

2020 SmartWay Shipper Company Partner Tool: User Guide

U.S. Version 2.0.19 (Data Year 2019)

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(Data Year 2019)**

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

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INTRODUCTION

WHAT IS THE SMARTWAY TRANSPORT PARTNERSHIP?

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

Seven types of freight transport companies can join SmartWay.

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

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

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

WHY DO 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.

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



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.

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)'
-  SmartWay ID number (if this is not your first tool submission);
-  North American Industry Classification System (NAICS) codes for the company;
-  The level at which the shipper chooses to participate in SmartWay; 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).

Additional information is needed depending on the shipper's selected level of participation. There are 4 ways shippers can participate in SmartWay. Way 1, the SmartWay Candidate level, is only for companies who want to learn more about SmartWay before joining as a SmartWay Shipper Partner. To become a SmartWay Shipper Partner, you select Way 2, Way 3, or Way 4. Under Way 2, 3, or 4, shippers participate as full SmartWay partners and submit activity and performance data using the SmartWay Shipper Tool. Note that Way 2 participants will not generate an emissions footprint and will not be eligible for an annual SmartWay Award.

 Way 2 data requirements:

- A non-mileage-based measure of how much business you do with each carrier. Examples include the amount of money you spend with each carrier, or the number of shipments per carrier
- Description of data sources used to compile the alternative activity metric

 Way 3 data requirements:

- Activity data for all the carriers the shipper uses including:
 - Total miles contracted, ton-miles contracted, and/or average payload data for each SmartWay and non-SmartWay carrier
 - Description of data sources used to compile activity data

 Way 4 data requirements:

- All data required for Way 3 participation, plus at least one of the following:
 - Information to differentiate the freight the company moves with any individual carrier by various methods, such as inbound versus outbound, domestic versus international, business unit, internal ID code, or other custom method
 - Information to evaluate retrospective or prospective company operational strategies to eliminate miles or weight from the freight operations to reduce the shipper's carbon footprint
 - Information to evaluate retrospective or prospective strategies to shift freight transportation from one mode to another (e.g., from truck to rail)

This data should be provided for all of the shipper's companies. This data reflects the amount of freight carried by each carrier, the distance that freight is carried, and the fuel consumed to carry the freight.

SmartWay Shipper partners are encouraged to participate at the Way 4 level and 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 SOFTWARE & HARDWARE IS REQUIRED FOR COMPLETING THE SHIPPER TOOL?

The Shipper Tool was designed in Microsoft Excel using forms and Visual Basic for Applications (VBA) macros and code. Completing the Shipper Tool requires the following software and system requirements:

Supported Operating Systems

-  Microsoft Windows 7 or later
 - Includes Windows 7, Windows 8 and 8.1, and Windows 10
 - The Tool should also be compatible with Windows XP if all other requirements are met as well. However, Windows XP has reached end of support at Microsoft and this may affect tool performance.

System Requirements

-  IBM Pentium processor or newer
-  2 GB Ram
-  100 MB disk space
-  Monitor display setting of 1,024 x 768 or larger

Software Requirements

-  Microsoft Excel 2010 or later
 - Includes Excel 2010, Excel 2013, Excel 2016 and Excel in Office 365
 - Must be the one-time purchase version of Microsoft Excel installed on a PC or the Office 365 subscription **desktop version** of the application; *cannot run with Microsoft Excel online or through OneDrive online*
 - The Tool should also be compatible with Excel 2007 if all other requirements are met as well. However, Excel 2007 has reached end of support and Microsoft no longer provides technical support, bug fixes, or security fixes. This may affect tool performance.
 - Excel 2010 will also reach end of support by Microsoft on October 13, 2020.

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.

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

Macros must be enabled on your computer to use the Shipper Tool.

-  The default macro security setting in Excel is "Disable all macros with notification"
-  When you open the tool, you may get a security alert that macros are present, and you need to choose to enable the macros for this file to work. The steps below describe how to enable macros for different versions of Excel, first if the message bar or security dialog appear, and alternatively in the Trust Center if the message/dialog do not appear.

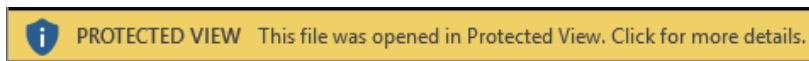
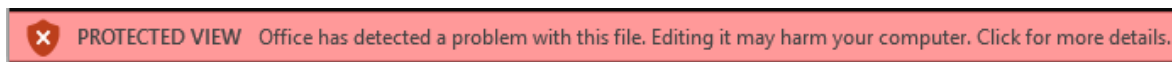
Enable macros when the Message Bar appears (Excel 2016, 2013, and 2010)

1. When you open the tool, the yellow message bar appears with a shield icon and the **Enable Content** button.



2. On the Message Bar, click Enable Content.

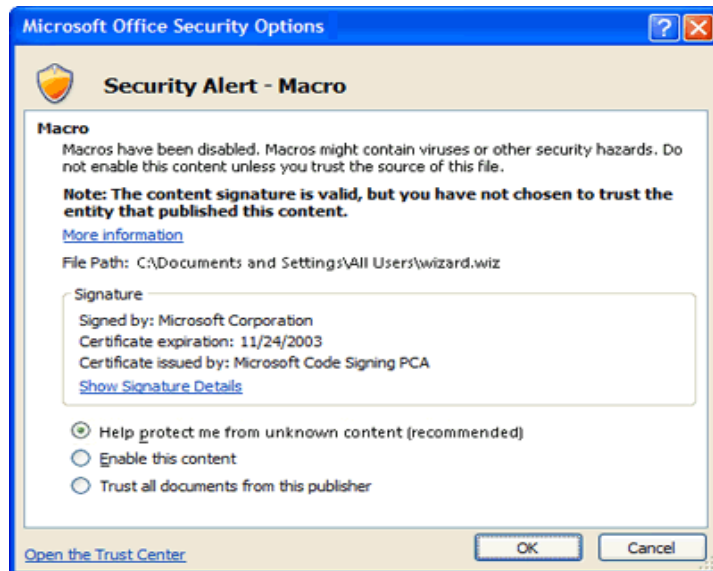
Note: if the file opens in Protected View, click **Enable Editing** on the message bar. If there is no Enable Editing option, click **Click for more details** and then click **Edit Anyway**. The Protected View message will look similar to the image below:



Once editing is enabled, follow Steps 1 and 2 above to enable content on the macro message bar.

