

2018 SmartWay Rail Carrier Partner Tool: User Guide

U.S. Version 2.0.17 (Data Year 2017)





2018 SmartWay Rail Carrier Partner Tool: User Guide U.S. Version 2.0.17 (Data Year 2017)

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



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Table of Contents

INTRODUCTION.....	2
HOW DO I SET THE SECURITY LEVEL WHEN OPENING SMARTWAY TOOLS?	2
Overview of Data Collection Requirements	12
SECTION 1: SPECIFY OFFICIAL PARTNER NAME	12
SECTION 2: ENTER COMPANY CONTACT INFORMATION	12
SECTION 3: FLEET DESCRIPTION(S).....	13
SECTION 4: ENTER ACTIVITY AND FUEL INFORMATION FOR EACH OF YOUR FLEETS	14
Next Steps.....	16
APPENDIX: WORKSHEETS FOR DATA COLLECTION.....	17
WORKSHEET #1: CONTACT INFORMATION	17
WORKSHEET #2: FLEET CHARACTERIZATION	18
WORKSHEET #3: POWER UNITS INFORMATION.....	19
WORKSHEET #4: CAR DATA.....	20
WORKSHEET #5: OPERATIONS DATA	22

INTRODUCTION

This guide is **designed** to help rail companies participate in the SmartWay Transport Partnership. The guide supplements the Rail Quick Start guide with additional information and data collection worksheets to facilitate completion of the SmartWay Rail Carrier Tool.

In this guide you will learn about:

1. The general organization of the SmartWay Rail Carrier Tool, and
2. Data needs for each section of the Tool.

You can collect your data using our data collection worksheets in preparation for data entry.

Please review this guide carefully BEFORE attempting to use the Tool or enter data. Understanding the data requirements and gathering all data in advance will save considerable time and frustration while completing your Tool submission.

In the event that you have a question about any of the data collection activities, you can contact SmartWay Email Support at smartway_transport@epa.gov and a member of our SmartWay Partner Support Team will assist you.

WARNING!

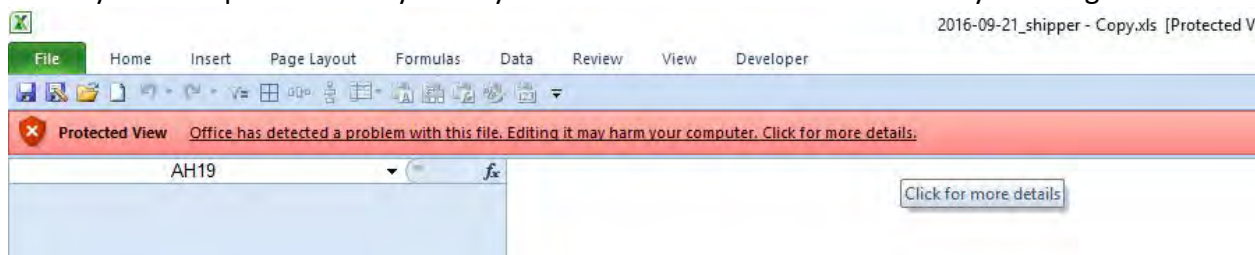


Completing the Rail Tool requires a considerable amount of information about your company and the fleets that are joining SmartWay. There are multiple sections and screens to complete for each fleet that you operate.

While you will have the ability to save your Tool along the way and return to it at any time, **we STRONGLY ENCOURAGE** you to review the Rail Tool Quick Start Guide to understand key information about joining the Partnership. Then, the information in this guide allows you to learn about the data requirements and gather your data BEFORE attempting to complete the Tool.

