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

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

United States
Environmental Protection
Agency

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Overview

In this guide you will learn about:

1) Basic SmartWay information
2) Joining SmartWay Transport Partnership as a shipper company
3) Understanding the details of the SmartWay partnership agreement
4) Meeting software/hardware requirements for participating in the program, and
5) Gathering the necessary data to become a SmartWay Shipper Partner.

Please review this guide carefully BEFORE attempting to gather your company data, or enter data into the Shipper Tool. Understanding the basics of the program will simplify your joining process.

> *NOTE: The Quick Start Guide consists of pages 4 through 21. Worksheets to help you gather and identify data for your tool submission are an extra resource provided here for your convenience; they are also available individually on the SmartWay website.*

Section 1—Basic Information for Shippers

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

WHAT IS THE SMARTWAY TRANSPORT PARTNERSHIP?

Developed jointly in 2003 by EPA and charter partners represented by industry stakeholders, environmental groups, American Trucking Associations, and Business for Social Responsibility, the SmartWay Transport Partnership is EPA's flagship program for improving fuel efficiency and reducing greenhouse gases and air pollution from the transportation supply chain industry.

Seven types of freight transport companies can join SmartWay:
- Freight shippers
- Logistics companies (including 3PLs/4PLs[1])
- 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. Superior performance in various Partner categories is also recognized through the SmartWay Excellence Awards.

WHY DO SHIPPERS JOIN THE SMARTWAY TRANSPORT PARTNERSHIP?

The SmartWay Transport Partnership provides shipper 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.

Shipper 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 shipper companies an opportunity to improve corporate freight efficiency, reduce their carbon footprint, and voluntarily advance freight sustainability for themselves and their customers.

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

Participation in SmartWay helps SmartWay Shipper 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 shippers 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 SHIPPERS JOIN THE SMARTWAY TRANSPORT PARTNERSHIP?

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

Shipper companies that submit tools that are approved by EPA are known as "SmartWay Shipper Company Partners."

When a shipper company submits a Shipper Tool to EPA, they agree to the requirements stipulated in the SmartWay Shipper 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 Shipper Partners agree to complete and submit the SmartWay Shipper Tool to

- define company composition,
- characterize company activity,
- individually benchmark multiple companies, and
- track annual changes in performance.

Upon approval of a Shipper Tool submission, a shipper company will be identified as SmartWay Shipper Partner on EPA's website, on the SmartWay Partner List, and in a database used to identify companies that meet SmartWay's annual requirements. On-time submission and approval of the Tool also qualifies Shipper Partners for use of the SmartWay Logo. The carrier will also receive information on how to access its current SmartWay registration document and other information through the Partner Portal.

HOW DO I JOIN IF MY PARENT COMPANY HAS MULTIPLE SUBSIDIARIES?

Shippers with subsidiaries may submit a single tool for their parent company and all of its subsidiaries. If a shipper chooses to do this, the entire organization will be considered a SmartWay Partner and the performance rating will be assigned to the entire organization. The partner will be listed on the SmartWay website under the parent company's name.

Individual subsidiaries may join as separate partners if the parent company wishes to have them listed individually on the SmartWay website.   Each subsidiary would submit a separate tool.

SmartWay highly recommends developing your list of subsidiary companies beforehand by using an organization chart or perhaps a customer interface web page. For example, evaluate how your organization contracts with carriers, identify your companies' different NAICS codes, and determine how they choose what carriers to hire.

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

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

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

- The official company name to be used on the SmartWay website for public recognition of participation in SmartWay;

- Company contact information
    - Contact details for your Working Contact
    - Contact details for an Executive Contact (cannot be the same as the working contact)
    - Contact details for your Sustainability Contact and Other contacts (optional)
- North American Industry Classification System (NAICS) codes for the company; and

- A comprehensive list of all SmartWay carriers that the shipper uses to haul their freight for the reporting calendar year (this list should include all truck, rail, multimodal, barge, air, and logistics companies hired by the shipper).