Enable macros when the Security Options dialog appears (Excel 2007)

1. When the Security Options dialog appears, click **Enable this content**
2. Excel 2007 Security Options dialog

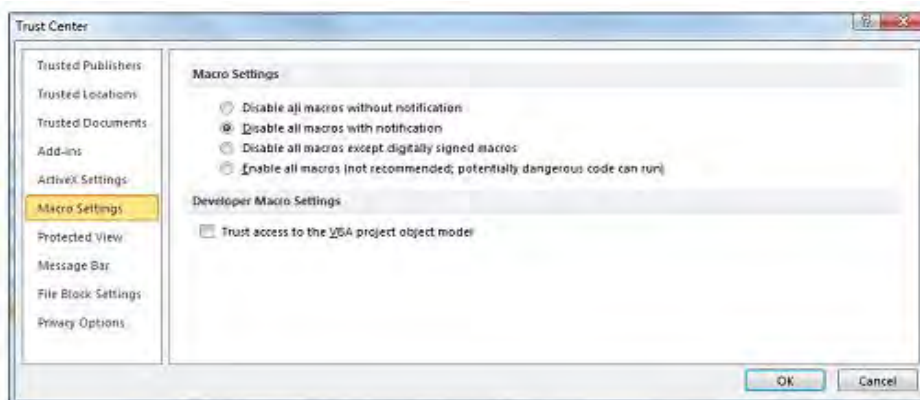


If the Message Bar or Security Options dialog does not appear, change macro settings in the Trust Center

Change macro settings in the Trust Center (Excel 2016, 2013, 2010, 2007)

1. Click the **File** tab (Excel 2016, 2013, 2010) or the **Microsoft Office** Button (Excel 2007) 
2. Click **Options** (Excel 2016, 2013, 2010) or **Excel Options** (Excel 2007)
3. Click Trust Center, and then click Trust Center Settings.
4. In the Trust Center, click Macro Settings.
5. Click the option "Disable all macros with notification."
6. Click **OK**.
7. Close out of the Excel file and then re-open it.
8. Follow the previous instructions to Enable macros when the Message Bar or Security Options dialog appears

The following image is the **Macro Settings** area of the Trust Center.



Once macros are enabled (and you are not in Protected View), you can proceed with running the Tool.

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

WHAT IS INCLUDED IN THE SMARTWAY SHIPPER COMPANY 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 with 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.

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

Step 1 Data Collection Requirements

This section will identify data needed for completing the required sections of the Shipper Tool. **The Shipper Tool Technical Documentation** explains more about the methodological structure and technical aspects of the Tool and the data entry process; this guide will focus primarily on the essentials for completing the Tool.

INTRODUCTORY SCREENS

Upon opening the 2020 Tool, you will see a **Welcome** screen, followed by four screens which orient you to the Tool. 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, and the SmartWay Partner Tool Schedule for 2020. 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 for Shippers.

AUTO-POPULATION

As you progress through the Tool, you will see an **Auto-Population** screen. This screen allows partners and applicants to input their SmartWay ID and automatically load the information for the initial steps of the Tool (Partner Name, Contact Information, and for established Partners, Fleet Information), based on the prior year's submittal, or for applicants, information entered through the online SmartWay Shipper Application.³ The Auto-Population option can save time and ensure naming consistency for your contacts and company (or companies) from year to year. A popup screen will appear displaying all the contact and company data uploaded for your review before proceeding. Corrections and revisions may be made on the **Home** screen if needed. If you do not have a SmartWay ID, or prefer to enter this data manually, you may skip this step.

REQUIREMENTS FOR 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 have not been in operation for a full year, you must collect **a minimum of three months' data** for input into the SmartWay Tool. In your next update year, you will be expected to submit a full year's data.

³ You may access the SmartWay Shipper Application at <https://app4.erg.com/smartwayonramp/onrampShipper/step1.cfm?CFID=2146463&CFTOKEN=e2cf9fb1a41e0ca8-23E62B4F-A0E9-6413-76C4E22EFB26B419>

REQUIREMENTS FOR SECTION 1: SPECIFY OFFICIAL PARTNER NAME

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

You must specify your company's official Partner Name under Section 1 of the **Home** screen, exactly as you want it to appear on the SmartWay website.

For example, you may enter:

-  ABC Company
-  ABC Company, Inc.

Your company will be listed exactly as you've entered in Section 1. 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 Home screen, revising it as necessary.

REQUIREMENTS FOR SECTION 2: ENTER CONTACT INFORMATION

The SmartWay Tool asks for:

-  **General company information** such as location, web address, phone number, etc.
-  **A Working Contact**⁴ for any questions about your company's participation and Tool submissions
-  **An Executive Contact**⁵ for participation in awards and recognition events
-  **A Sustainability Contact (optional)**⁶ for information on company sustainability programs and outreach
-  **Additional contacts (optional):** Additional 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.).

⁴ 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.)

⁵ 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.

⁶ The Sustainability Contact may be the same as the Working or Executive Contact, but not the same as any Other Contacts.

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

Note: *If you selected the auto-populate option you still **MUST** review the Contact Information that pops up before leaving the Auto-population screen, and revise any entries on the Home screen as needed.*

REQUIREMENTS FOR SECTION 3: COMPANY DESCRIPTION

This section of the Tool allows you to create multiple company data records. If you operate more than one separate and distinct company you may wish to track each company separately. Each individual data file has the ability to track companies, inbound/outbound freight, and international/domestic freight as well as other user-defined distinctions.

Most Partners should create one company. However, if you are a global conglomerate that, for example, has a large home goods retail company, a wholesale parts supply company, and a product manufacturer, all with separate corporate identities and transportation systems, you may want to create three companies. However, note that these companies will not be listed separately on the Partner Listing on the SmartWay website. If you would like multiple companies displayed on the Partner Listing, submit separate Tools for each company.

The **Company Description(s)** screen requires the following information:

-  **Company Name(s):** Name your companies, beginning with your partner name followed by the specific company name. Example: Shipper Company 1 – Retail.
-  **NAICS Code:** NAICS, or North American Industry Classification System codes, are the Federal standard for classifying businesses by activity type. NAICS codes can be from two or three up to six digits in length, and are organized hierarchically, with successive digits providing greater specificity in its description. Use the NAICS code(s) that most appropriately describes your company. You can use the search icon to the right of the data entry field to identify and select NAICS code(s). If you need to enter multiple NAICS codes, you may check multiple boxes on the popup screen while holding down the "Ctrl" key on your keyboard, or simply enter them directly and separate them with commas.
-  Detailed information on NAICS codes can be found at <http://www.census.gov/eos/www/naics/>. Alternatively, you may locate your NAICS code:
 1. On your company's 1120 corporate tax return, filed with IRS, Schedule K, lines 2a, b and c.
 2. Or, on the 1120S corporate tax return, filed with IRS, Schedule B, lines 2a and b.

