



# 2023 SmartWay Online Logistics Tool: Technical Documentation

**U.S. Version 1.0 (Data Year 2022)**



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(Data Year 2022)**

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

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## Overview

The SmartWay Logistics Tool is intended to help logistics companies estimate and assess their carbon, PM, and NO<sub>x</sub> emissions associated with goods movement in the U.S. freight trucking, rail, air and barge sectors.<sup>1</sup>

The SmartWay truck, barge, air, and logistics carrier emissions performance data that EPA has included in the Tool, along with industry average Class I rail CO<sub>2</sub> data, allows logistics companies to generate more accurate emissions performance estimates and mass emissions inventories. The Tool allows logistics companies to track their freight-related emissions performance from year to year and help optimize their emissions performance by allowing them to better estimate the emissions impact of individual carriers.

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<sup>1</sup> Future versions of the tool may help partners evaluate the emissions performance associated with ocean going vessels.

# 1.0 Tool Inputs and Calculations

After logistics companies enter their company and contact information, they provide basic information about each business unit they operate, including name, SCAC, MCN, NSC, and US DOT Number, as well as details regarding business unit type and business focus. Logistics companies then identify each carrier they use for each logistics business unit. Next, users proceed to input activity data for each carrier specified.

## EMISSION INVENTORY AND PERFORMANCE METRIC CALCULATIONS

After inputting the required mileage and/or ton-mile information for each carrier used, the Tool will calculate the associated total mass emissions (i.e., an emissions inventory) based on the mileage-related activity data entered, as well as various emission performance metrics (e.g., composite grams/mile and grams/ton-mile – see below).

Carrier-specific emissions are first calculated either on a ton-mile basis (as ton miles x grams per ton-mile), or on a miles basis (miles x grams per mile), depending on the SmartWay Category as shown in Table 1.<sup>2</sup> Any modes/categories not listed have a limited data availability and their emissions are calculated using ton-miles.

**Table 1. Emissions Calculation Basis by SmartWay Category**

SmartWay Category	Activity Basis	$D_{tm}$	$D_m$
Refrigerated	Ton-miles	1	0
Mixed	Ton-miles	1	0
TL/Dry Van	Ton-miles	1	0
Flatbed	Miles	0	1
Moving	Miles	0	1
Dray	Miles	0	1
Non-SW Truck General	Ton-Miles	1	0
Specialized	Miles	0	1
Expedited	Miles	0	1
Auto	Miles	0	1
Tanker	Miles	0	1
Heavy/Bulk	Miles	0	1

The partner's mass emissions are calculated by summing the individual carrier emissions. Then, fleet average emission factors are calculated by dividing mass emissions by total ton-miles and total miles to obtain grams per ton-mile and grams per mile, respectively. The fleet average payload is calculated by dividing total ton-miles by total miles.

<sup>2</sup> Note that the Tool does not need partners to enter a payload or ton-mile estimate for SmartWay Categories whose emissions are based on Miles, as the payload estimate will not affect the overall emissions footprint. However, the calculated emission factors and average payload estimate are affected by the assigned payload.

Overall, carrier emissions are calculated using the following equations, where  $D_{tm}$  and  $D_m$  are dummy variables with values of either 0 or 1, as shown in Table 1 above.

$$E_c = D_{tm} * \text{TonMiles} * gtm + D_m * \text{Miles} * gm$$

Total emissions:

$$E_{tot} = \sum_c E_c$$

Emission factors and average payload (APL):

$$gtm = \frac{E_{tot}}{\sum_c \text{TonMiles}_c}$$

$$gm = \frac{E_{tot}}{\sum_c \text{Miles}_c}$$

$$APL = \frac{\sum_c \text{TonMiles}_c}{\sum_c \text{Miles}_c}$$

The emissions inventory for each carrier/mode combination displayed in the Business Unit, Emissions by Carrier, and Emissions by Mode Reports is calculated using the equations shown above. To calculate composite, business unit-wide emissions and associated performance metrics (i.e., overall g/mile and g/ton-mile performance), the Tool simply sums the emissions, miles and ton-miles for the associated business unit and divides the total emissions by total miles and ton-miles as appropriate.

## TON-MILE CALCULATION

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.

Determine 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 shipment and will clearly overstate your ton-miles.

