

# Multi-modal Partner Tool: Data Entry and Troubleshooting Guide 2015 Data Year - United States Version 2.0.15





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



Office of Transportation and Air Quality  
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## Introduction

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This guide is the second of two guides available to help your company participate fully in the SmartWay Transport Partnership as a Multi-modal Carrier Partner.

The first guide, the Multi-modal Carrier Tool “Quick Start Guide,” provides a basic walk-through of the process of identifying, gathering, preparing, and submitting your data using the SmartWay Multi-modal Carrier Tool. (From this point on, this guide will refer to the SmartWay Multi-modal Carrier Tool as the “Multi-modal Tool” or simply, the “Tool,” for brevity.)

The Quick Start Guide may be all you need to successfully complete the Multi-modal Carrier Tool.

This guide, the Multi-modal Carrier Tool “Data Entry and Troubleshooting Guide,” is intended to supplement the Quick Start Guide and provide more detailed information for completing your tool submission.

The Table of Contents for this guide is designed so that you can find the relevant information on specific topics without reading the entire guide.

In this guide, you will learn how to enter the fleet composition and activity data you collected (as mentioned Quick Start Guide and the online data entry forms it references) into the Multi-modal Carrier Tool. This guide covers:

- Downloading and setting up the Tool to run properly
- Basic organization of the Multi-modal Carrier Tool
- Entering your data
- Viewing fleet performance summary data
- Submitting data to SmartWay
- Troubleshooting the Tool
- Appendices

### **WARNING!**

*Completing this Tool requires a considerable amount of information about your fleet(s). There are many sections and screens to complete for each fleet. 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

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## Downloading and Setting up the Tool

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### SOFTWARE AND HARDWARE REQUIREMENTS

The Multi-modal Carrier 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 Multi-modal Carrier Tool requires the following software and hardware:

- A 2007 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 15 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 Multi-modal Carrier Tool.

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

### DOWNLOADING THE SMARTWAY MULTI-MODAL CARRIER TOOL

To download the Multi-modal Carrier Tool, visit: <http://www.epa.gov/smartway/forpartners/index.htm>.

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

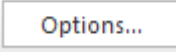
### HOW TO SET SECURITY LEVELS FOR THE SMARTWAY TOOLS

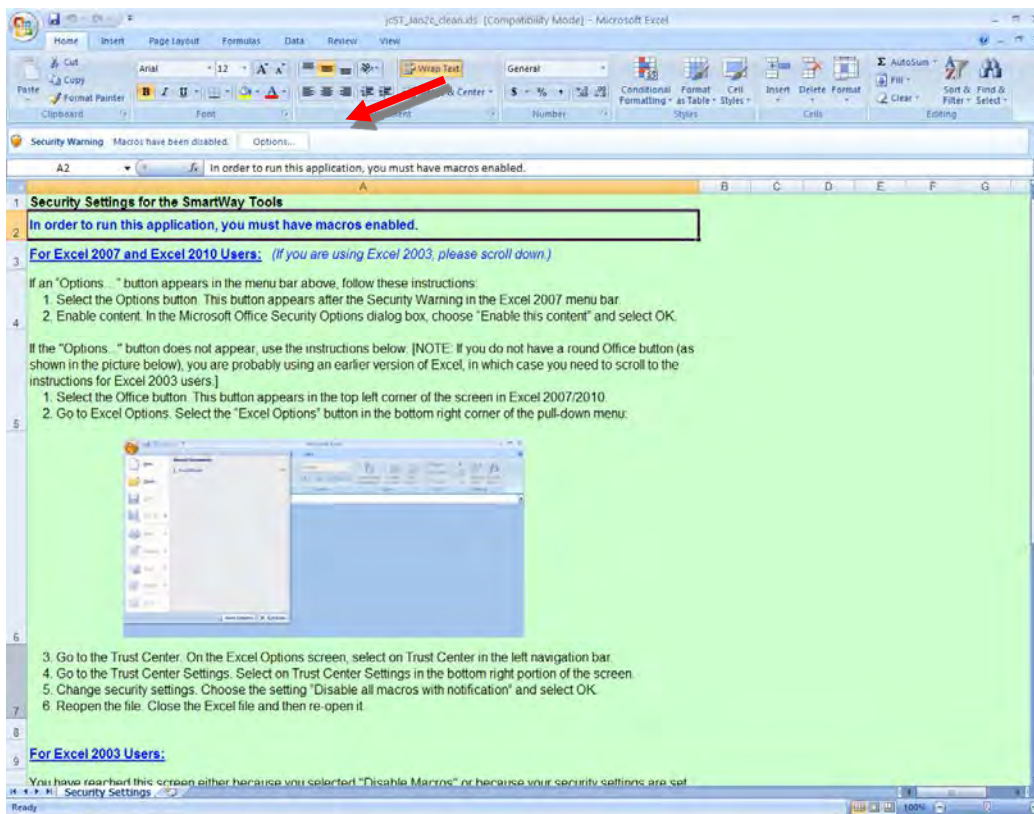
The following instructions should appear on your screen *if* you need to change your security settings before running the Tool. The instructions differ depending upon what version of Excel you use (Excel 2007, 2010, or 2013).

## 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 1**). Detailed instructions are also provided on the screen itself.



**Figure 1: Security Warning Screen**

- 3) In the **Microsoft Office Security Options** dialog box (**Figure 2**), choose “Enable this content” and select **OK**.




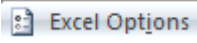


Figure 2: Security Options Dialogue Box

The **Welcome** Screen for the Truck Carrier 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  **Excel Options** button in the bottom right corner of the pull-down menu (**Figure 3A**).

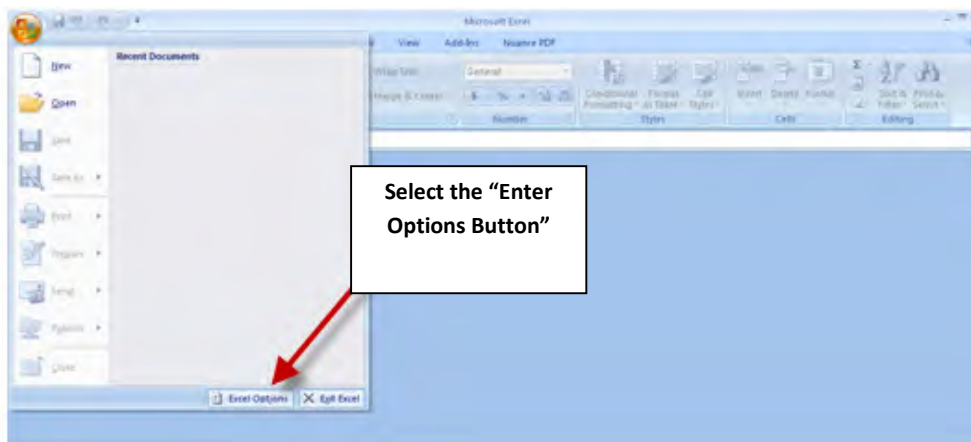
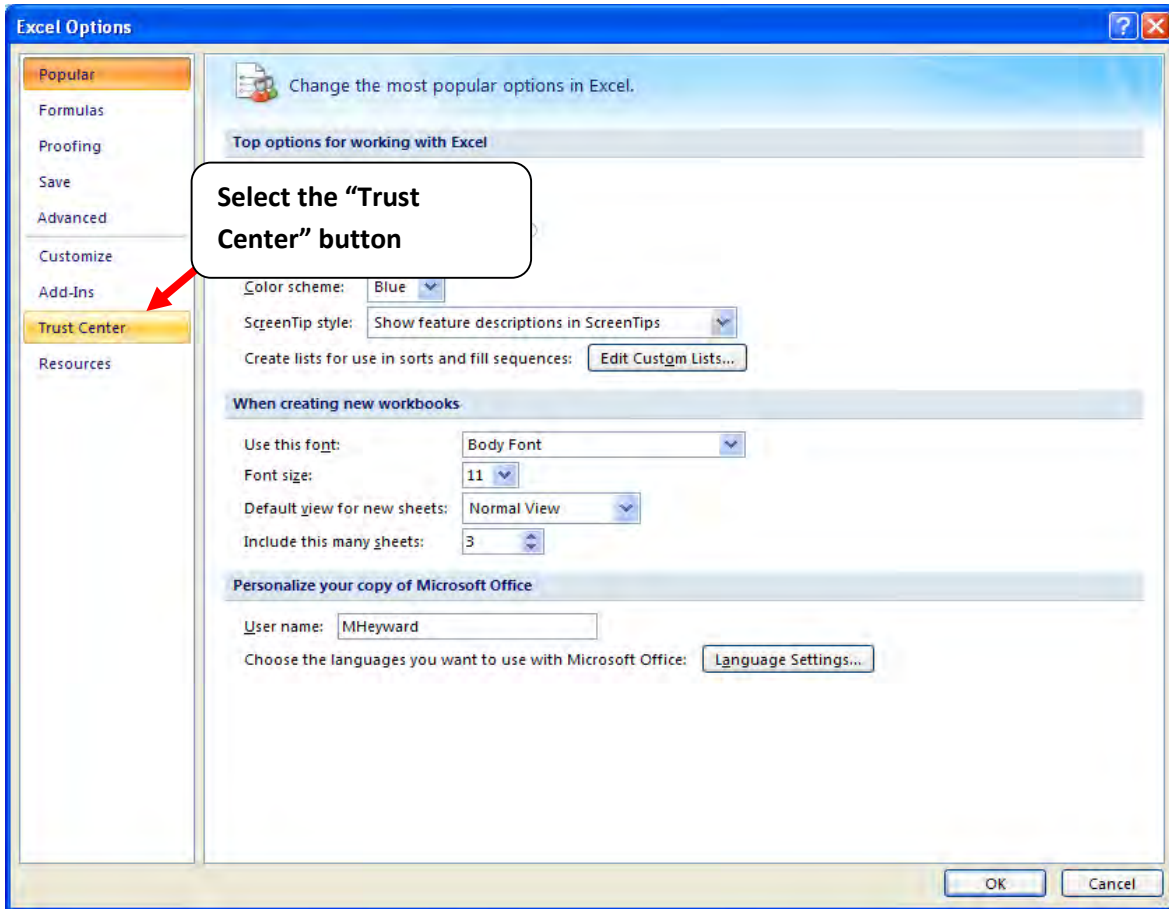


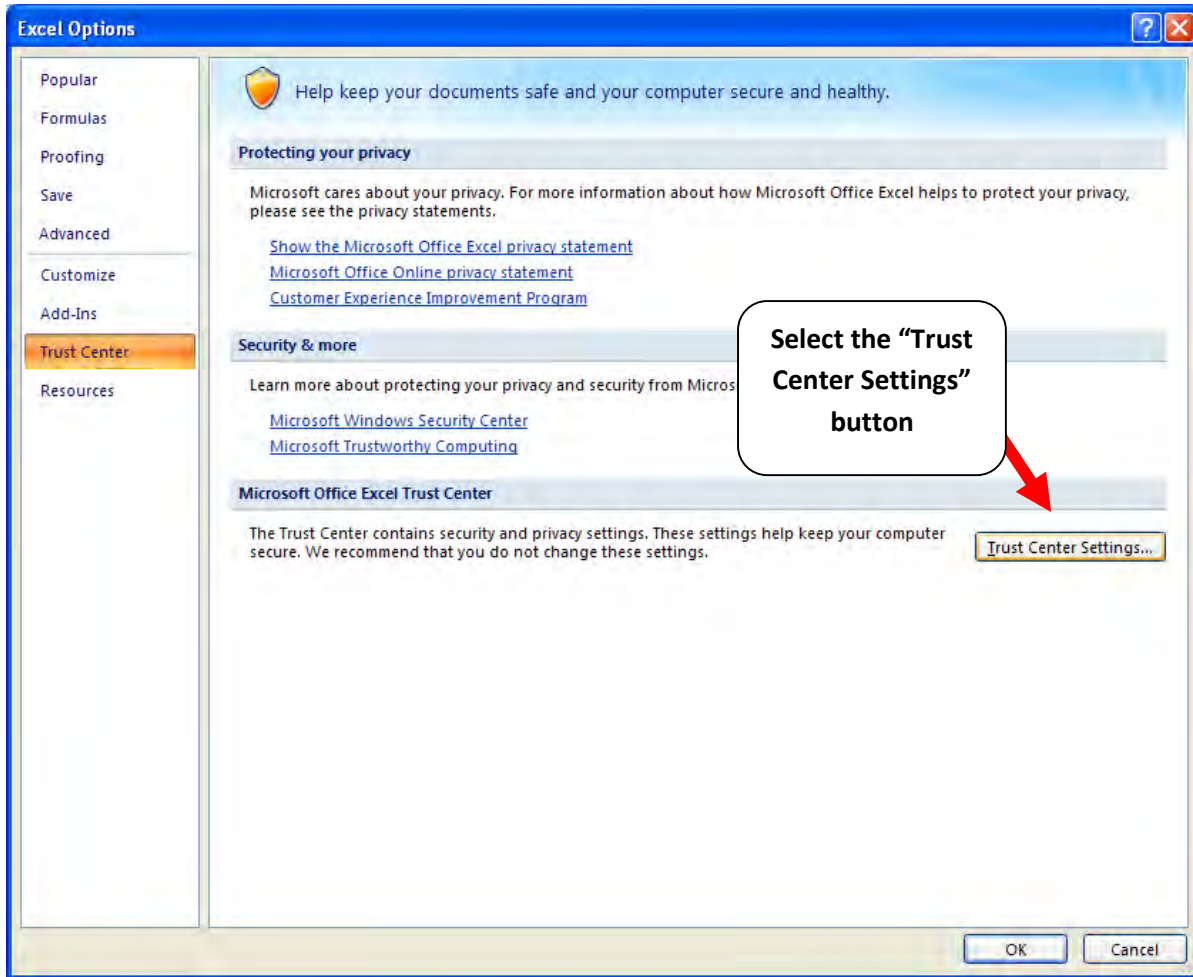
Figure 3A: Excel Options Drop-Down Menu

On the **Excel Options** screen, select **Trust Center** in the left navigation bar (**Figure 3B**):



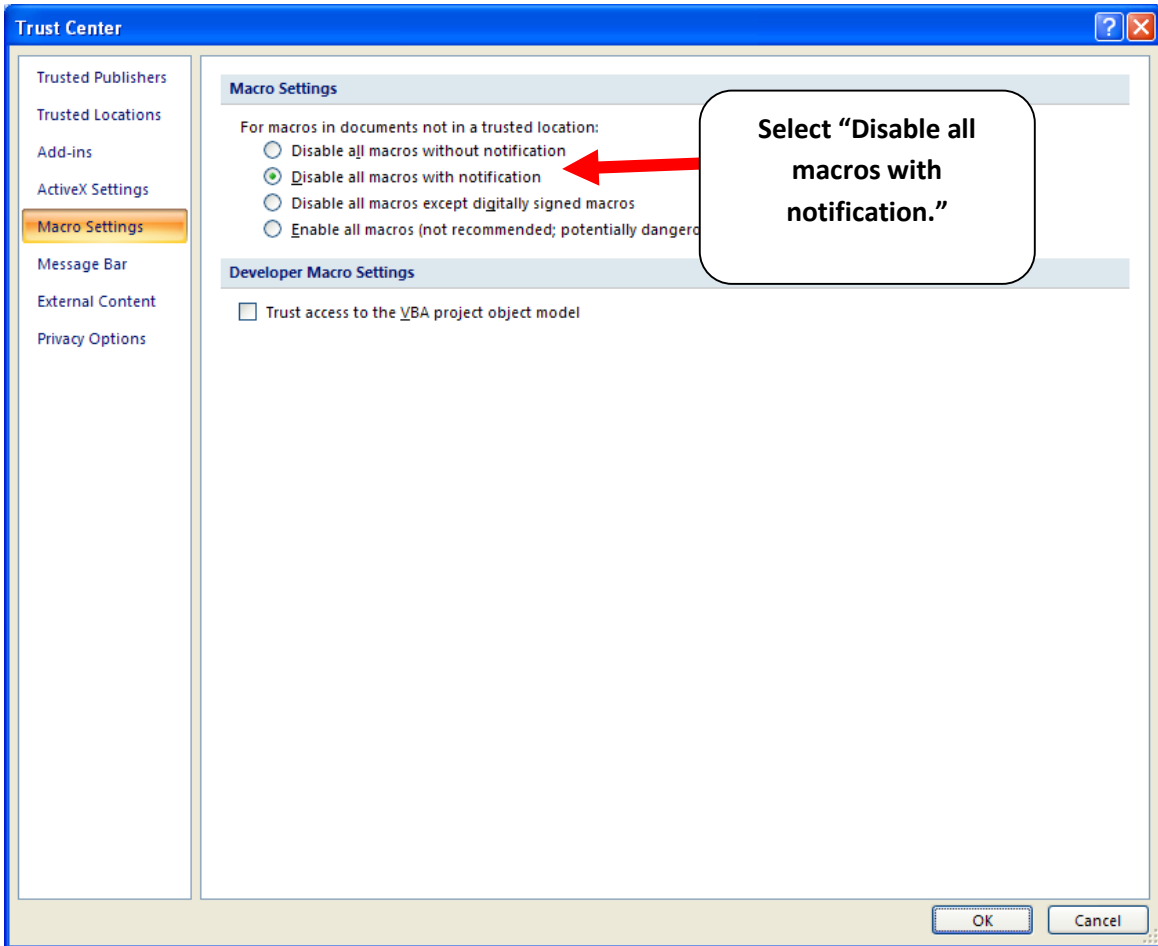
**Figure 3B: Excel Options Drop-Down Menu**

When the Trust Center options display opens, select **Trust Center Settings** in the bottom right portion of the screen (**Figure 4**):



**Figure 4: Trust Center Settings Screen**

Choose the setting “Disable all macros with notification” (Figure 5) and select **OK**.



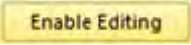
**Figure 5: Macro Settings Screen**

Then run the Tool.

**If, at this point, the Tool does not open, review the “Software and Hardware Requirements” on page 7.** 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 newer Excel versions 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.

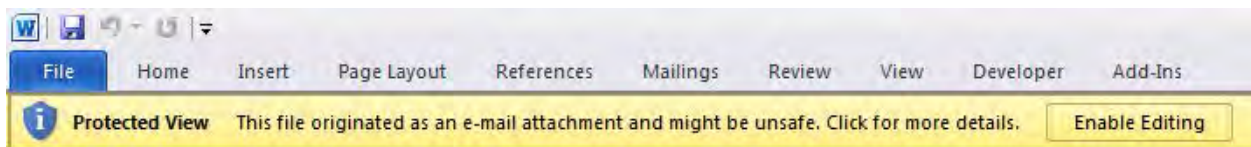
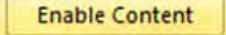
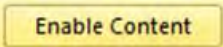


Figure 6: The Enable Editing Button

- 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.