*If you selected the auto-populate option you still **MUST** review the Company Description information that pops up before leaving the **Auto-population** screen, and revise the entries on the **Home** screen as needed.*

REQUIREMENTS FOR SECTION 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 select the [Download Latest SmartWay Carrier Data File](#) button on the **Home** screen. A new box will appear next to the button indicating the "Date of Current Carrier File." You are now ready to 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 Section 5 without this file. You must have an active Internet connection to perform this step.

REQUIREMENTS FOR SECTION 5: PARTICIPATION LEVEL AND DATA INPUT METHOD

No data are needed to complete section 5, however you must choose the level at which you wish to participate and select how you would like to input data into the Tool. These choices will affect data needed to complete the next section. On the **Participation Level** screen, you have the option to choose to participate at the Way 2, Way 3, or Way 4 level. The table below summarizes the three options and describes who the option is best for, the benefits, inputs needed, and the input methods available.

Option	Way 2: Basic Freight Assessment	Way 3: Standard Freight Assessment	Way 4: Advanced Freight Assessment
Best for:	Shippers with limited data that want to start freight efficiency planning.	Shippers that want a freight emissions footprint to guide their freight decision making.	Shippers that want a more-detailed freight emissions footprint and added analysis.
Inputs needed:	Carrier names and relative data (e.g., amount spent, number of shipments, volume shipped, or another custom metric)	Carrier names; mileage, ton-miles and/or payload data per carrier	Carrier names; mileage, ton-miles and/or payload data per carrier; and additional operational strategies and mode split data
Input methods:	Manual only	Manual or data import	Manual or data import

Option	Way 2: Basic Freight Assessment	Way 3: Standard Freight Assessment	Way 4: Advanced Freight Assessment
Benefits:	- Define a relative freight performance metric (% SmartWay) - Be recognized as a SmartWay Partner	- All the benefits of Way 2 plus the ability to: - Build a freight performance assessment based on per carrier mileage and payload - Compete for recognition through the SmartWay Excellence Awards	- All the benefits of Way 3 plus the ability to: - Subdivide freight activity based on inbound vs outbound, domestic vs international, discrete business units, and/or other criteria - Compare emissions savings from various mode and operational strategy changes retrospectively and prospectively - Receive additional credit for SmartWay Excellence Award

REQUIREMENTS FOR SECTION 6: DATA ENTRY

In Section 6 of the Shipper Tool, you will identify the carriers included in each of your shipper companies, and then enter either **detailed activity data** or **relative carrier data** depending on the participation level selected. The screens you must complete will depend on the participation level and data input method you specified in the previous section.

Requirements for Inputting Carriers

In this section, you must specify the carriers that your shipper company uses. There are different methods to select carriers depending on your level of participation and input method selected in the previous section, but 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

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

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

Multimodal SmartWay Categories include:

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

SmartWay Category selections are not currently available for other modes but may be added in the future.

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.

After identifying your SmartWay carriers, you must also enter the number of non-SmartWay carriers used by the shipper company. *Only include carriers used during the reporting year.* If this company has non-SmartWay carriers, you will also 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.

Details on data entry and which screens you will have to complete depending on your participation level and input method selections are described in the Step 2 – Data Entry section below.

Requirements for Carrier Subdivision Screen

NOTE: *This screen is only applicable to the Way 4 participation level.*

If you selected the Way 4 participation level, you may specify supplemental information to help you further characterize your carrier use on this screen. For example, you can designate certain carriers used for domestic or international routes. The optional information 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

You must complete this screen, the **Mile & Weight Improvements** screen, or the **Modal Shift Impacts** screen if you selected the Way 4 level. *If you select Way 4 but do not enter data for **Mile & Weight Improvements** of **Modal Shifts** then you must differentiate activity for at least one of your carriers, rather than just specifying descriptors. For example – you can specify both inbound and outbound activity for a particular carrier.*

Requirements for Activity Data

NOTE: This screen is only applicable to the Way 3 and Way 4 level.

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

Next, identify any carrier fleets operated directly by your shipper company by checking the **"Shipper Carrier"** box. This allows the Tool to exclude these carriers from the Scope 3 emissions calculations provided in the

Public Disclosure Report. See the [Shipper Tool Technical Documentation](#) for further details on the **Public Disclosure Reports**.

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

1. Enter ton-miles and total miles (preferred option)
2. Enter ton-miles and average payload
3. Enter total miles and average payload
4. Enter total miles only⁷

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: LTL and Package carriers may not select Option d, due to the importance of estimating precise 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.

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

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.

⁷ Option d is available for TL/Dry Van, Expedited, Heavy/Bulk, Mixed, Specialized, Refrigerated, Flatbed, Tanker, Moving, Dray, and Auto carrier categories only.

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 = $\frac{\text{total miles per carrier} \times \text{total tons per carrier}}{\text{total \# of trips per carrier}}$

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.

Requirements for "% SmartWay"

Carriers identified in the **Input Carriers** screens are automatically carried over to this screen. If you selected the Way 3 or Way 4 participation level, 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**. There are no data requirements for the ton-miles and total miles weighting factors on this screen.

If you selected the Way 2 participation level you must specify an alternative weighting factor to apply 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. In this case you must enter the type of data you use for your percentage allocation estimates using the drop-down menu at the top of the screen, and then enter the percent allocated to each carrier. Percentages must sum to 100. You must also document the custom factor methodology in the text box presented at the lower left of the screen.

Note: If you are participating at the Way 2 level, you will not see the Ton-Mile or Total Mile columns presented on the % **SmartWay** screen.

Requirements for Mile & Weight Improvements

NOTE: This screen is only applicable to the Way 4 participation level.

This screen allows you to estimate the emissions savings impacts for a range of retrospective and/or prospective activities and best practices which impact the emission footprint of the transportation supply

chain (e.g., reducing miles traveled in the transportation network through route or cube optimization, or reducing weight through package reduction, among others). You should have data about your company's activities or possible activities to complete this screen. You must complete this screen, the **Carrier Subdivision** screen, or the **Modal Shift Impacts** screen if you selected the Way 4 level.