Many companies track their ton-miles and can report them directly without further calculation. For example, logistics company systems are often set up to associate a payload with the mileage traveled on each trip by carrier and are then summed at the end of the year. If such information is not available, 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 =  $\frac{\text{total miles per carrier} \times \text{total tons per carrier}}{\text{total \# of trips per carrier}}$

**NOTE:** In both ton-mile calculations, empty miles are not factored in while the fuel used to drive those empty miles is factored in.

To check your estimate, divide ton-miles by miles. The result is your fleet-average payload. If this number is not reasonable, (e.g., typically between 15 and 25 tons for Class 8b trucks), please check your calculations.

## CARRIER EMISSIONS PERFORMANCE DATA

The current SmartWay program provides CO<sub>2</sub>, NO<sub>x</sub> and PM gram per mile, and gram per ton-mile emission factors for truck, rail, logistics, air and barge freight transport providers. SmartWay may incorporate emission factors from ocean-going vessel transport providers in the future.

## TRUCK CARRIER PERFORMANCE

Truck carrier performance data utilized by the current Logistics Tool is based on 2023 Truck Partner Tool submittals for activity in 2022. Performance data includes g/mile and g/ton-mile for each truck carrier. Note that g/mile and g/ton-mile values represent midpoints for the appropriate SmartWay Category, rather than exact performance levels for a given carrier. Truck SmartWay Categories include:

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

Truck fleets are placed into a SmartWay Category and ranked with other SmartWay partner's fleet in that same category based on the following rules:

1. If 75% or more of the fleet's Operation is Drayage the fleet will be categorized as a Drayage fleet, regardless of what you specify for fleet's Body Type.

Otherwise

1. If 75% or more of the fleet's Body Type is Moving, Heavy/Bulk, Refrigerated, Tanker, Auto Carrier, or Flatbed then the fleet will be categorized as that matching body type.



2. If the sum of the fleet's Utility Body Type and Special Hauler Body Type is 75% or more, then the fleet will be categorized as Specialized/Utility.
3. If 75% or more of the fleet's Body Type is Dry Van or Chassis then:
  - a. If 75% or more of the fleet's Operation is Truckload then the fleet will be categorized as TL/Dry Van.
  - b. If 75% or more of the fleet's Operation is Less than Truckload then the fleet will be categorized as LTL/Dry Van.
  - c. If 75% or more of the fleet's Operation is Package then the fleet will be categorized as Package.
  - d. If 75% or more of the fleet's Operation is Expedited then the fleet will be categorized as Expedited.
4. Otherwise, if none of the above conditions exist the fleet will be categorized as a Mixed fleet.

The following provides an overview of the process used to estimate the carrier-specific performance ranges.

### Truck Performance Categories

In the 2023 SmartWay Online Truck Tool, data is collected at the individual company fleet level. Fleets are characterized by a) business type: for-hire or private, b) operational type: truckload/expedited, less than truckload, dray, expedited, or package delivery, and c) equipment type: dry van, refrigerated van, flatbed, tanker, chassis (container), heavy/bulk, auto carrier, moving, or specialized (e.g., hopper, livestock, others.)

The possible categories are shown below.

For-Hire									
	Dry Van	Reefer	Flatbed	Tanker	Chassis	Heavy/Bulk	Auto Carrier	Moving	Specialized
TL									
LTL									
Dray									
Expedited									
Package									
Private									
	Dry Van	Reefer	Flatbed	Tanker	Chassis	Heavy/Bulk	Auto Carrier	Moving	Specialized
TL									
LTL									
Dray									

<b>Expedited</b>									
<b>Package</b>									

Note that while Specialized fleets have disparate operations/equipment types and thus do not compare well, they are also unlikely to compete with one another, so it was deemed acceptable to aggregate these disparate fleets into one category.

For-hire and private fleets are combined in the SmartWay Categories. There are relatively few private fleets compared to for-hire fleets. Because owners of private fleets generally hire their own fleets exclusively, it was determined that grouping for-hire and private fleets together would not be detrimental to for-hire fleets, and the simplicity of one for-hire and private category outweighed the benefits of listing fleets separately. Grouping for-hire and private separately would have doubled the number of SmartWay Categories. Therefore, fleets can thus be categorized as shown below.

For-Hire and Private									
	Dry Van	Reefer	Flatbed	Tanker	Chassis	Heavy/Bulk	Auto Carrier	Moving	Specialized
<b>TL</b>									
<b>LTL</b>									
<b>Dray</b>									
<b>Expedited</b>									
<b>Package</b>									

Individual fleets were then placed into SmartWay Categories. The following shows the relative number of fleets for the various category intersections, with darker shadings indicating more fleets.