For each carrier that the shipper uses, the shipper must supply activity data in order to calculate the shipper company's emissions footprint. This data reflects the amount of freight shipped with each carrier and the distance that freight is shipped.

- total miles contracted, and/or ton-miles contracted by SmartWay carrier and non-SmartWay carrier category for the reporting calendar year;

- freight characterization (average payload); and

- description of data sources used to compile activity data.

Ideally, shippers will have mileage and ton-mileage data for the carriers used; however, EPA recognizes that in some cases, shippers will not have all of this information, and has made accommodations for

various combinations of available data. For example, in the absence of mile and/or ton-mile data shippers may specify an alternative activity metric to designate their relative carrier activity, such as percentage spent, weight, packages, or other metric. However, an emissions footprint cannot be calculated without mileage-related data. You are encouraged to gather the best data available for each carrier at the time of your submission.

Once the shipper activity data is entered, the tool calculates the shipper's freight transportation carbon footprint and a "Percent SmartWay" performance metric for the shipper. EPA uses the "Percent SmartWay" option to determine which shippers are eligible to receive SmartWay Excellence Awards.

Shippers also have the option of evaluating strategies for reducing emissions and fuel consumption from their freight transportation activities.

- The tool can evaluate strategies that either eliminate miles or weight from the freight operations to reduce the shipper's carbon footprint (the carbon emissions produced by the shipper's freight operations).

- The tool also can evaluate strategies to shift freight transportation from one mode to another (e.g., from truck to rail.)

SmartWay Shipper partners are encouraged to use the performance assessment and strategy evaluation tools as a core element of their businesses' environmental sustainability planning processes as well as core corporate decision-making.

WHAT IS INCLUDED IN THE SMARTWAY SHIPPER PARTNERSHIP AGREEMENT?

To join the SmartWay Transport Partnership as a shipper company, you must agree to the language on the "Partnership Agreement for Shippers." 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.

Partnership Agreement for Shippers

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 emissions performance of your company using EPA's SmartWay Shipper Tool. (Existing companies 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. Agree to SmartWay listing your name on the SmartWay Transport Partnership website as a Partner company.
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 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 Shipper Tool constitutes agreement to all terms in this Partnership Agreement. No separate agreement need be submitted.

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

WHAT SOFTWARE & HARDWARE ARE REQUIRED TO COMPLETE THE SMARTWAY SHIPPER PARTNER TOOL?

The Shipper Tool was designed in "Microsoft Excel Forms."   Completing the Shipper 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.
- 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 specifications for your computer, online support, or your company's IT department to make sure your system is set up to use the Shipper 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 Shipper Tool.

Section 2— Overview of Shipper Data Collection Requirements

This section will describe the data required for completing the required sections of the Shipper Tool.

Worksheets are provided in the Appendix of this guide, starting on page 24, to help you prepare your data before entering it into the Shipper Tool. Copies of these worksheets are also available on the SmartWay shipper webpage. Visit https://www.epa.gov/smartway/smartway-shipper-partner-tools-and-resources to download additional copies of the worksheets.

INTRODUCTORY SCREENS

Upon opening the 2016 Shipper 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 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, Shipper Company Description(s)), based on the prior year's submittal or, for new partners, information submitted through the on-line SmartWay Portal. This option can save time and ensure naming consistency for your contacts and subsidiary companies 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 a new SmartWay partner 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.

STEP 1: SPECIFY OFFICIAL PARTNER NAME

Your Partner Name is the official name that your customers would recognize for your company.

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., or
- 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.

STEP 2: ENTER CONTACT INFORMATION

⚠ **Worksheet #1 provided in the Appendix can help you prepare for filling out the Company Contact Information screen of the Shipper Tool.**

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

- **A Sustainability Contact**[5] **(optional)**, such as the company Sustainability Officer (may be the same as the Working or Executive Contact)

- **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 the Working and Executive contacts must be different. SmartWay recommends developing an internal succession plan to make sure that your Shipper Tool submission schedule is maintained, in the event that a Working Contact is reassigned, or leaves the company for any reason. Please use Worksheet #1 in Appendix A of this document to help you prepare your company's contact information.

