

# 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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## 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 <u>smartway\_transport@epa.gov</u> 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?

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## 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.

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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*  $\rightarrow$  *Macro*  $\rightarrow$ *Security Level*.
- 2. When the "Security" window opens, select the "Medium" level, and select OK.



Security Level Setting Screen in Excel 2003

Enable Macros

### 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 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.

button in the security-

### 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 Options... button that appears after the Security Warning just below the menu bar. Detailed instructions are also provided on the screen itself.

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Fert	17 Event 2010 and Event 2012 Harry . (Rugu are using Event 2002 plages areal down )	
FOLE	<ol> <li>Excel 2010, and Excel 2013 Users: (If you are using Excel 2003, please scroll down.)</li> </ol>	
	." button appears in the menu bar above, follow these instructions:	
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1, 1	Excel 2003 users] Office button. This button appears in the top left corner of the screen in Excel 2007/2010. cel Options. Click the "Excel Options" button in the bottom right corner of the pull-down menu	
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21	Trust Center. On the Excel Options screen, click on Trust Center in the left navigation bar.	
	Trust Center Settings. Click on Trust Center Settings in the bottom right portion of the screen.	
	security settings. Choose the setting "Disable all macros with notification" and click OK.	
6.1	the file. Close the Excel file and then re-open it.	
	13 Users:	

**Security Warning Screen** 

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

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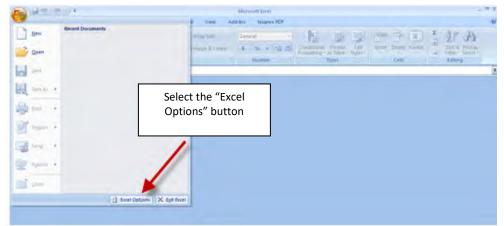
**Security Options Dialogue Box** 

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 select the select the button in the bottom right corner of the pull-down menu.



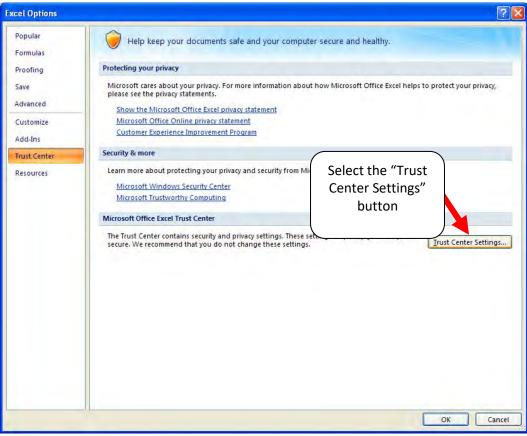
**Excel Options Drop-Down Menu** 

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

Excel Options		? 🔀
Popular Formulas Proofing	Change the most popular options in Excel.  Top options for working with Excel	
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Trust Cepter Resources	Create lists for use in sorts and fill sequences: Edit Custom Lists When creating new workbooks	
	Use this font Font size: Default view for new sheets: Include this many sheets: 3	
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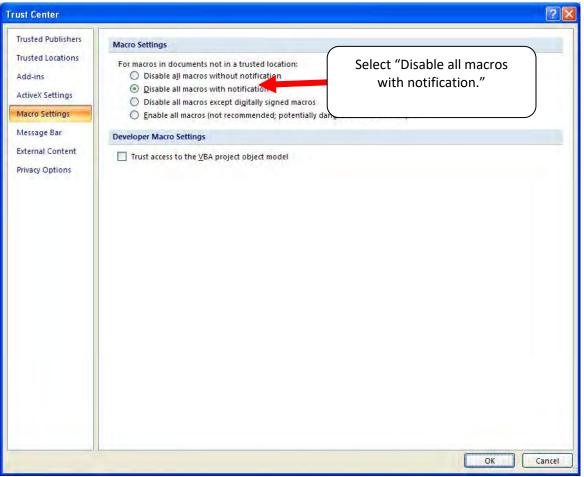
**Excel Options Drop-Down Menu** 

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 Editing 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.