Requirements for Modal Shift Impacts

***NOTE:** This screen is only applicable to the Way 4 participation level.*

The **Modal Shift Impacts** screen allows partners to evaluate the emissions impact of moving to different modes (e.g. truck-to-rail or rail-to-barge) retrospectively or prospectively. You need data about modal shifts or potential modal shifts in order to complete this screen. You must complete this screen, the **Carrier Subdivision** screen, or the **Mile & Weight Improvements** screen if you selected the Way 4 level.

Step 2 Data Entry

DOWNLOADING THE SMARTWAY SHIPPER TOOL

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

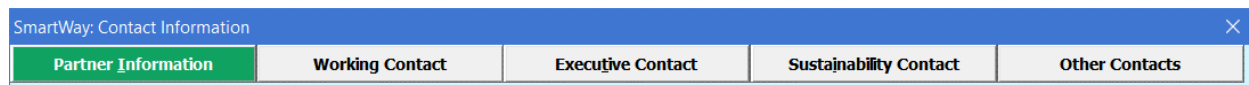
ENTERING PARTNER NAME

Under Step 1 on the **Home** screen:

1. Type your **Partner Name** EXACTLY as you would like it to appear on the SmartWay website and in other EPA communications in the field as indicated.
2. Proceed to Section 2 to enter **Contact Information**.

ENTERING CONTACT INFORMATION

Note: Use the Tabs at the top of the window to navigate between the 5 information screens



Each field marked with an asterisk must be filled out. You will not be able to submit the Tool to SmartWay without this information.

Under the Partner Information tab:

1. **Enter the Company address, phone numbers, and website (optional).**
2. **Enter the Working Contact name and title.**

The **Working Contact** is the individual designated by the Executive Contact to directly interface with SmartWay regarding specific tasks involved in the timely submission of the Tool. The Working Contact is responsible for coordinating the assembly of information to complete/update fleet data; completing and updating the Tool itself; maintaining direct communication with SmartWay; and keeping interested parties within the company apprised of relevant developments with SmartWay.

NOTE: To ensure that e-mails from SmartWay/EPA are not blocked, new contacts may need to add SmartWay/EPA to their preferred list of trusted sources.

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

The **Executive Contact** is the company executive who is responsible for agreeing to the requirements in the SmartWay Partnership Annual Agreement, overseeing the Working Contact (as appropriate), and ensuring the timely submission of the Tool to SmartWay. The Executive Contact also represents the company at awards/recognition events. This person should be a Vice President or higher level representative for the company.

4. **Enter the Sustainability Contact name and title (optional).**

The **Sustainability Contact** is the individual assigned responsibility for monitoring the company's environmental performance. The Sustainability Contact may be the same as the Working or Executive Contact (and specified by checking the "Same as" boxes in the Sustainability Contact section), but cannot be the same as any Other Contact.

5. **Enter Other Contact names and titles.**

Under the Working Contact tab:

Enter the Working Contact information. If the Working Contact shares the same address as the company, you may select the **Partner Address** button to auto-populate the address section of this record. Enter the email address twice to confirm its accuracy.

Under the Executive Contact tab:

Enter the Executive Contact information, including the contact email address. The same buttons and fields are available as described for the **Working Contact** tab.

Under the Sustainability Contact tab:

If applicable, enter the Sustainability Contact information including the contact email address. The same buttons and fields are available as described for the **Working Contact** tab.

Under the Other Contacts tab:

1. Enter Other Contacts (if applicable) by selecting the **Add New Contact** button.
2. Enter the first Other Contact then select the **OK** button when done.

NOTE: *You must supply at least two unique contacts on the contact screen to ensure EPA has access to at least two people for Tool submission follow-up.*

NOTE: *In some cases, companies with multiple fleets will gather information from different sources within the company. You may find it useful to have this additional contact information stored within the Tool.*

You can add more contacts to the **Other Contacts** box by repeating this process. If you wish to edit an existing contact's information, highlight the name you wish to edit and then select the **Edit Selected Contact** button. You can remove an existing contact by highlighting the contact and then selecting the **Delete Selected Contact** button.

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

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

COMPLETING THE COMPANY DESCRIPTION SCREEN

1. On the **Home** screen, select the **Company Description(s)** button to display the **Company Description** screens.
2. Enter the "Company Name" for your first (or only) company.
3. Enter the NAICS code for each of your companies. You may enter multiple NAICS codes if appropriate. You may enter NAICS codes in two ways:
 - a. Manually type in two- to six-digit NAICS codes, separated by commas, in the space provided.
 - b. For help finding your NAICS code, select the **binoculars** button to the right of the data entry field. A separate form that includes all NAICS codes and their descriptions will appear. You may select one or multiple NAICS codes from this screen. To select multiple codes, press the "**Ctrl**" button on your keyboard (and keep it pressed) and then select the items from the list box with your mouse. Select **OK** when finished to insert the selected NAICS onto the main screen.
4. Enter additional companies as needed:
 - a. To enter another company, select the **Add Company** button.
 - b. To delete a company, select the box next to the row you wish to delete, and then select the **Delete Checked Rows** button.
 - c. Once you have entered the Company Name and specified the associated NAICS code(s), select the **CREATE COMPANIES** button and return to the **Home** screen.

DOWNLOADING THE LATEST SMARTWAY CARRIER DATA FILE

1. On the **Home** screen, select the **Download Latest SmartWay Carrier Data File** button under Step 4 and allow the Tool to download the latest carrier data (SmartWayCarrierData2019.xlsx).
2. Proceed to Step 6 to enter data for your company (or companies).

SELECTING A PARTICIPATION LEVEL

1. On the Home screen, select the "**Participation Level and Data Input Method**" button to proceed to the Participation Level screen.
2. There are three program participation levels from which to choose when filling out the Shipper Tool. All choices allow you to be a SmartWay partner. Some choices will require more data entry than others but will give you better and more useful results. The **Participation Level** screen walks you through your choices, described below.

Note: carefully consider the information you have available for your carriers in order to select the best option for your company. Your participation level will determine your eligibility for the various types of SmartWay performance awards.

