

2017 SmartWay Logistics Company Partner Tool: Quick Start Guide U.S. Version 2.0.16 (2016 Data Year)





2017 SmartWay Logistics Company Partner Tool: Quick Start Guide U.S. Version 2.0.16 (Data Year 2016)

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Overview

In this guide you will learn about:

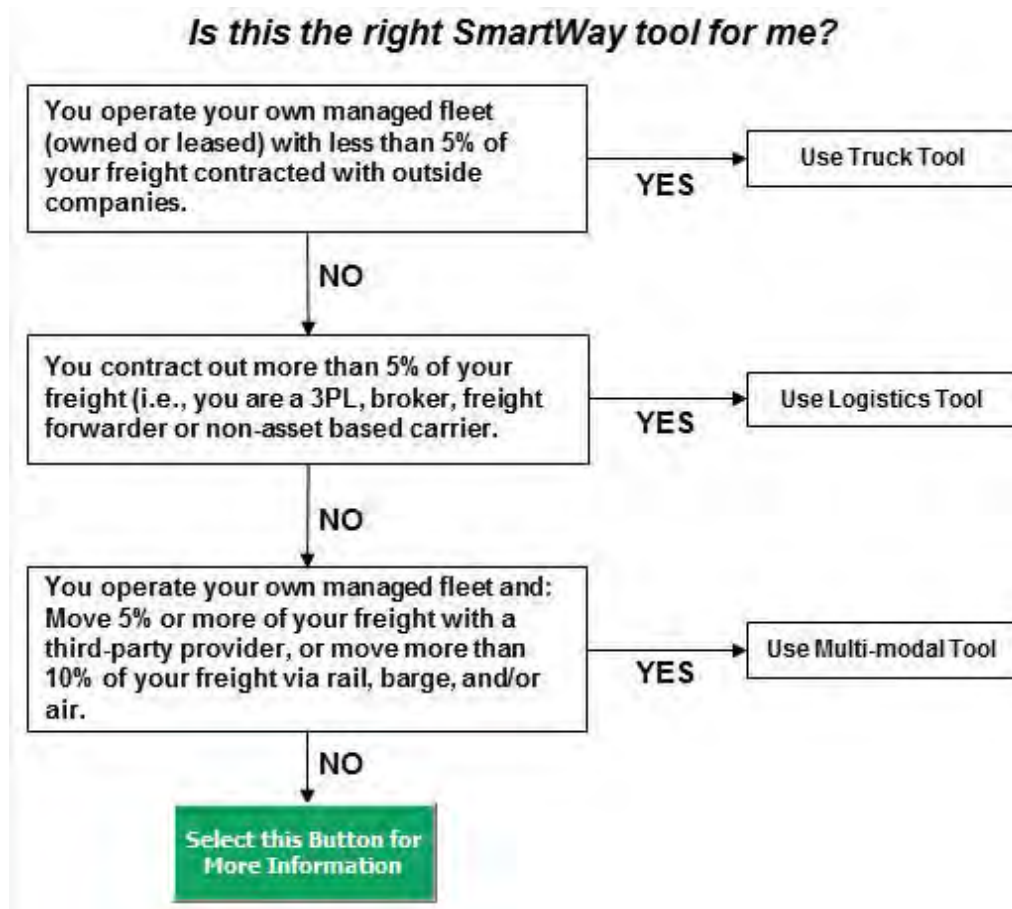
- 1) SmartWay Basic Information
- 2) Joining SmartWay Transport Partnership as a logistics company
- 3) Understanding the details of the SmartWay Partnership Agreement
- 4) Meeting software/hardware requirements for participating in the program
- 5) Gathering the data necessary for participation in SmartWay

Please review this guide carefully BEFORE attempting to gather your company data, or entering data into the Logistics Tool. Understanding the basics of the program will simplify your SmartWay experience.

NOTE: The Quick Start Guide consists of pages 4 through 31. Worksheets to help you gather and identify data for your tool submission are an extra resource provided here for your convenience.

WARNING:

*****Before beginning, use this chart to make sure you are choosing the right Tool for your operations! *****



If none of the above statements is applicable, contact EPA SmartWay at 734-214-4647 for assistance.

Section 1—Basic Information for Logistics Companies

This section covers frequently asked questions and essential information about the SmartWay Transport Partnership and how logistics companies can participate.

WHAT IS THE SMARTWAY TRANSPORT PARTNERSHIP?

Launched in 2003, the SmartWay Transport Partnership is a public/private collaboration between the EPA and the freight industry to improve fuel efficiency, increase environmental performance, and encourage supply chain sustainability.

Seven types of freight transport companies can join SmartWay.