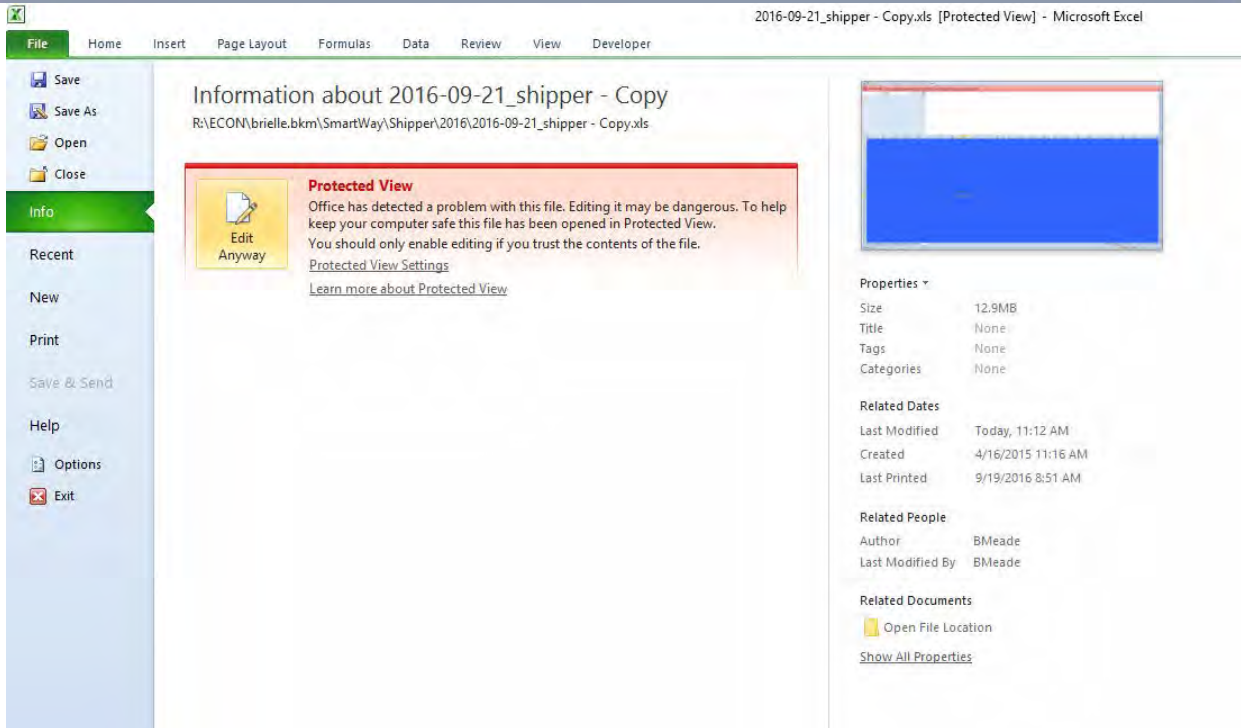
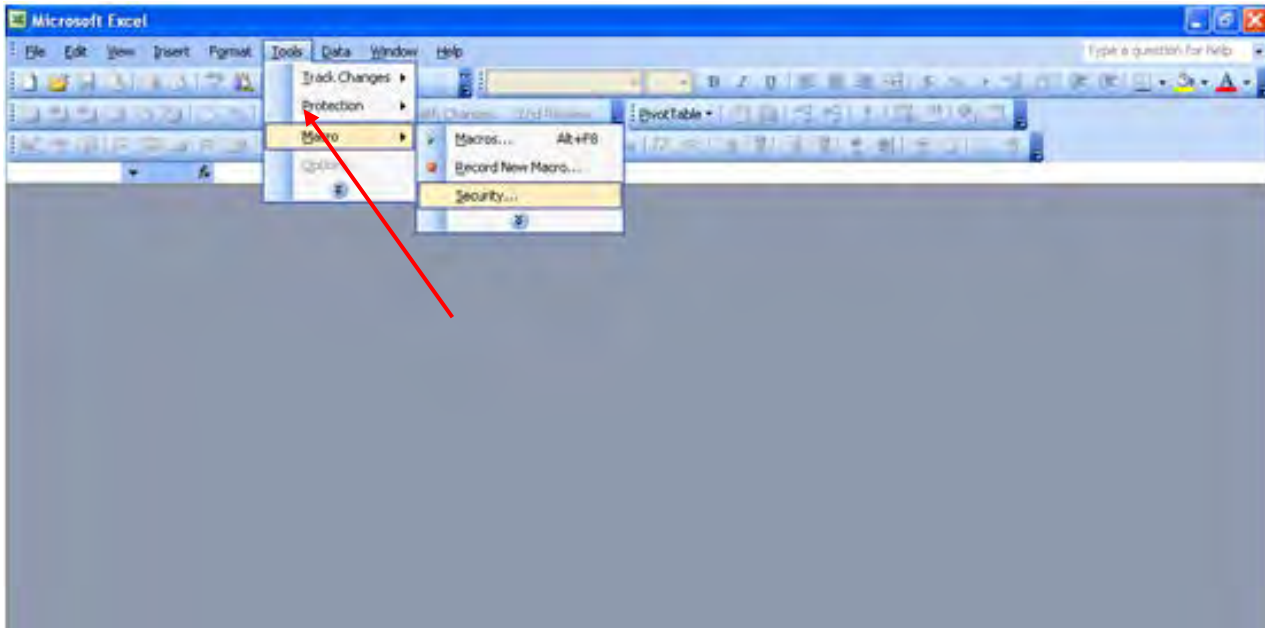
HOW DO I SET THE SECURITY LEVEL WHEN OPENING SMARTWAY TOOLS?

When you first open the Tool you may see a new “Protected View” security warning from Microsoft:



NOTE – THE SMARTWAY TOOL IS IN THE SAME FORMAT AS PRIOR YEARS AND IS SAFE TO OPEN ON YOUR COMPUTER. FOLLOW THESE STEPS TO PROCEED.

- 1) Select the "Click for more details" link at the end of the message in the menu bar shown above.
- 2) In the Microsoft Office File menu, choose the large "Edit Anyway" button located on the left next to the Protected View information section as shown below.



Next, the following instructions should appear on your screen *if* you need to change additional security settings before running the Tool. The instructions differ depending upon what version of Excel you use (Excel 2003, 2007, 2010, or 2013).

Security Settings for Excel 2003 Users


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

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



Security Level Setting Screen in Excel 2003

Running the Tool in Microsoft Excel 2003

1. Save the Tool to your computer in a folder on your hard drive.
2. Go to that folder and double-click on the file to open the Tool.
3. You will see a security-warning box appear. Select the  button in the security-warning box.



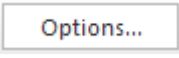
Screen showing “Enable Macros” button

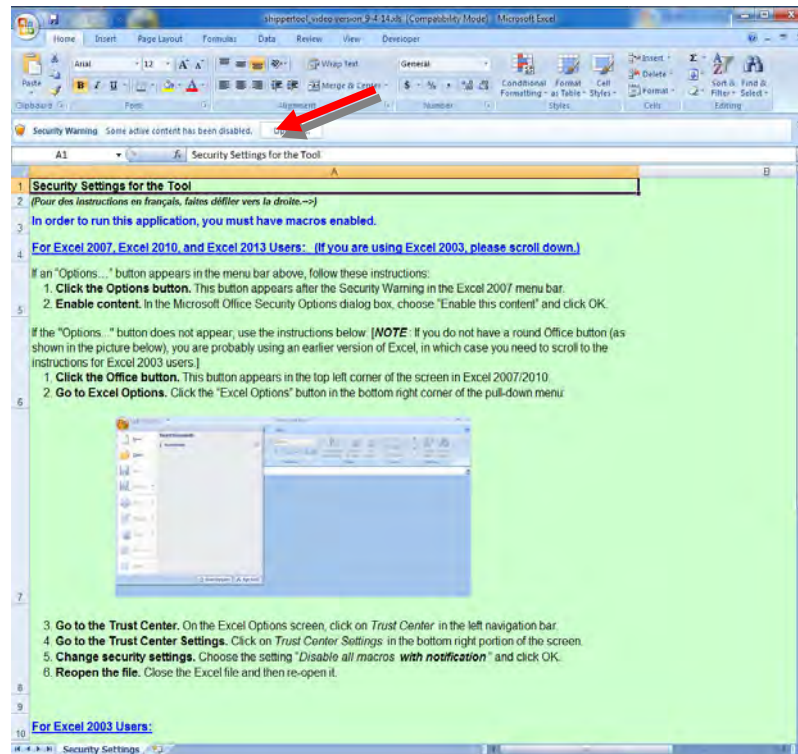
The **Welcome** Screen for the Rail Tool should then appear and you will be ready to begin working on your tool.