- **Way 2 – Basic Freight Assessment:** This option allows you to input your carriers and a non-mileage-based measure of how much business you do with each carrier. Examples may include the amount of money you spend with each carrier, or the number of shipments per carrier. Partners participating at the Way 2 level will learn what percentage of their freight is with SmartWay-registered carriers, although they are not eligible for an annual SmartWay performance award.
 - **Way 3 – Standard Freight Assessment:** This option allows you to input your carriers and how much freight they move for you, expressed in miles and/or ton-miles. This option provides partners with information on total mass emissions generated and the associated efficiency for CO₂, NO_x and PM emissions. Partners can view emissions and performance by carrier, mode of transport, or at the company level. Partners can also import data rather than input it manually, as described on the next screen. Partners participating at the Way 3 level are eligible for SmartWay annual awards.
 - **Way 4 – Advanced Freight Assessment:** This option allows you to differentiate your freight movement with individual carriers by various methods such as inbound versus outbound, domestic versus international, business unit, internal ID code or other custom method. This selection also provides the option of determining emission savings from specific retrospective and/or prospective operational practices and mode shifts such as moving freight from truck to rail. Partners participating at the Way 4 level will earn extra points towards SmartWay performance awards for submission of detailed carrier differentiation and operational strategy information. Partners must complete at least one of the following screens: **Carrier Subdivision**, **Mile & Weight Improvements**, or **Modal Shift Impacts**.
3. Select the **SmartWay Awards Information** button at the bottom of the screen for further details.
 4. Select a participation level before proceeding. If you select Way 3 or Way 4, click the "**NEXT**" button to proceed to the **INPUT METHOD** screen. If you select Way 2, click the **HOME** button to proceed to the next step. If you want to change your mind, you can return to the **Participation Level** screen at any time and update your selection.

SELECTING THE DATA INPUT METHOD

1. If you selected the Way 3 or Way 4 participation level you will need to complete the **Input Method** screen. Select the data input method based on the number of carriers you use, and your ability to process and import carrier-specific data in the proper format (CSV). Input options include:
 - **Manual Input Only** - This option is best for Shippers with fewer than 100 carriers, or for those who are not comfortable with the **Data Import** option (see below). By choosing Manual Input you will add your carriers to a data entry list by selecting them from a listbox. There are various ways to sort and filter carriers for selection (e.g. by carrier mode, SCAC, etc.) After selection you will enter data for each carrier, namely miles, ton-miles, and/or average payload. If you already have your carrier activity data compiled, entry time should be about one minute or less per carrier for most people.
 - **Data Import** - This option is best for shippers that have over 100 carriers, and/or you are participating at the Way 4 level. This option involves creating a data file for import into the Shipper Tool. It can save time if you are able to export data from your own information technology system. There are several ways to create these files and they are explained in detail within the Tool. This option provides users with the ability to use the **Manual Input** screens as well in order to edit data. If you are not comfortable with creating external data files, then the Manual Input option may be better suited to you. The Data Import Method is described in detail in the **Guide to Importing Carrier Data Using the Outside Data Import Function**.
2. Select your preferred data input method and click the **HOME** button to proceed to the next step. You may return to this screen later to select a different option if needed.

SELECTING A COMPANY FOR DATA ENTRY

On the **Home** screen, you will now see all the shipper companies you created listed in the window below item # 6: **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, depending upon where you are in the data entry process:

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

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

-  **Errors** will prevent you from checking your emissions and performance under the **Review Your Results** section (Step 7), and must be addressed before you can submit your Tool to EPA.
-  **Warnings** will still allow you to proceed and submit your data to EPA. However, it is strongly recommended that you carefully review each warning message before sending your data to EPA so that you can anticipate questions that may come from a Partner Account Manager as a result of your

data being outside the expected ranges. The method addressing errors and warnings is described for subsequent input screens in the following sections.

To begin your data entry:

1. Using your mouse, on the **Home** screen select and highlight the name of the shipper company for which you wish to enter data.
2. Double click the name; you will then be taken to the data entry screens for that company.

INPUTTING CARRIERS FOR A COMPANY

1. If you selected the **Manual Input Only** option on the **Input Method** screen, you will arrive on the **Manual Input SmartWay Carriers** screen after you double-click a company on the **Home** screen. You will use this screen to identify the SmartWay partners utilized by your shipper company, and then you will proceed to the **Manual Input Non-SmartWay Carriers** screen to enter your non-SmartWay carriers. See "[Completing the Manual Input SmartWay Carriers Tab](#)" and "[Completing the Manual Input Non-SmartWay Carriers Tab](#)" below for details.
2. If you selected Data Import option on the **Input Method** screen, you will arrive on the **Instructions** screen which describes the two ways to populate the Tool with company information via Data Import/Export and Carrier Matching.
 - a. The Data Import/Export approach allows partners to export and import carrier lists in a standardized format, as described in detail on the **Outside Data Import** and **Export Carriers** screens. See the [Guide to Importing Carrier Data Using the Outside Data Import Function](#) for detailed instructions on the export/import process.
 - b. The Carrier Matching approach utilizes a function (described on the **Match My Carriers** screen) to find and match SmartWay carriers based on a wide range of criteria, including their own internal carrier identification, such as carrier ID codes, with records in their Tool submission from a prior year. The carrier matching function provides an efficient, reliable means of linking a company's carrier list to the correct records in the carrier data file, ensuring shipper companies obtain full credit for their use of SmartWay carriers. Partners may also enter new codes for matching carriers in future years. Your company-specific match data is not shared with other companies. The matching process is explained in detail on the **Match My Carriers** screen.
 - c. After using the **Data Import/Export** and/or **Carrier Matching** screens, you will also be directed through the two manual input screens. You may review selected carriers that were imported on the **Manual Input SmartWay Carriers** screen if you like (and add/delete selected carriers), and you also must complete the **Manual Input Non-SmartWay Carriers** screen as well before proceeding.

COMPLETING THE MANUAL INPUT SMARTWAY CARRIERS SCREEN

1. To select carriers manually, you can enter all or part of the carrier's name directly into the **Carrier Name input** box and then select the **Apply Filter** button. A new filtered list will appear in the **Available SmartWay Carriers** box. Double click on the carrier name to add it to the **Selected SmartWay Carriers** box.
2. You may also search for carriers by filtering using carrier mode, SmartWay Category, SCAC, MCN, DOT, NSC, and/or various address fields to find your carriers in the SmartWay Carrier data file.
3. To search by Carrier Mode, select the mode of transport from which you wish to choose a carrier. Seven carrier mode selections are available, including "All," "Rail," "Truck," "Multimodal", "Barge," "Logistics," and "Air".
 - a. Note that by selecting "All", you may search across all carriers, regardless of mode.
 - b. Next, if you select the Truck mode, you may also specify a SmartWay Category. Truck ranking categories include TL Dry Van, LTL Dry Van, Refrigerated, Flatbed, Tanker, Dray, Heavy/Bulk, Package, Auto Carrier, Moving, Specialized, Mixed, and Expedited. Alternatively, if you select the Multimodal mode, available SmartWay Categories include Surface (i.e. truck/rail), Surface-Air, Surface-Marine, and Surface-Air-Marine.
4. Once you have applied the desired filters, a list of available SmartWay carriers meeting your filter criterion appears in the **Available SmartWay Carriers** box. Using your mouse, double click on the carrier name to add it to the **"Selected SmartWay Carriers"** box. You may also use the **Add Selected Carriers to List Below** button to add selected carriers to the **Selected SmartWay Carriers** box.
5. Once you have successfully identified your carriers, proceed to the **Manual Input Non-SmartWay Carriers** tab.