- Freight shippers
- Logistics companies (including 3PLs/4PLs¹)
- Truck carriers
- Rail carriers
- Barge carriers
- Air carriers
- Multimodal carriers

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

SmartWay ranks Partners' efficiency and environmental performance and recognizes superior performance through the SmartWay Excellence Awards.

WHY DO LOGISTICS COMPANIES JOIN THE SMARTWAY TRANSPORT PARTNERSHIP?

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

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

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

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

Participation in SmartWay helps SmartWay Logistics Partners

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

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

HOW DO LOGISTICS COMPANIES JOIN THE SMARTWAY TRANSPORT PARTNERSHIP?

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

Logistics companies that submit Tools that are approved by EPA are known as "SmartWay Logistics Company Partners."

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

All SmartWay Logistics Company Partners agree to complete and submit the SmartWay Logistics Tool to:

- define business unit(s) composition
- characterize company activity
- individually benchmark multiple business units
- track annual changes in performance

Upon approval of a Logistics Tool submission, a logistics company will be identified as a SmartWay Logistics Partner on EPA's website, on the SmartWay Partner List, and in a database used to identify companies that meet SmartWay's annual requirements. The carrier will also receive information on how to access its current SmartWay registration document.

HOW DO I JOIN IF MY PARENT COMPANY HAS MULTIPLE BUSINESS UNITS?

Companies that join the SmartWay partnership should include all of their business units in their submission. If a company wishes to list multiple business units in the Logistics Tool, they should list these business units as their customers can hire them. Internal fleets invisible to a customer should not be listed separately. Companies will be listed at the Company level in the SmartWay Partner list on the SmartWay website, and each individually defined fleet will appear as a separate entity in the SmartWay Carrier Data file that customers use to identify which fleets they do business with in the Logistics Tool.

SmartWay highly recommends developing your list of business units before beginning your data entry process. Any business unit that a shipper could hire directly should be listed as a separate business unit in your Logistics Tool submission.

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

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

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

- The official company name, EXACTLY as you would like it presented on the EPA website
- Company contact information
- Contact details for your Working Contact
- Contact details for an Executive Contact (cannot be the same as the Working Contact)
- A comprehensive list of business units, including:
 - Business unit details, such as:
 - Standard Carrier Alpha Codes (SCACs)
 - Motor Carrier Numbers (MCNs)
 - US DOT Number
 - National Safety Codes (NSCs)
 - Business Unit Type
 - Business unit focus (e.g., logistics provider, freight forwarder, freight broker, truck carrier, or rail freight broker)
 - Operation categories
- Data sources for all data to be entered
- SmartWay ID number (if this is not your first Tool submission)

This data must be provided for all of your company's fleets. This data reflects the amount of freight carried by each carrier, the distance that freight is carried, and the fuel consumed to carry the freight.

WHAT IS INCLUDED IN THE SMARTWAY LOGISTICS COMPANY PARTNERSHIP AGREEMENT?

To join the SmartWay Transport Partnership as a Logistics Company, you must agree to the language on the “Partnership Agreement for Logistics Companies.” When you begin working within the Tool, you will be asked to check a box stating that you agree to the terms of the Partnership Agreement. **This agreement must be renewed annually.**

Please review this language with the appropriate personnel within your organization before completing or submitting a Tool to EPA. Your company’s Executive Contact must approve this agreement.

Partnership Agreement for Logistics Companies

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

1. Measure and report to EPA on an annual basis the environmental performance of your fleet(s) using EPA's SmartWay Logistics 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. Allow EPA to post performance results 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.
4. Treat individual corporate data as sensitive business information.

In return, EPA commits to:

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

General Terms

1. If the Partner or EPA defaults upon this agreement at any point, the agreement shall be considered null and void.
2. Either party can terminate the agreement at any time without prior notification or penalties or any further obligation.
3. EPA agrees not to comment publicly regarding the withdrawal of specific partners.
4. EPA reserves the right to suspend or revoke Partner status for any Partner that fails to accomplish the specific actions to which it committed in the SmartWay Transport Partnership Agreement and subsequent 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 organization.

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

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

WHAT SOFTWARE AND HARDWARE IS REQUIRED FOR COMPLETING THE SMARTWAY LOGISTICS TOOL?

The Logistics Tool was designed in “Microsoft Excel Forms.” Completing the Logistics Tool requires the following software and hardware:

- A 2003 or later version of Microsoft Excel
- Excel security level set at Medium or lower
- A PC running Windows XP or a 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)
- A minimum of 15 megabytes of free 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.

Please 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 Logistics Tool.