Security Settings for Excel 2007 Users

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

Running the Tool in Microsoft Excel 2007

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



Security Warning Screen

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


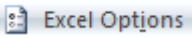


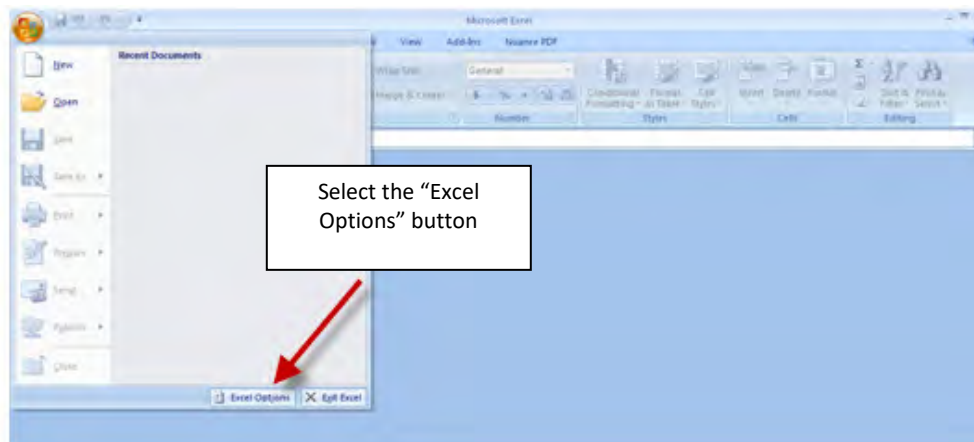
Security Options Dialogue Box

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

Troubleshooting the Security Settings in Microsoft Excel 2007

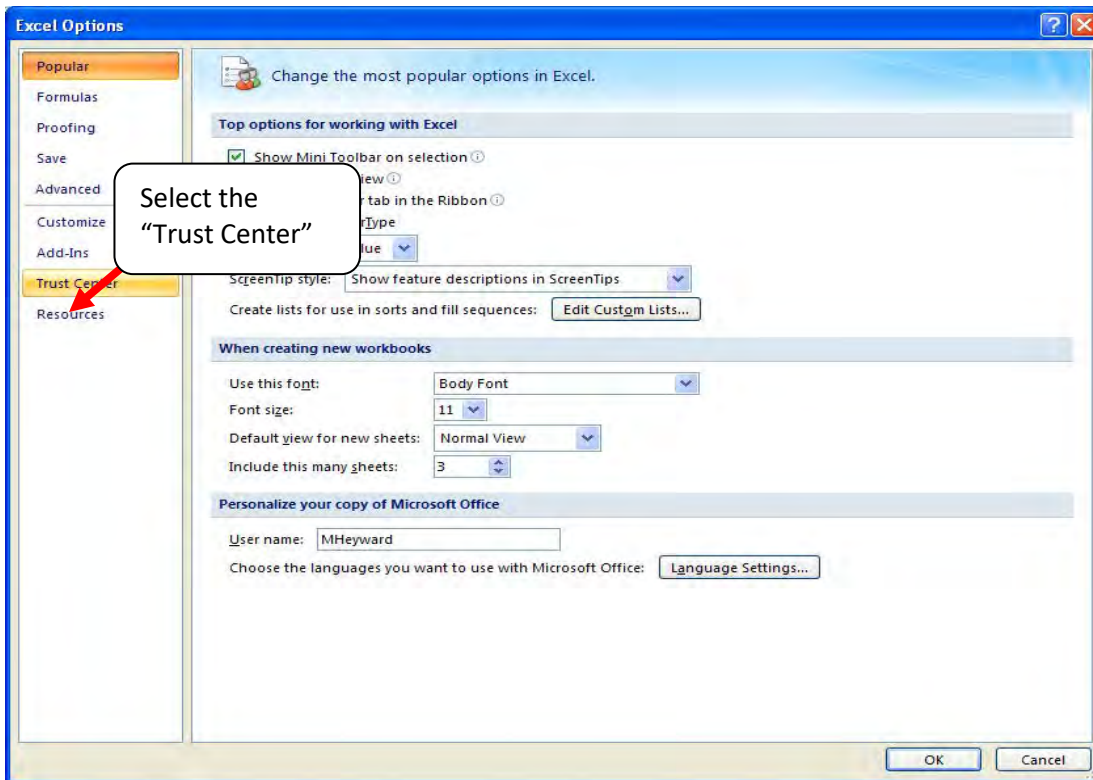
If you reach this point and the Tool does **NOT** open, you may have your security set too high.

To adjust your security settings, select the  button (in the top left corner of the screen) and then select the  button in the bottom right corner of the pull-down menu.