STEP 3: DEFINE YOUR SHIPPER COMPANIES (COMPANY DESCRIPTION(S))

The Shipper Tool tracks shipping operations at the company level. Most partners should create one company, i.e. one line.

However, if you have multiple subsidiary companies all with separate corporate identities and transportation systems, you may want to create multiple company records in the tool and characterize their carrier operations individually.

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[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.

[5] The Sustainability Contact is responsible for monitoring and improving the company's environmental performance.

Note that you will also have the option of further refining your transportation activity for each copy by internally tracking different business units, inbound/outbound/internal freight, and domestic versus international freight within the company's carrier data identification; therefore, there is no need to list different internal divisions, product lines, etc. as separate companies.

NOTE: Your Subsidiary Company Names will NOT appear on the SmartWay website, only your Partner Name. If you wish to have your companies/subsidiaries appear separately on the SmartWay website, please submit separate tools for each to EPA.

 Worksheet #2 provided in the Appendix can help you prepare for filling out the Characterize Your Companies sections in the Shipper Tool. You may wish to print multiple copies of Worksheet #2 if you have multiple companies.

Data Requirements for "Company Characterization" Screen

For each shipper company, you will need to specify:

- **Company Name(s):** Name your companies, beginning with your Partner Name followed by the specific company name.

- **NAICS Code(s):** NAICS, or North American Industry Classification System codes, are the Federal standard for classifying businesses by activity type. NAICS codes can be up to six digits in length. Use the NAICS code(s) that most appropriately describes your company.   Note: some large companies with multiple operations may only use two or three digit NAICS codes; in this case, you do not have to enter the full six digits.
  Detailed information can be found at http://www.census.gov/eos/www/naics/.

STEP 4: DOWNLOAD THE LATEST CARRIER DATA FILE

To ensure that the Shipper Tool gives you the most current list of SmartWay carriers to select from, you must click the **Download Latest SmartWay 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 go on to selecting carriers and entering activity data for each shipper company.

You will not be able to input the required shipper company data in Step 5 without this file. You must have an active Internet connection to perform this step.

STEP 5: ENTER DATA FOR EACH OF YOUR COMPANIES

Now that you have defined your shipper companies, you will be asked to provide additional information for EACH shipper company separately.

Select Shipper Company for Data Entry

On the **Home** screen, you will now see all the shipper companies you created listed in the window below item # 5: **Data Entry**. There will be a status message after each company, indicating whether or not the

data entry for that company is complete. The following information may appear beside a company name:

- **Not checked** - Data has not been entered yet.
- I**ncomplete** - 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 (PAM) as a result of your data being outside the expected ranges. The method addressing errors and warnings is described for subsequent input screens in the following sections.

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

Input Carriers Screens

Worksheet #3A provided in the Appendix can help you prepare for filling out the Input Carriers section in the Shipper Tool (make one copy for each company).

To begin, you will need to identify the carriers included in each shipper company. The **Instructions** tab describes the three ways to populate the Tool with company information. The **Match My Carriers** function allows Shipper 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., 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 shipper company has a limited number of carriers, you may choose to specify your carriers one at a time using the **Manual Input SmartWay Carriers Entry** method. These three methods are described in detail in the **Guide to Importing Carrier Data Using the Outside Data Import Function.**

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 can be downloaded from the SmartWay website by selecting the button under Step 4 on the Shipper Tool **Home** screen and 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 shipper company. *Only include carriers used during the reporting year.* Enter the total number of non-SmartWay partners within the current company subsidiary and check the box to confirm that all the non-SmartWay carriers in this company have been added. If this company 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.