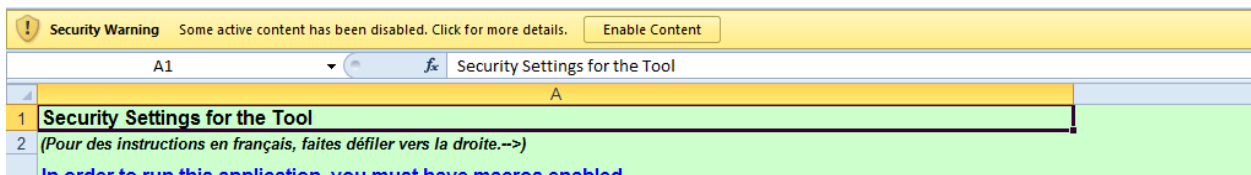
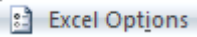
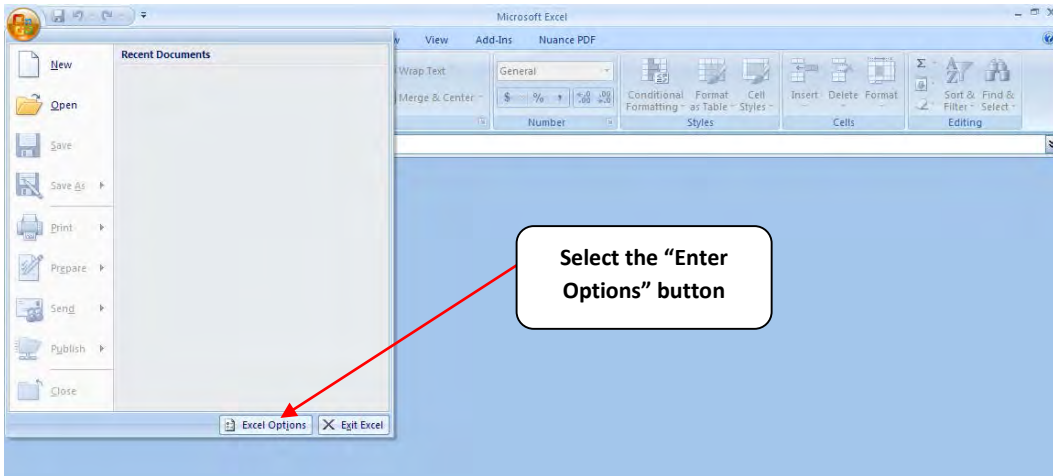


Figure 7: Security Warning Popup

If, at this point, the Tool does not open, review the “Software and Hardware Requirements” on page 7. Otherwise, you may have your security set too high. To adjust your security settings, select the

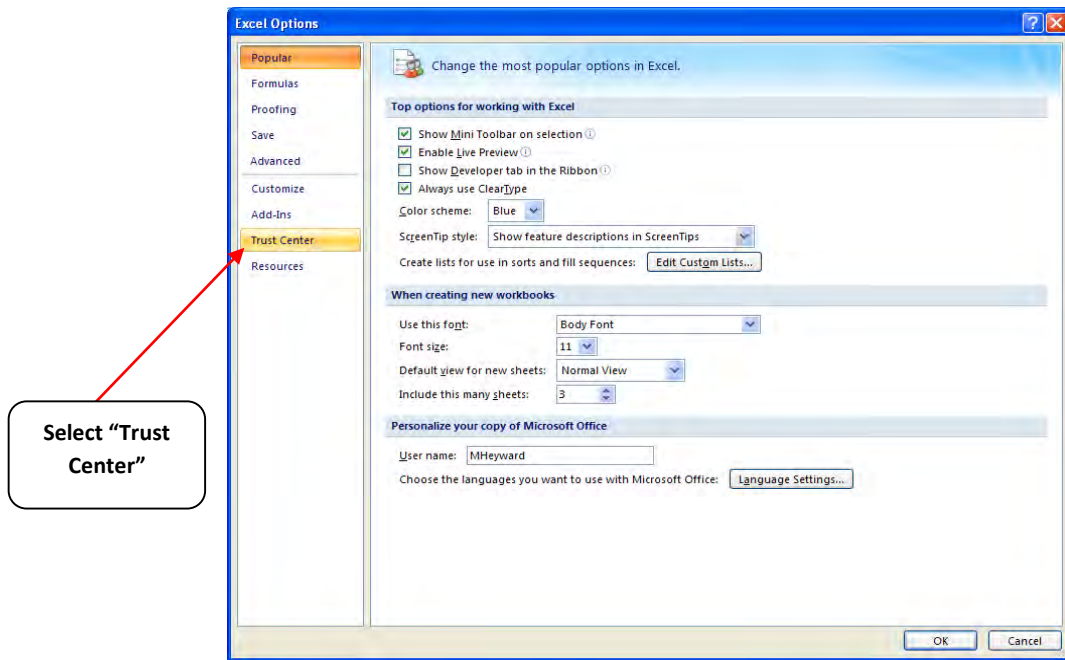


button (in the top left corner of the screen) and then select the  button in the bottom right corner of the pull-down menu (Figure 8):



**Figure 8: Excel 2010 and Newer Options Drop-Down Menu**

On the Excel Options screen, select **Trust Center** in the left navigation bar (**Figure 9**):



**Figure 9: Excel 2010 and Newer Options Drop-Down Menu**

When the Trust Center options display opens, select **Trust Center Settings** in the bottom right portion of the screen (**Figure10**):

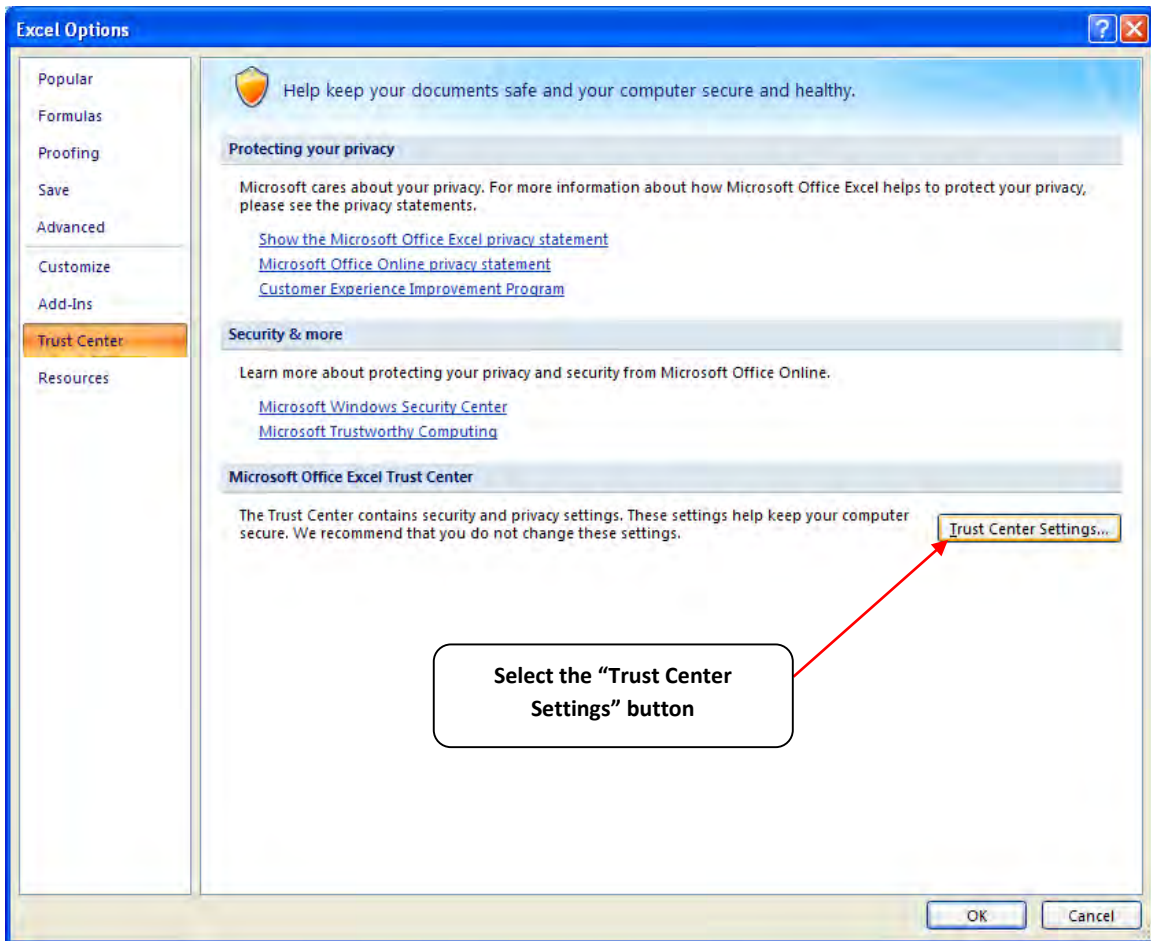


Figure 10: Trust Center Settings Screen

Choose the setting “Disable all macros with notification” (Figure 11) and select **OK**.

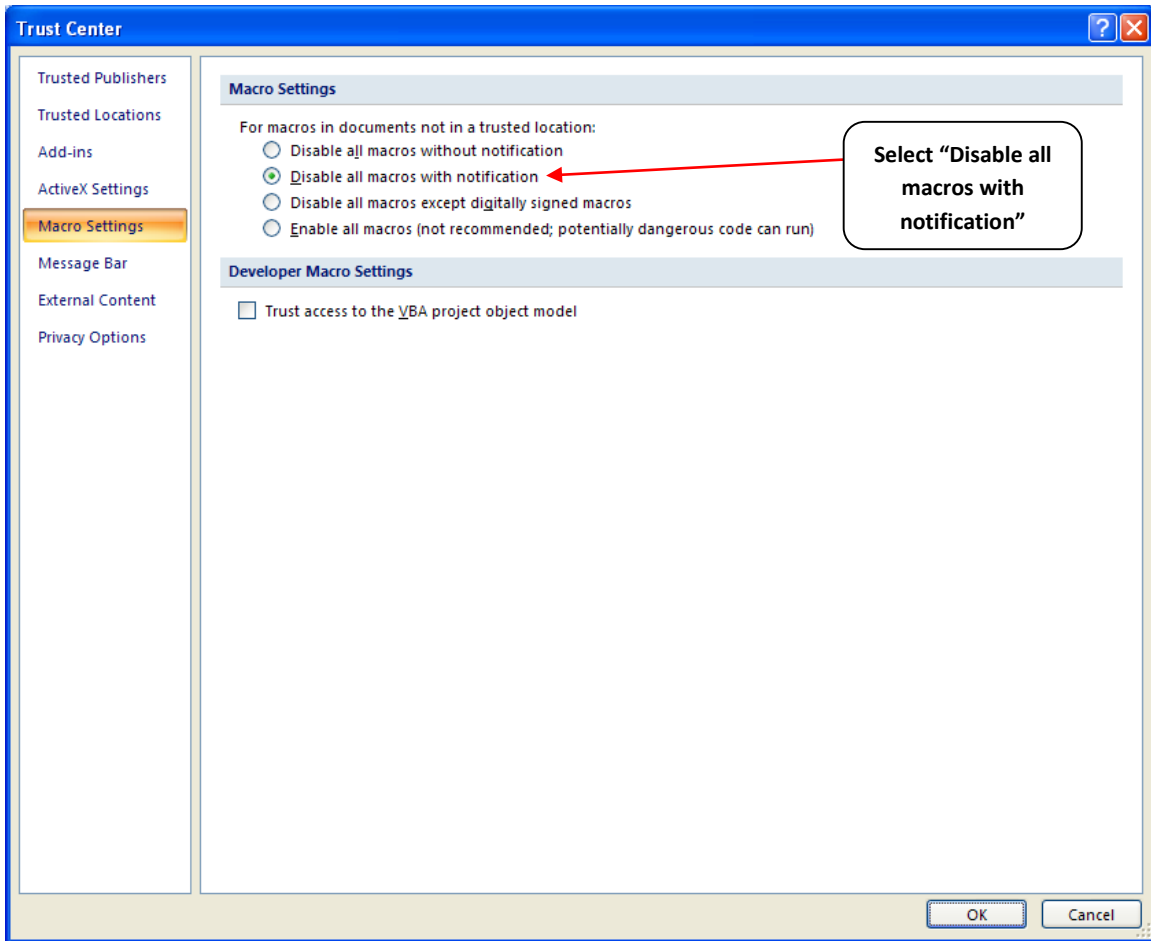


Figure 11: Macro Settings Screen



# PART 2: TOOL ORGANIZATION

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

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The Multi-modal Carrier Tool is the basis of the SmartWay Partnership for Multi-modal Carriers. Completion and submission of a Multi-modal Carrier Tool is the first step to becoming a SmartWay Multi-modal Carrier Partner. Your Tool submission must be approved by EPA before you are officially a Partner.

The Multi-modal Carrier Tool is organized around

- information screens
- forms or worksheets
- reports and summaries

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

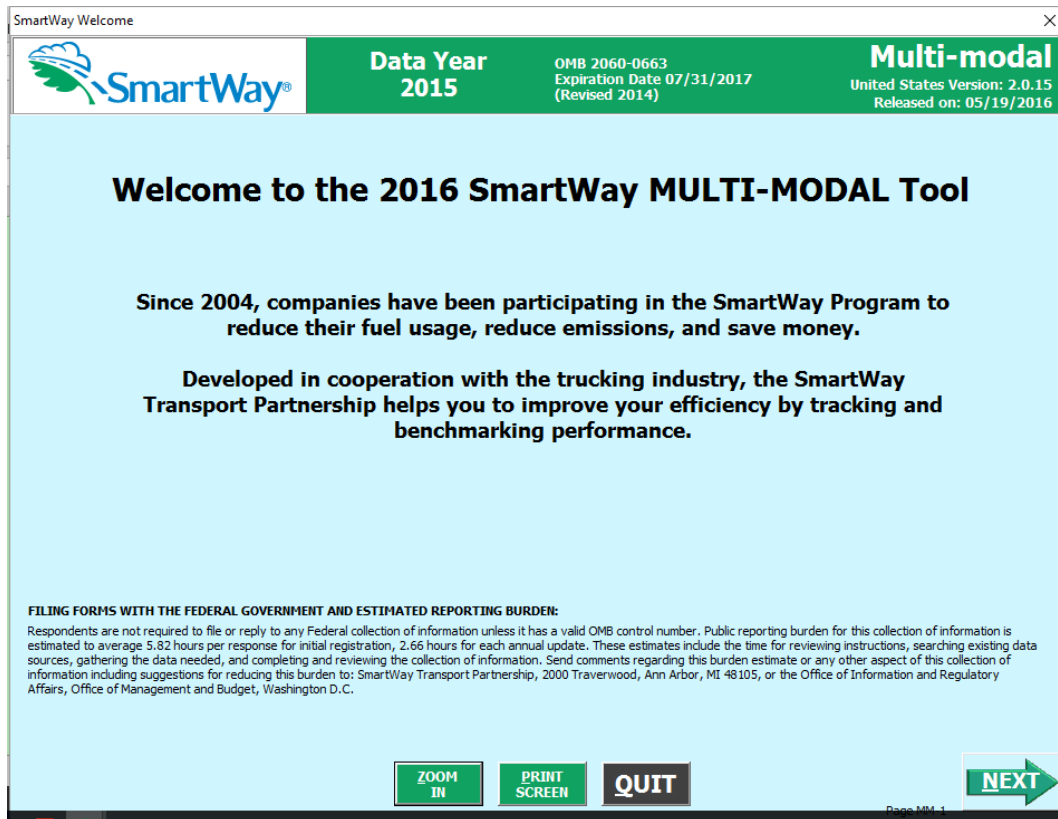
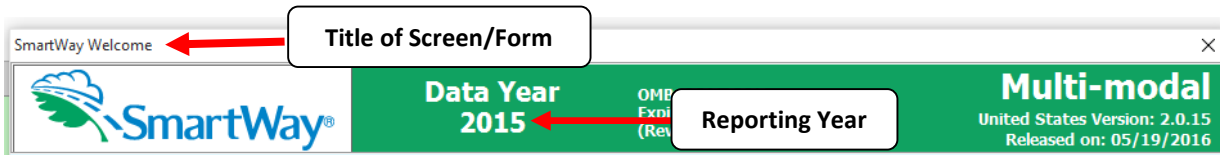


Figure 12: Welcome Screen for the Multi-modal Carrier Tool

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



**Figure 23: 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 or other information screens); these buttons will be appear in green as shown below.



**Figure 34 Screenshot of Button Link in the Tool**

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



**Figure 45 Screenshot Navigation Buttons in the Tool**

When a new concept/topic is 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.

Page numbers are found at the bottom right of all screens to facilitate navigation through the Tool and communication with your Partner Account Manager regarding any questions.

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## Reviewing the Introductory Screens

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Upon opening the 2016 Multi-Modal Tool you will see a **Welcome** screen. (The 2016 Tool is called “Version 2.0.15” because it uses 2015 data.) Next you will find three Introduction screens. If you are not familiar with the Tool, or if you wish to review the basic organization and functions of the Tool, these three screens can help you get oriented. The Assistance for New Users screen appears first, and allows users to view an orientation video. Additional screens may be accessed from this screen, including Tool selection guidance, data collection needs, Tool help and navigation, and the SmartWay Partner Schedule for 2016. These are general information screens and may be skipped if you are already familiar with the Tool. However, upon proceeding you **MUST** select the box at the bottom of the Partnership Agreement screen, indicating that you agree to the terms of the Partnership Agreement.

Before proceeding to the **Home** screen you will see an “auto-population” screen. This screen allows partners to input their SmartWay ID and automatically upload the information for the initial steps of the Tool (Partner Name, Contact Information, and, for existing Partners, Truck and Logistics Fleet Information), based on the prior year’s submittal or, for new partners, information submitted through the Partner Portal “On-ramp”. This option can save time and ensure naming consistency for your contacts and fleet(s) from year to year. If you do not have a SmartWay ID, or prefer to enter this data manually, you may skip this step. The features of these screens are described below.

## THE “SMARTWAY WELCOME” SCREEN

The **SmartWay Welcome** screen is the first window that appears when the Tool is opened (**Figure 16**). This screen provides basic information about the SmartWay Partnership.

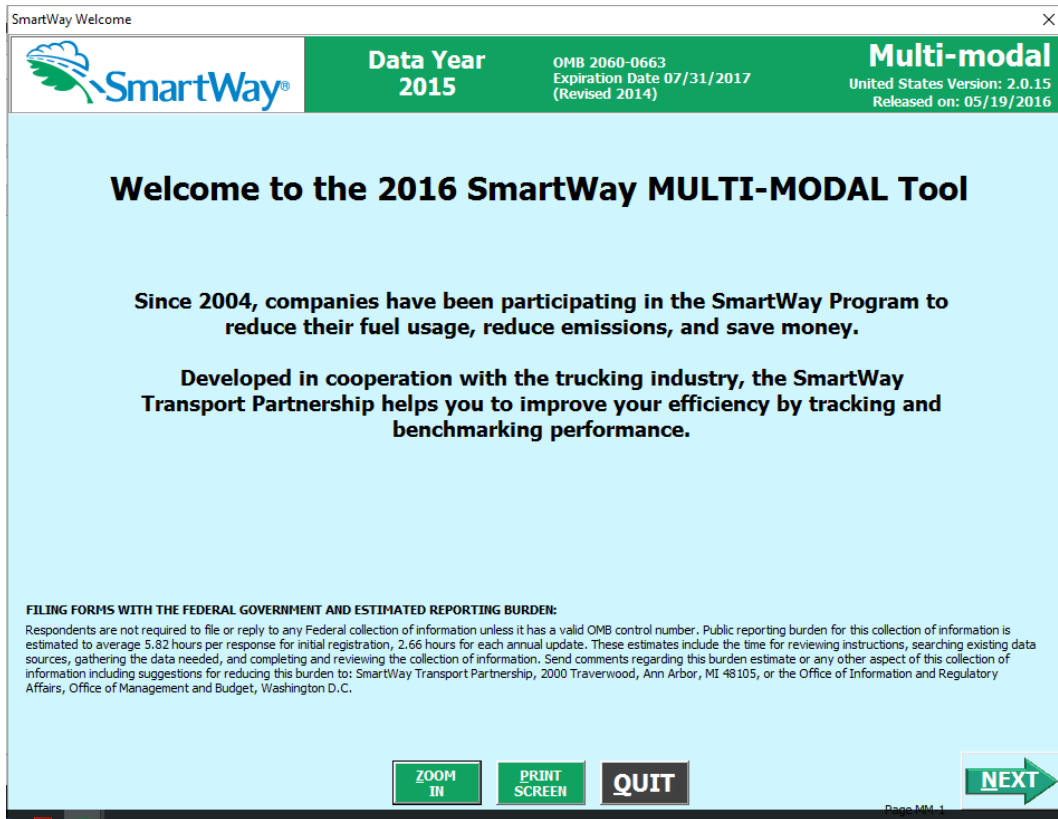
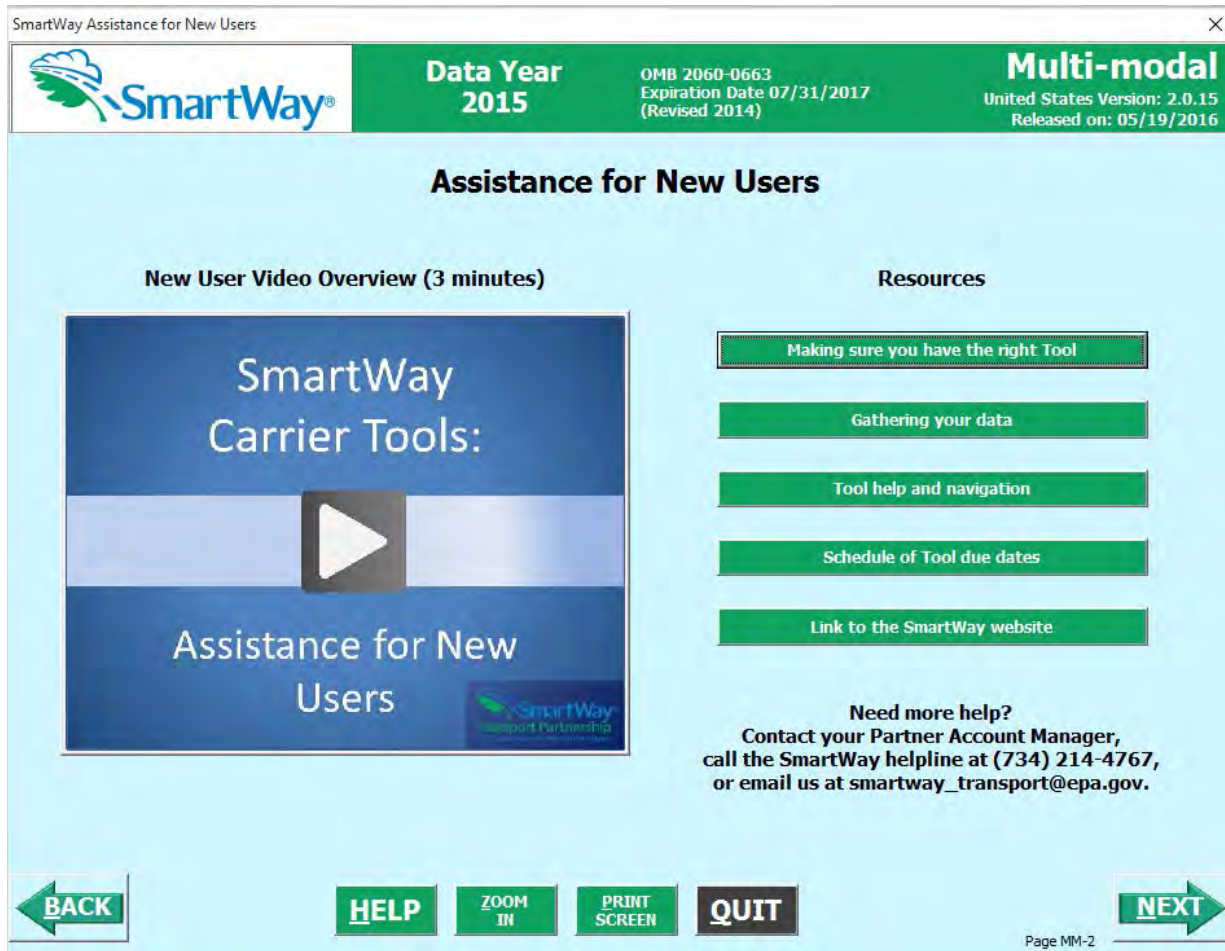