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

Section 2— Overview of Data Collection Requirements

This section will explore the data needed for completing the required sections of the Logistics Tool. **Worksheets are provided in the Appendix of this guide to help you prepare your data before entering it into the Logistics Tool.**

INTRODUCTORY SCREENS

Upon opening the 2016 Logistics Tool you will see a **Welcome** screen. Next you will find several Introduction screens. If you are not familiar with the Tool, or if you wish to review the basic organization and functions of the Tool, these screens can help you become oriented. The Assistance for New Users screen appears first, and allows users to view an orientation video. Additional screens may be accessed from this screen, including Tool selection guidance, data collection needs, Tool help and navigation, the SmartWay Partner Schedule for 2017, and a link to the SmartWay website. These are general information screens and may be skipped if you are already familiar with the Tool. However, upon proceeding you **MUST** select the box at the bottom of the Partnership Agreement screen, indicating that you agree to the terms of the Partnership Agreement.

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, Logistics Business Unit Information), based on the prior year’s submittal or, for new partners, information submitted through the online Partner Application. This option can save time and ensure naming consistency for your contacts and business unit(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.

ESTABLISHING YOUR DATA COLLECTION YEAR

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

SPECIFY OFFICIAL PARTNER NAME

Your Partner Name is the official name that your customers would recognize for your company—in other words, the name someone hiring you would look for.

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

For example, if you enter:

- ABC Company
- ABC Company, Inc.
- ABC COMPANY LLC

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

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

ENTER CONTACT INFORMATION

The SmartWay Tool asks for:

- **General company information** such as location, web address, phone number, etc.
- **A Working Contact**³ for any questions about your company's participation and Tool submissions
- **An Executive Contact**⁴ for participation in awards and recognition events
- **Additional contacts (optional)**: Additional contacts may include anyone who is not the Working Contact but may be involved with SmartWay (e.g., press/media contact, fleet manager, etc.).

Note that you **MUST** have at least two contacts listed in the contact information section of the Tool, and the Working and Executive Contacts must be different. SmartWay recommends developing an internal succession plan to make sure that your Logistics Carrier Tool submission schedule is maintained, in the event that a Working Contact is reassigned, or leaves the company for any reason.

³ 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 company data; completing and updating the Tool itself; maintaining direct communication with SmartWay; and keeping interested parties within the company apprised of relevant developments with SmartWay.) NOTE: To ensure that emails from SmartWay/EPA are not blocked, new working contacts may need to add SmartWay/EPA to their preferred list of trusted sources.)

⁴ The Executive Contact is the company executive who is responsible for agreeing to the requirements in the SmartWay Partnership 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.

LOGISTICS BUSINESS UNIT CHARACTERIZATION

The Logistics Tool tracks business unit-level operations. Most logistics companies should create one business unit; i.e., one line.

However, if you have multiple business units that can be hired by customers individually, you should create multiple business unit records in the Tool and characterize their operations individually. You should not include internal company fleet definitions or designations—only separate business units as they would be identified and hired by your customers.

There are three screens in the **Business Unit Characterization** section of the Tool:

- **Identify Logistics Business Units:** For each business unit that a customer can hire, you will be asked to establish a name. Each business unit name will begin with your Partner Name, and will include a business unit identifier. Use a business unit identifier that is recognizable by your customers.
- **Logistics Business Unit Details:** For each business unit, you will be asked to provide SCACs, MCN, DOT, and/or NSC numbers (optional—for fleet identification); define the business unit as “for-hire,” “private,” or “dedicated.”
- **Business Focus:** For each business unit, you will need to specify the percent of overall activity for each business focus category (e.g., logistics provider, freight forwarder, freight broker, truck carrier, or rail freight broker).

Data requirements for these three screens are described in greater detail below.

“IDENTIFY LOGISTICS BUSINESS UNITS” SCREEN

For each logistics business unit, you will need to specify:

- **Company Name:** On the SmartWay website, each of your business unit names will begin with the name of your company. This company name will be whatever you enter in the Company Name field on the “Identify Logistics Business Units” screen. By default, the Company Name for your first business unit on the screen is automatically populated with the first 50 characters of the Partner Name that was entered on the Home screen. You should specify the Company Name so that it appears EXACTLY as it you want it to show within each business unit name. (For example, if your company's name includes "Inc." or "Ltd.", you may choose not to include that in your fleet names.) Please pay special attention to proper capitalization, abbreviations, and punctuation. Remember that this name will be automatically inserted at the start of each of your business unit names on the SmartWay website.
- **Business Unit Identifier:** Please make sure to specify each business unit identifier 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 your

Company Name. NOTE: If you have only one business unit, you may leave the Business Unit Identifier field blank, in which case your business unit name will simply be your Company Name.

NOTE: Define your business units based on the ability of your customers to choose them. If a business unit includes a mix of TL and LTL, you will indicate the percentages of each. If customers can choose to hire your TL business unit, your LTL business unit, or your dray business unit separately, then each should be regarded as a separate business unit.

