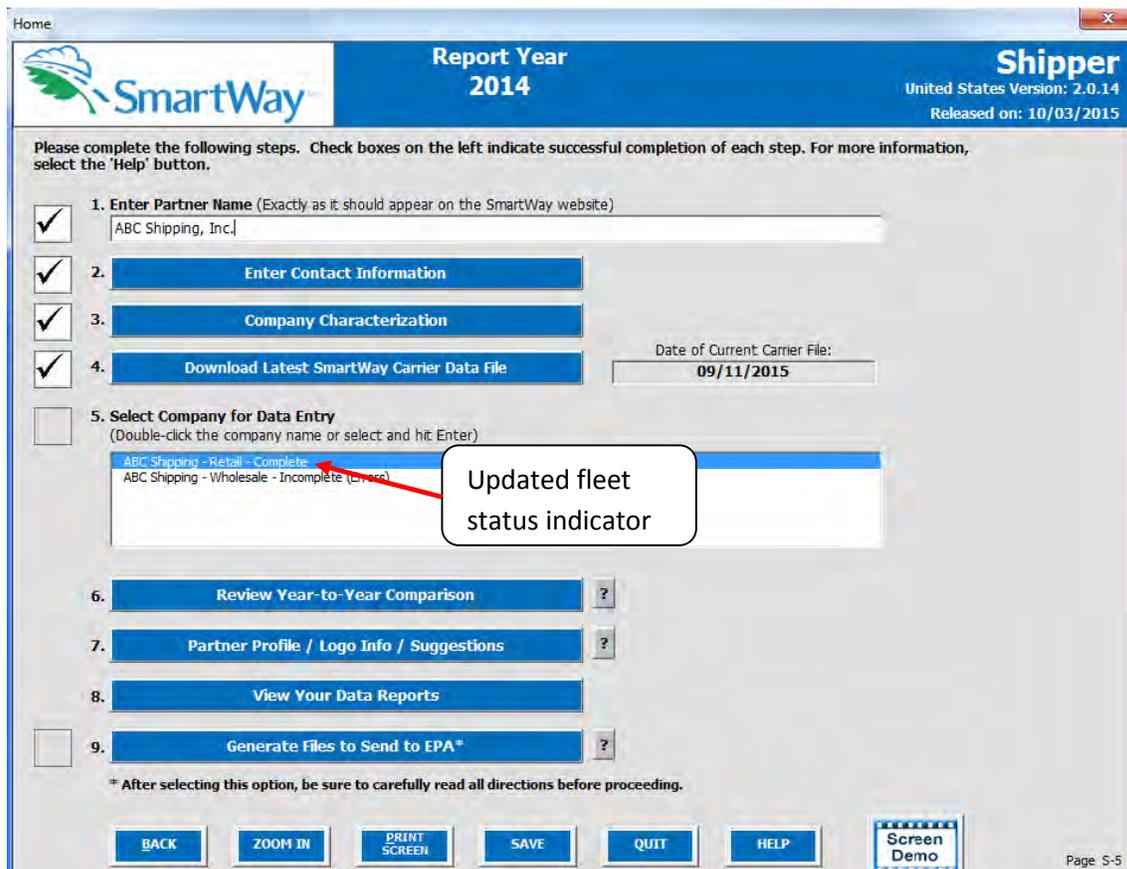


Figure 54: Home Screen - After Completing the Data Entry/Modification Process for First Company

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.

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 2013 calendar year. (Refer to the **Shipper Tool Technical Documentation** (found on the website at <http://www3.epa.gov/smartway/forshippers/index.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 55: Validation Check Notification – No Errors

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

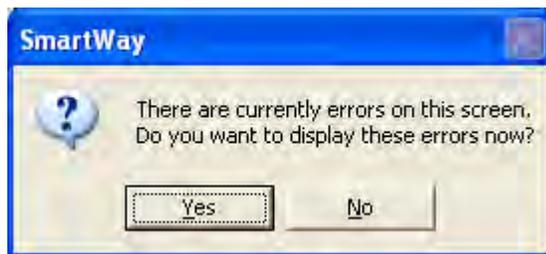


Figure 56: Validation Check Notification – with Errors/Warnings

Select **Yes** to see a complete list of validation errors/warnings. An example **Validation** Check results screen is provided in **Figure 57**.