COMPLETING THE MANUAL INPUT NON-SMARTWAY CARRIERS SCREEN

1. Enter the total number of Non-SmartWay Carriers for the company into the data field.
2. Using your mouse, double-click on each non-SmartWay carrier **type** used by this company; double clicking will add it to the "Selected Non SmartWay Carriers" list. You may also use the **Add Selected Carrier Types to List Below** button to add selected carrier types to the Selected **Non-SmartWay Carriers** box.
 - a. For truck and multimodal carriers, select the appropriate SmartWay Category (e.g., TL/Dry Van, Refrigerated, Dray, etc.). If you are not sure about a specific truck carrier's category, select the "General" option.
 - b. Also distinguish your air carriers by "long haul" (cross-country/overseas flights, > ~2,300 miles) and "short haul" (generally regional/domestic flights, < ~2,300 miles).

3. Once the required data has been entered on the **Manual Input Non-SmartWay Carriers** screen, you can proceed to the **Activity Data** screen.

COMPLETING THE CARRIER SUBDIVISION SCREEN

1. If you have selected the Way 4 participation level, you must complete this screen, or the **Mile & Weight Improvements** screen, or the **Modal Shift Impacts** screen. You will not see these screens if you have selected Way 2 or Way 3. *If you select Way 4 but do not enter data for **Mile & Weight Improvements of Modal Shifts** then you must differentiate activity for at least one of your carriers, rather than just specifying descriptors. For example – you can specify both inbound and outbound activity for a particular carrier.*
2. Look near the top of the screen for the complete list of the carrier names you have specified up to this point, along with carrier information such as mode, SmartWay Category, and SCAC/MCN/DOT/NSC.
3. To provide additional information for a given carrier, highlight the carrier name in the upper list box and you will see the carrier name appear in the lower list box. There will be only one row per carrier if you have not added carrier subdivision yet.
4. Choose a row for the carrier in the bottom list box to enable the fields that allow you to add information to differentiate your carriers, such as inbound/outbound, domestic/international, etc.
5. Type in or select from the drop-down menus the additional information for the selected carrier row. When you are through editing, select the **"Apply Descriptive Data to Selected Carrier"** button to save your changes. You will see your changes added to the bottom list box for the selected carrier row.
6. If you wish to differentiate the activity associated with a single carrier (e.g., splitting inbound and outbound freight movements), highlight the carrier name in the upper list box select the **Add Row for Selected Carrier** button immediately below the box.
7. You will now see an additional row appear in the lower list box with the same carrier name. Enter the different information for each row as described above and repeat the process as many times as necessary.
8. Rows in the lower text box may be deleted by highlighting them and selecting the **Delete Selected Carrier's Optional Information** button at the bottom right. Once finalized, your complete list of differentiated carrier rows will be brought forward to the **Activity Data** screen.
9. Proceed to the **Activity Data** screen to input the mile, ton-mile and/or payload data associated with each of your carriers using the Tool itself. If you subdivided a given carrier, you must provide separate activity data inputs for each carrier row.

NOTE: Before proceeding to the **Activity Data** screen, check your carrier listing to be sure the list includes all carriers that your company uses, and that the names, SCACs, MCNs, NSC, and DOT numbers match exactly.

You may review your carrier list using the *Input Summary Report* available under the [View Summary Data Reports](#) button on the *Home* screen.

COMPLETING THE ACTIVITY DATA SCREEN

1. Select the **Describe Data Source** button.
2. Enter a detailed description of the sources used for your Activity data information, including a description of how you calculated miles, ton-miles, payload, density and load percent (if applicable) in the space provided.
3. Select the **CLOSE** button.
4. Next, identify any carrier fleets operated directly by the shipper company by checking the **Shipper Carrier** box. This allows the Tool to exclude these carriers from the Scope 3 emissions calculations provided in the **Public Disclosure Report** (included in the **View Summary Data Reports** menu). See the **Shipper Tool Technical Documentation** for further details on the **Public Disclosure Reports**.
5. For each carrier listed, specify your data availability:
 - a. I know both Ton-miles and Total Miles
 - b. I know Ton-miles and Average Payload
 - c. I know Total Miles and Average Payload
 - d. I know Total Miles only (excluding LTL, and Package Truck Carriers due to the difficulty in adjusting mileage for partial loads)
6. For carriers where you have selected **Data Availability Option a**, enter total ton-miles along with total miles.
7. For carriers where you have selected **Data Availability Option b**, enter total ton-miles along with your estimated average payload (per truck, barge or railcar, as appropriate) in short tons (2,000 lbs).
8. For carriers where you have selected **Data Availability Option c**, enter total miles along with your estimated average payload (per truck, barge or railcar, as appropriate) in short tons (2,000 lbs).
9. For carriers where you have selected **Data Availability Option d**, enter total miles.
10. Select the **VALIDATE SCREEN** button and correct any errors.
 - a. If you have errors, they will appear either as red boxes for significant errors, or as yellow warning boxes for less-extreme errors. Red errors will prevent you from submitting your Tool.
 - b. If your values are out of range, but you are confident that they are correct, double click the box with the error. A comment box will then appear. Enter an explanation for the value and click **OK**. The box will become yellow, and you will be able to proceed to submit your Tool.

11. Select the **NEXT** button to proceed to the % **SmartWay** screen.

COMPLETING THE % SMARTWAY SCREEN

1. Select the weighting factor you wish the Tool to use to determine your % **SmartWay Value**, corresponding to the percent of your activity attributable to SmartWay carriers. Comparing your % **SmartWay Value** over time provides a useful way of gauging your company's progress in reducing its overall emissions or footprint. Select the **radio** button for **Ton-Miles** or **Total Miles** to choose the weighting factor for all your shipper companies.
2. If you selected the Way 2 participation level, you must specify an alternative weighting factor to apply across the different carriers, such as the percentage of total payments, the percentage of total weight or total packages, or an alternative "custom" factor for calculating your % **SmartWay Value**, by selecting one of the options in the drop-down menu. Enter the type of data used for your percentage allocation estimates using the drop-down menu at the top of the screen, 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 are participating at the Way 2 level, you will not see the Ton-Mile or Total Mile columns presented on the % **SmartWay** screen.