“LOGISTIC BUSINESS UNIT DETAILS” SCREEN

For each business unit, you will need to specify:

- **Standard Carrier Alpha Codes (SCACs):** The Standard Carrier Alpha Code is a unique 2- to 4-character alphabetic code used by the transportation industry to identify transportation companies. If you cannot remember your SCACs, please contact the National Motor Freight Traffic Association before proceeding (see <http://www.nmfta.org/Pages/ContactUs.aspx>.) You can enter multiple SCACs by separating them with commas in the Tool. This field is optional and may be left blank in the Tool.
- **Motor Carrier Numbers (MCNs):** The Motor Carrier Number is a 5-, 6- or 7- digit number provided by the Federal Motor Carrier Safety Administration. This field is optional and may be left blank in the Tool.
- **US DOT Number:** This number is assigned to commercial vehicles hauling cargo in interstate commerce by the Federal Motor Carrier Safety Administration. DOT numbers are strictly numeric and can be up to 7 digits in length. This field is optional and may be left blank in the Tool.
- **National Safety Code (NSC) Numbers:** These are carrier identification numbers issued to fleets with Canadian registration.

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

- **Business Unit Type:** Business Unit Type is defined as the service type for your business unit. There are three options accepted by the Tool—“For-Hire,” “Private,” and “Dedicated”. If your company has only one business unit, your “Type” selection will reflect your company’s operations as a whole. If there are multiple business units, define each unit’s type separately.

“BUSINESS FOCUS” SCREEN

For each business unit, you will need to specify the percent of overall activity for each Business Focus Category:

- **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:** Freight broker specializing in rail mode services.

Please use Worksheet #2 in Appendix A of this document to help you prepare your company’s business unit characterization information.

DOWNLOAD LATEST SMARTWAY CARRIER DATA FILE

To ensure that the Logistics Tool gives you the most current list of SmartWay carriers to select from, you must select the **Download Latest SmartWay Carrier Data File** button on the [Home](#) screen. A new box will appear next to the button indicating the “Date of Current Carrier File.” You are now ready to select carriers and enter activity data for each business unit.

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.

DATA ENTRY FOR BUSINESS UNITS

Now that you have defined your logistics business units, you will be asked to provide additional information for EACH business unit separately.

SELECT BUSINESS UNIT FOR DATA ENTRY

On the [Home](#) screen, you will now see all the business units you created listed in the window below item # 5: [Data Entry](#).

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

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

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

- **Errors** will prevent you from generating the metrics reports under the [View Your Data Reports](#) section and must be addressed before you can submit your Tool to EPA.
- **Warnings** will still allow you to proceed and submit your data to EPA. However, it is strongly recommended that you carefully review each warning message before sending your data to EPA so that you can anticipate questions that may come from a Partner Account Manager as a result of your data being outside the expected ranges. The method addressing errors and warnings is described for subsequent input screens in the following sections.

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

INPUT CARRIERS SCREENS

To begin, you will need to identify the carriers included in each of your logistics business units. The **Instructions** tab describes the three ways to populate the Tool with business unit information. The **Match My Carriers** function allows Logistics Partners to find and match SmartWay carriers based on a wide range of criteria, including their own internal carrier identification, such as carrier ID codes, to records in their Tool submission from a prior year. You may also enter new codes for matching in future years. Your company-specific match data is not shared with other companies. This matching process is explained in detail on the **Match My Carriers** screen.

If you have a large number of carriers (e.g., as a large 3PL with 100 or more carriers), you may wish to develop your carrier details separately and upload your data in a single file using the **Outside Data Import** method. Alternatively, if your logistics business unit has a limited number of carriers, you may specify your carriers one at a time using the **Manual Input SmartWay Carriers Entry** method. These three methods are described in detail in the **Logistics Tool Data Entry and Troubleshooting Guide**.

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

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

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

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

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

SmartWay Category selections are not currently available for other modes but may be added in the future. (Note: Multimodal selections list “Multimodal” as the SmartWay Category.)

After identifying the mode (and SmartWay Category, if available), you should identify each carrier’s specific fleet name, as listed in the SmartWay Carrier Data file, along with any associated SCACs, DOT numbers, MCNs, and NSCs. The Carrier Data File must be downloaded from the SmartWay website by selecting the button under Step 4 on the Logistics Tool **Home** screen. This data can then be viewed on the **Manual Input SmartWay Carriers** screen or offline using Microsoft® Excel.

In certain cases, a carrier may have multiple fleets associated with its operations. The **Manual Input SmartWay Carriers** screen allows you to filter carrier fleets by SCAC, MCN, DOT number, NSC, and/or address if needed.