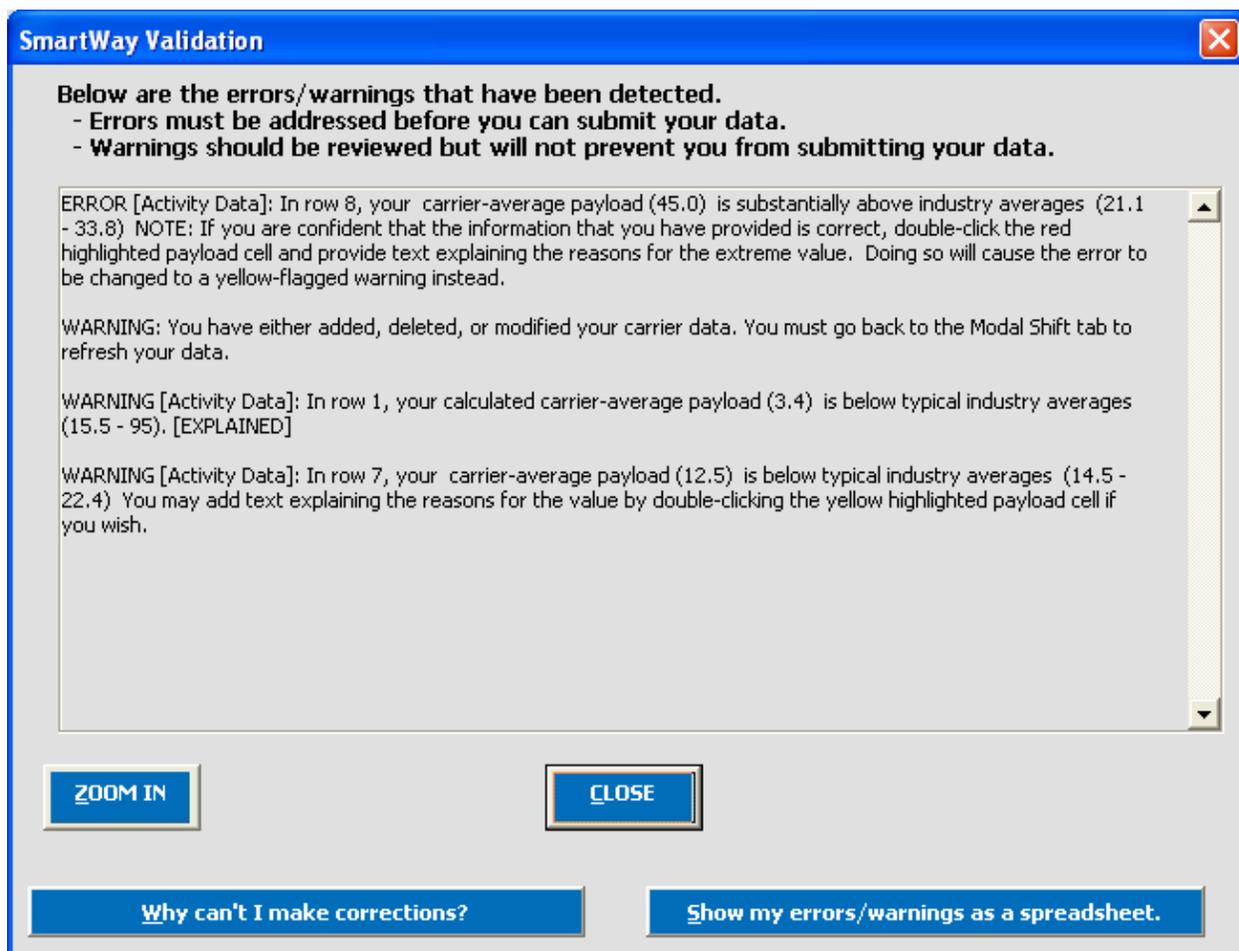


Figure 57: Validation Check Screen - Error/Warning Details

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 or return to the **HOME** screen.

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

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 performance metrics for the current year with those of the prior year. This report is particularly helpful in identifying any changes that may have occurred since your last reporting period, determining trends in activity and performance over multiple years, and performing general quality assurance of the inputs used for your current Tool. You can access this report by selecting

Review Year-to-Year Comparison

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

The **Partner Profile / Logo Info / Suggestions** section allows you to provide EPA with additional information about your company, potential use of the SmartWay Logo, general feedback regarding the SmartWay program, and carriers/other companies for potential recruitment. This information is optional and is not required in order to submit your Shipper Tool data to EPA.

Selecting the **Partner Profile / Logo Info / Suggestions** button under item #7 on the **Home** screen will open the **Additional Information** forms.

The **View Your Data Reports** section gives you access to 13 reports to help you understand your data and use it to make better performance decisions. You can access these reports by selecting **View Your Data Reports** under item #8 on the **Home** screen.

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

Viewing the Year-to-Year Comparison Report

The **Year-to-Year Comparison Report** allows the user to compare the activity values, as well as CO₂, NO_x 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 58 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 2013 file, using the **Browse...** button as shown in **Figure 59**.