Figure 16: SmartWay Multi-Modal Welcome Screen

## ASSISTANCE FOR NEW USERS SCREEN

The **Assistance for New Users** screen appears first after the **Welcome** screen, and allows users to view a video presenting an overview of the Tool (see **Figure 17**).



**Figure 17: Assistance for New Users Screen**

Additional screens may also be accessed from this screen, including:

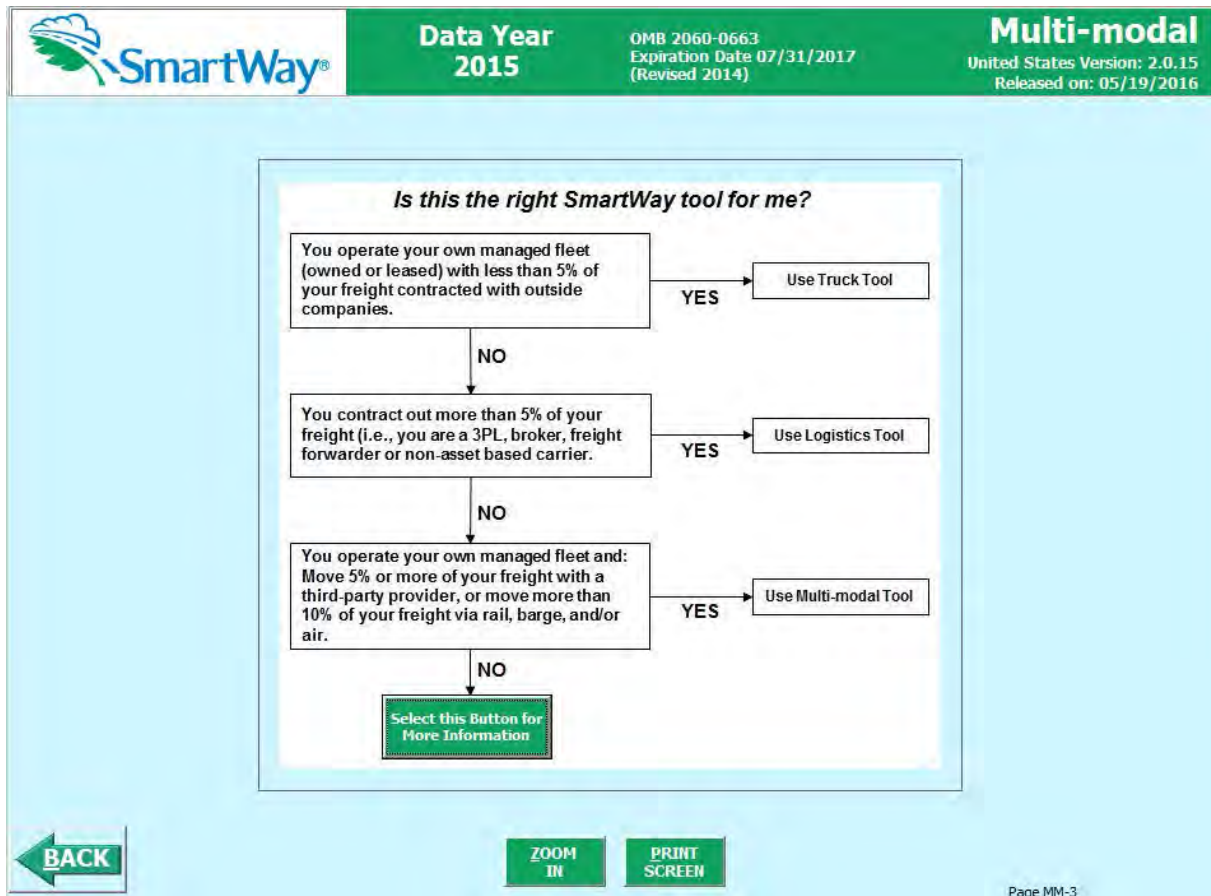
- Making sure you have the right Tool
- Gathering your data
- Tool help and navigation
- Schedule of Tool due dates

Selecting these buttons on the **Assistance for New Users** screen will take you to a new screen containing the information of interest. These are general information screens and may be skipped if you are already familiar with the Tool.

## MAKING SURE YOU HAVE THE RIGHT TOOL SCREEN

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


**\*\*\*Before beginning, use the chart below to make sure you choose the right tool for your operations!\*\*\***




**Figure 18: Determining Which Tool is Appropriate for your Fleets**

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

Follow the flow chart in **Figure 18** to determine which Tool is most appropriate for your fleet(s).

If you are still not sure which tool is appropriate for your fleet, selecting the  button will provide further details as shown below.

SmartWay: Making Sure You Have the Right Tool



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Expiration Date 07/31/2017  
(Revised 2014)

**Multi-modal**  
United States Version: 2.0.15  
Released on: 05/19/2016

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

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




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

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

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

**Examples**  
Case 1: MH Trucking is a 200 truck fleet, that only contracts out a few loads at Christmas. These loads constitute less than 5% of MH Trucking's total loads. MH Trucking should complete the Truck Tool.  
Case 2: RB Inc. operates none of its own trucks, and contracts other carriers to move all its freight. RB Inc., should complete the Logistics Tool.  
Case 3: MP Services operates three divisions. A truckload division with its own fleet of 100 trucks, a Contract Carrier Division that contracts with 20 other truck companies, and an intermodal division that uses its own truck fleet and three rail companies. MP Services should use the Multi-modal Tool, creating a Truck Component Fleet for its truckload division, a Logistics Component Fleet run for its contract services division, and a Logistics Component Fleet for its intermodal division (using its own truck fleet as an input with the three rail companies).  
Case 4: JC Rail Services operates its own local rail line and a fleet of trucks to provide drayage from its rail line to local customer locations. JC should complete the Rail Tool for its rail operations and a Truck Tool for its trucking operations.


**Still Not Sure?**  
Call your Partner Account Manager (PAM) or the SmartWay Help Line for assistance: 734-214-4767.

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**Figure 19: Detailed Guidance for Identifying the Correct SmartWay Carrier Tool**

If you still have questions after reviewing this information, contact EPA SmartWay at 734-214-4647 for assistance.

Select the  button to return to the **Assistance for New Users** screen.

**GATHERING YOUR DATA SCREEN**

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

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



Following is a brief description of the information you will need to complete this tool. For further details, select **NEXT** at the bottom of the screen, or consult the Multi-modal 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 (for returning partners)

**Component Fleet Characterization Information**

- Company Names and Contacts
- Standard Carrier Alpha Codes (SCACs), Motor Carrier Numbers, DOT Numbers, and National Safety Codes (NSCs)
- Fleet type (private/for-hire/dedicated)
- Operation Type and Body Type

**Component Fleet Profile\***

- Identification info
- Types of equipment
- Vehicle/Vessel/Aircraft use by type
- Fuel types and amount used
- Engine information
- Total ton-miles
- Total miles

**Composite Fleet Characterization**

- Identification info
- Composite Fleet names and associated Component Fleets
- Component Fleet Allocation Percentages
- Composite Fleet SCAC, Motor Carrier Numbers, DOT Numbers, and/or National Safety Codes (NSCs)


\* Specific data required will depend on the mode selected. Items above are general guidelines.




**Figure 20: Summary of Required Information – Gathering Your Data Screen**

## SUMMARY GUIDANCE SCREEN



Select the  button to obtain guidance regarding use of the Multi-modal Carrier Tool, including an example definition for different types of fleets defined within the Tool.

SmartWay Multi-modal Summary



**Data Year 2015**

OMB 2060-0663  
Expiration Date 07/31/2017  
(Revised 2014)

**Multi-modal**  
United States Version: 2.0.15  
Released on: 05/19/2016

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

To accomplish this, SmartWay has developed the concept of "component" and "composite" fleets.

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

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

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

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

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

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

The Partner will create these component fleets:




1. For its truckload fleet (using the Truck Tool)
2. For its dray fleet (using the Truck Tool)
3. For its 3PL fleet and hired dray operations (using the Logistics Tool)
4. For its rail fleet (using the Rail Tool)

The Partner will then assign the appropriate operations of these component fleets to create the composite fleets that the public can hire.

A. Composite Fleet One (Truckload Division): 60% of its truckload fleet, 70% of its 3PL fleet

B. Composite Fleet Two (Intermodal Division): 40% of its truckload fleet, 30% of its 3PL fleet, 100% of its hired rail, 80% of its hired dray fleet, and 40% of its own dray fleet

C. Composite Fleet Three (Dray Division): 20% of its hired dray fleet, 60% of its own dray fleet


  

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**Figure 21: Summary of Required Input Information**

Select  to return to the **Assistance for New Users** screen.

## TOOL HELP AND NAVIGATION SCREEN

This screen presents the complete list of buttons available throughout the Tool (**Figure 21**). Becoming familiar with these buttons will make completing the Tool easier and faster. Select the  button for additional information regarding the data entry requirements for a given screen. Of special note is the small question mark ([?]), which appears next to new concepts when they are introduced throughout the Tool. Selecting the question mark will reveal additional definitions of terms or instructions to help you complete the data fields properly.



**Data Year  
2015**

OMB 2060-0663  
Expiration Date 07/31/2017  
(Revised 2014)

**Multi-modal**

United States Version: 2.0.15  
Released on: 05/19/2016

## Tool Help and Navigation

Throughout the Tool, you will see numerous buttons. Becoming familiar with these buttons will make completing the Tool easier and faster. If a button contains an underlined character, you can also select that button using the keyboard by typing the {Alt} key along with the underlined character.





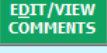

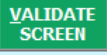



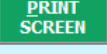
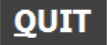
	Provides instructions for completing each screen.		Brings you back to the Home screen.
	Allows you to add notes or clarifications. The button text changes if a comment has been entered.		Proceed to the next screen.
			Return to the previous screen.
	Checks your data input for missing or invalid information.		Provides additional information about data entry fields.
	Enlarges the text on the screen.		Link to video instruction regarding Tool data entry and use.
	Sends an image of the screen to your default printer.		
	Closes the tool.		



Figure 22: Tool Help and Navigation Screen

## SCHEDULE OF TOOL DUE DATES SCREEN

The **Schedule of Tool Due Dates** screen shows the release dates and due dates for the various Partner tools for the 2016 calendar year (**Figure 23**). The screen also shows how the outputs from the various carrier tools serve as inputs to other “downstream” tools such as Multi-modal, Logistics, and Shipper.

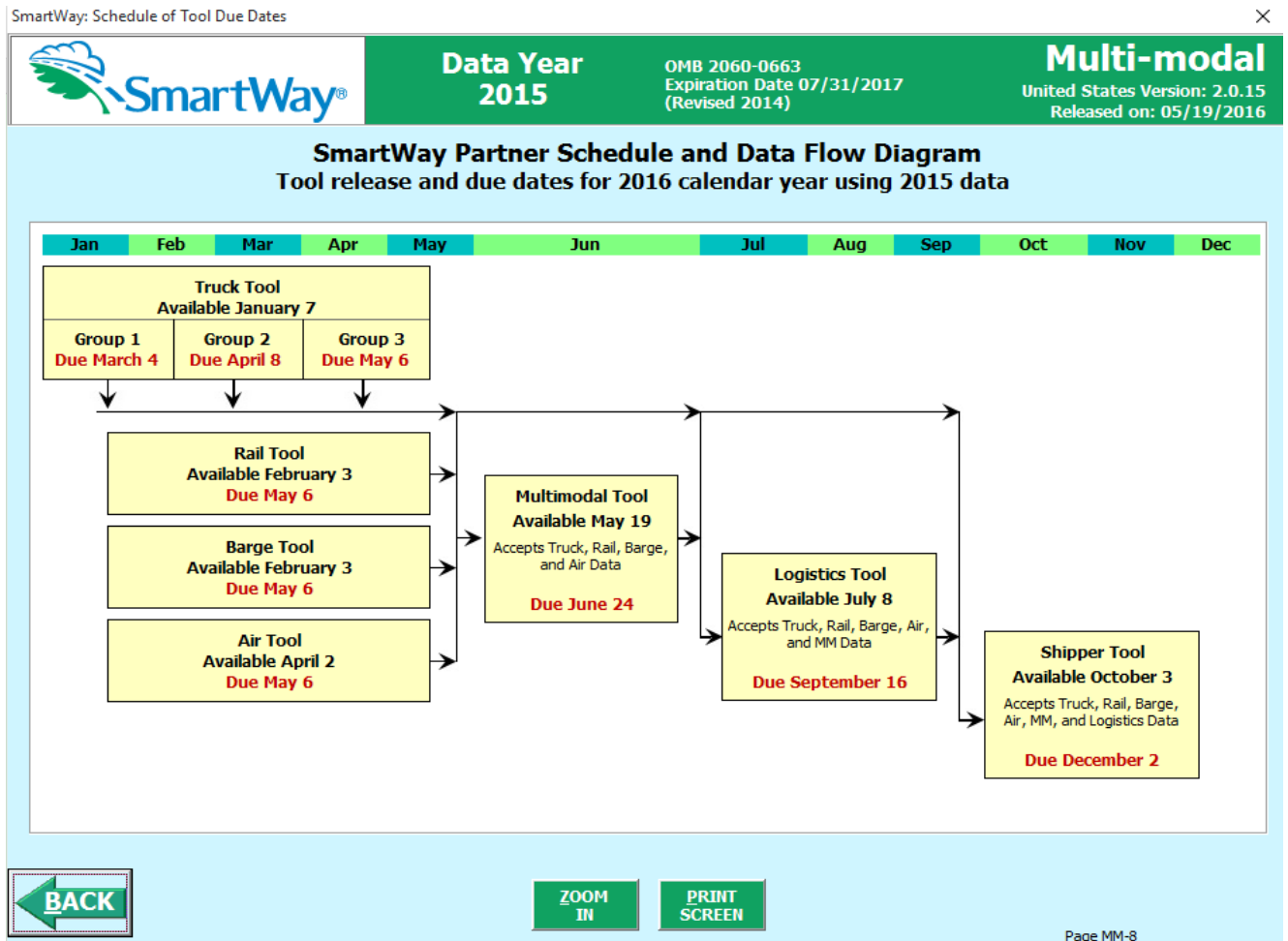


Figure 23: Screenshot of the Shipper Schedule Screen

After returning to the **Assistance for New Users** screen, you may select the

**Link to the SmartWay website**

button to proceed 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.

After selecting the



button on the **SmartWay Assistance for New Users** screen, the **SmartWay Partnership Annual Agreement** will appear.

## THE “SMARTWAY PARTNER AGREEMENT” SCREEN

SmartWay Partnership Annual Agreement

**SmartWay**

**Data Year 2015**

OMB 2060-0663  
Expiration Date 07/31/2017  
(Revised 2014)

**Multi-modal**  
United States Version: 2.0.15  
Released on: 05/19/2016

**Partnership Annual Agreement for Carriers**

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

1. Measure and report to EPA on an annual basis the environmental performance of your fleet(s) using EPA's SmartWay Tool. (Existing fleets must report the 12 months of data for the prior year ending December 31. Newly formed companies require a minimum of 3 months of operational data.)
2. Have performance results and Tool submittal status posted on the EPA SmartWay website/database.
3. Agree to submit supporting documentation to EPA for any data used to complete this Tool and agree to EPA audit of this data upon request by EPA.

**In return, EPA commits to:**

1. Promote company participation in the Partnership by posting Partner names on the EPA SmartWay Website and in related educational, promotional, and media materials. EPA will obtain express written consent from the Partner before using the Partner's name, other than in the context of increasing public awareness of its participation as described here.
2. Provide companies with industry-wide performance benchmark data as this data becomes available to EPA.
3. Assist Partners in achieving emission and fuel usage reduction goals (subject to Federal Government Appropriations).

**General Terms**

1. If the Partner or EPA defaults upon this agreement at any point, the agreement shall be considered null and void.
2. Either party can terminate the agreement at any time without prior notification or penalties or any further obligation.
3. EPA agrees not to comment publicly regarding the withdrawal of specific Partners.
4. EPA reserves the right to suspend or revoke Partner status for any Partner that fails to accomplish the specific actions to which it committed in the SmartWay Transport Partnership Agreement and subsequent annual agreements.
5. The Partner agrees that it will not claim or imply that its participation in the SmartWay Transport Partnership constitutes EPA approval or endorsement of anything other than the Partner's commitment to the program. The Partner will not make statements or imply that EPA endorses the purchase or sale of the Partner's products and services or the views of the Partner.
6. Submittal of this SmartWay Tool annually constitutes agreement to all terms in this Partnership Agreement.  
No separate agreement need be submitted.

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

I understand and agree to the terms of this agreement.

**BACK** **ZOOM IN** **PRINT SCREEN** **QUIT** **Select to accept Agreement** **NEXT**

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Figure 24: SmartWay Partnership Annual Agreement

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

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

SmartWay Multi-modal Carrier 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 constitutes a violation of the terms of the Agreement and will mean that you will not have a current SmartWay registration, and will result in immediate removal of your company name/fleet from the SmartWay Partner list.**

## AUTO-POPULATE SCREEN

Before proceeding to the **Home** screen you will see the **Auto-populate Initial Steps** screen (**Figure 25**).