After identifying your SmartWay carriers, you must then go to the **Manual Input Non-SmartWay Carriers** screen to enter the number of non-SmartWay carriers used by the current business unit. *Only include carriers used during the reporting year.* Enter the total number of non-SmartWay partners within the current business unit and check the box to confirm that all the non-SmartWay carriers in this

business unit have been added. If this business unit has non-SmartWay carriers, select the carrier mode(s) the non-SmartWay carrier(s) belong to. For truck carriers, specify the appropriate carrier type (e.g., non-SmartWay Dray). If you are not sure of the appropriate truck carrier type, select the “General” option.

ACTIVITY DATA SCREEN

First provide a detailed text data source description for the sources used to estimate your mileage and ton-mile data for your carriers by selecting the **Describe Data Source** button. Be sure to indicate how you calculated the values, and where this data was obtained. For example, you may use PC Miler, carrier reports, or accounting/purchasing records to determine miles. Payload and ton-mile estimates may be based on bills of lading or other internal records.

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

- a. Enter ton-miles and total miles (preferred option)
- b. Enter ton-miles and average payload
- c. Enter total miles and average payload
- d. Enter total miles only⁵

Ideally, when entering information for a carrier, you should use **Data Availability Option a**. If this is not possible, *please choose the method that uses the most accurate data at your disposal*. In this way the Tool will utilize the most accurate data available for the ton-mile and mile comparison metrics, as well as for the emissions footprint calculations.

After specifying the **Data Availability Option**, record your activity data. Enter the data to the nearest whole number.

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

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

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

Data Availability Option d - Enter total miles.

⁵ Option d is available for TL/Dry Van, Refrigerated, Flatbed, Tanker, Moving, Dray, and Auto carrier categories only.

Section 3—Step by Step Instructions for Data Entry

DOWNLOADING THE SMARTWAY LOGISTICS TOOL

To download the Logistics Tool, visit: <https://www.epa.gov/smartway/smartway-logistics-company-partner-tools-and-resources>. Save the Tool in a folder on your hard drive; this folder will house copies of your data and future updates.

SETTING YOUR SECURITY LEVELS FOR THE SMARTWAY TOOLS

In some cases, Microsoft Excel will ask you to adjust your security settings before opening the Tool. Instructions should appear on your screen *if* you need to change your security settings before running the Tool. The instructions differ depending upon what version of Excel you use (Excel 2003, 2007, 2010, or 2013).


ENTERING YOUR PARTNER NAME

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

ENTERING YOUR CONTACT INFORMATION

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

SmartWay Logistics: Home



**Data Year
2016**

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

Logistics
United States Version: 2.0.16a
Released on: 07/08/2017

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. Business Unit Description(s)**
- ☐ **4. Download Latest SmartWay Carrier Data File**
- ☐ **5. Data Entry:**(Double-click the business unit name or select and hit Enter)
- ☐ **6. Feedback/Recruiting Assistance** ? Optional survey to help us improve your SmartWay experience.
- ☐ **7. 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

?

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Figure 1. Accessing the Contact Information Screen

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

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

Under the Partner Information tab:

SmartWay: Contact Information

Partner Information Working Contact Executive Contact Other Contacts

Address1* 645 Main Street

Address2 Suite 110

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

Main Phone* 512-555-5555 Toll Free 888-555-1515

Web Site www.logistics1.com **Show**

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

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

Working Contact:

Name Mr. First* Glenn MI Last* Johnson

Title* VP Operations

Executive Contact:

Name Mr. First* Jack MI Last* Shephard

Title* CEO

* - Required

SAVE HELP ZOOM IN PRINT SCREEN HOME VALIDATE SCREEN ADD COMMENTS NEXT

Figure 2. 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.

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

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

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

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

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

Under the Working Contact tab:

SmartWay: Contact Information

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

Please enter information about your Working Contact here.

Please note that the email address should be different from the Executive Contact.

Name: Glenn Johnson

[Use Partner Address](#)

Address1*: 645 Main Street

Address2: Suite 110

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

Phone*: 512-555-6868 Ext: 28 Cell: 512-458-7589 Fax: 512-555-3333

Email*: glenn.johnson@logistics1.com

Confirm Email*: glenn.johnson@logistics1.com

* - Required

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

Page 1 of 12

Figure 3. 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 [Use Partner Address](#) button to auto-populate the address section of this record. Enter the email address twice to confirm its accuracy. When

confirmed a  will appear to the right.

Under the Executive Contact tab:

SmartWay: Contact Information X

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

Please enter information about your Executive Contact here.

Please note that the email address should be different from the Working Contact.

Name


[Use Partner Address](#)

Address1*

Address2

City* State* ZIP* Country*

Phone* Ext Cell Fax

Email* 

Confirm Email*

* - Required

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

Page 1 of 13

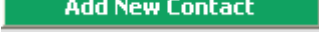

Figure 4. Executive Contact Information Screen

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.