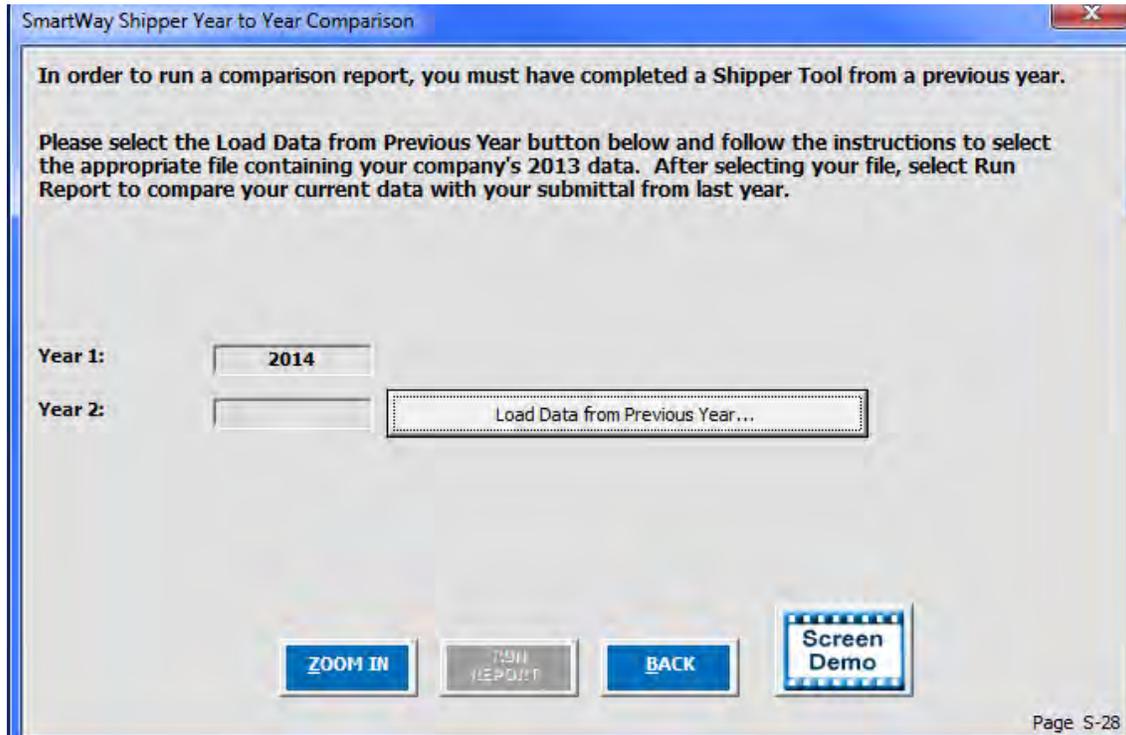


Figure 58: Year-to-Year Comparison Report Input Screen

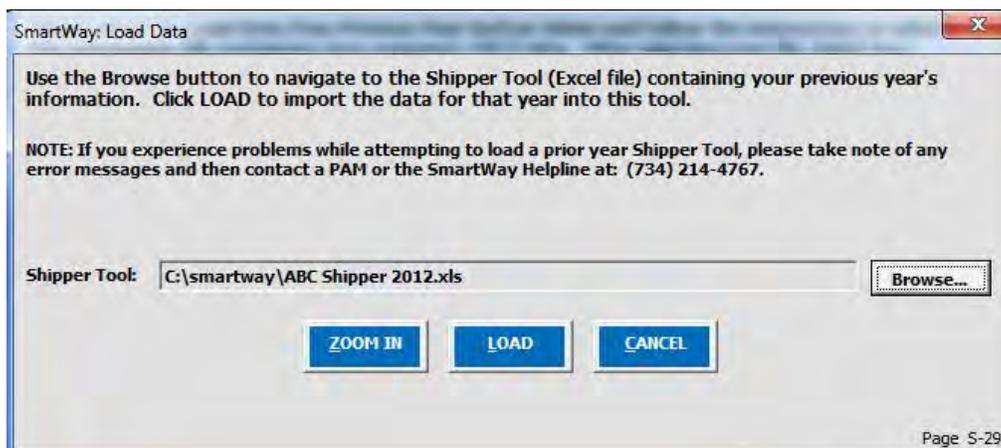


Figure 59: Data Load Screen for Year-to-Year Comparison Report

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 60**.

Metric	Change %	Change Amount	2014	2012
Partner Name		X	ABC Shipping, Inc.	EPA Shipper 2012 - Dual Fleet
Working Contact		X	Jack Shephard	Alpha Beta
Phone		X	321-321-3215	1-800-123-4567
Total Miles Total	930.9%	57,227,235	63,374,730	6,147,495
SmartWay Total Miles	1532.1%	52,870,884	56,321,660	3,450,776
% SmartWay Total Miles	58.4%	32.77%	88.9%	56.1%
NonSmartWay Total Miles	161.5%	4,356,351	7,053,070	2,696,719
% NonSmartWay Total Miles	-74.7%	-32.77%	11.1%	43.9%
Ton Miles Total	464.5%	598,553,989	727,421,495	128,867,506
SmartWay Ton Miles	687.1%	512,605,433	587,205,566	74,600,133
% SmartWay Ton Miles	39.4%	22.81%	80.7%	57.9%
NonSmartWay Ton Miles	158.4%	85,948,556	140,215,929	54,267,373
% NonSmartWay Ton Miles	-54.2%	-22.81%	19.3%	42.1%
Ton-Miles % SmartWay Allocation Truck		-12.26%	85.61%	97.87%
Ton-Miles % SmartWay Allocation Rail		-100.0%	-59.64%	59.64%
Ton-Miles % SmartWay Allocation Multi-modal		-100.0%	-55.51%	55.51%
Ton-Miles % SmartWay Allocation Logistics		76.6%	35.86%	82.67%
Ton-Miles % SmartWay Allocation Barge			0.00%	0.00%
Ton-Miles % SmartWay Allocation Air			0.00%	0.00%
Ton-Miles % SmartWay Allocation Overall		39.4%	22.84%	80.72%
Average Weighted Payload		-50.5%	-13.6748	13.3823
Emission Metrics CO2 g/mile		-19.0%	-435.00	1853
Emission Metrics CO2 g/ton-mile		-33.6%	-136.00	269
Emission Metrics NOx g/mile		-56.1%	-13.53	10.570
Emission Metrics NOx g/ton-mile		-51.1%	-1.59	1.514
Emission Metrics PM10 g/mile		-62.7%	-0.735	0.4380
Emission Metrics PM10 g/ton-mile		-61.9%	-0.166	0.1019
Emission Metrics PM25 g/mile		-60.4%	-0.666	0.4370
Emission Metrics PM25 g/ton-mile		-62.2%	-0.166	0.1013
CO2 Mass Emissions		1230.6%	199280.83	215474
NOx Mass Emissions		639.6%	1049.596	1213.7000
PM10 Mass Emissions		897.6%	73.483	81.6696
PM25 Mass Emissions		949.6%	73.491	81.2300

Figure 60: Example Year-to-Year Comparison Report

The example above indicates that a change in Partner Name, Working Contact and phone number has occurred since 2012. 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

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.

Partner Profile / Logo Info / Suggestions

After completing Steps 1 – 5 on the **Home** screen, you may provide EPA with additional information regarding about your company, potential use of the SmartWay Logo, general feedback regarding the SmartWay program, and carriers/other companies for potential recruitment. This information is optional and is not required in order to submit your Shipper Tool data to EPA. Selecting the **Partner Profile / Logo Info / Suggestions** button on the **Home** screen will open the **Additional Information** screen (see **Figure 61**).

SmartWay Additional Information: ABC Shipping, Inc.

Partner Information | Logo Qualification | Suggestions | Recruiting Targets

Providing your information on THIS PAGE is OPTIONAL. SmartWay will use the information you submit via this page to make a PUBLIC partner company page on the SmartWay website. Please limit your responses to the specific questions asked as SmartWay will review your submission for appropriateness. SmartWay will not edit the data for spelling or grammar so please make sure it appears below EXACTLY as you want it displayed.