You may also specify supplemental information to help you further characterize your carrier use. For example, you can designate certain carriers used for domestic or international routes. The optional "tags" may be applied to any carrier and include the following:

- Company Identifier
- ID Code
- Inbound/Outbound/Internal

- Domestic/International
- Internal Shipper Segment 1
- Internal Shipper Segment 2

Please note that the use of the above carrier tag information is <u>optional</u> and is only provided to facilitate characterization of your carriers.

Data Requirements for Activity Data Screen

⚠️ **Worksheet #3B provided in the Appendix can help you prepare for filling out the Activity Data section in the Shipper Tool (make one copy for each company).**

NOTE: If you are not providing miles and/or ton-mile activity data for your carriers, skip to Data Requirements for "% SmartWay" Screen below.

First provide detailed text describing the **Data Source(s)** used to estimate your mileage and ton-mile data for your carriers. Be sure to indicate how you calculated the values, and where this data was obtained.

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

a - Ton-miles and Total miles (preferred option),
b - Ton-miles and Average Payload,
c - Total miles and Average Payload, and
d - Total miles only[6]

You should use the option for which you have the most reliable data:

- If you have reliable data for both ton-miles and miles, you should select Option a.

- If you don't have reliable miles data, but do have reliable ton-mile data, select Option b.

- If you don't have reliable ton-miles data, but do have reliable miles data, select from options c or d.

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

Choose the method that uses the most accurate data at your disposal for each carrier. 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.

If the carrier mode is rail, record total railcar-miles, or barge, then record barge-miles, otherwise specify total truckload-miles. Enter the data to the nearest whole number.

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

Data Availability Option a – Enter total ton-miles and total miles. Total miles corresponds to truck miles, railcar 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 or railcar, 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.

IMPORTANT: Correctly calculating Ton-Miles is critically important for the accurate determination of your carbon footprint.

You can calculate your company's ton-miles as follows:

Enter the ton-miles hauled per year attributable to each carrier. A ton-mile is one ton moving one mile. DO NOT ESTIMATE TON-MILES BY SIMPLY MULTIPLYING TOTAL MILES BY TOTAL TONS - this calculation effectively assumes your entire tonnage is transported on EACH AND EVERY truck, and will clearly overstate your ton-miles.

There are two ways to calculate ton-miles:

1. Companies can determine their average payload per carrier, multiply the average payload by the total miles per carrier, and sum the results for all carriers for the reporting year; or

2. Set Ton-miles per carrier = $\dfrac{\text{(total miles per carrier x total tons per carrier)}}{\text{total \# of trips per carrier}}$

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

% SmartWay Screen

⚠️ **Worksheet #3C provided in the Appendix can help you prepare for filling out the % SmartWay section in the Shipper Tool (make one copy for each company).**

The **% SmartWay** screen calculates your % SmartWay Value, reflecting the fraction of miles, ton-miles, or a user-provided custom metric attributable to SmartWay carrier partners.

The % SmartWay Value is used to determine eligibility for SmartWay Excellence Awards.

Carriers identified in the **Input Carriers** screens are automatically carried over to this screen. In addition, if the **Activity Data** screen has been completed, the fractional mileage and ton-mile amounts attributable to each carrier are also shown here, and may be used as weighting factors across your carriers to calculate your **% SmartWay Value**.

If you prefer, you may use other weighting factors across the different carriers, such as the percentage of total payments, the percentage of total weight or total packages, or an alternative "custom" for calculating your **% SmartWay Value**, by selecting the "% Custom" button. If you select to use a custom metric, you must enter the type of data you use for your percentage allocation estimates using the drop-down menu at the top left, and then enter the percent allocated to each carrier. Percentages must sum to 100. The resulting weighted average **% SmartWay Value** is displayed at the bottom right of the screen. You must also document the custom factor methodology in the text box presented at the lower left of the screen.

Note: If you selected **% SmartWay Only** on the **Basic or Comprehensive** screen, you will not see the Ton-Mile or Total Mile columns presented on the % SmartWay screen.