SmartWay Auto-populate Initial Steps

**SmartWay®** **Data Year 2015** OMB 2060-0663 Expiration Date 07/31/2017 (Revised 2014) **Multi-modal** United States Version: 2.0.15 Released on: 05/19/2016

If you are an existing partner, or if you used the new "On-ramp" in the Partner Portal you can now auto-populate some of the data fields in the tool (Partner Name and Contact Information, plus Fleet Description(s) for returning partners) by providing your SmartWay ID. If you choose to auto-populate, the tool will automatically import these data and will display it for your review. You can then make changes or edit the data in the Tool as needed.

If you already have a SmartWay ID, enter it here:

If you do not have your SmartWay ID, but were designated as the Working Contact or the Executive Contact in last year's tool submission or in your online application, you can use this link to have your SmartWay ID emailed to you. [Email me my SmartWay ID](#)

If you wish to auto-populate the initial data fields, select this button. [Auto-populate initial steps](#) [Undo](#)

If you don't have a SmartWay ID, or would prefer to enter all your information manually, select "Next" to continue.

**Need more help?**  
Contact your Partner Account Manager,  
call the SmartWay helpline at (734) 214-4767,  
or email us at smartway\_transport@epa.gov.

[BACK](#) [HELP](#) [ZOOM IN](#) [PRINT SCREEN](#) [QUIT](#) [Screen Demo](#) [NEXT](#)

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**Figure 25: Auto-populate Screen**

This screen allows you to input your SmartWay ID and automatically upload the information for the initial steps of the Tool (Partner Name, Contact Information, and, for existing Partners, Truck and Logistics Fleet Information), based on your prior year's submittal or, if you are a new partner, name and contact information submitted through the Partner Portal "On-ramp". This option can save time and ensure naming consistency for your contacts and fleet(s) from year to year.

If you prefer to enter this data manually, you may select [NEXT](#) to skip this screen.

If you are the designated Working or Executive Contact for your company, but do not have your SmartWay ID, you may have it emailed to you by selecting **Email me my SmartWay ID**. After entering your SmartWay ID select **Auto-populate initial steps** and a summary of the data to be imported into the Tool will appear for your review. At this point you may reject the data import by selecting

**Undo**

When ready, select  to be taken to the SmartWay Multi-modal Carrier Tool **Home** screen.

## Basic Overview of How to Complete the Tool

All data entry screens are reached by starting with the [Home](#) screen.

Figure 26 displays the [Home](#) screen for users that have not selected the auto-populate option on the previous screen. (See page 61 to view an example [Home](#) screen after auto-population.)

SmartWay Multi-modal: Home

**SmartWay®** **Data Year 2015** OMB 2060-0663  
Expiration Date 07/31/2017  
(Revised 2014) **Multi-modal**  
United States Version: 2.0.15  
Released on: 05/19/2016

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. **Contact Information**
3. Define Your Component Fleets
4. **Download Latest SmartWay Carrier Data File**
5. Select Component Fleet for Data Entry
6. **Define your Composite Fleets**
7. **Give us Feedback** Optional survey to help us improve your SmartWay experience.
8. **Generate a (.xml) data file** To complete your submission, email the small (.xml) data file and your large (.xls) tool file to EPA. If your email size limit cannot handle the tool file, send only the smaller data file.

**YOUR RESULTS**

**View Your Data Reports** **Review your Year-to-Year Performance**

**Visit the SmartWay Partner Portal**

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

Page MM-11

Figure 26: Main Tool Navigation or [Home](#) Screen

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

- 1) Enter your Partner Name;
- 2) Fill out company and contact information;
- 3) Define your component fleet(s) by mode;
- 4) Download the latest SmartWay Carrier data file;
- 5) Enter data to characterize your component fleet(s);
- 6) Define your composite (multi-modal) fleet(s);
- 7) Complete a SmartWay Satisfaction and Feedback Survey;
- 8) Create final version to submit to EPA



- 9) View results of your data entry;
- 10) Review year-to-year comparisons; and
- 11) Visit the SmartWay Partner Portal.

## SECTIONS OF THE TOOL

The Multi-modal Carrier Tool **Home** screen contains **eight primary sections**. Each section links to additional screens or worksheets within the Tool which are described below:

1. **Enter Partner Name (data field):** Here you will enter the name of your organization, exactly as it should appear on the Partner Listing of the SmartWay Web site.
2. **Contact Information (button):** This button takes you to a screen that asks for general company contact information, a SmartWay working point of contact, and an executive-level contact. Additional contacts may also be included.
3. **Define Component Fleets (drop-down selection list):**
  - a. Select the mode(s) of interest from the drop-down selection list. The Multi-modal Carrier Tool currently allows users to define truck, logistics, barge, air and rail component fleets.
  - b. When you select a Carrier mode, the software will automatically display screens where you will define all of the fleets your company operates in each transport mode. You will provide information describing the operation of those fleets.
4. **Download SmartWay Carrier File (button):** Select this button to download the latest SmartWay Carrier performance data for use with logistics component fleets.
5. **Select Component Fleet for Data Entry (list):** Select a component fleet to provide the activity, performance and fleet composition information necessary to calculate the efficiency metrics for your carrier fleet.
6. **Define Your Composite Fleets (button):** This selection will allow you to identify your composite fleets (made up of one or more of your component fleets) and to allocate total annual mileage and ton-miles across the corresponding component fleets. For example, a “composite fleet” representing intermodal services might include three component fleets – one logistics carrier and two truck carrier fleets.
7. **Give Us Feedback (button):** In this optional step you can give EPA feedback about the SmartWay Program.
8. **Generate a (.xml) data file (button):** This button creates a version of the Tool (in XML format) for you to send as an attachment in an e-mail to your Partner Account Manager, along with the Tool itself. *Selecting the **OK** button on this screen does **not** automatically submit the file to EPA; you still need to submit it to EPA by attaching it in an e-mail.*

The **Home** screen also contains three additional buttons that may be selected to review your data. EPA strongly encourages you to review these options closely before submitting your files.

9. **View Your Data Reports (button):** This button will display a reports menu screen which has multiple options for viewing and printing all of the data, as well as performance data for either your Component Fleets or your Composite Fleets

10. **Review Your Year-to-Year Performance (button):** This option allows you to compare previous year data entries to one another or 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 fleet performance over time.
11. **Visit the SmartWay Partner Portal (button):** Selecting this button takes you to the SmartWay Partner Portal where you can access your Registration Document, Logo information and files, and SmartWay Press Releases.

## ENTERING YOUR DATA

*The first six sections of the Home screen are mandatory, and should be completed in order.* These sections comprise all the data collection steps needed to complete your SmartWay Multi-modal Carrier Tool. After they are completed, you can review your output and/or submit your files to EPA.

Once you complete each mandatory step, a  will appear on the left of the screen.


## VALIDATING YOUR DATA

The 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 all screens (including the Home screen). EPA recommends saving your data frequently if you are entering information for large numbers of fleets and/or vehicle classes.

## REVIEWING YOUR DATA

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  button, identify the report of interest using the Reports Menu, and print them out for review. The data reports are discussed further in the  section of this guide.

## **SUBMITTING DATA TO SMARTWAY**

Detailed instructions on properly submitting your data to EPA are included in this guide on page 69.

# PART 3: SECTION-BY-SECTION DATA ENTRY GUIDANCE

---

# Entering Your Data

You should complete the first six sections of the **Home** screen (see Figure 27) in order. The next six sections of this guide explain how to enter your data on each of the required and optional screens.

## SECTION 1 DATA ENTRY: ENTER PARTNER NAME

Enter the name of your organization, exactly as it should appear on the Partner Listing of the SmartWay Web site.

The screenshot shows the 'SmartWay Multi-modal: Home' interface. At the top, there is a green header with the SmartWay logo, 'Data Year 2015', OMB 2060-0663 (Expiration Date 07/31/2017, Revised 2014), and 'Multi-modal United States Version: 2.0.15 Released on: 05/19/2016'. Below the header, a light blue area contains a list of steps. Step 1, 'Enter Partner Name (Exactly as it should appear on the SmartWay website):', is highlighted with a green bar and has a checkbox. A text input field is provided for this step, with a red box and arrow pointing to it labeled 'Enter Name Here'. Other steps include 'Contact Information', 'Define Your Component Fleets', 'Download Latest SmartWay Carrier Data File', 'Select Component Fleet for Data Entry', 'Define your Composite Fleets', 'Give us Feedback', and 'Generate a (.xml) data file'. At the bottom, there is a 'YOUR RESULTS' section with buttons for 'View Your Data Reports', 'Review your Year-to-Year Performance', and 'Visit the SmartWay Partner Portal'. A navigation bar at the very bottom includes buttons for 'BACK', 'SAVE', 'HELP', 'ZOOM IN', 'PRINT SCREEN', 'QUIT', and 'Screen Demo'.

Figure 27: Step 1 – Enter Partner Name

EPA publishes your company’s official name on the EPA SmartWay website and in the SmartWay Carrier Data File. This is how your customers will know that you are a SmartWay Partner, and how SmartWay Shippers and Logistics companies can identify your fleets for their reporting purposes. The name EPA lists is known as your “Partner Name” and is defined within Section 1 of the Multi-Modal Carrier 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.

## SECTION 2 DATA ENTRY: ENTER CONTACT INFORMATION

From the [Home](#) screen, select the [Contact Information](#) button.

The screenshot shows the SmartWay Multi-modal Data Year 2015 interface. The header includes the SmartWay logo, the text 'Data Year 2015', OMB 2060-0663, Expiration Date 07/31/2017 (Revised 2014), and 'Multi-modal United States Version: 2.0.15 Released on: 05/19/2016'. Below the header, a message reads: 'Please complete the following steps. Check boxes on the left indicate successful completion of each step. For more information, select the 'Help' button.' The main content area lists eight steps:

1. Enter Partner Name (Exactly as it should appear on the SmartWay website): ABC Freight, Inc.
2. **Contact Information** (highlighted with a red box and a red arrow pointing to it from a text box that says 'Select "Contact Information"')
3. Define Your Component Fleets [dropdown menu] ?
4. Download Latest SmartWay Carrier Data File
5. Select Component Fleet for Data Entry ?
6. Define your Composite Fleets ?
7. Give us Feedback ? Optional survey to help us improve your SmartWay experience.
8. Generate a (.xml) data file ? To complete your submission, email the small (.xml) data file and your large (.xls) tool file to EPA. If your email size limit cannot handle the tool file, send only the smaller data file.

Below the steps is a section titled 'YOUR RESULTS' with three buttons: 'View Your Data Reports', 'Review your Year-to-Year Performance', and 'Visit the SmartWay Partner Portal ?'. At the bottom, there is a navigation bar with buttons for 'BACK', 'SAVE', 'HELP', 'ZOOM IN', 'PRINT SCREEN', 'QUIT', and 'Screen Demo'. The page number 'Page MM-11' is visible in the bottom right corner.

Figure 28: Accessing the Contact Information Screen

You will then be taken to the [Contact Information](#) screens. These screens 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 X

Partner Information	Working Contact	Executive Contact	Other Contacts
Address1* <input type="text" value="123 Main St."/> Address2 <input type="text"/> City* <input type="text" value="Albany"/> State* <input type="text" value="NY"/> ZIP* <input type="text" value="85749"/> Country* <input type="text" value="USA"/> Main Phone* <input type="text" value="587-263-9475"/> Toll Free <input type="text" value="888-596-7425"/> Web Site <input type="text" value="www.abcfreight.com"/> <span style="float: right; background-color: #0070C0; color: white; padding: 2px 5px;">Show</span>			
<p>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.</p> <p>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.</p>			
<p><b>? Working Contact:</b></p> Name <input type="text" value="Mr."/> First* <input type="text" value="Michael"/> MI <input type="checkbox"/> Last* <input type="text" value="Collingsworth"/> Title* <input type="text" value="VP Operations"/>			
<p><b>? Executive Contact:</b></p> Name <input type="text" value="Mrs."/> First* <input type="text" value="Janice"/> MI <input type="checkbox"/> Last* <input type="text" value="Lange"/> Title* <input type="text" value="CEO"/>			
* - Required			
<div style="display: flex; justify-content: space-around; align-items: center;"> <span style="background-color: #0070C0; color: white; padding: 5px 10px; border: 1px solid #0070C0;">SAVE</span> <span style="background-color: #0070C0; color: white; padding: 5px 10px; border: 1px solid #0070C0;">HELP</span> <span style="background-color: #0070C0; color: white; padding: 5px 10px; border: 1px solid #0070C0;">ZOOM IN</span> <span style="background-color: #0070C0; color: white; padding: 5px 10px; border: 1px solid #0070C0;">PRINT SCREEN</span> <span style="background-color: #0070C0; color: white; padding: 5px 10px; border: 1px solid #0070C0;">HOME</span> <span style="background-color: #0070C0; color: white; padding: 5px 10px; border: 1px solid #0070C0;">VALIDATE SCREEN</span> <span style="background-color: #0070C0; color: white; padding: 5px 10px; border: 1px solid #0070C0;">ADD COMMENTS</span> <span style="background-color: #0070C0; color: white; padding: 5px 10px; border: 1px solid #0070C0;">NEXT </span> </div>			

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**Figure 29: 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.




Under the Working Contact tab:

The screenshot shows a web form titled "SmartWay: Contact Information" with a close button (X) in the top right corner. The form 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 light blue instruction box that says "Please enter information about your Working Contact here." The form fields are as follows:

- Name: Michael Collingsworth
- Address1\*: 123 Main St.
- Address2: (empty)
- City\*: Albany
- State\*: NY (dropdown menu)
- ZIP\*: 85749
- Country\*: USA
- Phone\*: 587-496-3487
- Ext: 112
- Cell: 563-987-1589
- Fax: 563-987-4628
- Email\*: mcollingsworth@abcfreight.com
- Confirm Email\*: mcollingsworth@abcfreight.com

A green checkmark icon is visible to the right of the Email\* field. Below the form fields, there is a legend: "\* - Required". At the bottom of the form, there is a navigation bar with several buttons: BACK, SAVE, HELP, ZOOM IN, PRINT SCREEN, HOME, VALIDATE SCREEN, ADD COMMENTS, and NEXT.

Figure 30: Working Contact Information Screen

1. 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.

**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 Executive Contact tab:

SmartWay: Contact Information

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

Please enter information about your Executive Contact here.

Name: Janice E Lange

[Use Partner Address](#)

Address1\*: 123 Main St.

Address2:

City\*: Albany State\*: NY ZIP\*: 85749 Country\*: USA

Phone\*: 596-748-5967 Ext: 114 Cell: 859-687-4896 Fax: 859-367-4829

Email\*: jlange@abcfreight.com

Confirm Email\*: jlange@abcfreight.com

\* - Required

Navigation: BACK SAVE HELP ZOOM IN PRINT SCREEN HOME VALIDATE SCREEN ADD COMMENTS NEXT

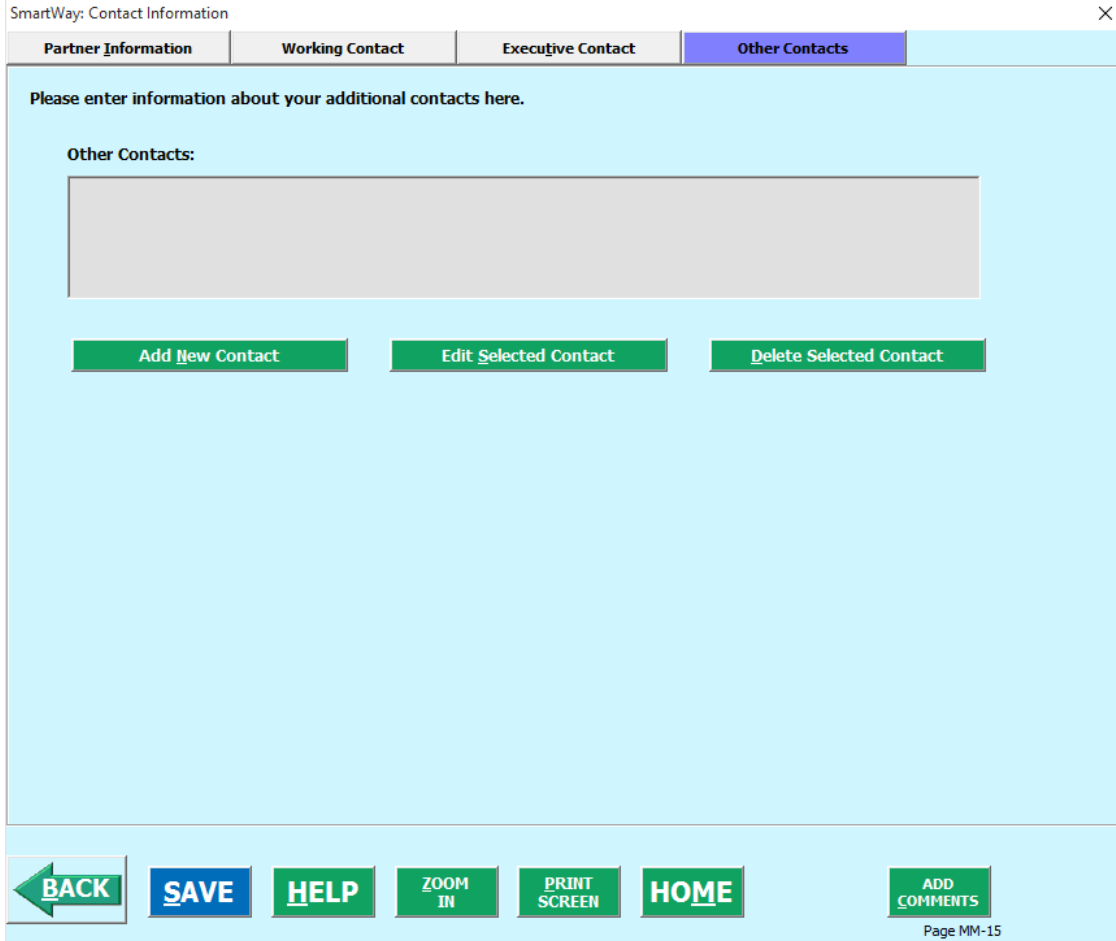
Page MM-14

Figure 31: Executive Contact Information Screen

1. Enter the Executive Contact information. If the Working Contact shares the same address as the company, you may select the [Use Partner Address](#) button to auto-populate the address section of this record.

4. **Enter Other Contacts.** Add additional contacts as necessary.

Under the Other Contacts tab:



**Figure 32: 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 **Edit Selected Contact** button. You can remove an existing contact by highlighting the contact and then selecting **Delete Selected Contact**.

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

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

### SECTION 3 DATA ENTRY: DEFINE YOUR COMPONENT FLEETS

#### Understanding Component and Composite Fleets:

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

---

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

---

To accomplish this SmartWay has developed the concept of "component" and "composite" fleets.

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

In the Multi-modal Carrier Tool you will be asked to input data for all of your component fleets which will include those you own and manage as well as any hired services you purchase. Once these

component fleets have been characterized you will be asked to build your composite fleets (the ones the public sees and can hire) from your component fleets. This process will attribute the appropriate weighted emission factors to your composite fleets, and demonstrate to your customers the benefits of using your multi-modal freight services.