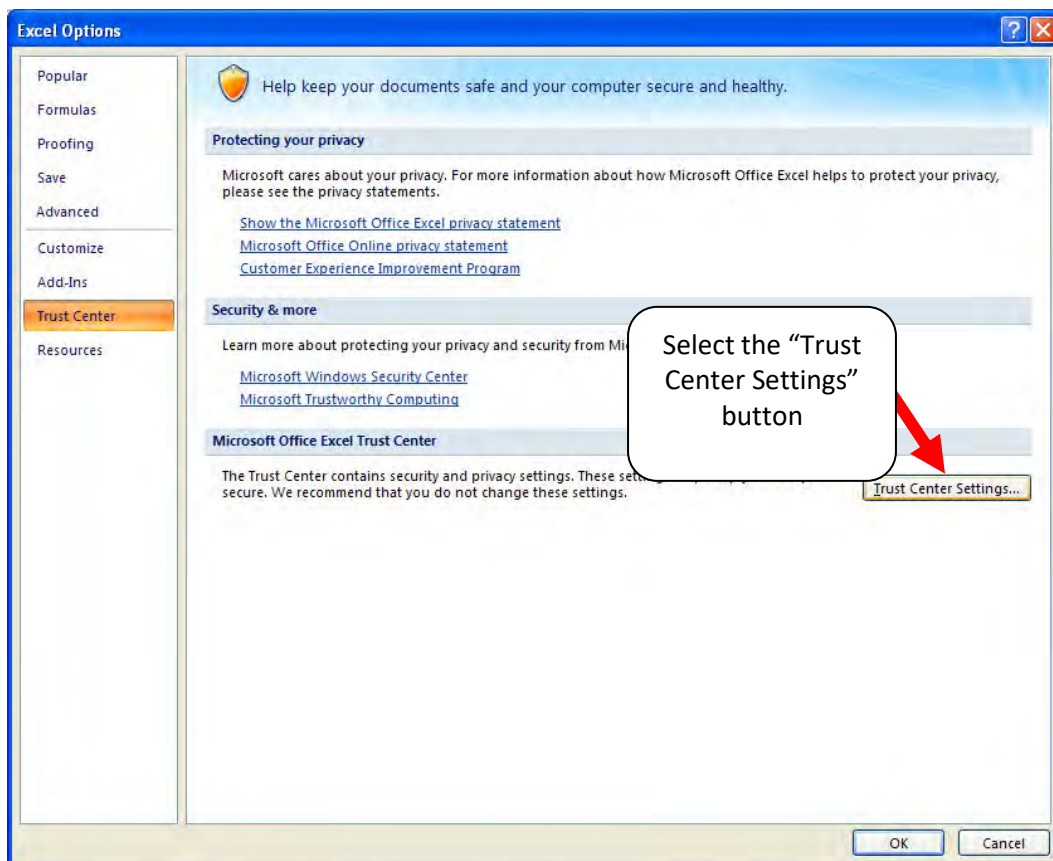
Excel Options Drop-Down Menu

On the **Excel Options** screen, select **Trust Center** in the left navigation bar:



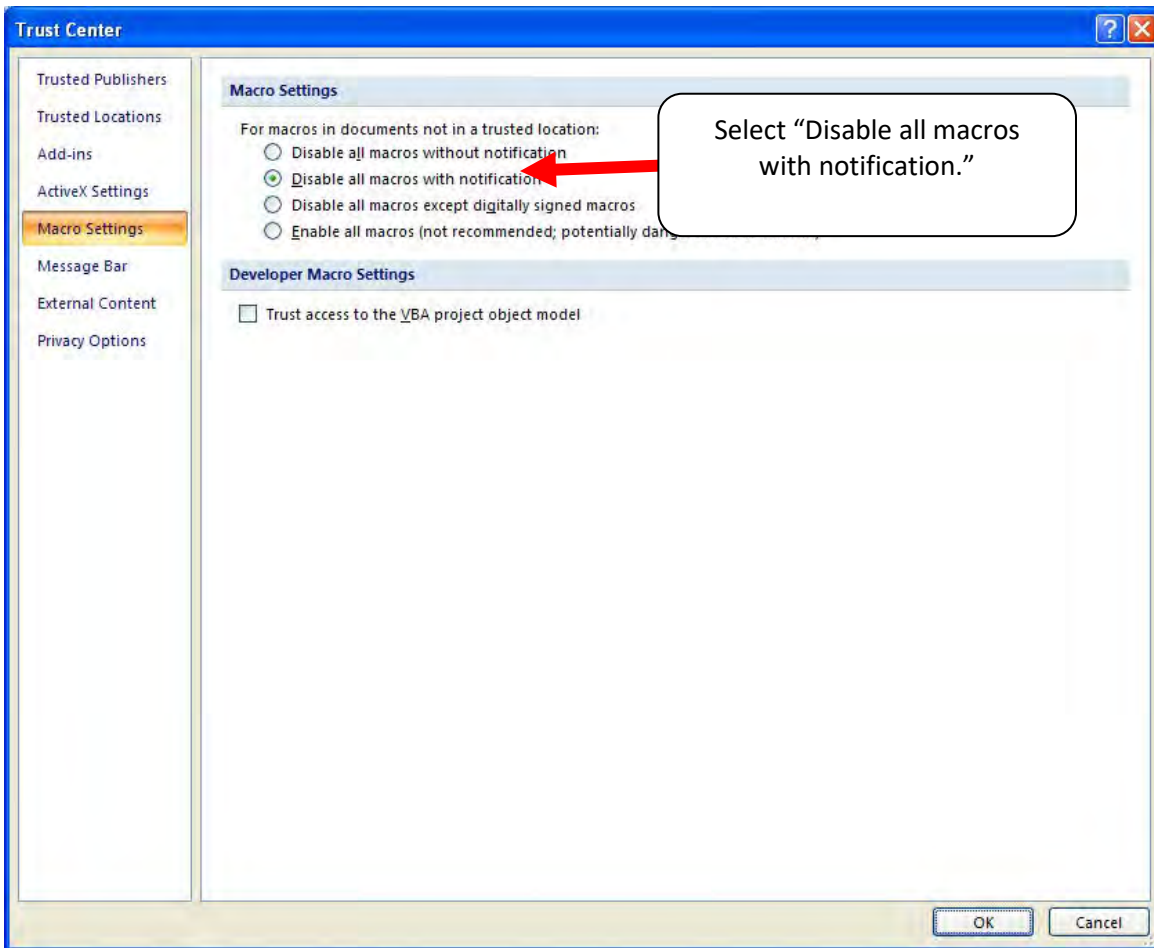
Excel Options Drop-Down Menu

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



Trust Center Settings Screen

Choose the setting “Disable all macros with notification” and select **OK**.




Macro Settings Screen

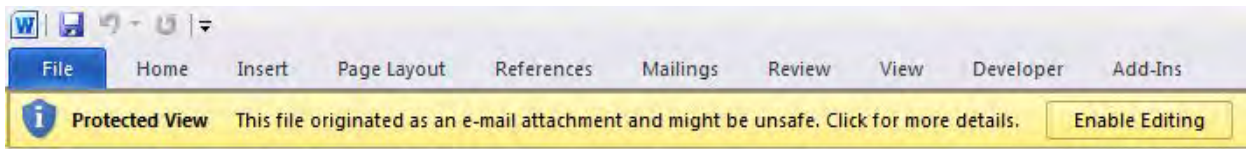
Then run the Tool.