Optional Shipper Strategy Analysis Screens

The Shipper Tool provides two optional screens under the Shipper Strategies tab, to help you calculate the emissions savings impacts for a range of activities and best practices which are known to impact the emission footprint of the transportation supply chain.

⚠️ **Worksheets #4a/4b provided in the Appendix can help you prepare for filling out the Optional Analysis sections in the Shipper Tool (make one copy for each strategy).**

STEP 6: PROVIDE 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 Shipper Tool data to EPA. Selecting the **Feedback/Recruiting Assistance** button on the **Home** screen will open the **Suggestions** screen.

On the **Suggestions** screen, you may respond to some or all of these questions in order to provide feedback regarding the various aspects of the SmartWay program. SmartWay values your feedback. Any

information you provide will be used to improve the program, and will be kept confidential. Use the scroll bar to the right to display additional questions.

On the **Recruiting Targets** screen, you may select up to 10 of your largest non-SmartWay carriers to help target companies for potential recruitment into the program.

<p style="text-align: center; color: red;">***Once you've reviewed these sections, you will be ready to submit your Tool to EPA***</p>

STEP 7: SUBMITTING DATA TO SMARTWAY

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

Generate a (.xml) data file button.

Select the checkbox to indicate you understand the terms of the SmartWay Partnership Agreement once again. Next, a question will appear asking if you are an existing SmartWay Partner (Y/N). If you are, a question will appear asking if you submitted your data the previous reporting year. If so, you can then enter 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 did not submit data last year, indicate how your company first heard about SmartWay.

When ready, select **NEXT** to create a file with the following naming convention:
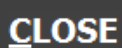
Shipper_PartnerName_ Year_ V0.xml

For example, Shipper_ABCShipper, Inc_ 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. Follow the instructions for submitting your .xml and .xlsx files to SmartWay. Note that the .xml file is approximately 10 times smaller than the .xlsx file. Upon selecting **CLOSE**, a screen will appear that allows you to close the Shipper 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.

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

OPTIONAL DATA REVIEW SECTIONS

On the **Home** screen, the **View Your Data Reports** button gives you access to thirteen reports to help you understand your data and use it to make better performance decisions.

The **Year-to-Year Comparison Report** allows the user to compare the company characteristics and activity values, as well as performance metrics for the current year with those of the prior year. This report is particularly helpful in identifying any changes that may have occurred since your last reporting period, determining trends in activity and performance over multiple years, and performing general quality assurance of the inputs used for your current Tool.

You may select the **Visit the SmartWay Partner Portal** button which will open a web browser to the login page of the **EPA SmartWay Portal.**

Next Steps

Your next step is to download the Tool and begin completing your Shipper Tool submission.

Please visit https://www.epa.gov/smartway/smartway-shipper-partner-tools-and-resources for additional resources, including data collection worksheets and video tutorials.

Appendix: Worksheets for Data Collection

WORKSHEET #1: COMPANY 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			

Sustainability Contact Information

Sustainability Contact Name						
Sustainability Contact Mailing Address						
City		State/Province		Zip		Country	
Sustainability 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: SHIPPER COMPANY CHARACTERIZATION

Complete this worksheet for <u>each shipper company</u> you will be submitting in the Shipper Tool.

#2: Define your Shipper Companies

Company Name (Partner Name followed by specific company name)

_____

NAICS: _____ _____ _____ _____ _____

Company Name (Partner Name followed by specific company name)

_____

NAICS: _____ _____ _____ _____ _____

Company Name (Partner Name followed by specific company name)

_____

NAICS: _____ _____ _____ _____ _____

Company Name (Partner Name followed by specific company name)

_____

NAICS: _____ _____ _____ _____ _____

WORKSHEET #3A: SELECT CARRIER(S) (PAGE 1 OF 2)

Complete the following for <u>each shipper company</u> you will be submitting in the Shipper Tool. Make multiple copies of the table below to enter all carriers used by the company if needed.