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

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

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

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

Therefore the partner defines the following component fleets:

1. For its truckload fleet (using the Truck Mode selection)
2. For its dray fleet (using the Truck Mode selection)
3. For its 3PL fleet and hired dray operations (using the Logistics Mode selection)
4. For its rail operations (using the Rail Mode selection)

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

*Composite Fleet One: Truckload Division*

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

*Composite Fleet Two: Intermodal Division*

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

*Composite Fleet Three: Dray Division*

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

---

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

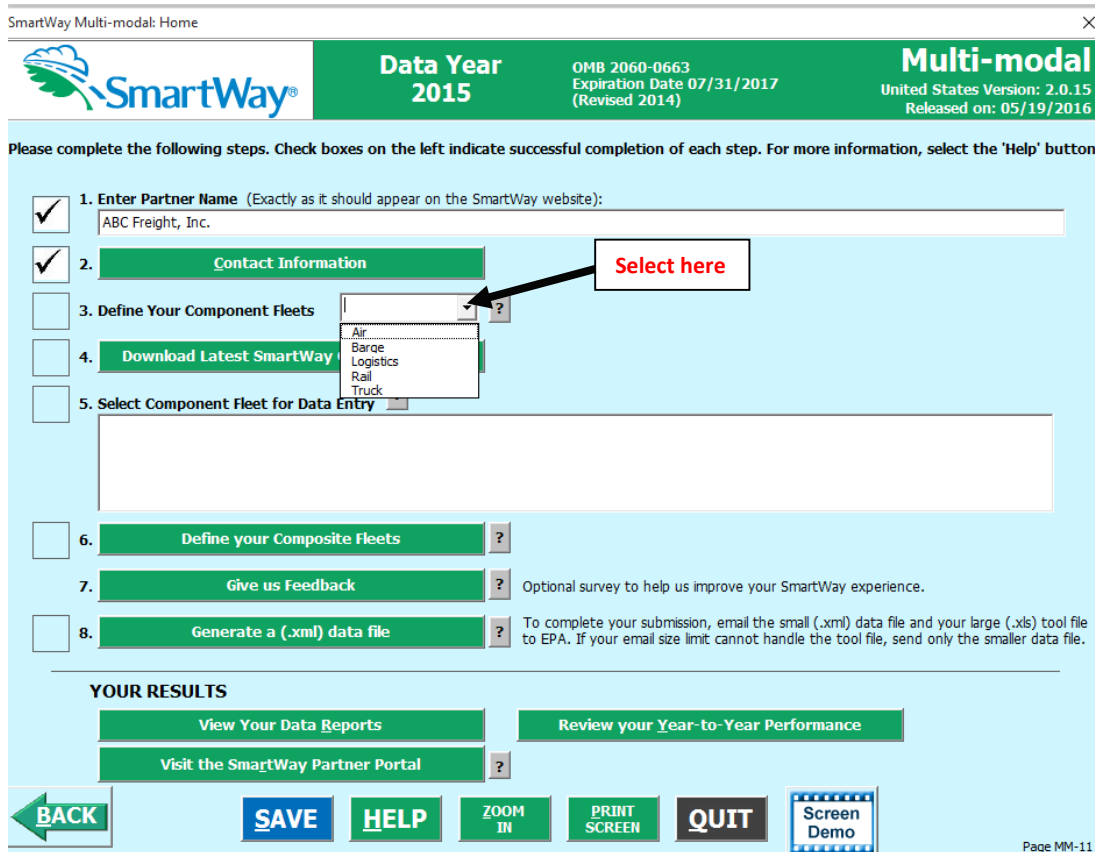
---

**SPECIAL CASE: Freight carried by a partner’s component truck fleet (A) for their composite intermodal business unit (B) should be allocated to business unit (B) in the “Allocate Component Fleets” tab (accessed through Section 6. of the Home screen). It should not be added in the Logistics section of the Tool, which would create a risk of “double-counting” that freight.**

**Defining Component Fleets:**

On the **Home** screen select the pull-down menu next to “Define Your Component Fleets” to display the available component fleet modes. The Multi-modal Carrier Tool currently allows users to define truck, logistics, barge, air and rail component fleets. Other modes will be added to the Tool in the future, including an ocean-going vessel.

Note that some terminology on the **Define Component Fleets** screens are slightly inconsistent between the Truck mode and the others modes such as Logistics, however the modes generally work and act the same. For example, “fleets” within the Truck mode are referred to as “Business Units” within the Logistics mode.



**Figure 33: Selecting Component Fleet Modes on Home Screen**

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

There are four screens in the **Truck Fleet Characterization** section of the Tool. These screens are also common to the Logistics section:

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

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

SmartWay Truck: Fleet Description(s) [X]

**Identify Fleets** | Fleet Details | Operation | Body Types

Input information for each component truck fleet operated internally by your company. Component fleets are fleets organized around your internal management of the company, while Composite Fleets (defined under Step 6 on the Multi-modal Tool Home screen), represent entities that your customers can hire to move their freight. For example, component fleets might include truckload, dray, and/or 3PL fleets. Component fleets serve as the building blocks for your Composite Fleets.

Truck Fleet names should start with your Company Name first (corresponding to the left hand column below), followed by the Fleet Identifier (corresponding to the second column below). If your company has only one fleet, you may leave the Fleet Identifier field blank.

To add component fleets, simply select the "Add Another Fleet" button at the bottom of the screen. Note that when you do this, the partner name portion carries forward from the first row.

Delete	Partner Name	Fleet Identifier	Fleet Name
<input type="checkbox"/>	1 ABC Freight, Inc.		ABC Freight, Inc.

[Delete Checked Rows] [Add Another Fleet]

[SAVE] [HELP] [ZOOM IN] [PRINT SCREEN] [HOME] [VALIDATE SCREEN] [ADD COMMENTS] [Screen Demo] [NEXT]

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Figure 34: Identifying Component Fleets

### Steps for Completing “Identify Fleets” Screen

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

- **Fleet (Partner Name):** Each of your component fleet names will begin with the name of your company. This fleet name will be whatever you enter in the Fleet Name (Partner Name) field on the Identify Fleets screen. By default, this field is automatically populated with the first 50 characters of the Partner Name that was entered on the **Home** screen. Whatever you enter for Fleet Name for the first fleet will automatically be used for any additional fleets you add. Similarly, any edits you make to the Fleet Name for the first fleet will automatically be reflected on each subsequent fleet. Note that this field is called Company Name for Logistics component fleets.
- **Fleet Identifier:** Please make sure to specify each fleet identifier name exactly as you want it displayed on the SmartWay website, including proper capitalization, any abbreviations, and punctuation. Remember that it will automatically be combined with the Fleet Name (Partner Name) field. NOTE: If you have only one fleet, you may leave the Fleet Identifier field blank, in which case your fleet name will simply be your Partner Name. Note that this field is called the Business Unit Identifier for Logistics component fleets.


### **Adding and Deleting Component Fleets**

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

### **Adding Comments/Notes**



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



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

next year. If comments have been added for a particular screen, the  button will now read

 to indicate to your reviewer that there are comments to be read.

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



To proceed, select the [Fleet Details](#) tab at the top of the screen, or simply select the button at the bottom of the screen.



**Screen 2:** The **Fleet Details** screen is shown below for the Truck mode.

SmartWay Truck: Fleet Description(s) ×

**Identify Fleets** | **Fleet Details** | Operation | Body Types

This screen asks you to provide information that your customers will use to search for your fleet in their own SmartWay tools.

- First, remember that you selected this tool because your company "controls" its own truck fleets. (If you move 10% or more of your freight by rail, air, or barge, or have a logistics division, you should use the Multi-modal tool.)
  - "Control" means that your company owns or leases, and routes and maintains, the trucks in its fleet for at least 95% of the miles traveled. For each of these fleets, check the 95+% Control box to verify this status.
- Enter your SCAC, MCN, NSC, and DOT information if available. It is important to provide as much information as you can, because if your customers can't find your fleets, they may assume you are NOT a SmartWay Partner and may contact you regarding your SmartWay status.
- Enter your Fleet Type.

Partner/Fleet Name	95+% Control ?	SCAC(s) ?	MCN ?	DOT ?	NSC ?	Fleet Type ?
1: ABC Freight, Inc.: Overnight Ground	<input checked="" type="checkbox"/>	OGND	8526669	3335874		For-Hire
2: ABC Freight, Inc.: Express Ground	<input checked="" type="checkbox"/>	EGND	1128998	3335698		For-Hire
3: ABC Freight, Inc.: Priority Ground	<input checked="" type="checkbox"/>	PGND	2528279	5744826		For-Hire

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**Figure 35: Fleet Details (Truck Mode)**

### Steps for Completing "Fleet Details" Screen

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

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

The key question regarding definition of "control" is: Am I able to influence the fuel efficiency of the trucks, and can I collect data on the trucks? SmartWay understands that control within the trucking business exists along a continuum. On one hand, some fleets purchase their own trucks, spec, maintain, and route the trucks, and have full operational control over the trucks, for example controlling the speed the trucks are allowed to drive, when and where they can idle, etc. These fleets have a high degree of control. On the other end of the continuum, some companies hire other parties to move the freight, and other than assigning a load with a

pickup/destination point, have no interaction with the freight delivery, or ability to influence the fuel efficiency of the truck or the collection of data on the truck.

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

- **Standard Carrier Alpha Codes (SCACs):** The Standard Carrier Alpha Code is a unique 2-4 alphabetic character code used by the transportation industry to identify transportation companies. If your fleet has a SCAC, please input that information. If you have a single fleet that has multiple SCACs, enter all of the codes into the SCAC field, and separate them with commas. It is not required to enter SCAC information for each component fleet. SCACs are assigned by the National Motor Freight Traffic Association, Inc., (NMFTA). If you cannot remember your SCAC(s), please contact NMFTA before proceeding. You can find NMFTA contact information at <http://www.nmfta.org/Pages/ContactUs.aspx>.
- **Motor Carrier Number (MCN):** The Motor Carrier Number is a 5 to 7 digit number provided by the Federal Motor Carrier Safety Administration. If your fleet has a Motor Carrier Number, please input that information. It is not required to enter MCN information for each component fleet.
- **Department of Transportation (DOT) Numbers** are carrier identification number issued to all carriers in the U.S. by the Federal Motor Carrier Safety Administration, and can be up to 7 digits in length.
- **National Safety Code (NSC) Numbers** are carrier identification numbers issued to fleets with Canadian registration.

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*NOTE: Entering SCACs, MCNs, DOT, and NSC numbers are optional; however, if you have this information you are encouraged to supply it to make sure that SmartWay Shippers and Logistics companies can identify you.*

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- **Fleet Type:** Fleet Type is defined as the service type for your fleet. There are two options accepted by the Tool—“For-Hire,” “Private,” and “Dedicated.” If your company has only one fleet, your “Fleet Type” selection will reflect your company’s operations as a whole. If there are multiple fleets, each will have its fleet type defined separately.

Screen 3: The **Operation Categories** screen is shown below (Figure 36).

SmartWay Truck: Fleet Description(s) ×

Identify Fleets | Fleet Details | **Operation** | Body Types

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

Partner/Fleet Name	Operation Category (%)					Total
	Truckload	Less Than Truckload	Drayage	Package Delivery	Expedited	
1: ABC Freight, Inc.: Overnight Ground	100					100
2: ABC Freight, Inc.: Express Ground	50			50		100
3: ABC Freight, Inc.: Priority Ground	25	25		25	25	100

Navigation: BACK | SAVE | HELP | ZOOM IN | PRINT SCREEN | HOME | VALIDATE SCREEN | ADD COMMENTS | Screen Demo | NEXT

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Figure 36: Operation Screen (Truck Mode)

**Steps for Completing “Operation Categories” Screen (Truck Mode Only):**

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

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

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

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

Screen 4: **Body Types** is shown below (Figure 37).

SmartWay Truck: Fleet Description(s) ×

**Identify Fleets** | **Fleet Details** | **Operation** | **Body Types**

For each fleet, enter the percentage of total vehicles by body type. Percentages must sum to 100 percent for each fleet.  
When finished, select the CREATE FLEET(S) button at the bottom of this screen to create the data entry forms for your fleets.

Partner/Fleet Name	Body Type (%)										Total
	Dry Van	Reefer	Flatbed	Tanker	Chassis	Heavy/ Bulk	Auto Carrier	Moving	Utility	Special Hauler	
1: ABC Freight, Inc.: Overnight Ground	100										100
2: ABC Freight, Inc.: Express Ground	50	20			25	5					100
3: ABC Freight, Inc.: Priority Ground	100										100

**CREATE FLEET(S)**

← BACK
SAVE
HELP
ZOOM IN
PRINT SCREEN
HOME
VALIDATE SCREEN
ADD COMMENTS
Screen Demo

Figure 37: Body Types Screen (Truck Mode)

**Steps for Completing “Body Types” Screen (Truck Mode Only):**

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

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

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

Once you are sure your information is input correctly, you may select the

**CREATE FLEET(S)**

button at the bottom of the page.

If, at a point later in the data entry process, you realize that you need to add a new fleet or delete an existing fleet, you can return to the **Identify Fleets** screen. To add a new fleet, follow all of the instructions on the screen regarding defining your fleets, including selecting the

**CREATE FLEET(S)**

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

If you need to delete an existing fleet, simply select the box next to the fleet and then select the

**Delete Checked Rows**

button. Note that, if you have already generated data entry forms for the fleet you are deleting, the system will prompt you to confirm the deletion.

---

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

---

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

As on the other screens there is a **HELP** button as well as an **ADD COMMENTS** button. Selecting **HOME** will take you back to the **Home** screen (see **Figure 33**). At this point you may define another component fleet following the same process, or proceed to Step 4 on the **Home** screen.

**Data Requirements for Business Unit Characterization Screen (Logistics Mode Only):**

The **Business Unit Characterization** screen is shown below.

SmartWay: Business Unit Characterization - Logistics

Identify Logistics Business Units | Logistics Business Unit Details | **Business Focus**

Enter the percentage of total activity associated with each Business Focus category. Percentages should sum to 100 for each of your Business Units. When you have filled out the required information, select the "Create Business Unit(s)" button at the bottom of the screen.

Business Unit Name	Business Focus (%)					Total
	Logistics Provider	Freight Forwarder	Freight Broker	Truck Carrier	Rail Freight Broker	
1: ABC Freight, Inc.: Southwest	100					100
2: ABC Freight, Inc.: Northeast	50	25		25		100

**CREATE BUSINESS UNIT(S)**

BACK SAVE HELP ZOOM IN PRINT SCREEN HOME VALIDATE SCREEN ADD COMMENTS Screen Demo

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**Figure 38: Business Focus Screen (Logistics Mode Only)**

For each Logistics business unit you will need to specify the percent of total activity associated with the different Business Unit Focus categories, listed below.

- **Logistics Provider:** Logistics providers are non-asset based third parties that provide multiple, bundled logistics services. They may be involved in material management, transportation management, inbound and outbound freight, inventory management, 4PL activities, warehousing, cross dock, kitting, packaging, and sub assembly processes.
- **Freight Forwarder:** Freight forwarders are documentation specialists and consolidators of freight such as LTL (less than truckload) and LCL (less than container load). Freight forwarders

normally provide pickup and delivery for domestic and international shipments, and provide the property transportation for a compensation or fee basis.

- **Freight Broker:** A freight broker buys and sells transportation services and normally works on behalf of a carrier or shipper.
- **Truck Carrier:** Truck carriers operate their own managed fleet (owned or leased). These fleets can be for-hire or private/dedicated. Refer to “Choosing the Right Tool for your Business Units” in Part I of this guide to determine if you should complete the SmartWay Truck Tool for the Truck Carrier portion of your operations.
- **Rail Freight Broker:** A freight broker buys and sells transportation services and normally works on behalf of a carrier or shipper.

The following presents the unique data requirements for other component fleet modes.

### **Data Requirements for Rail Fleet Characterization Screen:**

The **Rail Fleet Characterization** screen is shown below.

Smartway Rail: Fleet Description(s) [X]

Input information for each component rail fleet operated internally by your company. Component fleets are fleets organized around your internal management of the company, while Composite Fleets (defined under Step 6 on the Multi-modal Tool Home screen), represent entities that your customers can hire to move their freight. For example, component fleets might include rail, truckload, dray, and/or 3PL fleets. Component fleets serve as the building blocks for your Composite Fleets.

Rail Fleet names should start with your Company Name first (corresponding to the left hand column below), followed by the Fleet/Division (corresponding to the second column below). If your company has only one fleet, you may leave the Fleet Identifier field blank.

Next select the Class for the fleet (1, 2, or 3).

To add component fleets, simply select the "Add Another Fleet" button at the bottom of the screen. Note that when you do this, the partner name portion carries forward from the first row.

Delete	Fleet (Partner Name)	Fleet Identifier	Fleet Name	Class
<input type="checkbox"/>	1 ABC Freight, Inc.	Straight-line	ABC Freight, Inc.: Straight-line	2

[X] Delete Checked Rows [Add Another Fleet]

[CREATE FLEET(S)]

[SAVE] [HELP] [ZOOM IN] [PRINT SCREEN] [HOME] [VALIDATE SCREEN] [ADD COMMENTS] [Screen Demo]

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**Figure 39: Rail Fleet Characterization Screen**



The fleet naming procedure for Rail fleets is identical to that for Truck and Logistics fleets. In addition, the user must also specify the Class of the rail carrier with Class 1 corresponding to the largest North American carriers, Class 2 to mid-sized regional carriers, and Class 3 to local shortline companies.

**Data Requirements for Air Fleet Details Screen:**

The **Air Fleet Details** screen is shown below.

Smartway Air: Fleet Description(s)

Please provide the requested information for each fleet defined on the previous screen. The total number of aircraft specified must match the values entered in the upcoming Aircraft Inventory screen. Once complete select the 'Create Fleets' button at the bottom of the screen in order to generate the blank data templates for each fleet. Refer to the help buttons in the column headers and at the bottom of this screen for additional information regarding data entry selections.

Partner/Fleet Name	Fleet Type	Service Area	Revenue Category	# of Aircraft
1: ABC Freight, Inc.: Overnight	Dedicated Freight	National	Medium	25
2: ABC Freight, Inc.: Priority	Dedicated Freight	National	Medium	15

CREATE FLEET(S)

BACK SAVE HELP ZOOM IN PRINT SCREEN HOME VALIDATE SCREEN ADD COMMENTS Screen Demo

**Figure 40: Air Fleet Details Screen**

For each air fleet, you are asked to provide additional details.

- Fleet Type:** Fleet types include dedicated freight services, passenger services and mixed freight and passenger services. A fleet is considered a dedicated freight service provider if 75 % or more of their business is associated with shipments of cargo. If 25% or less of a partner's business is associated with shipments of cargo then they are considered primarily passenger service. Airlines where cargo shipments are less than 75 % and greater than 25 % of their business are considered mixed service providers.
- Service Area:** The Service Area allows you to differentiate between international services, domestic services including national or regional service areas. If your fleet provides a mixture of international and domestic services, select international.
- Revenue Category:** The Revenue Categories allow for future comparisons of similar sized business operations. For this data field, a fleet is considered large if its annual

revenues are over \$1 billion; medium if its annual revenue is between \$100 million and \$1 billion; small if its annual revenue is between \$20 and \$100 million; and micro if its annual revenue is less than 20 million.

- **Total Number of Aircraft:** For each fleet, identify the number aircraft.

**Data Requirements for Barge Fleet Details Screen:**

The **Barge Fleet Details** screen is shown below.

For each fleet specify the type of fleet (open-water barge or river barge), the total number of barges, and the total number of tugs for each. Make sure to report ALL vessels included in your fleet, including those used for hub operations and harbor services, as long as these are freight-related.

Partner/Fleet Name	Fleet Type	Total Number of Barges	Total Number of Tugs
1: ABC Freight, Inc.: East Coast	Open-water Barge	15	5
2: ABC Freight, Inc.: West Coast	Open-water Barge	20	7

Navigation buttons: BACK, SAVE, HELP, ZOOM IN, PRINT SCREEN, HOME, VALIDATE SCREEN, ADD COMMENTS, Screen Demo, NEXT

Figure 41: Barge Fleet Details Screen

For each barge fleet specify the type of fleet (open-water barge or river barge), the total number of barges, and the total number of tugs.

**Data Requirements for Barge Fleet Cargo Screen:**

The **Barge Fleet Cargo** screen is shown below.

Smartway Barge: Fleet Description(s) X

**Fleet Characterization** | **Fleet Details** | **Fleet Cargo**

For each fleet, enter the amount of cargo shipped per year by commodity category. Specify the amount in short tons, except for containers. For containers, specify the preferred unit (short tons or TEUs) using the dropdown.

A total summation is included on the far right for your information (the total will include the containers value if you specify this in short tons). If any cargo falls in the "other" category, you should add a comment describing the material shipped in the pop up screen that appears when entering the field.

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

Units for containers: Tons ?