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

Security Settings for Excel 2010 and newer Users

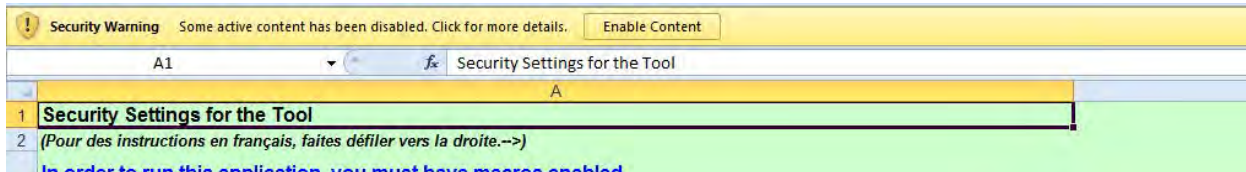
The default settings for Excel 2010 and newer Excel versions should enable you to run the tool without any changes. To run the tool:

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



The Enable Editing Button

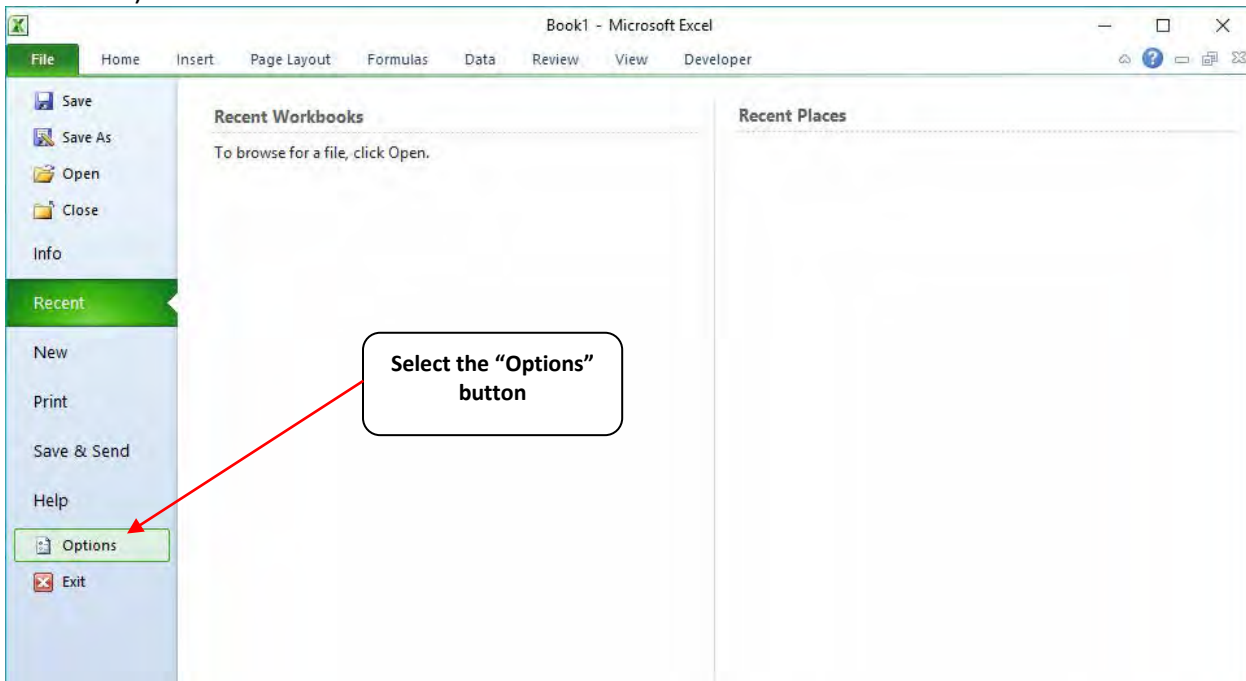
- 3) Depending on your Excel macro security settings, you may receive a **Enable Content** popup. If you do, simply select the **Enable Content** button. This will enable macros in the tool you just opened.



Security Warning Popup

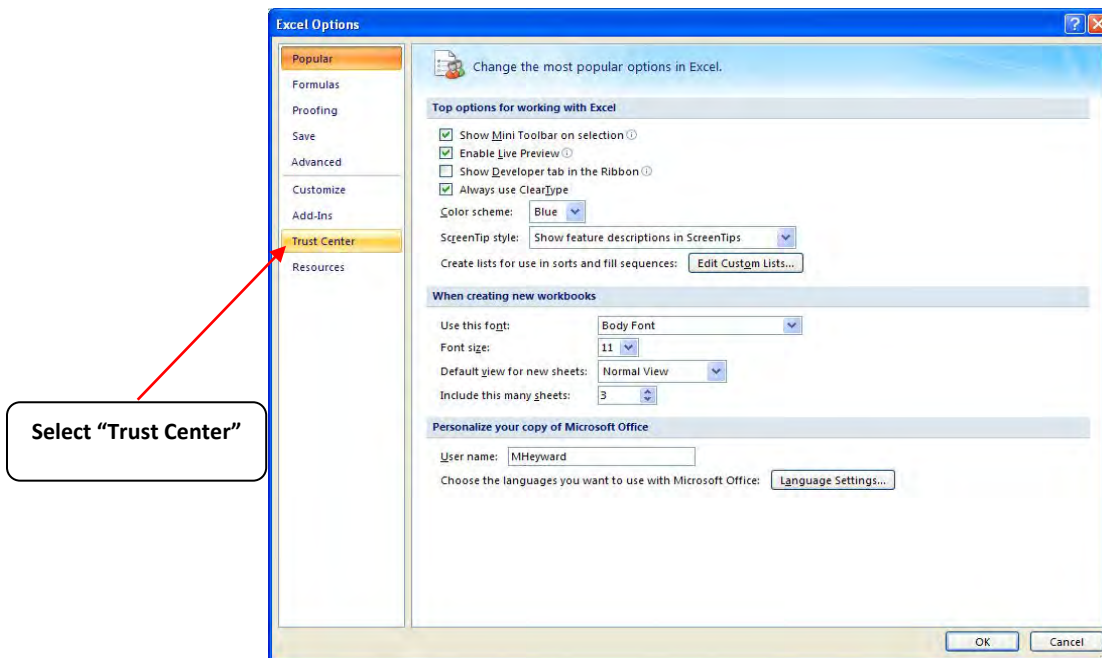
If you reach this point and the Tool does NOT open, you may have your security set too high.

To adjust your security settings, select the File tab from the menu bar **File** (in the top left corner of the screen) and then select the **Options** button in the bottom left-hand menu of the tab.