Under the Other Contacts tab:

The screenshot shows a web application window titled "SmartWay: Contact Information". It has four tabs: "Partner Information", "Working Contact", "Executive Contact", and "Other Contacts". The "Other Contacts" tab is selected and highlighted in blue. Below the tabs, there is a text prompt: "Please enter information about your additional contacts here." followed by the label "Other Contacts:". Under this label is a large, empty rectangular text input area. Below the input area are three green buttons: "Add New Contact", "Edit Selected Contact", and "Delete Selected Contact". At the bottom of the window is a navigation bar with several buttons: a green "BACK" button with a left arrow, a blue "SAVE" button, a green "HELP" button, a green "ZOOM IN" button, a green "PRINT SCREEN" button, a green "HOME" button, and a green "ADD COMMENTS" button. The text "Panel 1 - 1d" is visible in the bottom right corner of the window.

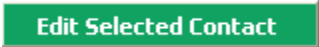
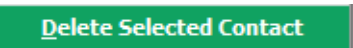
Figure 5. Other Contact Information Screen


1. Enter Other Contacts (if applicable) by selecting the  button.
2. Enter the first Other Contact then select  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 business units will gather information from different sources within the company. You may find it useful to have this additional contact information stored within the Tool.



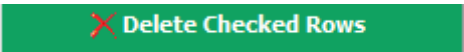

3. You can add more contacts to the **Other Contacts** box by repeating this process. If you wish to edit an existing contact's information, highlight the name you wish to edit and then select the

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

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

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

COMPLETING THE “IDENTIFY BUSINESS UNITS” SCREEN

1. On the [Home](#) screen, select the  button to display the [Business Unit Characterization](#) screens.
2. Confirm that the Business Unit (Company Name) that appears automatically is correct and appropriate for your business units. If not, make changes in the field under the heading “Company Name.”
3. Enter the “Business Unit Identifier” for your first (or only) business unit.
4. Enter additional business units as needed:
 - a. To enter another business unit, select the  button.
 - b. To delete a business unit, select the box next to the row you wish to delete, and then select the  button.
 - c. Once you have confirmed or modified the Company Name and specified the Business Unit Identifiers, the full Business Unit Name(s) will be displayed on the screen to the right, exactly as they will be displayed on the SmartWay website.
5. To proceed, select the [Logistics Business Unit Details](#) tab at the top, or simply select the  button at the bottom of the screen.

COMPLETING THE “LOGISTICS BUSINESS UNIT DETAILS” SCREEN

1. For each business unit, you are asked to provide additional details, including SCAC, MCN, DOT, and/or NSC identifiers (optional) for each business unit listed. If you have a single business unit that has multiple SCACs, enter all of them into the SCAC field, and separate them with commas.
 - While it is not required to enter SCAC, MCN, DOT, or NSC information for each business unit, it will help shippers and logistics companies searching by those parameters in the SmartWay database to easily find your business unit for inclusion in their Tool.
2. Select your Business Unit Type (either “For-Hire,” “Private,” or “Dedicated”) for each business unit listed.



3. Select the button or select the Business Focus tab at the top to proceed to the next section.

COMPLETING THE “BUSINESS FOCUS” SCREEN

1. For each business unit identified, estimate the percentage of total activity associated with each of the five business focus categories listed. Enter your estimates in the fields provided. Leave the field blank if no activity is associated with that operation category for that business unit.
2. Once you are sure your information is input correctly, you may select the **CREATE BUSINESS UNIT(S)** button at the bottom of the page. You will automatically be returned to the **Home** screen.

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 Logistics: Home

SmartWay®

Data Year 2015

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

Logistics
United States Version: 2.0.15
Released on: 07/08/2016

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):
SD Transportation
- ☐ 2. **Contact Information** ☐ I confirm that I have reviewed my contact information and it is correct.
- ☐ 3. **Business Unit Description(s)** ☐ I confirm that I have reviewed my fleet description(s) and it is correct.
- ☐ 4. **Download Latest SmartWay Carrier Data File**
- ☐ 5. **Data Entry:** (Double-click the business unit name or select and hit Enter)
SD Transportation - Not Checked
- ☐ 6. **Feedback/Recruiting Assistance** ☐ Optional survey to help us improve your SmartWay experience.
- ☐ 7. **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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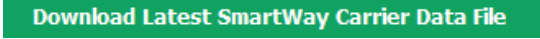
Figure 6: Example Home Screen after Using Auto-populate Function

1. Review the Partner Name as it appears on the screen, revising it as necessary.
2. Review the populated **Contact Information** and **Business Unit 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 **Business Unit Information** screens for review.