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Excel 2010 and Newer Options Drop-Down Menu

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

Popular Formulas	Change the most popular options in Excel.
Proofing	Top options for working with Excel
Save Advanced	✓ Show <u>Mini Toolbar on selection</u> ✓ Enable Live Preview     ①     Show Developer tab in the Ribbon ①
Customize Add-Ins	Always use ClearType     Color scheme: Blue
Trust Center	ScreenTip style: Show feature descriptions in ScreenTips
Resources	Create lists for use in sorts and fill sequences: Edit Custon Lists When creating new workbooks Use this font: Font sige: 11
	Default giew for new sheets: Include this many sheets: 3
elect "Trust Center"	Personalize your copy of Microsoft Office
	User name: MHeyward
	Choose the languages you want to use with Microsoft Office: Language Settings

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:

ccel Options	
Popular Formulas	Help keep your documents safe and your computer secure and healthy.
Proofing	Protecting your privacy
Save Advanced	Microsoft cares about your privacy. For more information about how Microsoft Office Excel helps to protect your privacy, please see the privacy statements.
Customize Add-Ins	Microsoft Office Online privacy statement Customer Experience Improvement Program
Trust Center	Security & more
Resources	Learn more about protecting your privacy and security from Microsoft Office Online. Microsoft Windows Security Center Microsoft Trustworthy Computing Microsoft Office Excel Trust Center The Trust Center contains security and privacy settings. These settings help keep your computer secure. We recommend that you do not change these settings. Irust Center Settings
	Select the "Trust Center Settings" button
	OK Cancel

**Trust Center Settings Screen** 

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

Trust Center		? 🛛
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Trusted Locations Add-ins ActiveX Settings Macro Settings Message Bar	For macros in documents not in a trusted location: ○ Disable all macros without notification ④ Disable all macros with notification ◀ ○ Disable all macros except digitally signed macros ○ Enable all macros (not recommended; potentially dangerous code can ru	Select "Disable all macros with notification"
External Content Privacy Options	Developer Macro Settings ☐ Trust access to the ⊻BA project object model	
		OK Cancel

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.)
- <u>A Working Contact<sup>1</sup> for any questions about your company's participation and Tool submissions</u>
- <u>An Executive Contact</u><sup>2</sup> for participation in awards and recognition events
- <u>A Sustainability Contact (optional)</u><sup>3</sup> for information on company sustainability programs and outreach
- <u>Other contacts (optional)</u>: 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.

<sup>&</sup>lt;sup>1</sup> 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.)

<sup>&</sup>lt;sup>2</sup> 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.

<sup>&</sup>lt;sup>3</sup> 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 <u>before</u> 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 <u>critical</u> 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:

- <u>Partner Name</u>: 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.
- <u>Fleet Name</u>: 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.
- **<u>Class</u>**: 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 <u>a minimum of three</u> <u>months' data</u> 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.<sup>4</sup> 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
  - o 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
  - o Tier 2 manufactured between 2005 and 2011
  - o Tier 2+ manufactured between 2005 and 2011 and remanufactured after 2013
  - o Tier 3 manufactured between 2012 and 2014
  - o 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).

<sup>&</sup>lt;sup>4</sup> 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 <u>https://www.epa.gov/smartway/smartway-rail-carrier-tools-and-resources</u> 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		Count	ry	
Main Phone Number	Toll-free Number		Cell number		Web Ad	dress		

### **Working Contact Information**

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

#### **Executive Contact Information**

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

#### **Sustainability Contact Information**

Sustainability Contact					
Name					
Sustainability Contact					
Address					
City	State/Province		Zip	Country	
Sustainability Contact		Email			
Number		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 <u>each fleet</u> 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 <u>each fleet</u> 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> non-Tier	Line Haul	<u>Switch</u>	<u>Total*</u>		
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 <u>each fleet</u> 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 <u>each fleet</u> 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)