Partner Name: ABC Shipping, Inc.

Link to your company's environmental or SmartWay web page:

Executive Officer's quote on your SmartWay participation: (500 characters max)

Description of your best investment in emissions or fuel saving best practices: (3000 characters max)

Goal for SmartWay participation: (3000 characters max)

* The explanation field does not wrap in Office 2013 due to an Excel bug.

My company encourages other companies to join SmartWay to improve their efficiency by: (1000 characters max)

NEXT | **ZOOM IN** | **PRINT SCREEN** | **HOME** | **SAVE** | **ADD COMMENTS** | **HELP** | **Screen Demo**

Page S-30

Figure 61: 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 62 shows the **Logo Qualification** screen. The SmartWay Partner Logo is provided at the company level to Partners in good standing in the SmartWay program. To be in good standing you must submit your SmartWay materials by the appropriate due date. Due dates are posted on the EPA website at <http://www3.epa.gov/smartway/>. Use this screen to provide information regarding your qualification for, and planned use of, the Partner Logo. Additional information on Logo qualification and use can be found by selecting the

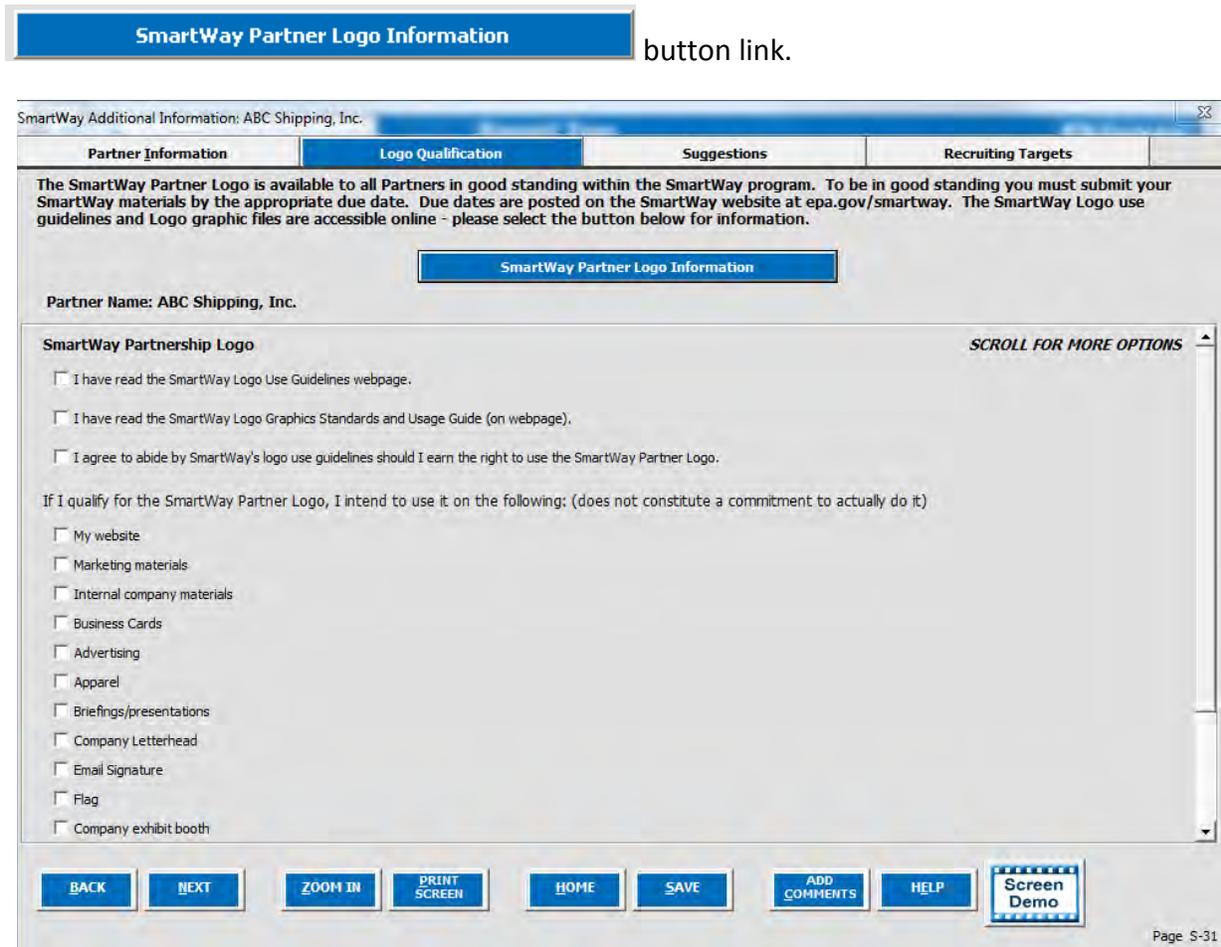


Figure 62: Logo Qualification Screen

Figure 63 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.