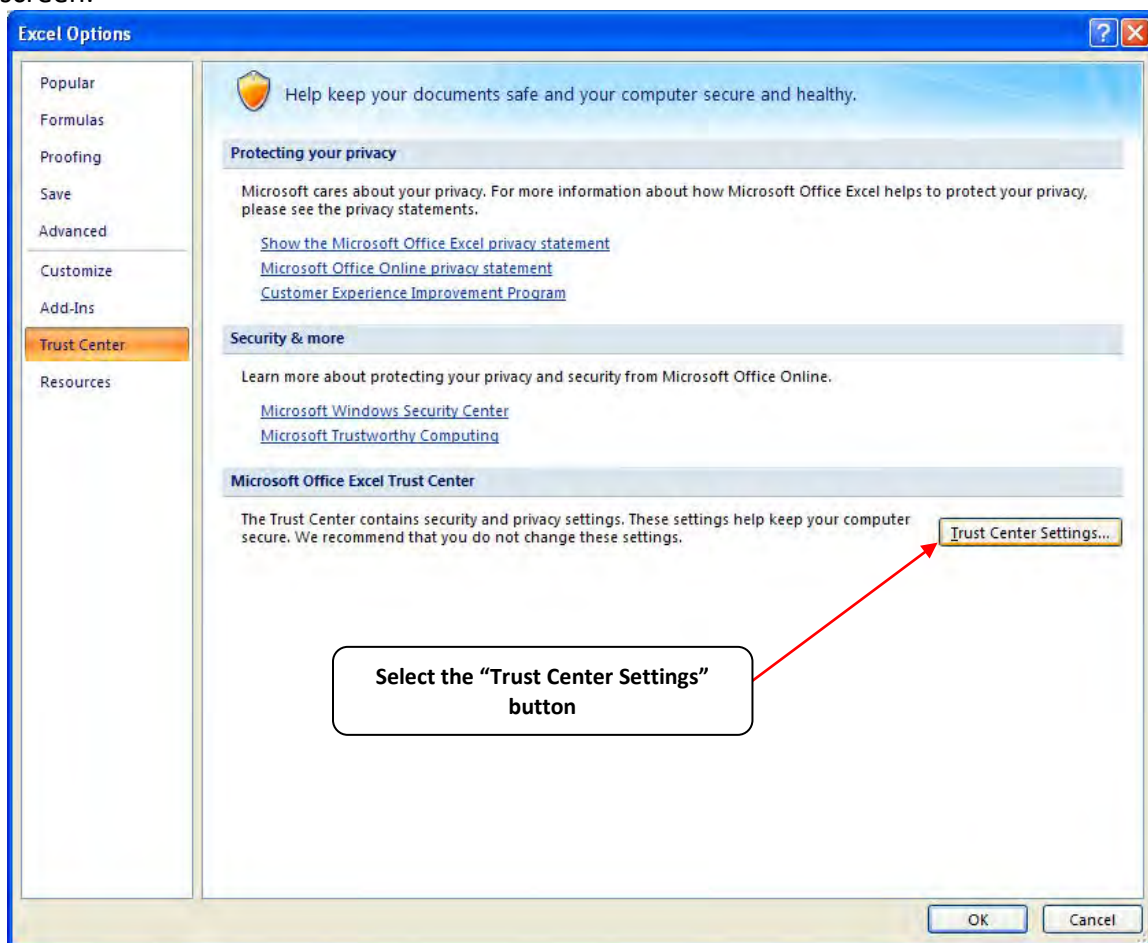
Excel 2010 and Newer Options Drop-Down Menu

On the Excel Options screen, select **Trust Center** in the left navigation bar:



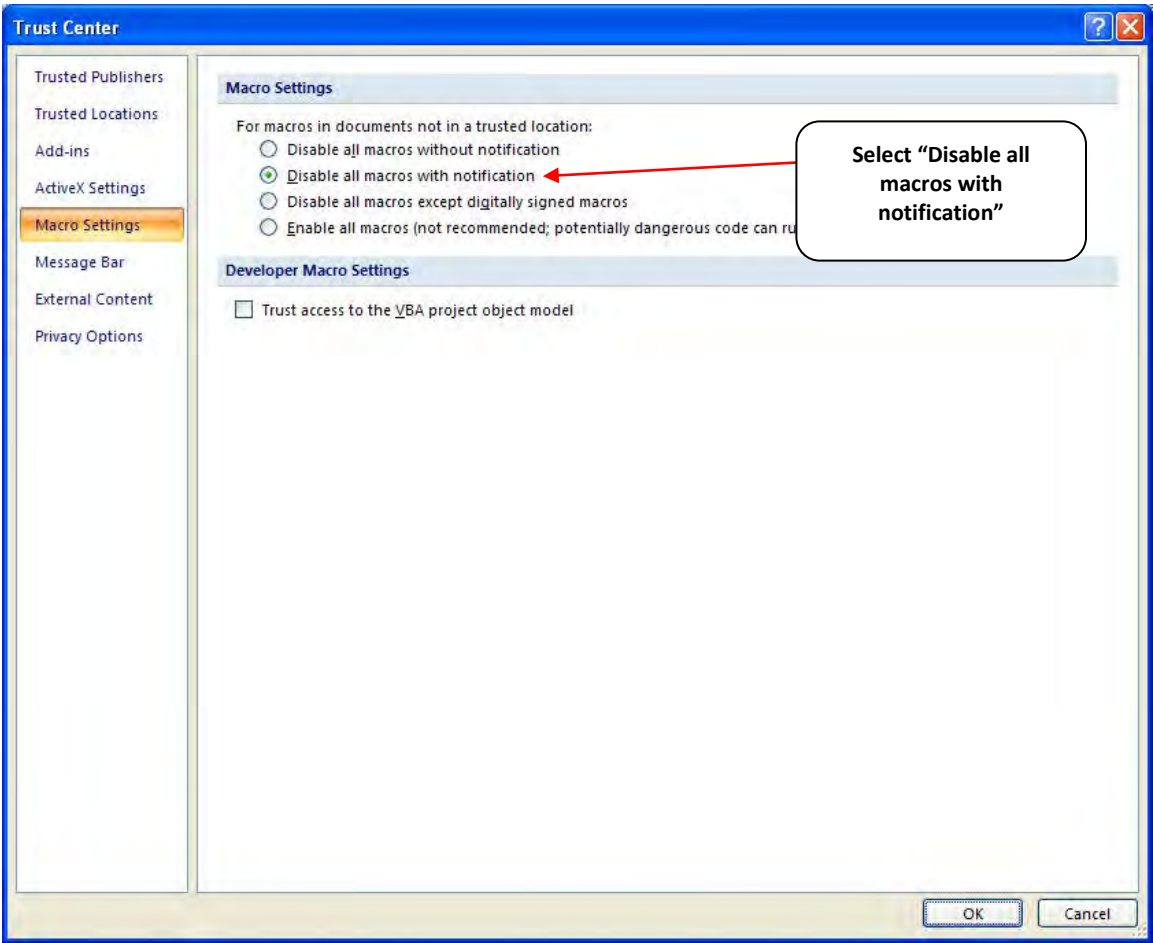
Excel 2010 and Newer Options Drop-Down Menu