3. Proceed to Step 4 on the **Home** page.

DOWNLOADING THE LATEST SMARTWAY CARRIER DATA FILE

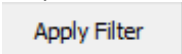
1. On the **HOME** page, select the  button and allow the Tool to download the latest carrier data (SmartWayCarrierData2016.xls).
2. Proceed to next section to enter data for your business unit(s).

INPUTTING CARRIERS FOR A BUSINESS UNIT

1. On the **HOME** page, select and highlight the name of the business unit for which you wish to enter data.
2. Double click the name; you will then be taken to the **Input Carriers screen** data entry screen for that business unit.
3. You will see the **Instructions** screen; read the instructions and scroll to the bottom.
4. Check the box next to the words “I have read and understand the carrier data input instructions” when you have read them.
5. You must now decide how you will enter your data; i.e., via manual input or through the outside data import function. Refer to the “Logistics Company Partner 2.0.16 Tool: Guide to Importing Carrier Data Using Outside Data Import Function-2016” on the logistics page of the SmartWay website for more information about using the Outside Data Import function to enter your carriers, as well as using the new carrier matching function.


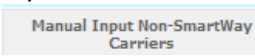
Otherwise, proceed to the  tab.

COMPLETING THE MANUAL INPUT SMARTWAY CARRIERS TAB

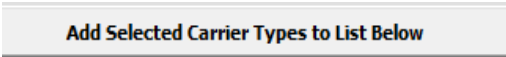
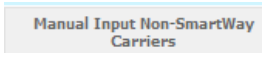
1. To select carriers manually, you can enter all or part of the carrier’s name directly into the “Carrier Name” input box and the select the  button. A new filtered list will appear in the Available SmartWay Carriers box.

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


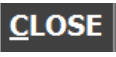
2. You may also search for carriers by filtering using carrier mode, SmartWay Category, SCAC, MCN, DOT, NSC, and/or various address fields to find your carriers in the SmartWay Carrier data file.
3. To search by Carrier Mode, select the mode of transport from which you wish to choose a carrier. Seven carrier mode selections are available, including “All,” “Rail,” “Truck,” “Multimodal,” “Barge,” “Logistics,” and “Air”.
 - Note that by selecting “All”, you may search across all carriers, regardless of mode.

- Next, if you select the Truck mode, you may also specify a SmartWay Category. Truck ranking categories include TL Dry Van, LTL Dry Van, Refrigerated, Flatbed, Tanker, Dray, Heavy/Bulk, Package, Auto Carrier, Moving, Specialized, Mixed, and Expedited.
4. Once you have applied the desired filters, a list of available SmartWay carriers meeting your filter criterion appears in the Available SmartWay Carriers box. Using your mouse, double click on the carrier name to add it to the “Selected SmartWay Carriers” box. You may also use the  button to add selected carriers to the Selected SmartWay Carriers box.
 5. Once you have successfully identified your carriers using the **Manual Entry** method, proceed to the  tab.

COMPLETING THE MANUAL INPUT NON-SMARTWAY CARRIERS TAB

1. Enter the total number of Non-SmartWay Carriers for the business unit into the data field.
2. Check the box to confirm that you have added all of the Non-SmartWay Carriers for your business unit.
3. Using your mouse, double-click on each non-SmartWay carrier **type** used by this business unit; double clicking will add it to the “Selected Non SmartWay Carriers” list. You may also use the  button to add selected carrier types to the Selected Non-SmartWay Carriers box.
 - a. For truck carriers, select the appropriate carrier type (e.g., TL/Dry Van, Refrigerated, Dray, etc.). If you are not sure about a specific truck carrier's category, select the "General" option.
 - b. Also distinguish your air carriers by "long haul" (cross-country/overseas flights, > ~2,300 miles) and "short haul" (generally regional/domestic flights, < ~2,300 miles).
4. Once the required data has been entered on the  tab, you can proceed to the **Activity Data** screen.

COMPLETING THE ACTIVITY DATA TAB FOR YOUR BUSINESS UNIT

1. Select the  button.
2. Enter a detailed description of the sources used for your Activity data information, including a description of how you calculated miles, ton-miles, payload, density and load percent (if applicable) in the space provided.
3. Select the  button.
4. For each carrier listed, specify your data availability:
 - a = I know both Ton-miles and Total Miles
 - b = I know Ton-miles and Average Payload
 - c = I know Total Miles and Average Payload

d = I know Total Miles only

5. For carriers where you have selected **Data Availability Option a**, enter total ton-miles along with total miles.
6. For carriers where you have selected **Data Availability Option b**, enter total ton-miles along with your estimated average payload (per truck, barge or railcar, as appropriate) in short tons (2,000 lbs).
7. For carriers where you have selected **Data Availability Option c**, enter total miles along with your estimated average payload (per truck, barge or railcar, as appropriate) in short tons (2,000 lbs).
8. For carriers where you have selected **Data Availability Option d**, enter total miles.