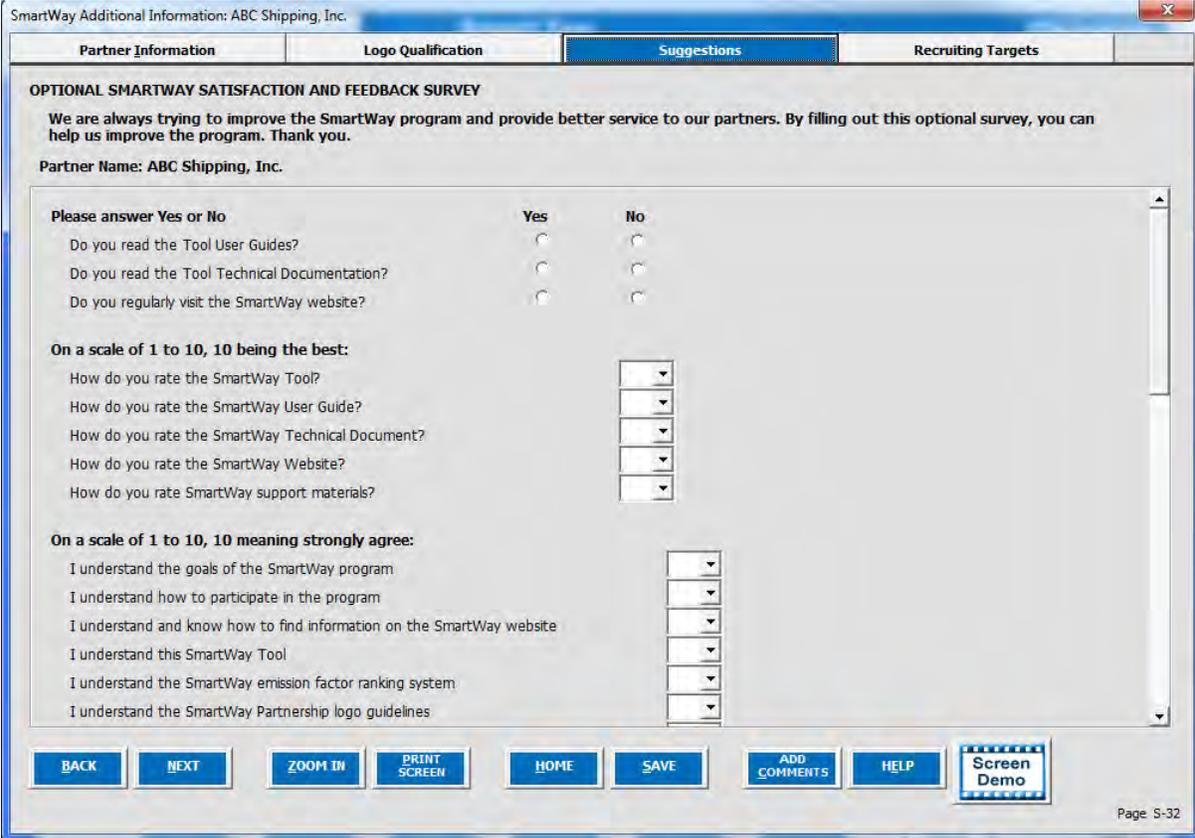


Figure 63: Suggestions Screen

Figure 64 displays the Recruiting Targets screen. You may respond to some or all of these questions in order to help identify carriers, subsidiaries, suppliers and customers that are not currently participating in SmartWay for potential recruitment into the program.

SmartWay Additional Information: ABC Shipping, Inc.

Partner Information Logo Qualification Suggestions **Recruiting Targets**

A shipper's SmartWay score, and its chances of winning a SmartWay award, are largely based on using SmartWay registered carriers. To improve your score, you want to ship more goods with SmartWay registered carriers. SmartWay shippers often provide preferential hiring terms to SmartWay carriers or mandate that carriers be SmartWay registered in order to obtain their business. If you are not at 100% usage of SmartWay carriers, please list your largest non-SmartWay carriers. In addition, SmartWay appreciates your help in recruiting fellow shippers, and considers this in the SmartWay awards process. If applicable, please complete the forms below. (voluntary)

Partner Name: ABC Shipping, Inc.

List your 10 largest NON-SMARTWAY fleets (by amount of freight they move for you.)

Name	We will recruit	Please, SmartWay help us recruit
<input type="text"/>	<input type="radio"/>	<input type="radio"/>
<input type="text"/>	<input type="radio"/>	<input type="radio"/>
<input type="text"/>	<input type="radio"/>	<input type="radio"/>
<input type="text"/>	<input type="radio"/>	<input type="radio"/>
<input type="text"/>	<input type="radio"/>	<input type="radio"/>
<input type="text"/>	<input type="radio"/>	<input type="radio"/>
<input type="text"/>	<input type="radio"/>	<input type="radio"/>
<input type="text"/>	<input type="radio"/>	<input type="radio"/>
<input type="text"/>	<input type="radio"/>	<input type="radio"/>
<input type="text"/>	<input type="radio"/>	<input type="radio"/>

List any subsidiary companies that your company owns or is associated with that are NOT SmartWay partners. For example, your company may have subsidiaries under a different brand name.

Page 5-31

Figure 64: Recruiting Targets Screen

Once you have completed these four screens, select the  button to return to the **Home** screen.

Viewing Data Reports

Once you are ready to continue, select [View Your Data Reports](#) to go to the following screen:



Figure 65: 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 66** 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 Year: 2013		September 15, 2014								
Partner Name: ABC Shipping, Inc.												
Company Name - ABC Shipping, Inc.: ABC Shipping - 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)
Barge	15,548	15	2,580	537.39	0.509	89.16	18.343	0.0174	3,0491	17.793	0.0168	2,9439
Rail	1,072	21	822	18.60	0.427	16.89	0.519	0.0120	0.4745	0.503	0.0120	0.4745
Truck	1,826	386	20,713	15.64	2.592	191.95	0.642	0.1264	7.9702	0.625	0.1231	7.7966
Multi-modal	1,880	132	9,221	20.41	1.231	99.11	0.729	0.3316	3.6495	0.766	0.3316	3.8402
Logistics	2,042	357	17,006	14.60	2.579	123.81	0.680	0.1738	9.7684	0.674	0.1738	9.7684
Composite/Total*	2,059	177	50,341	24.10	1.441	520.91	0.919	0.1294	24.9118	0.911	0.1283	24.8236