#3A: Identify your Shipper Carriers

Shipper Company Name _____

Total number of Non-SmartWay carriers used during current reporting year   _____

Non-SmartWay Carrier modes (circle all that apply)

Truck   Logistics   Multimodal   Barge   Air

WORKSHEET #3A: SELECT CARRIER(S) (PAGE 2 OF 2)

List SmartWay Carriers

Carrier Name*	Mode^	SmartWay Category**	SCAC^^	MCN^^	DOT #^^	Company Identifier^^	ID Code^^	Inbound/ Outbound/ Internal^^	Domestic/ International^^	Internal Shipper Segments^^

 * Exactly as it appears in SmartWay Carrier Data file

‘ Truck, Rail, Logistics, Barge, Multimodal

 ** Truck ranking categories include: Auto Carrier, Dray, Expedited, Flatbed, Heavy/Bulk, LTL Dry Van, Mixed, Moving, Package, Refrigerated, Specialized, Tanker, TL Dry Van

 Note - Multimodal SmartWay Categories include: Surface, Surface-Air; Surface-Marine; Surface-Air-Marine

 ^^ Optional fields

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

Complete the following for <u>each shipper company</u> you will be submitting in the Shipper Tool. Make multiple copies of the tables if needed to enter all carriers used by the company.

#3B: Enter Activity Data

Shipper Company Name:

_____

Provide Data Source Description:

_____

_____

_____

_____

_____

_____

_____

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

Data Availability Option, Inventory Calculation Metric, Miles, Ton-Miles, and Average Payload

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

* Options include

    a - Ton-miles and Total miles,
    b - Ton-miles and Average Payload,
    c - Total miles and Average Payload, and
    d - Total miles only

** For Options b and c only

WORKSHEET #3C: ENTER % SMARTWAY ALLOCATION DATA

Make multiple copies of this worksheet as needed to enter all carriers used by the company in the reporting year.

Shipper Company Name:

_____

For each company, select the basis for allocating your % SmartWay Value across your carriers (circle one).

Ton-Miles   Miles   Custom Metric (% Spent, % Weight, % Packages, % Custom)

Describe Custom Metric (if applicable):
_____
_____
_____

If using a Custom Metric, enter % allocation factors for each carrier, for % Spent, % Weight, % Packages, or % Custom allocations. Totals must sum to 100.

Carrier Name	% Allocation

WORKSHEET #4A: ENTER SHIPPER STRATEGIES DATA

Make multiple copies of this worksheet as needed to enter all shipper strategies used by the company.

Shipper Company Name:

_____

Provide Name of Shipper Strategy

_____

Select Activity Category (mark one):

- Miles Removed from the System
    - o Distribution center relocation
    - o Retail sales relocation
    - o Routing optimization
    - o Cube optimization
    - o Larger vehicles and/or trailers
    - o Other (must specify)
- Weight Removed from System
    - o Product weight reduction
    - o Package weight reduction
    - o Vehicle weight reduction
    - o Other (must specify)

Specify Percent Improvement:

Mode	% Improvement
Air	
Truck	
Rail	
Logistics	
Multimodal	
Barge	

Describe Data Source/Methodology for % Improvement estimate(s):

_____
_____
_____
_____
_____
_____

WORKSHEET #4B: ENTER MODAL SHIFT DATA

Make multiple copies of this worksheet as needed to enter all modal shifts used by the company.

Shipper Company Name:

_____

Select "From" Mode (circle one):
Truck   Rail   Logistics   Multimodal   Air   Barge

Select "To" Mode (circle one):
Truck   Rail   Logistics   Multimodal   Air (short or long-haul)   Barge   Marine – OGV

Select Emission Factor Source – "From" Mode (circle one):
Shipper Carrier's Average   Modal (industry) Average   User Input

Select Emission Factor Source – "To" Mode (circle one):
Shipper Carrier's Average   Modal (industry) Average   User Input

Select Activity Units (circle one):   Miles   Ton-Miles

Specify Activity Amount – "From" Mode: _____

Specify Activity Amount – "To" Mode: _____