**Commodity Group (Tons)**

Partner/Fleet Name	Containers	Coal	Sand and Gravel	Chemicals and Allied	Farm Products	Metallic Ores & Scrap	Finished Metals & Products	Petroleum	Coke	Lumber & Wood Products	Pulp, Paper & Allied Products	Motor Vehicles & Equip.	All Other Commodities	Total Tons
1: ABC Freight, Inc.: East Coast	3,652,874													3,652,874
2: ABC Freight, Inc.: West Coast			56,874,857											56,874,857

**CREATE FLEET(S)**

← BACK
SAVE
HELP
ZOOM IN
PRINT SCREEN
HOME
VALIDATE SCREEN
ADD COMMENTS
Screen Demo

Page B-3

**Figure 42: Barge Fleet Cargo Screen**

For each barge fleet, enter the amount of cargo shipped per year by commodity category, in short tons. Containers may be entered in TEUs by selecting TEUs from the "Units for containers" drop-down box. A total summation is included on the far right for your reference. If any cargo falls in the "other" category, you will be asked to add a description regarding the type of material shipped.

## **SECTION 4: DOWNLOAD SMARTWAY CARRIER DATA FILE**

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

### **Select Component Fleet for Data Entry**

On the **Home** screen, you will now see all the fleets you created listed in the window below item # 5: **Select Component Fleet for Data Entry.**

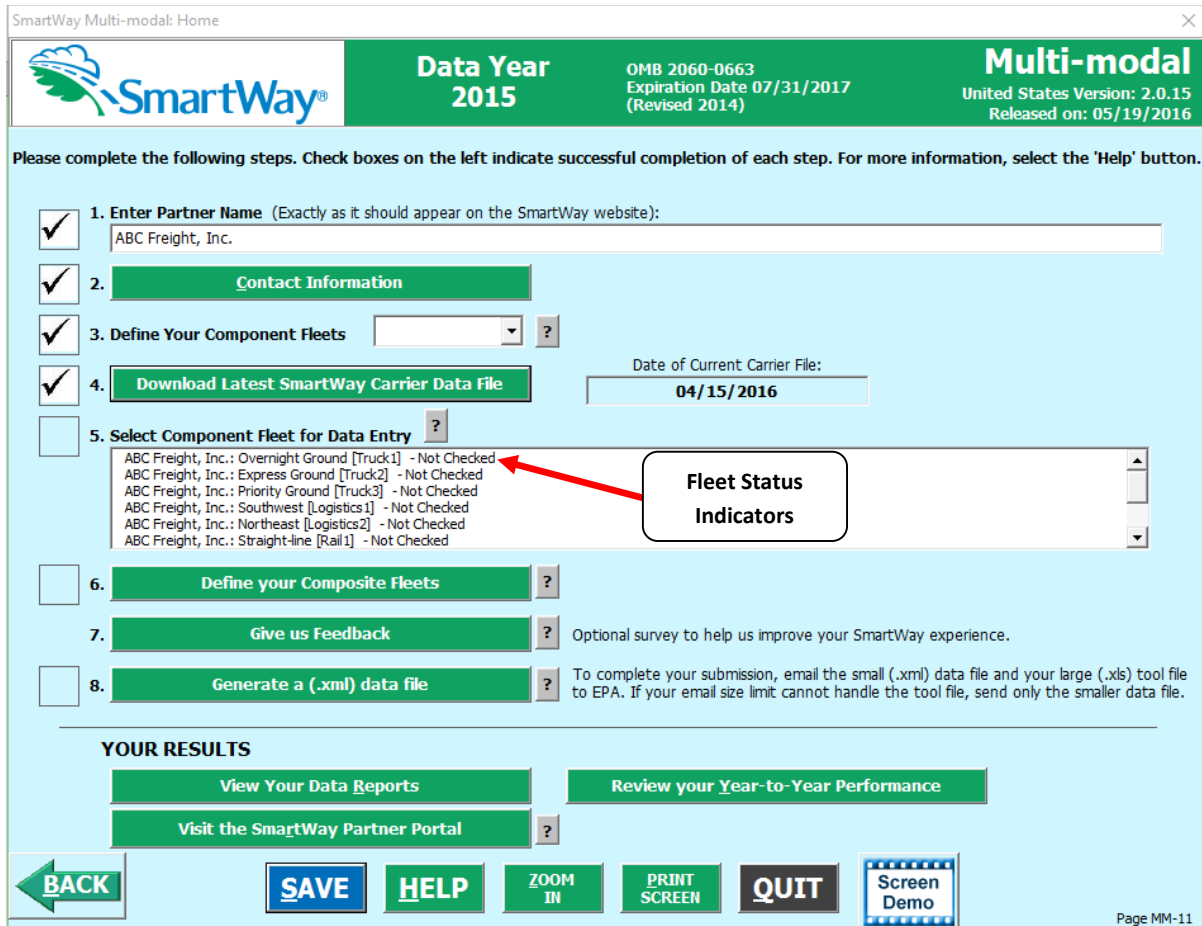


Figure 43: Home Screen with Component Fleet Status

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

- **Not checked** - Data has not been entered yet.
- **Incomplete** - Some data is still missing and/or inconsistent.
- **Complete** - All data requirements have been met and validation has occurred.

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

- **Errors** will prevent you from defining your composite fleets under Step 6 and prevent you from generating the **Internal Metrics Reports** under **View Your Data Reports**. **Errors must be addressed** before you can submit your Tool to EPA.
- **Warnings** will still allow you to run the **Internal Metrics Reports** and submit your data to EPA. **However, it is strongly recommended that you carefully review each warning message before sending your data to EPA** so that you can anticipate questions that may come from a Partner Account Manager as a result of your data being outside the expected ranges. The method for

addressing errors and warnings is described for subsequent input screens in the following sections.

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

### Auto-population Option:

If you used the auto-populate option to import the data for the initial steps, the **Home** screen will resemble the example shown below.

SmartWay Multi-modal: Home

**SmartWay** Data Year 2015 OMB 2060-0663 Expiration Date 07/31/2017 (Revised 2014) Multi-modal United States Version: 2.0.15 Released on: 05/19/2016

Please complete the following steps. Check boxes on the left indicate successful completion of each step. For more information, select the 'Help' button.  
*You used the auto-population function to fill in the initial steps (1, 2, and sometimes 3). Please make sure your data are correct and select the checkbox to the right of steps 2 and 3 to confirm your information.*

1. Enter Partner Name (Exactly as it should appear on the SmartWay website):  
Multi-modals R Us
2. Contact Information  I confirm that I have reviewed my contact information and it is correct.
3. Define Your Component Fleets  I confirm that I have reviewed my fleet description(s) and it is correct.
4. Download Latest SmartWay Carrier Data File
5. Select Component Fleet for Data Entry  
John's Multi-modal Company, Inc.: my beta truck fleet [Truck1] - Not Checked  
John's Multi-modal Company, Inc.: my charlie truck fleet [Truck2] - Not Checked  
John's Multi-modal Company, Inc.: my alpha truck fleet [Truck3] - Not Checked  
John's Multi-modal Company, Inc.: logistics fleet numero uno [Logistics1] - Not Checked  
John's Multi-modal Company, Inc.: logistics fleet numero duos [Logistics2] - Not Checked  
John's Multi-modal Company, Inc.: third logistics is just air [Logistics3] - Not Checked
6. Define your Composite Fleets
7. Give us Feedback Optional survey to help us improve your SmartWay experience.
8. Generate a (.xml) data file To complete your submission, email the small (.xml) data file and your large (.xls) tool file to EPA. If your email size limit cannot handle the tool file, send only the smaller data file.

**YOUR RESULTS**

View Your Data Reports Review your Year-to-Year Performance

Visit the SmartWay Partner Portal

BACK SAVE HELP ZOOM IN PRINT SCREEN QUIT Screen Demo

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Figure 44: Example Home Screen after Using Auto-populate Function

First review the Partner Name as it appears on the screen, revising it as necessary.

Next, you **MUST** review the populated **Contact Information** and **Fleet Information** screens, and then select the boxes to the right on the **Home** screen confirming the accuracy of the data. These boxes will not become active until you have opened the **Contact** and **Fleet Information** screens for review.

SmartWay

**Data Year 2015**

OMB 2060-0663  
Expiration Date 07/31/2017  
(Revised 2014)

**Multi-modal**  
United States Version: 2.0.15  
Released on: 05/19/2016

Please complete the following steps. Check boxes on the left indicate successful completion of each step. If you used the auto-population function to fill in the initial steps (1, 2, and sometimes 3) and select the checkbox to the right of steps 2 and 3 to confirm your information. Check boxes to confirm accuracy of auto-populated information

1. **Enter Partner Name** (Exactly as it should appear on the SmartWay website):  
Multi-modals R Us

2. **Contact Information**  I confirm that I have reviewed my contact information and it is correct.

3. **Define Your Component Fleets**  I confirm that I have reviewed my fleet description(s) and it is correct.

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

5. **Select Component Fleet for Data Entry**

John's Multi-modal Company, Inc.: my beta truck fleet [Truck1] - Not Checked  
John's Multi-modal Company, Inc.: my charlie truck fleet [Truck2] - Not Checked  
John's Multi-modal Company, Inc.: my alpha truck fleet [Truck3] - Not Checked  
John's Multi-modal Company, Inc.: logistics fleet numero uno [Logistics1] - Not Checked  
John's Multi-modal Company, Inc.: logistics fleet numero duos [Logistics2] - Not Checked

6. **Define your Composite Fleets**

7. **Give us Feedback** Optional survey to help us improve your SmartWay experience.

8. **Generate a (.xml) data file** To complete your submission, email the small (.xml) data file and your large (.xls) tool file to EPA. If your email size limit cannot handle the tool file, send only the smaller data file.

**YOUR RESULTS**

[View Your Data Reports](#) [Review your Year-to-Year Performance](#)

[Visit the SmartWay Partner Portal](#)

[BACK](#) [SAVE](#) [HELP](#) [ZOOM IN](#) [PRINT SCREEN](#) [QUIT](#) [Screen Demo](#)

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Figure 45: Example Home Screen Using Auto-populate – After Review of Steps 1 – 3

Once the confirmation boxes are checked you may proceed to Step 4.

## SECTION 5 DATA ENTRY: ENTER FUEL AND/OR ACTIVITY INFORMATION FOR EACH OF YOUR COMPONENT FLEETS

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

## **SECTION 6 DATA ENTRY: DEFINE YOUR COMPOSITE FLEETS**

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

The “**Define Your Composite Fleet**” section of the Tool has three subsections:

1. Identify Composite Fleet
2. Allocate Component Fleet
3. Composite Fleet Details

The requirements for each subsection are described below.

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

### **Identify Composite Fleets**

First, enter the name of your composite fleets on the first screen, [Identify Composite Fleets](#), as shown in **Figure 46**. Names include your Partner Name combined with your Composite Fleet Identifier. Remember to enter your composite fleet names exactly as you want them to be seen on the SmartWay website.

---

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

---

Identify Composite Fleets				Allocate Component Fleets	Composite Fleet Details
Please input the names of your composite fleets, making sure they appear as you wish them to be listed on the SmartWay website. Composite fleets are entities that your customers can hire to move their freight. For example you may have a truckload division and an intermodal division. The fleet naming convention is the same as for your component fleets.					
Delete		Company Name	Composite Fleet Identifier	Composite Fleet Name	
<input type="checkbox"/>	1	ABC Freight, Inc.	First	ABC Freight, Inc.: First	
<input type="checkbox"/>	2	ABC Freight, Inc.	Second	ABC Freight, Inc.: Second	
<input type="checkbox"/>	3	ABC Freight, Inc.	Third	ABC Freight, Inc.: Third	

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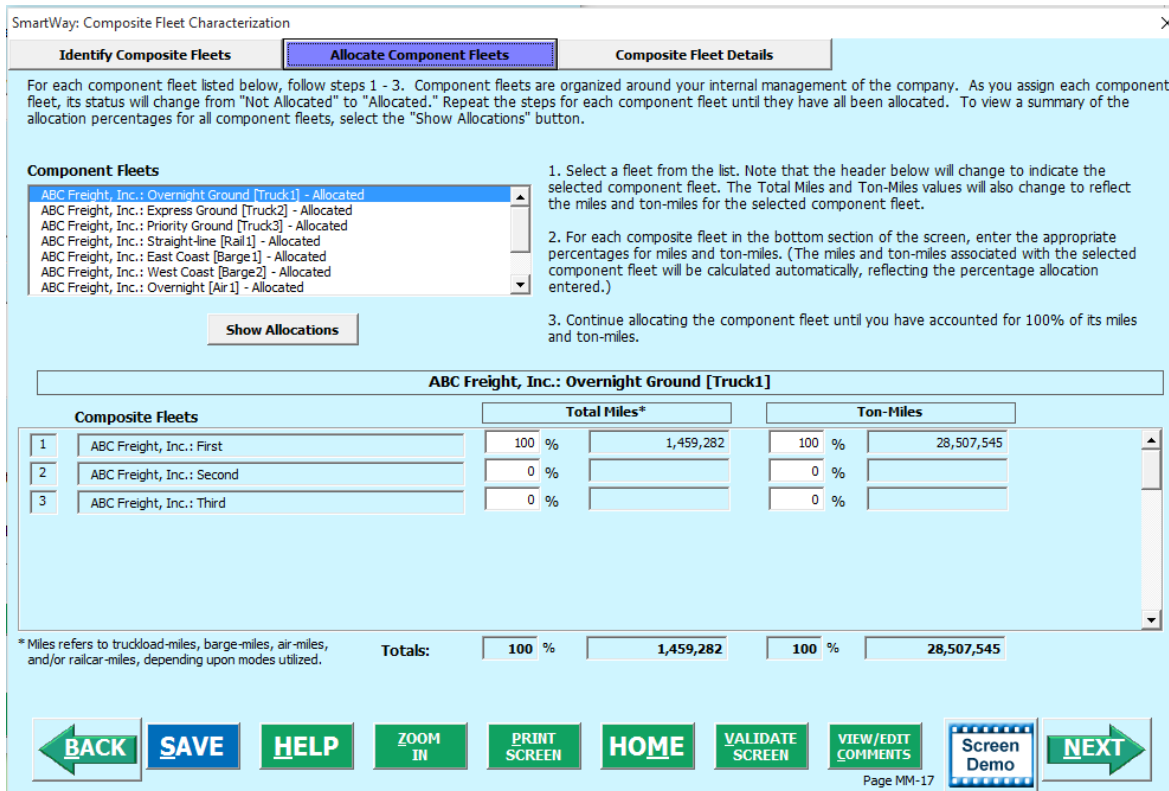
Figure 46: Identifying Composite Fleets

You may add more fleets by selecting  button. To proceed to the next screen, select the **Allocate Component Fleets** tab or select .

### Allocate Composite Fleets

Proceed to the **Allocate Component Fleets** screen (**Figure 47**) to see a list of all of the component fleets you defined under Step 3 (**Define Your Component Fleets**). All of the miles and ton-miles associated with each of these fleets must be assigned across one or more of the composite fleets you defined on the previous screen. You must allocate component fleet activity based on the percentage of total miles and total ton-miles attributable to each composite fleet. The total miles and ton-miles listed for each component fleet is automatically calculated from Step 5 where you entered the activity data for your component fleets. (Note that Total Miles refers to truckload miles for the Truck mode, railcar-miles for the Rail mode, barge-miles for the Barge mode, and aircraft miles for the Air mode.)





**Figure 47: Allocating Component Fleets**

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

The **Show Allocations** button located below the component fleet list allows you to view a summary of your composite fleet percentage allocations across all of your different component fleets, in order to confirm the accuracy of your assignments. An example is provided in **Figure 48**.

The **VALIDATE SCREEN** button will validate the information you enter on this screen. The ratio of total allocated ton-miles to total miles is checked for each composite fleet. If any of these ratios differ from industry average payload standards, you will receive a warning message. These warning messages are intended to flag possible data entry errors; however these warning messages will not prevent you from submitting your completed Multi-modal Carrier Tool to EPA.<sup>2</sup>

<sup>2</sup> Validation warnings are issued for low payloads if the average payload for a composite fleet is < 14.5 tons (based on the out of range warning for Class 8b TL/Dry Vans – see Truck Tool Technical Documentation for details). Warnings are issued at the high end if the average composite fleet payloads are > 60 tons. This value was chosen based on the distribution of payloads reported by Multi-modal Partners in 2012, with approximately two thirds of Partners having payloads less than this cutoff.

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

Composite Fleet Allocation		Data Year: 2015	05/05/2016		
Tool: Multi-modal		Company: ABC Freight, Inc.			
<b>Total Miles Allocation</b>					
Component Fleet	Status	Total Miles	First	Second	Third
ABC Freight, Inc.: Overnight Ground [Truck1]	Allocated	1,459,282	100.00%	0.00%	0.00%
ABC Freight, Inc.: Express Ground [Truck2]	Allocated	863,987	0.00%	100.00%	0.00%
ABC Freight, Inc.: Priority Ground [Truck3]	Allocated	569,874	0.00%	0.00%	100.00%
ABC Freight, Inc.: Straight-line [Rail1]	Allocated	64,993,910	12.00%	65.00%	23.00%
ABC Freight, Inc.: East Coast [Barge1]	Allocated	10,737,283	36.00%	0.00%	64.00%
ABC Freight, Inc.: West Coast [Barge2]	Allocated	1,746,572	20.00%	15.00%	65.00%
ABC Freight, Inc.: Overnight [Air1]	Allocated	9,507,986	5.00%	38.00%	57.00%
ABC Freight, Inc.: Priority [Air2]	Allocated	39,198	20.00%	15.00%	65.00%
ABC Freight, Inc.: Southwest [Logistics1]	Allocated	16,967,700	15.00%	85.00%	0.00%
ABC Freight, Inc.: Northeast [Logistics2]	Allocated	11,306,950	87.00%	8.00%	5.00%
		<b>117,372,742</b>			
<b>Ton Miles Allocation</b>					
Component Fleet	Status	Ton Miles	First	Second	Third
ABC Freight, Inc.: Overnight Ground [Truck1]	Allocated	28,507,545	100.00%	0.00%	0.00%
ABC Freight, Inc.: Express Ground [Truck2]	Allocated	16,934,145	0.00%	100.00%	0.00%
ABC Freight, Inc.: Priority Ground [Truck3]	Allocated	8,833,047	0.00%	0.00%	100.00%
ABC Freight, Inc.: Straight-line [Rail1]	Allocated	8,285,748,969	18.00%	75.00%	7.00%
ABC Freight, Inc.: East Coast [Barge1]	Allocated	37,285,969,741	48.00%	0.00%	52.00%
ABC Freight, Inc.: West Coast [Barge2]	Allocated	5,598,587,452	10.00%	15.00%	75.00%
ABC Freight, Inc.: Overnight [Air1]	Allocated	34,104,298	9.00%	48.00%	43.00%
ABC Freight, Inc.: Priority [Air2]	Allocated	73,155	14.00%	8.00%	78.00%
ABC Freight, Inc.: Southwest [Logistics1]	Allocated	866,516,171	24.00%	76.00%	0.00%
ABC Freight, Inc.: Northeast [Logistics2]	Allocated	816,536,158	92.00%	6.00%	2.00%
		<b>52,941,869,681</b>			

**Figure 48: Example Composite Fleet Allocation Summary**

Select the **Return to Entry Form** button to leave the spreadsheet and return to the allocation screen shown in **Figure 47**.

### **Composite Fleet Details**

First proceed by entering the SCAC, MCN, DOT, and NSC values for each composite fleet if available (see **Figure 49**). Separate multiple values by a comma if necessary. These values are not mandatory but will assist Shippers and Logistics Companies in identifying your fleets. Note that the primary category designation for each composite fleet (truck, logistics, or multi-modal) is listed to the right of the fleet names. Fleets with the same category designation will be grouped together in order to compare performance. For each composite fleet, enter the percentage of operations that occur in the United States and Canada.

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

**HOME**

SmartWay: Composite Fleet Characterization ×

**Identify Composite Fleets**    **Allocate Component Fleets**    **Composite Fleet Details**

Please enter the following detail information for each of your Composite Fleets listed below. The SCAC, MCN, DOT, and NSC information you enter here will be what the SmartWay partners will see when they are searching for SmartWay Multi-modal carriers. Please enter 'N/A' for SCAC, MCN, DOT, and/or NSC if your composite fleet doesn't have these. Next, indicate the approximate percentage of operations in the U.S. and Canada.