Company Name - ABC Shipping, Inc.: ABC Shipping - Wholesale												
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)
Logistics	2,400	500	182,912	30.50	3.350	1,225.51	1.200	0.1900	69,5067	1.200	0.1900	69,5067
Composite/Total*	2,400	500	182,912	30.50	3.350	1,225.51	1.200	0.1900	69,5067	1.200	0.1900	69,5067

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

Figure 66: Example of Emissions Summary Report

Submitting Data to SmartWay

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

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

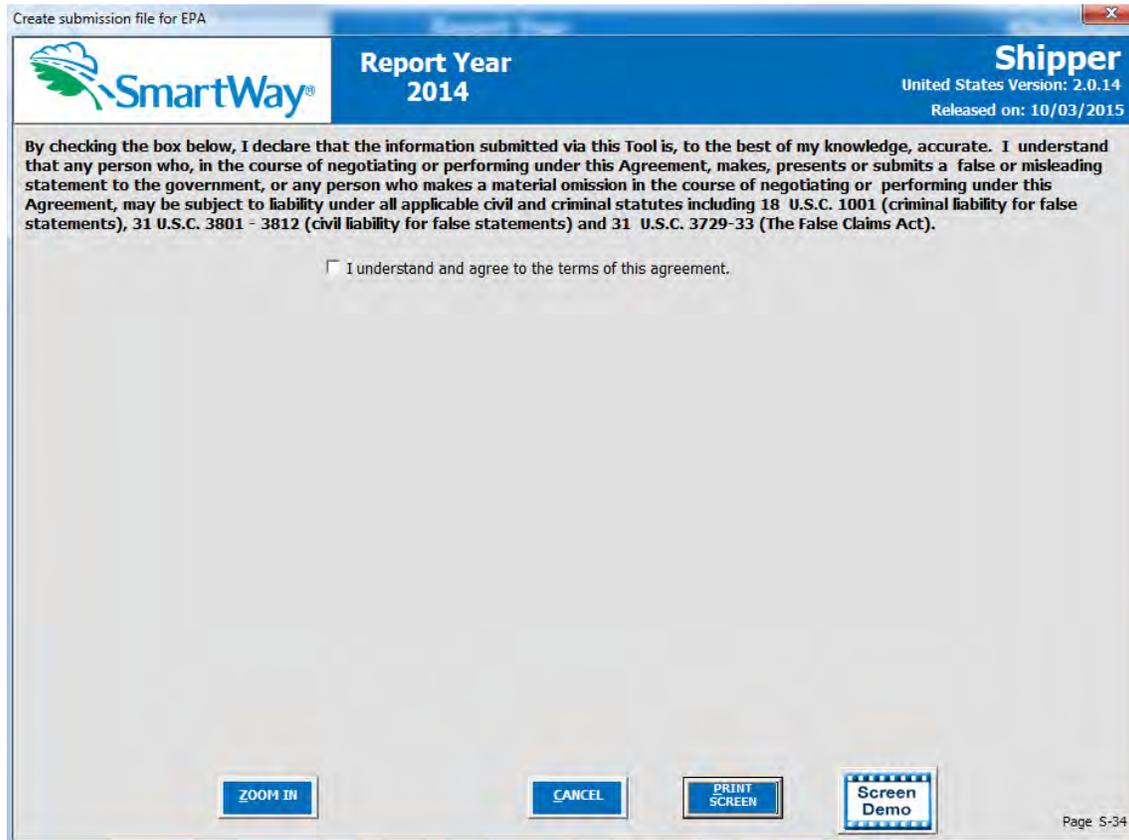


Figure 67: Creating Submission File for EPA

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 you have ever been a SmartWay partner you should 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. Submission of the SmartWay ID is optional.

If you did not submit data last year, indicate how your company first heard about SmartWay.