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



Trust Center Settings Screen

Choose the setting “Disable all macros with notification” and select **OK**.



Macro Settings Screen

Overview of Data Collection Requirements

The SmartWay Rail Tool is the data collection and calculation system for rail carriers that join the SmartWay Transport Partnership. There are four sections of the SmartWay Rail Tool that require data about your company's operations:

1. **Specify Official Partner Name**
2. **Enter Company Contact Information**
3. **Characterize Your Fleets**
4. **Enter Activity and Fuel Information for Each of Your Fleets**

This guide will explore the data required for completing these four sections.

SECTION 1: SPECIFY OFFICIAL PARTNER NAME

To begin, you must specify your company's Partner Name, exactly as you want it to appear on the SmartWay website. For example, if your company's name includes "Inc." or "Ltd.", you may choose not to include that in your Partner Name. Please also pay special attention to proper capitalization, abbreviations, and punctuation.

SECTION 2: ENTER COMPANY CONTACT INFORMATION

SmartWay needs complete contact information for correspondence, web posting, press releases, and awards and recognition (where applicable). The SmartWay Rail Tool asks for:

- **General company information** (e.g., location, web address, etc.)
- **A Working Contact**¹ for any questions about your company's participation and Tool submissions
- **An Executive Contact**² for participation in awards and recognition events
- **A Sustainability Contact (optional)**³ for information on company sustainability programs and outreach
- **Other contacts (optional)**: Other contacts may include anyone who is not the Working, Executive, or Sustainability contact but may be involved with SmartWay (e.g., press/media contact, fleet manager, etc.).

Please use Worksheet #1 in this guide to prepare for filling out the Contact Information Screen in the Rail Tool.

¹ 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/division 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 Primary Contacts may need to add SmartWay/EPA to their preferred list of trusted sources.)

² The Executive Contact is the company executive who is responsible for agreeing to the requirements in the SmartWay Partnership Agreement, overseeing the Primary 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.

³ The Sustainability Contact may be the same as the Working or Executive Contact, but not the same as any Other Contacts.

SECTION 3: FLEET DESCRIPTION(S)

The SmartWay Rail Tool allows you to characterize your operations at the fleet level. In the Rail Tool, a fleet is defined as any business unit that a customer has discretion to hire.

- If you are a small company (e.g., Class 3) you will only have one fleet
- If you are a large rail company (e.g., Class 1), you may have several fleets

NOTE: You may enter multiple fleets into a single Tool submission.

SmartWay highly recommends developing your list of fleets offline using a company organization chart or perhaps a customer interface webpage. The best strategy is to have a clear idea of how to define your fleets before filling out the Tool.

Your company's name and your fleet name(s) will be listed on the SmartWay website to indicate your participation in the SmartWay Transport Partnership.



It is critical that you identify your company and fleet(s) in the Tool as you would have them appear on the SmartWay website.

The data requirements for the “**Characterize Your Fleets**” section are described below.

Please use the Worksheet #2 provided in this guide to prepare for filling out the Characterize Fleets section in the Rail Tool.

NOTE: You may wish to print multiple copies of Worksheet #2 if you have multiple fleets.

Data Requirements for “Fleet Description(s)” Screen

For each fleet, you will need to specify:

- **Partner Name:** On the SmartWay website, each of your fleet names will begin with the name of your company. This fleet "prefix" will be whatever you enter in the Partner Name field on the **Fleet Description** screen. By default, this field is automatically populated with the first 50 characters of the Partner Name that is entered on the **Home** screen. You should specify the name so that it appears EXACTLY as it you want it to show within each fleet 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.
- **Fleet Name:** Specify each fleet 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 the Partner Name field.
- **Class:** Enter the Class of the associated rail fleet (1, 2, or 3).

SECTION 4: ENTER ACTIVITY AND FUEL INFORMATION FOR EACH OF YOUR FLEETS

Once you have identified and characterized your fleets, you will be asked to provide additional information for EACH fleet separately. Much of this information will be directly available for Class 1 rail carriers from their most recent R-1 report data.



NOTE: If you are a new SmartWay Partner you should enter the most recent 12 months of data into the Tool. If you 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.

Data Requirements for “Power Units” Screen

Please use the Worksheet #3 provided in this guide to prepare for filling out the Power Units section in the Rail Tool (make one copy for each fleet).

You will need to provide power unit information about the selected fleet.

- Specify the number of power units or hours per year operated during the reporting period, by engine tier level. Depending up the **Data Input Method** selected, this information may be broken out by line-haul and switch engines. Under Method 1 you may aggregate your fleet's line-haul and switch units together, while Method 2 requires that you report the unit type counts separately. Methods 3 and 4 are similar, but require inputting hours of operation by tier, rather than unit counts.⁴ For Class 1 operators, please refer to R-1 form, Schedule 710 for details. The different engine tier level definitions are provided below:
 - Non-tier – manufactured before 1972
 - Tier 0 – manufactured between 1972 and 2001
 - Tier 0+ - manufactured between 1972 and 2001, and remanufactured after 2010
 - Tier 1 – manufactured between 2002 and 2004
 - Tier 1+ – manufactured between 2002 and 2004 and remanufactured after 2010
 - Tier 2 - manufactured between 2005 and 2011
 - Tier 2+ - manufactured between 2005 and 2011 and remanufactured after 2013
 - Tier 3 - manufactured between 2012 and 2014
 - Tier 4 – manufactured after 2014
- Next, Class 1 operators must enter your fleet's Total Locomotive Unit Miles/Year data under Part B. Break out your unit miles data by line-haul and switching categories, as appropriate. This data is available in the R-1 forms for Class 1 railroads (see lines 8-14 of Schedule 755). Class 2 and 3 operators do not enter this information.
- Finally, you will need to provide a detailed description of the data sources used to obtain your power unit data (e.g., R-1 Form section and line numbers).