Composite Fleet Name	Designation	SCAC(s) ?	MCN(s) ?	DOT(s) ?	NSC(s) ?	Operations ?	
						US	CAN
ABC Freight, Inc.: First	Multi-modal	FRST	8754896	5258748	3259687	95 %	5 %
ABC Freight, Inc.: Second	Multi-modal	SCND	1258698	4785874		100 %	0 %
ABC Freight, Inc.: Third	Multi-modal	THRD	9675848	2256334	1169357	85 %	15 %

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HOME
VALIDATE SCREEN
ADD COMMENTS
Screen Demo

Figure 49: Example Composite Fleet Details Screen

## SECTION 7: PROVIDING ADDITIONAL INFORMATION

After completing Steps 1 – 6 on the [Home](#) screen, you may provide EPA with feedback regarding the SmartWay program. This information is optional and is not required in order to submit your Multi-modal Carrier Tool data to EPA. Selecting the [Give us Feedback](#) button on the [Home](#) screen will open the [Give Us Feedback](#) form (see [Figure 50](#)).

SmartWay Give Us Feedback

**OPTIONAL SMARTWAY SATISFACTION AND FEEDBACK SURVEY**

We are always trying to improve the SmartWay program and provide better service to our partners. By filling out this optional survey, you can help us improve the program. Thank you.

Partner Name: ABC Freight, Inc.

Please answer Yes or No

	Yes	No
Do you read the Tool User Guides?	<input checked="" type="radio"/>	<input type="radio"/>
Do you read the Tool Technical Documentation?	<input type="radio"/>	<input checked="" type="radio"/>
Do you regularly visit the SmartWay website?	<input checked="" type="radio"/>	<input type="radio"/>

On a scale of 1 to 10, 10 being the best:

How do you rate the SmartWay Tool?	10
How do you rate the SmartWay User Guide?	9
How do you rate the SmartWay Technical Document?	8
How do you rate the SmartWay Website?	7
How do you rate SmartWay support materials?	6

On a scale of 1 to 10, 10 meaning strongly agree:

I understand the goals of the SmartWay program	5
I understand how to participate in the program	4
I understand and know how to find information on the SmartWay website	3
I understand this SmartWay Tool	2
I understand the SmartWay emission factor ranking system	1
I understand the SmartWay Partnership logo guidelines	10

[SAVE](#) [HELP](#) [ZOOM IN](#) [PRINT SCREEN](#) [HOME](#) [ADD COMMENTS](#)

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Figure 50: Give us Feedback 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.

Once you have completed these three screens, select the [HOME](#) button to return to the [Home](#) screen.

## SECTION 8: SUBMITTING DATA TO SMARTWAY

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

Select the **Generate a (.xml) data file** button, which will open the following screen.

Create submission file for EPA

**SmartWay®** **Data Year 2015** OMB 2060-0663 Expiration Date 07/31/2017 (Revised 2014) **Multi-modal** United States Version: 2.0.15 Released on: 05/19/2016

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

I understand and agree to the terms of this agreement.

ZOOM IN PRINT SCREEN CANCEL NEXT

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Figure 51: Creating Submission Files 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 for your Annual Submission ID, which has been sent to you by your SmartWay Partner Account Manager via email. If you cannot locate your submission ID you can select the **Email me my SmartWay ID** button to have your ID sent to you. Submission of the SmartWay ID is optional.

If you are not an existing SmartWay Partner you will be asked how your company initially heard about SmartWay, and possibly some follow-on questions (see **Figure 52** below).

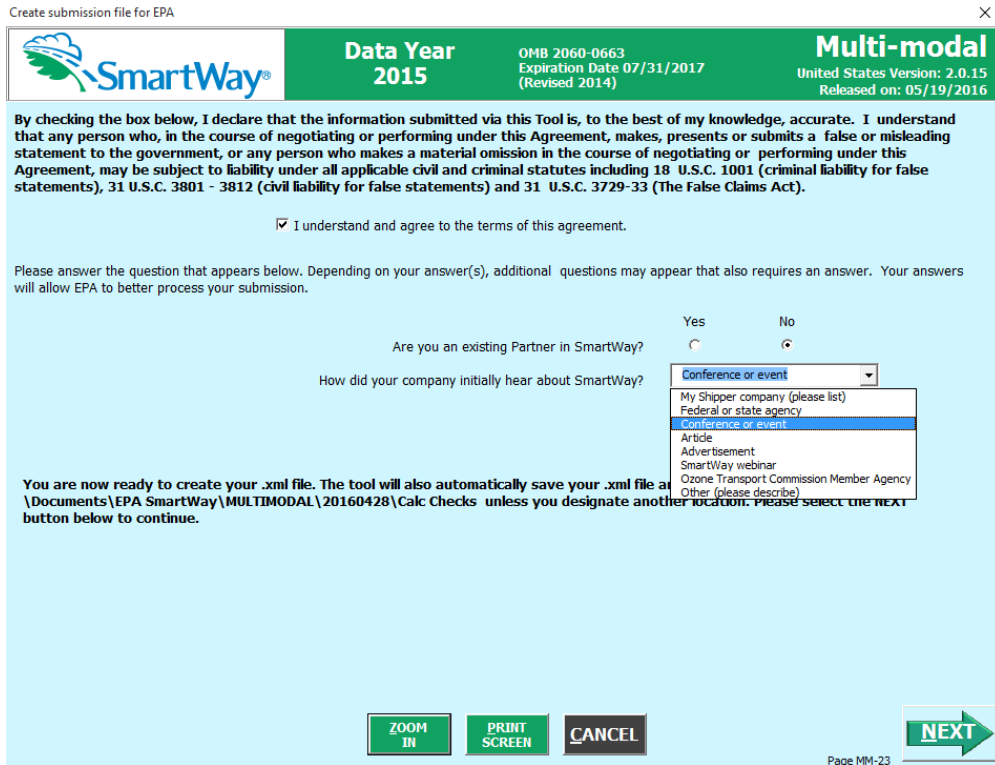



Figure 52: Completed Submission File Screen

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

**Multi-modal\_PartnerName\_Year\_V0.xml**<sup>3</sup>

**For example, Multi-modal\_ABCompany\_2015\_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 file, and the following screen will appear.

<sup>3</sup> If you create the XML file multiple times the file name will increment each time (e.g., Multi-modal\_ABCompany\_2014\_V1.XML for the second iteration, etc).

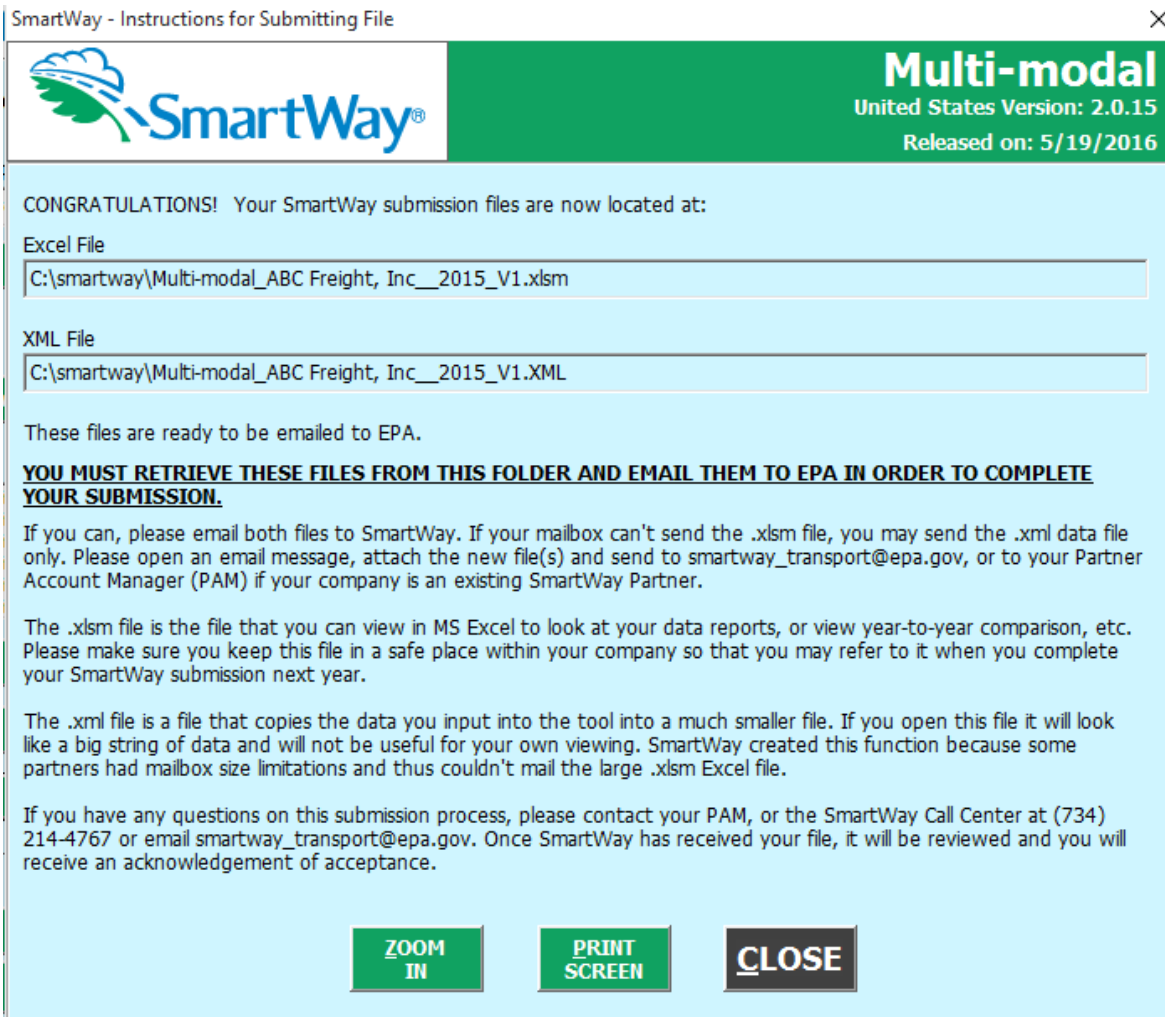


Figure 53: Instructions for Submitting xml Files to EPA

Follow these instructions for submitting your .xml and .xlsx files to SmartWay. Note that the .xml file is approximately 10 times smaller than the .xlsx file itself. Upon selecting **CLOSE**, a screen will appear that allows you to close the Multi-modal Carrier Tool or return to the **Home** screen.

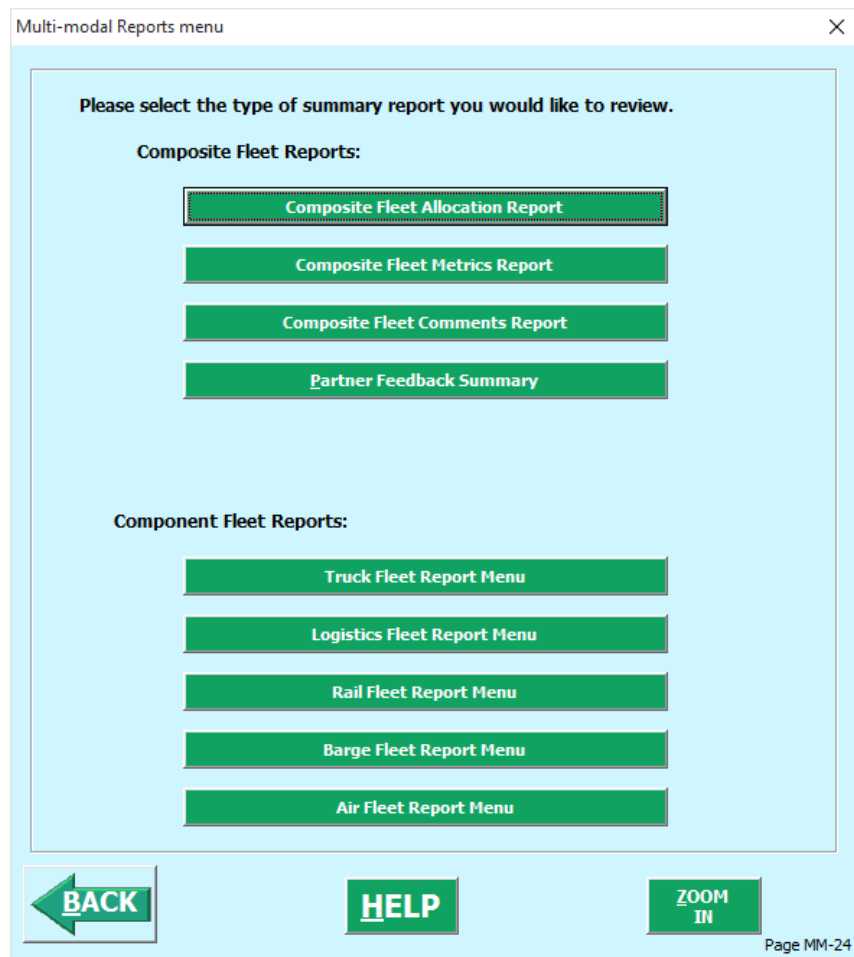
***NOTE: DO NOT ZIP the Files. Send them to EPA as a normal file attached in an e-mail. EPA security will not allow zipped files through the EPA firewall.***

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

## OPTIONAL DATA REVIEW

### VIEWING YOUR DATA REPORTS

Once you complete allocating component fleet activity across your composite fleets and return to the **Home** screen, you may select the **View Your Data Reports** button which will take you to the following screen:



**Figure 54: Multi-modal Reports Menu**

Selecting any of the green buttons will display data for the selected fleet type (component by mode, or composite). You will then proceed to another screen where you can choose how to view the results. Selecting any of the summary report types will take you to a screen allowing you to preview and print your reports. **Figure 55** shows one of many sample reports that the Tool can generate for you, in this case summarizing the performance metrics for each composite fleet. Similar composite reports are



available by carrier mode and Partner-level totals, as well as component fleet reports by mode type. These reports will prove useful for your company’s evaluation and improvement efforts.

SmartWay®		05/05/2016		
<b>Composite Fleet Metrics Report</b>		<b>Data Year: 2015</b>		<b>Tool: Multi-modal</b>
<b>By Composite Fleet</b>		<b>Company: ABC Freight, Inc.</b>		
<b>Based on Annual Miles</b>				
CO2	Grams per Mile (Statute)	Grams per Ton-Mile (Statute)	Total Emissions (Short Tons)	
ABC Freight, Inc.: First	7,355	13	301,092	
ABC Freight, Inc.: Second	11,615	111	951,853	
ABC Freight, Inc.: Third	13,958	11	284,178	
<b>Based on Annual Miles</b>				
NOx	Grams per Mile (Statute)	Grams per Ton-Mile (Statute)	Total Emissions (Short Tons)	
ABC Freight, Inc.: First	73.9	0.1	2,947.93	
ABC Freight, Inc.: Second	138.2	1.2	10,129.51	
ABC Freight, Inc.: Third	142.0	0.1	2,703.31	
<b>Based on Annual Miles</b>				
PM2.5	Grams per Mile (Statute)	Grams per Ton-Mile (Statute)	Total Emissions (Short Tons)	
ABC Freight, Inc.: First	1.65	0.003	63.7762	
ABC Freight, Inc.: Second	2.74	0.021	184.2294	
ABC Freight, Inc.: Third	2.74	0.002	57.3935	
<b>Based on Annual Miles</b>				
PM10	Grams per Mile (Statute)	Grams per Ton-Mile (Statute)	Total Emissions (Short Tons)	
ABC Freight, Inc.: First	1.69	0.003	65.1267	
ABC Freight, Inc.: Second	2.81	0.022	189.2484	

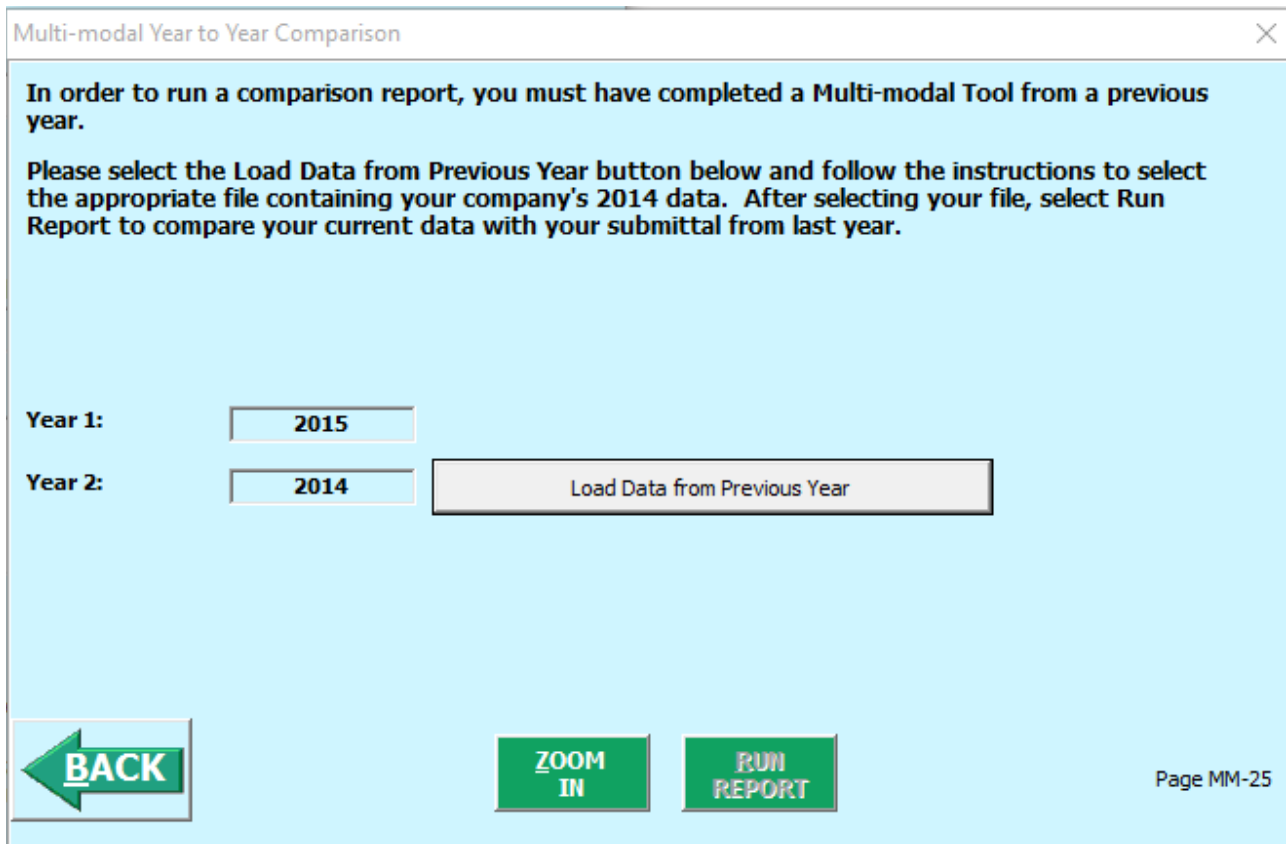
Figure 55: Example of Completed Composite Fleet Metrics Report

## REVIEWING YOUR YEAR-TO-YEAR PERFORMANCE

The **Year-to-Year Performance Report** is another optional section of the Tool, allowing the user to compare the fleet characteristics and activity values, as well as CO<sub>2</sub> performance metrics for the current reporting year with 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 the **Review your Year-to-Year Performance** button under the “Your Results” section on the **Home** screen.


**Figure 56** shows the data entry screen for the comparison report. Note that your most recent year's data is already "loaded," including the data you have entered for your current fleet(s). In order to load data for the previous year fleets, select the **Load Data from Previous Year...** button.

A screen will appear allowing you to specify the location of your prior year file, using the **Browse...** button.



**Figure 56. Load Previous Year Data for Year-to-Year Report**

Once your prior year data is loaded into the Multi-modal Carrier Tool, select the **RUN REPORT** button to view the line-item data entry comparisons. An example report is presented in **Figure 57**.