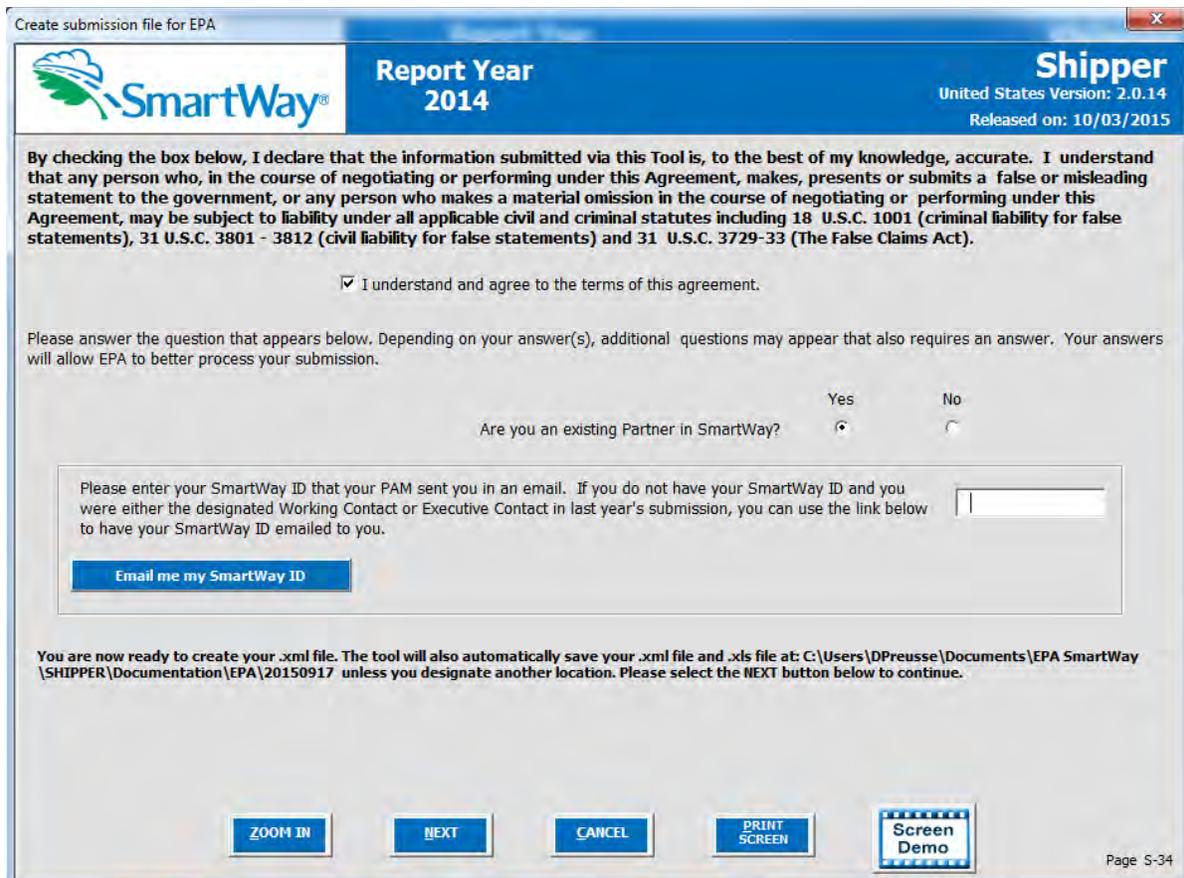


Figure 68: Completed Submission File Screen

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

Shipper_PartnerName_Year_V0.xml

For example, Shipper_ABCShipper, Inc_ 2014 _V0.xml

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 and .xls files. After specifying the folder and selecting **Save**, and the following screen will appear.

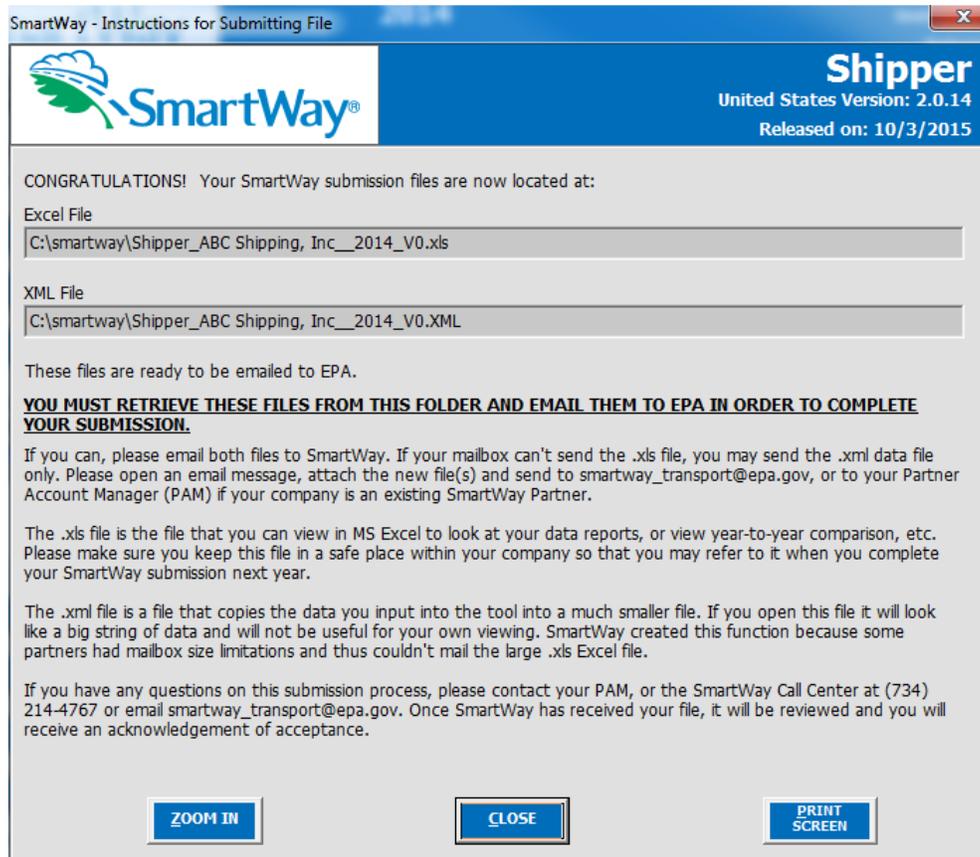


Figure 69: Completed Submission File Screen

Follow these instructions for submitting your .xml and .xls files to SmartWay. Note that the .xml file is approximately 10 times smaller than the .xls files. If you have difficulty submitting the .xls file due to file size limitations you may submit the .xml file alone.

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

NOTE: The XML and XLS files are not sent to EPA automatically. You will need to locate the files and attach them in an e-mail to your Partner Account Manager).

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

Please visit <http://www3.epa.gov/smartway/forshippers/index.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 2013 Tools (Windows XP or later operating system, and Excel Office 2003 2007, 2010, or 2013)

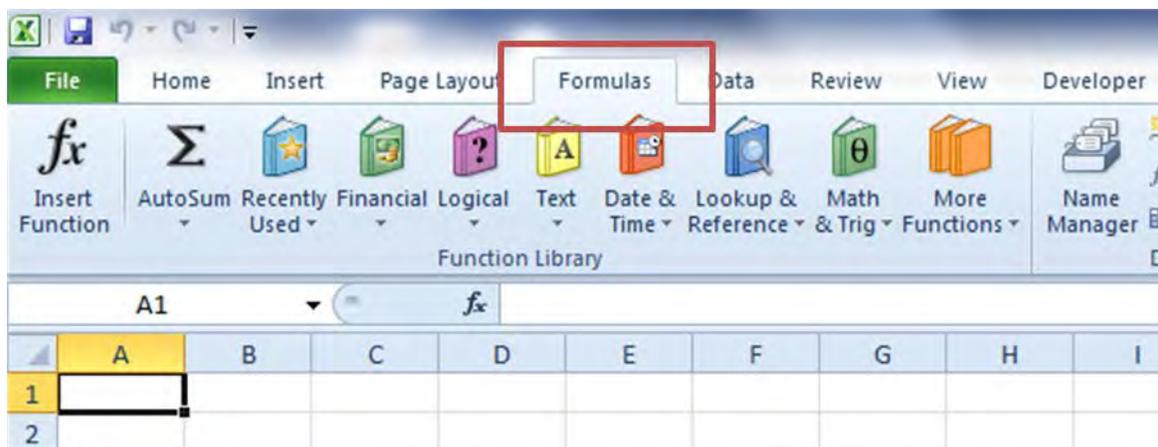
If you continue to encounter problems, please make a screen capture of the error message, and save the data at that point. (You can make a screen capture by pressing **Alt-Prt Scr**, and then pasting the image into a document such as MS Word.) Then send the screenshot, along with the saved data to your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