3. If you have selected the **Way 3** or **Way 4** level, select the **radio** button for Ton-Miles or Total Miles to choose the weighting factor for all your companies. The default value will be set to ton-miles.
4. Once you have entered your % SmartWay selections you may return to the **Home** screen if you are participating at the Way 2 or Way 3 levels. If you have defined multiple shipper companies, repeat the data entry process described above for each company.

COMPLETING THE MILE & WEIGHT IMPROVEMENTS SCREEN

1. If you are participating in SmartWay at the Way 4 level, select the **Mile & Weight Improvements** tab at the top right of the screen. You must complete this screen, or the **Carrier Subdivision** screen, or the **Modal Shift Impacts** screen, or any combination of these. You will not see these screens if you have selected Way 2 or Way 3.
2. **To add an activity that your company instituted retrospectively (i.e., in the data year being reported) or will institute prospectively (in the coming year)**, select an activity category from the drop-down menu at the upper left, then choose a specific activity from the options provided, and then select the time frame of the activity (retrospective or prospective). You may select from the following activities:
 - a. Miles Removed from the System
 - Distribution center relocation
 - Retail sales relocation

- Routing optimization
 - Cube optimization
 - Larger vehicles and/or trailers
 - Other (specify)
- b. Weight Removed from System
- Product weight reduction
 - Package weight reduction
 - Vehicle weight reduction
 - Other (specify)
3. For each strategy selected, provide an estimate of the percentage impact (in terms of miles or ton-miles, as appropriate), for each mode of interest.
 4. Provide a text description for strategy selected, including the methods and assumptions used to estimate the changes. Based on actual data from your current carriers, the Tool will calculate the quantity of emissions changed for each pollutant.⁸
 5. Repeat the process for each strategy that your company has implemented or plans to implement.
 6. Use the **Basic Quantification and Documentation of System Activities** button on the upper right of the screen to obtain additional information regarding how operational strategies should be quantified and documented. If you have questions regarding calculations and/or documentation, contact your SmartWay Partner Account Manager.
 7. Select **NEXT** to proceed to the **Modal Shift** screen.

COMPLETING THE MODAL SHIFT IMPACTS SCREEN

1. The Shipper Tool allows users to calculate the emissions impacts of retrospective and prospective modal shifts. You may estimate these impacts by making one or more modal shifts between air, marine, truck, rail, barge, and multimodal operations, as well as logistics providers.
2. On this screen you can specify the mode from which you wish to shift your freight, as well as the new mode. Depending upon the modes and emission factor data sources you select, the tool can automatically present the emission factors for each of these modes, in grams per mile or grams per ton-mile, corresponding to the average across all carriers used by your company in that mode, or corresponding to an industry modal average value. Total impact estimates may be adjusted by

⁸ The Tool assumes that total mass emissions are changed in direct proportion with the specified mileage or weight reductions. This assumption should be accurate for weight reduction strategies when applied to truck-load shipments that weigh out. Additional uncertainty arises though in the case of LTL and package delivery shipments, where such reductions may not result in one-to-one impact in miles hauled. Uncertainties are even greater for non-truck modes, where the shipper commonly does not control the entire content of the container.

applying different filters, e.g., just considering carriers used for inbound/international freight (applicable for "Shipper Carrier Average" Emission Factor Source selections only). If you are investigating moving freight to a mode not currently utilized by your company, industry modal averages or user-specified values must be used. (See the Shipper Tool Technical Documentation for additional information.) If you have carrier-specific gram per mile or gram per ton-mile performance information that you wish to use in your calculations, you may enter this data in the white cells in the "Before" or "After" columns on the right by selecting the "User Input" source option.

3. Some modal shifts may include some form of drayage activity. To properly account for all emissions in these cases, you may need to add additional lines - the first line will be for the main leg of the trip, while a second or third may account for changes in drayage miles. Additionally, due to the location of infrastructure (roads, rail lines, etc.) the distances across the different modal shifts may not be the same; for example, the mileage for trucks will very likely be different from the mileage for rail.

The steps for estimating Modal Shift impacts are described below.

NOTE: *The **Modal Shift Impacts** screen is intended for scoping purposes and scenario evaluations only. Shippers should develop carrier emissions inventories (and associated average emissions factors for their company) by inputting activity data in the **Activity Data** screen. The resulting estimates of emissions impacts displayed on this screen are for partner information only and are not used in determining performance estimates.*

4. If you have selected the Way 4 level, you must complete this screen, or the **Carrier Subdivision** screen, or the **Mile & Weight Improvements** screen. You will not see this screen if you have selected Way 2 or Way 3.
5. On the **Modal Shift Impacts** screen specify the mode from which you have shifted freight or are considering shifting freight ("From Mode"), as well as the target mode ("To Mode"). You have several options for selecting an emissions factor for both the "From Mode" and "To Mode":
 - a. **Shipper's Carrier Average** – This option will utilize the weighted average gram per mile or grams per ton-mile metric from your carriers, for a specified mode (e.g., rail or truck), based on data you provided in the **Activity Data** screen. If this option is selected for the "From" mode, filters can also be applied to evaluate a subset of your current operations (e.g., inbound/domestic only). Note that in most cases performance metrics represent midpoints for the given ranking category range, rather than the precise value for a given carrier, as described above. If you have data specific to your carriers, select the **User Input** option (see below). Note that the **Shipper Carrier Average** option is not available for the commercial marine mode at this time.
 - b. **Modal Average** – This option will use an industry-average performance metric for the mode in question. Metric options include g/ton-mile and g/mile (or g/railcar-mile / g/barge-mile, as appropriate) and are currently available for truck, rail, multimodal, logistics, air (short and long-haul), and barge modes. The data sources and assumptions used to derive these values are discussed in the **Shipper Tool Technical Documentation**. You may want to use this option to investigate shifting freight to a transportation mode that you have not used previously, although

we recommend that you use a more representative emission factor to analyze scenarios whenever possible.

Note: Modal averages for the multimodal selection are specific to intermodal truck/rail moves. Use the User Input option to provide performance metrics for other multimodal movements (e.g. truck/barge).

- c. **User Input** – This option allows you to input performance metric estimates for any carrier mode, using alternative data sources. This option may prove particularly useful in those cases when you have access to carrier-specific performance estimates. You are encouraged to use this option when you have access to an emissions factor that reflects the full emissions impact (e.g., including likely drayage emissions) and/or that best represents the fleet equipment and operational type that you are most likely to work with for your unique freight movement.