Note: Data Availability selections for LTL, package and multimodal carriers are restricted to Options –a-c due to the difficulty in adjusting mileage for partial loads.



9. Select the **VALIDATE SCREEN** button and correct any errors.
 - a. If you have errors, they will appear either as red boxes for significant errors, or as yellow warning boxes for less-extreme errors. Red errors will prevent you from submitting your Tool.
 - b. If your values are out of range, but you are confident that they are correct, double click the box with the error. A comment box will then appear. Enter an explanation for the value and click **OK**. The box will become yellow, and you will be able to proceed to submit your Tool.
10. Proceed to the **% SmartWay** tab to see your % SmartWay Value to assess your overall all progress in utilizing SmartWay carriers. You may also go to the **Data Display** tab to review your carriers' performance levels.
11. Select the **HOME** button to return to the **Home** screen.

PROVIDING ADDITIONAL INFORMATION

After completing Steps 1 – 5 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 Logistics Tool data to EPA. Selecting the **Feedback/ Recruiting Assistance** button on the **Home** screen will open the **Give Us Feedback** forms.

SUBMITTING YOUR DATA TO EPA

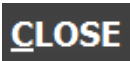
1. Select the **Generate a (.xml) data file** button, which will open a new screen.

2. Select the checkbox to indicate you understand the terms of the SmartWay Partnership Agreement once again.
3. Next, 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  button to have your ID sent to you. Submission of the SmartWay ID is optional.
4. 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. When ready, select  to create a file with the following naming convention:

Logistics_PartnerName_ Year_ V0.xml ⁶

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; for example:

Logistics_ABCLogistics, Inc_ 2016 _V0.xml

5. Next, specify the folder where you would like to save the .xml file, and a screen will appear.
6. 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.
7. Upon selecting , a screen will appear that allows you to close the Logistics Tool or return to the **Home** screen.

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

Please visit <https://www.epa.gov/smartway/smartway-logistics-company-partner-tools-and-resources> for additional resources, including printable data collection worksheets, technical documentation, and the **Logistics Tool Data Entry and Troubleshooting Guide** for more in-depth exploration of each section of the Logistics Tool.

OPTIONAL DATA REVIEW

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

The **View Your Data Reports** button gives you access to ten reports to help you understand your data and use it to make better performance decisions. You can access these reports by selecting



button under the Your Results Section.

⁶ If you create the XML file multiple times the file name will increment each time (e.g., Logistics_ABCompany_2016_V1.XML for the second iteration, etc.

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 emission 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.

APPENDIX A: WORKSHEETS FOR DATA COLLECTION

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: LOGISTICS BUSINESS UNIT CHARACTERIZATION

Complete this worksheet for each business unit you will be submitting in the Logistics Tool.

#2: Define Your Business Units

Business Unit Name (Company Name followed by Business Unit Identifier name)

SCAC(s): _____

MCN: _____

DOT: _____

NSC: _____

BUSINESS UNIT TYPE: _____ (for-hire, private, dedicated)

Business Unit Focus (activity %s):

Logistics Provider _____ Freight Forwarder _____ Freight Broker _____ Truck Carrier _____

Rail Freight Broker _____

WORKSHEET #3A: SELECT CARRIER(S)

Complete the following for each business unit you will be submitting in the Logistics Tool. Make multiple copies of the table below to enter all carriers in the business unit if needed.

#3A: Identify Your Business Units

Logistics Business Unit Name

Carrier Name*	Mode^	SmartWay Category**

Non-SmartWay Carriers^^ _____

* Exactly as it appears in SmartWay Carrier data file

^ Truck, Rail, Logistics, Multimodal, Air

** Truck SmartWay Categories include:

TL Dry Van; LTL Dry Van;

Refrigerated; Flatbed;

Tanker; Dray;

Package; Specialized; Mixed

Multimodal SmartWay Categories include: Surface,

Surface-Air; Surface-Marine; Surface-Air-Marine

^^ If applicable, for current reporting year only

WORKSHEET #3B: ENTER ACTIVITY DATA (PAGE 1 OF 2)

Complete the following for each business unit you will be submitting in the Logistics Tool. Make multiple copies of the tables if needed to enter all carriers in the business unit.

#3B: Enter Activity Data

Logistics Business Unit Name:

Provide Data Source Description:

WORKSHEET #3B: ENTER ACTIVITY DATA (PAGE 2 OF 2)

Data Availability Option, Miles, Ton-Miles, and Average Payload

Carrier Name	Data Availability Option (a-d)*	Ton-miles	Miles	Average Payload**

* Options include

- a = I know both Ton-miles and Total Miles
- b = I know Ton-miles and Average Payload
- c = I know Total Miles and Average Payload
- d = I know Total Miles only

** For Options b and c only