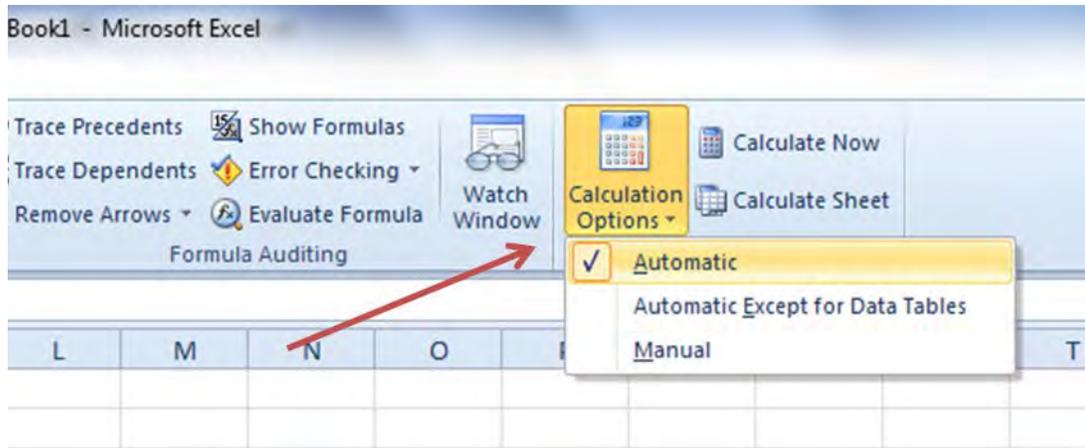
Proper Calculation Setting

By default, Microsoft Excel is set to automatically calculate formulas. If values within your Tool are not calculating automatically, then your Excel may be set to “Manual”. Follow these instructions to change your Excel Calculation setting.

Office 2010 and Newer

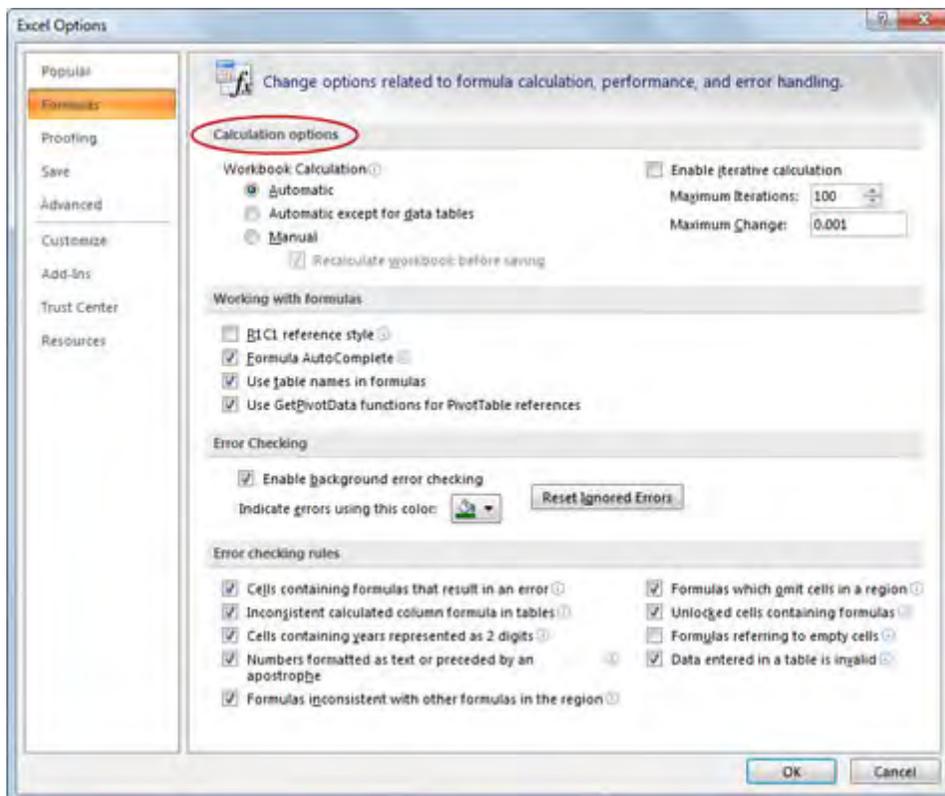
Choose the “Formulas” tab. Select the “Calculation Options” button in the “Calculation” section to view the drop-down list of options. Choose “Automatic” from the list of options to switch to automatic calculation.





Office 2007

Select the Office button at the top left. Then select the Excel Options button and the Excel Options dialog box will appear. Select the Formulas tab and the Formulas options will appear in the right pane. Select the “Automatic” radio button in the Calculation options section.



Office 2003

From the tools menu, select “Options”. When the Options dialog box is displayed, select the “Calculation” tab. Under the Calculation section, select the “Automatic” radio button and then select “OK”.