⁴ In general, method 4 will provide the most accurate estimate for NOx and PM emissions.

Data Requirements for “Cars” Screen

Please use the Worksheet #4 provided in this guide to prepare for filling out the Cars section in the Rail Tool (make one copy for each fleet).

Class 1 operators will need to provide power unit information about the selected fleet. (Class 2 and 3 operators do not enter this information.)

- Specify your fleet’s annual railcar miles for the reporting year, by car type (e.g., box, gondola, etc.) and ownership type (Owned/Leased or Private). These data may be obtained from R-1 Report Section 755 (see lines 15 – 84).
- If available, also provide your fleet-specific railcar volumes by car type.

NOTE: All car-mile data should be entered as actual miles, NOT 1,000s of miles (as presented in the R-1 Report).

Data Requirements for “Operations” Screen

Please use the Worksheet #5 provided in this guide to prepare for filling out the Operations section in the Rail Tool (make one copy for each fleet).

You will need to provide power unit information about the selected fleet:

- Specify your fleet’s annual fuel consumption and ton-mile data. Record annual fuel use per year by fuel type (diesel, biodiesel, LNG, CNG, and electric) and train category (freight, passenger, and switch). Petroleum diesel, biodiesel, and LNG entries must be in gallons per year. Specify CNG units indicating standard cubic feet or gasoline-equivalent gallons per year. Electricity use is specified in kWh/year. If you indicate biodiesel consumption data, you must also specify the fleet average fuel blend level (between 0 and 100). For Class 1 operators, please refer to R-1 form, Schedule 750, lines 1 - 3 for details.
- Specify your gross, revenue, and non-revenue ton-mile data. This data is available for Class 1 operators from R-1 Report Section 755, lines 104, 110, and 113, respectively.

NOTE: All ton-mile data should be entered as actual ton-miles, NOT 1,000s of ton-miles (as presented in the R-1 Report).

Next Steps

Now that you understand the data collection requirements for the SmartWay Rail Tool, use the worksheets in the attached appendix to collect the data you need, then download the Tool and begin the data entry process. Please visit <https://www.epa.gov/smartway/smartway-rail-carrier-tools-and-resources> to download the SmartWay Rail Tool if you haven't already.

APPENDIX: WORKSHEETS FOR DATA COLLECTION

WORKSHEET #1: 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 Address							
City		State/Province		Zip		Country	
Sustainability Contact 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: FLEET CHARACTERIZATION

Complete this worksheet for each fleet you will be submitting in the Rail Tool.

Specify Partner / Fleet Name (exactly as it should appear on the SmartWay website):

Partner Name _____

Fleet Identifier _____

Railroad Class (1, 2, 3) _____

WORKSHEET #3: POWER UNITS INFORMATION

Complete this worksheet for each fleet you will be submitting in the Rail Tool.

Specify Power Unit Inventory by Engine Tier

Inventory Basis (circle one): # Units Hours/Yr

<u>Engine Tier</u>	<u>Line Haul</u>	<u>Switch</u>	<u>Total*</u>
non-Tier	_____	_____	_____
0	_____	_____	_____
0+	_____	_____	_____
1	_____	_____	_____
1+	_____	_____	_____
2	_____	_____	_____
2+	_____	_____	_____
3	_____	_____	_____
4	_____	_____	_____

* If you cannot differentiate line-haul and switch inventories, enter # Units or Hours/Yr for Totals only

Total Locomotive Unit Miles/Year (Class 1 Operators Only):

Unit Trains _____

Way Trains _____

Through Trains _____

Train Switching _____

Yard Switching _____

Describe the data source used to develop the above data:

WORKSHEET #4: CAR DATA

Complete this worksheet for each fleet you will be submitting in the Rail Tool.

Fleet Name: _____

Railcar Miles/Year (Class 1 Operators only):

	Owned and Leased		Private	
	Loaded	Empty	Loaded	Empty
Box - Plain 40'				
Box - Plain 50'				
Box Equipped				
Gondola Plain				
Gondola Equipped				
Hopper Covered				
Hopper Open Top - General				
Refrigerated Mechanical				
Refrigerated Non-Mechanical				
Flat TOFC/COFC				
Flat Multi-Level				
Flat General Service				
Flat All Other				
Tank Under 22,000 gallons				
Tank Over 22,000 gallons				
All Other Cars				
Work Equipment and Company Freight				
No Payment Car-Miles				

For each fleet, enter the fleet-specific volume in cubic feet for each car type. If you do not have this data, the Rail Tool will apply national average volume estimates.

Car Type	Volume (cu ft)
Box - Plain 40'	
Box - Plain 50'	
Box Equipped	
Gondola Plain	
Gondola Equipped	
Hopper Covered	
Hopper Open Top - General	
Refrigerated Mechanical	
Refrigerated Non-Mechanical	
Flat TOFC/COFC	
Flat Multi-Level	
Flat General Service	
Flat All Other	
Tank Under 22,000 gallons	
Tank Over 22,000 gallons	
All Other Cars	
Work Equipment and Company Freight	
No Payment Car-Miles	

WORKSHEET #5: OPERATIONS DATA

Complete this worksheet for each fleet you will be submitting in the Rail Carrier Tool.

Enter Fuel Use/Yr:

Fuel Type	Units	Freight	Passenger	Switching
Diesel	gal/yr			
Biodiesel^	gal/yr			
LNG	gal/yr			
CNG	gal/yr cu ft/yr *			
Electricity	kWh/yr			

* circle one

^ Biodiesel blend % (if applicable): _____

Gross Ton-Miles/Yr _____ (R-1, Schedule 755, line 104)

Revenue Freight Ton-Miles/Yr _____ (R-1, Schedule 755, line 110)

Non-Revenue Freight Ton-Miles/Yr _____ (R-1, Schedule 755, line 113)