*Note: The emission factors that automatically appear in the **Modal Shift Impacts** screen do not include all potential emissions impacts; for example the factors do not include emissions specifically associated with drayage (i.e., short-distance trips often required to move freight from one mode to another) or the operation of intermodal facilities.*

6. Indicate whether the shift was retrospective (i.e., occurred during the current data year) or is prospective (will be implemented in the coming year) in the drop-down menu provided. Note that the emission calculations are the same for retrospective and prospective shifts, assuming the mode-specific emission factors for the prior year are equal those for the current data year.
7. Select the basis for performing the emission impact calculations, using either miles or ton-miles as inputs, by specifying the **Units** in the drop-down menu under the **Amounts** column. Mile inputs for truck, logistics, and multimodal modes correspond to truckload miles, barge-miles for barge modes, and railcar-miles for rail modes.
8. Once the **Units** are selected for the calculation, the screen will present the "Before" and "After" efficiency factors for the "From" and "To" modes for each of the four pollutants, in the table on the right. If you specified the **User Input** option, enter the required efficiency factors in the empty white cells.
9. Next, specify the actual amount of freight to be shifted for both the "From" and "To" modes, in terms of miles or ton-miles, as appropriate. (Note that these two values can be different, since the point to point distance travelled is likely to be different across modes.) The corresponding emissions impact is then presented in tons per year for each pollutant. Emissions increases are shown as negative values. Note the mileage estimates under "Amounts" for railcar, barge and air freight need to be adjusted to reflect truckload-equivalents (on a volume basis) for accurate comparison with the truck mode. Refer to the **Shipper Tool Technical Documentation** for details.
10. If you selected the **User Input** option, provide a description of the data sources that you used to develop these estimates by selecting the **User Input Data Source** button.
11. Select the **HOME** button to return to the **Home** screen.

REVIEWING YOUR RESULTS

1. Now that you have identified your carriers and provided the required activity information, you must examine your company's emission performance and mass emission estimates by selecting the **Review Your Results** button under Step 7 on the **Home** screen. Carefully review the three reports shown on the **Emissions Summary**, **Carrier Performance**, and **Truck Carrier Performance (SmartWay Category Detail)** screens. These reports provide high level emissions and performance summaries as well as detailed breakouts by mode and for specific carriers, as well as by other category groupings. Review the results carefully for any anomalous results that may indicate possible carrier and/or activity data entry errors.
2. You will not be allowed to proceed through the Tool until you view each of these three screens. Once complete you can return to the **Home** screen.

SUBMITTING YOUR TOOL TO EPA

1. From the **Home** screen, select the **Generate a (.xml) data file** button which will open a new screen.
2. Select the checkbox to indicate you understand the terms of the SmartWay Partnership Agreement once again.
3. Specify if you are an existing SmartWay Partner. Select **No** if you did not have an approved tool submittal the prior year.
4. If you select **Yes**, you may enter your SmartWay ID number.
5. If you select **No**, specify how you initially heard about SmartWay using the drop-down menu.
6. When ready, select **NEXT** to create a file with the following naming convention: Shipper_PartnerName_Year_V0.xml,⁹ where PartnerName is your partner name as entered in Step 1 on the **Home** screen, and Year indicates the year for which you are submitting data.

For example, "Shipper_ABCompany_2019_V0.xml"

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

7. Next specify the folder where you would like to save the .xml file, and a screen will appear.
8. Follow these instructions for submitting your .xml and .xslm files to SmartWay. Note that the .xml file is approximately 10 times smaller than the .xslm file.
9. Upon selecting **NEXT**, a screen will appear that allows you to close the Tool or return to the **Home** screen.

⁹ If you create the XML file multiple times the file name will increment each time (e.g., Shipper_ABCompany_2019_V1.XML for the second iteration, etc).



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

Please visit <https://www.epa.gov/smartway/smartway-shipper-partner-tools-and-resources> for additional resources, including printable data collection worksheets, and technical documentation, for more in depth exploration of each section of the Shipper Tool.

Step 3 Additional SmartWay Resources

After completing Steps 1 – 7 on the **Home** screen, EPA strongly encourages you to explore the optional sections of the Tool available at the bottom of the screen before completing your submission. Four options are provided in this section including the following.

View Summary Data Reports – this button gives you access to 14 reports to help you understand your data and use it to make better performance decisions, including the new **Public Disclosure Report** containing Scope 3 emissions.

Feedback and Recruiting Assistance – 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.

Year-to-Year Comparison – 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.

Visit the Partner Portal – 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**. The portal provides access to a range of useful documents and functions including the partner registration document, the SmartWay Partner Logo, a sample press release, an online version of the feedback survey, and Awards information if applicable.

Appendix A: 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 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 each shipper company 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 each shipper company 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

[illegible]

* Exactly as it appears in SmartWay Carrier Data file

^ Truck, Rail, Logistics, Barge, Multimodal

** Truck 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 each shipper company 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, Miles, Ton-Miles, and Average Payload

Carrier Name	Shipper Carrier (Y/N)	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 #4: 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 #5: ENTER MILE & WEIGHT IMPROVEMENTS 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**
 - ☐ Distribution center relocation
 - ☐ Retail sales relocation
 - ☐ Routing optimization
 - ☐ Cube optimization
 - ☐ Larger vehicles and/or trailers
 - ☐ Other (must specify)
- **Weight Removed from System**
 - ☐ Product weight reduction
 - ☐ Package weight reduction
 - ☐ Vehicle weight reduction
 - ☐ Other (must specify)

Specify the Activity Time Frame (mark one):

- Retrospective
- Prospective

Specify Percent Improvement:

Mode	% Improvement
Air	
Truck	
Rail	
Logistics	
Multimodal	
Barge	

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

WORKSHEET #6: ENTER MODAL SHIFT IMPACTS 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 Shift Time Frame (circle one):

Retrospective Prospective

Select Activity Units (circle one):

Miles Ton-Miles

Specify Activity Amount – "From" Mode: _____

Specify Activity Amount – "To" Mode: _____



For more information:

U. S. Environmental Protection Agency
Office of Transportation and Air Quality
1200 Pennsylvania Ave. NW
Washington, DC 20460
(734) 214-4333

www.epa.gov/transportation-air-pollution-and-climate-change

U. S. Environmental Protection Agency
National Vehicle and Fuel Emissions Laboratory
2565 Plymouth Rd.
Ann Arbor, MI 48105
(734) 214-4200

www.epa.gov/aboutepa/about-national-vehicle-and-fuel-emissions-laboratory-nvfel