1  
2 **Comparison Report** 05/05/2016  
3

Field	Change %	Change Amount	2015	2014
<b>Total Component Fleets:</b>				
Number of Fleets	20%	2	10	8
Total Miles	26%	30,780,080	117,372,742	86,592,662
Total Ton-Miles	82%	43,426,684,380	52,941,869,681	9,515,185,301
Avg Payload*	76%	341.18	451.06	109.88
CO2 g/Mile	73%	8,178	11,251	3,073
CO2 g/Ton-Mile	-13%	(3.45)	26.34	29.79
CO2 Mass Emissions (Tons/Year)	80%	1,224,710	1,537,123	312,413
NOx g/Mile	63%	78.69	124.76	46.07
NOx g/Ton-Mile	-44%	(0.119)	0.270	0.389
NOx Mass Emissions (Tons/Year)	74%	11,701.6	15,780.8	4,079.2
PM2.5 g/Mile	49%	1.2357	2.4991	1.2634
PM2.5 g/Ton-Mile	-127%	(0.0066)	0.0052	0.0118
PM2.5 Mass Emissions (Tons/Year)	60%	181.95	305.3992	123.4473
PM10 g/Mile	49%	1.2599	2.5614	1.3015
PM10 g/Ton-Mile	-124%	(0.0067)	0.0054	0.0121
PM10 Mass Emissions (Tons/Year)	60%	186.86	313.5431	126.6824
<b>Truck Component Fleets:</b>				
Number of Fleets	33%	1	3	2
Total Miles	-370%	(10,705,030)	2,893,143	13,598,173
Total Ton-Miles	-264%	(143,237,398)	54,274,737	197,512,135
Avg Payload*	23%	4.24	18.76	14.52
CO2 g/Mile	-4%	(61)	1,663	1,724
CO2 g/Ton-Mile	-34%	(29.73)	88.64	118.37
CO2 Mass Emissions (Tons/Year)	-386%	(20,468)	5,303	25,771
NOx g/Mile	-96%	(1.81)	1.89	3.70
NOx g/Ton-Mile	-151%	(0.153)	0.101	0.254
NOx Mass Emissions (Tons/Year)	-823%	(49.4)	6.0	55.4
PM2.5 g/Mile	-725%	(0.1197)	0.0165	0.1362
PM2.5 g/Ton-Mile	-933%	(0.0084)	0.0009	0.0093
PM2.5 Mass Emissions (Tons/Year)	-3763%	(1.98)	0.0527	2.0356
PM10 g/Mile	-721%	(0.1233)	0.0171	0.1404

MultiComparisonReport

Figure 57. Example Year-to-Year Report

Comparisons are also shown for a number of activity parameters for the composite fleet and each component fleet including:

- Number of fleets
- Total miles
- Total ton-miles
- Average payload
- Total Mass Emissions


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

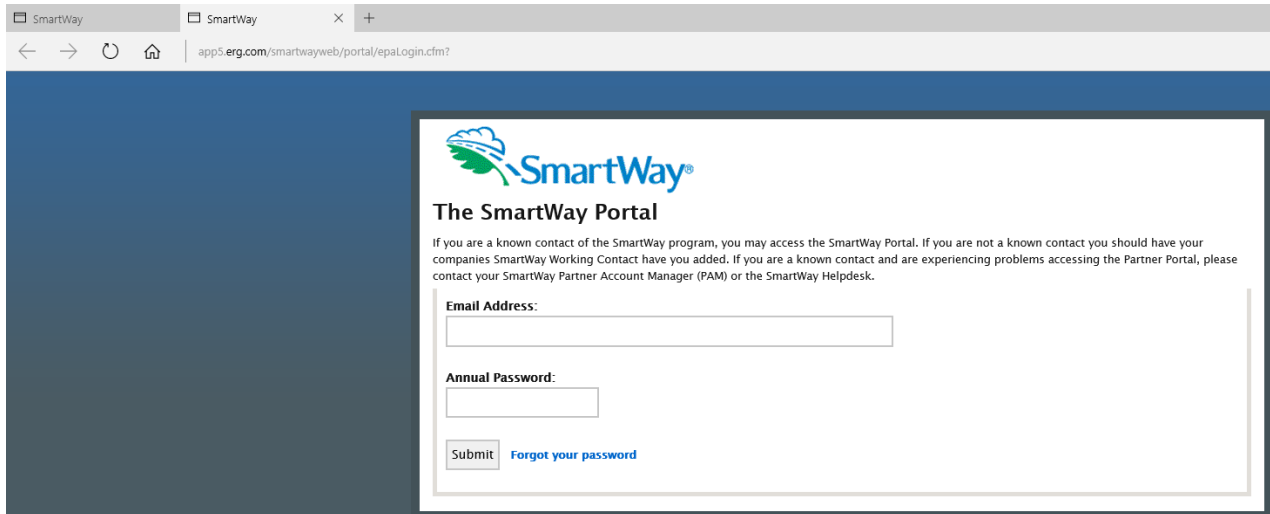
- Average grams CO<sub>2</sub> per mile
- Average grams CO<sub>2</sub> per ton-mile
- Total CO<sub>2</sub> mass emissions (tons/year)
- Average grams NOx per mile (M1)
- Average grams NOx per ton-mile (M2)

- Total NO<sub>x</sub> mass emissions (tons/year)
- Average grams PM2.5 per mile (M1)
- Average grams PM2.5 per ton-mile (M2)
- Total PM<sub>2.5</sub> mass emissions (tons/year)
- Average grams PM10 per mile (M1)
- Average grams PM10 per ton-mile (M2)
- Total PM<sub>10</sub> mass emissions (tons/year)

Percentage changes are also indicated for each of these items, relative to the earlier year baseline values.

### [VISIT THE SMARTWAY PARTNER PORTAL](#)

You may select the  button which will open a web browser to the login page of the **EPA SmartWay Portal (Figure 58)**. Logging into the SmartWay Partner Portal allows you to access your Registration Document, Logo information and files, and SmartWay Press Releases.



**Figure 58. SmartWay Portal Login Page**

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## Troubleshooting the Tool

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Although the revised SmartWay Tools have been tested extensively, you may encounter errors. Intermittent errors have been encountered when opening the Tools directly from an e-mail rather than from a drive, or when multiple Excel files are open simultaneously. If you encounter an error during use of the Tool, please try restarting it directly from a disk drive, with all other Excel files closed. In addition, make sure that your computer is using a system and application version validated for use with the SmartWay 2013 Tools (XP, Vista, or Windows 7 operating systems; Excel Office 2007, 2010, or 2013.)

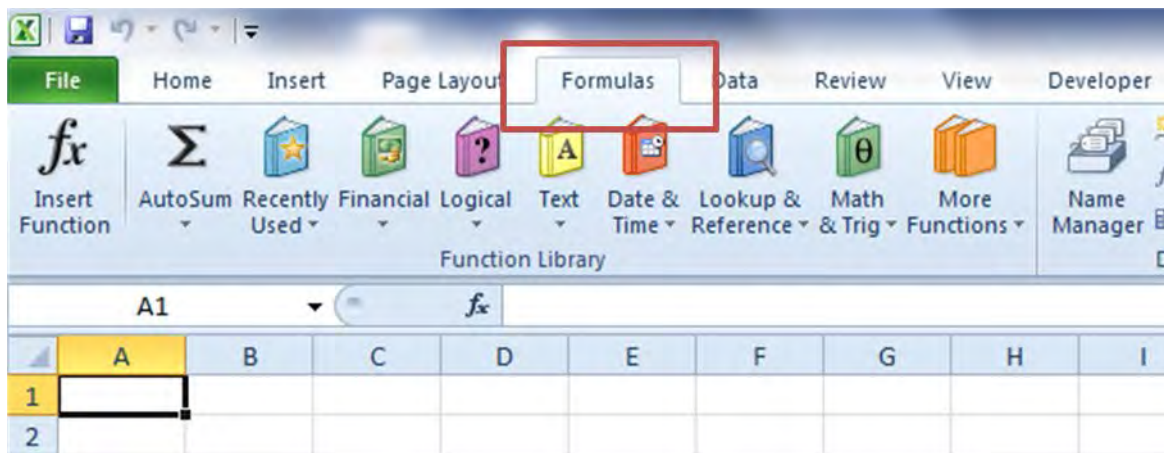
If you continue to encounter problems, please make a screen capture of the error message, and save the data at that point. (You can make a screen capture by pressing Alt-Prt Scr, and then pasting the image into a document such as MS Word.) Then send the screenshot, along with the saved data to your Partner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

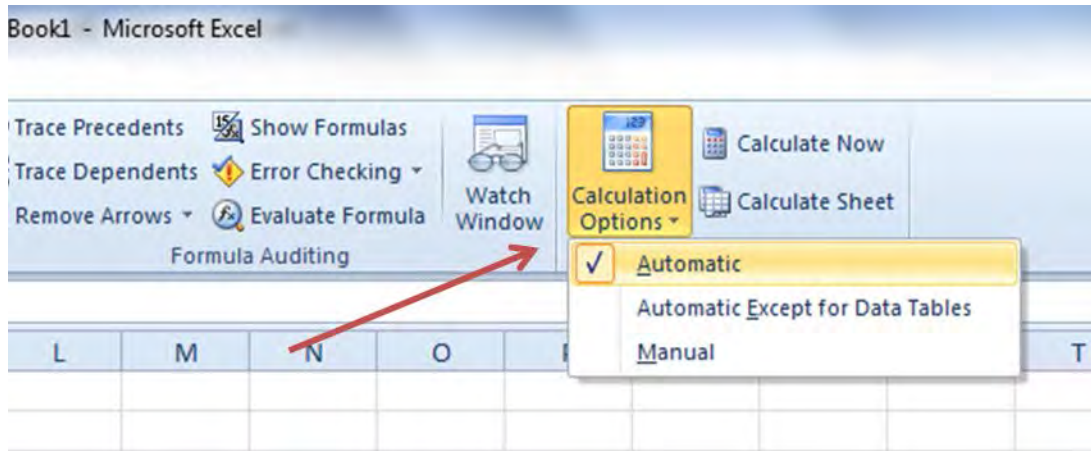
### *Proper Calculation Setting*

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**

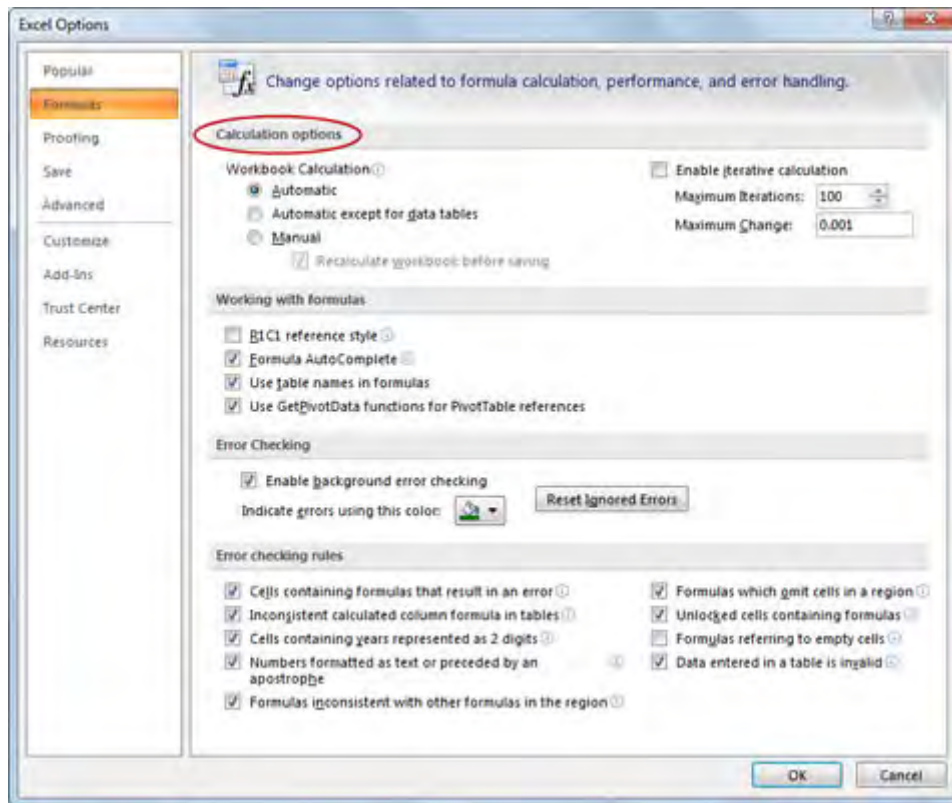
Choose the “Formulas” tab. Select the “Calculation Options” button in the “Calculation” section to view the drop-down list of options. Choose “Automatic” from the list of options to switch to automatic calculation.





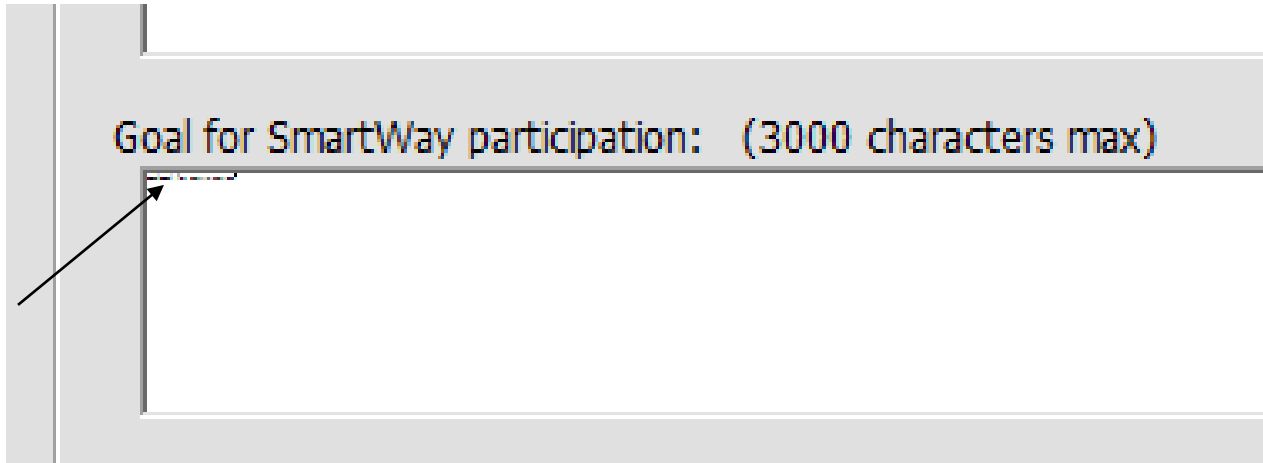
### **Office 2007**

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 2013 Text Display*

Users of MS Office 2013 may encounter problems displaying text entries. The example below shows how the information typed into the “Goal for SmartWay participation” text box is barely visible. This is due to a bug in the MS Office system itself.



EPA has corrected the display problem in certain locations within the Tool, but if you encounter this problem we recommend opening a different word processor such as MS Word, typing the desired entry in the word processor, then cutting and pasting the entry back into the text box within the Tool. This should allow you to view your entry properly within the Tool.

## Appendix A – Calculating Composite Fleet Performance Metrics

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

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

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

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

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

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

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

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

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



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

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

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

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

**Note:** Class 2 and 3 Rail component fleets do not report railcar miles. Accordingly, grams per mile values cannot be calculated directly from their fleet inputs and must be estimated. In order for the Multi-modal Carrier Tool to calculate gram per mile values for composite fleets containing Class 2 or 3 component rail fleets, SmartWay assumes these fleets have gram per mile emission rates equal to those assumed for modal average rail carriers.

Emission factors for all rail fleets within the Multi-modal Carrier Tool are reported in grams per truck-equivalent mile to facilitate compositing with truck fleets. Therefore the grams per railcar-mile values for Rail Carriers are converted to grams per truck-equivalent mile, using the fleet average rail car volume value of 6,091 cubic feet and the average truck trailer volume of 3,180 cubic feet, resulting in the following modal average gram per mile factors used for all rail fleets:

$$\text{CO}_2 \text{ g/mi} = 1,072$$

$$\text{NO}_x \text{ g/mi} = 18.6$$

$$\text{PM}_{10} \text{ g/mi} = 0.52$$

$$\text{PM}_{2.5} \text{ g/mi} = 0.50$$

Please see the Rail Tool Technical Documentation for details.

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## Appendix B – Worksheets

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### List of Worksheets

<a href="#">WORKSHEET #1: COMPANY AND CONTACT INFORMATION</a> .....	83
<a href="#">WORKSHEET #2: COMPONENT FLEET CHARACTERIZATION</a> .....	84
<a href="#">WORKSHEET #3A: IDENTIFY COMPOSITE FLEETS AND COMPOSITE FLEET DETAILS</a> .....	<b>ERROR!</b>
<b>BOOKMARK NOT DEFINED.</b>	
<a href="#">WORKSHEET #3B: ALLOCATE COMPONENT FLEETS</a> .....	86

## WORKSHEET #1: COMPANY AND CONTACT INFORMATION

### #1. Enter your Contact Information:

#### General Company Contact Information

Company Name							
Headquarters Mailing Address							
City		State/Province		Zip		Country	
Main Phone Number		Toll-free Number		Cell number		Web Address	

#### Working Contact Information

Working Contact Name							
Working Contact Mailing Address							
City		State/Province		Zip		Country	
Working Contact Phone Number				Email Address			

#### Executive Contact Information

Executive Contact Name							
Executive Contact Mailing Address							
City		State/Province		Zip		Country	
Executive Contact Phone Number				Email Address			

#### Other Contact Information

Other Contact Name							
Other Contact Mailing Address							
City		State/Province		Zip		Country	
Other Contact Phone Number				Email Address			
Contact's role in program							

## WORKSHEET #2: COMPONENT FLEET CHARACTERIZATION

Complete this worksheet for each component truck and/or logistic fleet you will be submitting in the Multi-modal Carrier Tool.<sup>4</sup>

### ***#2: Define your Fleets***

Partner Name and Fleet Identifier

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SCAC: \_\_\_\_\_ MCN: \_\_\_\_\_ DOT#: \_\_\_\_\_ NSC: \_\_\_\_\_

FLEET TYPE: \_\_\_\_\_ 95% Control\* \_\_\_\_\_

#### **Operation Category Percentages (must sum to 100):**

Truckload \_\_\_\_\_ LTL \_\_\_\_\_ Drayage \_\_\_\_\_ Package Delivery \_\_\_\_\_ Expedited \_\_\_\_\_

#### **Body Type Percentages (must sum to 100):**

Dry Van \_\_\_\_\_ Reefer \_\_\_\_\_ Flatbed \_\_\_\_\_ Tanker \_\_\_\_\_ Chassis \_\_\_\_\_ Heavy Bulk \_\_\_\_\_  
Auto Carrier \_\_\_\_\_ Moving \_\_\_\_\_ Utility \_\_\_\_\_ Special Hauler \_\_\_\_\_

**If Special Hauler is selected, please describe type:**

---

#### **Business Unit Characterization Percentages (Logistics Only):**

Logistics Provider \_\_\_\_\_ Freight Forwarder \_\_\_\_\_ Freight Broker \_\_\_\_\_ Truck Carrier \_\_\_\_\_  
Rail Freight Broker \_\_\_\_\_

\* Applicable for Truck fleets, not Logistics fleets

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<sup>4</sup> Component Rail fleets only require Partner Name, Fleet Identifier and Rail Class (1, 2, or 3).

## WORKSHEET #3A: IDENTIFY COMPOSITE FLEETS AND COMPOSITE FLEET DETAILS

Complete the following for each composite fleet you will be submitting in the Multi-modal Carrier Tool.

### ***#3A: Define Your Composite Fleets***

Company Name / Component Fleet Identifier

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SCAC: \_\_\_\_\_

Motor Carrier Number: \_\_\_\_\_

DOT Number: \_\_\_\_\_

NSC: \_\_\_\_\_

Percent US Operation: \_\_\_\_\_

Percent Canada Operation: \_\_\_\_\_

### WORKSHEET #3B: ALLOCATE COMPONENT FLEETS

Complete the following table for each component fleet you will be assigning to the composite fleets listed in Worksheet 3A.

#### ***#3B: Allocate Your Component Fleets***

List each composite fleet identified in Worksheet 3A. Add lines to the table below or copy the table multiple times if necessary.

“% Miles” and “% Ton-Miles” columns must each sum to exactly 100% for each component fleet.

	Composite Fleet Name	% Miles	% Ton-Miles
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			
15			
16			
17			
18			
19			
20			