	Dry Van	Reefer	Flatbed	Tanker	Chassis	Heavy/Bulk	Auto Carrier	Moving	Specialized	Mixed
<b>TL</b>										
<b>LTL</b>				-	-	-			-	
<b>Dray</b>			-	-		-	-	-		
<b>Expedited</b>		-	-	-	-		-	-	-	
<b>Package</b>		-	-	-	-	-	-			-
<b>Mixed</b>				-		-		-	-	-

SmartWay then considered combining categories with similar characteristics for simplification purposes. One prerequisite was that there needed to be a minimum number of fleets in each category. SmartWay determined that a category needed a minimum of 25 fleets to be created. It was also determined that dry van and chassis (i.e., intermodal container) groups functioned primarily as dry van transport, so these categories were combined. While most refrigerated carriers were truckload, a few less than truckload refrigerated fleets exist, so these categories were combined. Although no expedited or package refrigerated fleets were identified, these categories were also combined into one overall refrigerated category so that no

operation and equipment type intersections would be left undefined. A similar situation was identified with flatbed, tanker, heavy/bulk, auto carrier, moving, and specialized fleets. All dray fleets were collapsed into one category. Any fleet that had mixed operation and/or mixed equipment was placed into a single mixed category. Finally, logistics business units were also included and retained as unique categories.

The final performance categories for 2022 are illustrated below. The solid colors indicate how operation and equipment type assignments vary by performance category. For example, if 75% or more of a fleet's mileage is associated with reefer trucks, the fleet is assigned to the Reefer category *regardless* of the operation percentage across truckload, expedited, LTL, and package categories. However, the Reefer category assignment is overridden if the operation category is greater than or equal to 75% dray or logistics. Similar assignment rules apply to flatbed, tanker, heavy/bulk, auto carrier, moving, and specialized equipment types, as described above. Only the Dry Van/Chassis equipment category is subdivided by the truckload, expedited, LTL, and package operation categories, meaning that the 75% threshold must be met for *both* equipment and operation type in these cases. All other equipment/operation type percentage distributions are assigned to the Mixed category.

**Figure 1. SmartWay Carrier Categories and Data Specificity – 2022 Data Year**

TRUCK	Dry Van & Chassis	Reefer	Flatbed	Tanker	Heavy & Bulk	Auto Carrier	Moving	Specialized & Utility	Mixed
Dray	Dray 5 Performance Levels								
Truckload	Truckload DryVan 5 Performance Levels	Reefer 5 Performance Levels	Flatbed 5 Performance Levels	Tanker 5 Performance Levels	Heavy & Bulk 5 Performance Levels	Auto Carrier 5 Performance Levels	Moving 5 Performance Levels	Specialized & Utility 5 Performance Levels	Mixed 5 Performance Levels
Expedited	Expedited 5 Performance Levels								
LTL	LTL 5 Performance Levels								
Package	Package Delivery 5 Performance Levels								
Mixed	Mixed								Less than 75% in any category
Rail	Single Modal Average for All Rail (No company differentiation allowed per Association of American Railroads)								
Barge	Company Specific Data								
Air	Company Specific Data								
Logistics	10 Performance Levels								

It is possible that SmartWay will expand these categories in the future based on in-use experience or as a result of further data analysis, and/or requests from industry.

Fleets *within a SmartWay Category* have been ranked from lowest emission factor (best) to highest emission factor (worst) for each of the following metrics: CO<sub>2</sub> g/mile, CO<sub>2</sub> g/ton-mile, NO<sub>x</sub> g/mile, NO<sub>x</sub> g/ton-mile,

PM<sub>10</sub> g/mile and PM<sub>10</sub> g/ton-mile. When SmartWay Categories are established, fleets within a category are separated into 5 ranges such that a roughly equal number of fleets are in each range. (Logistics fleets are an exception, being separated into 10 bins.) Each range thus represents a group of emission factors and the associated ranking "cutpoints" (transition points from one rank to the next). The new range cutpoints are displayed as numbers with significant digits appropriate to emission factors in that range. The midpoint of the range is used as the emission factor for all fleets in that range.

It would be simpler and more straightforward to use fleet-specific emission factors, however the trucking industry expressed concern that revealing exact data could be used to back-calculate mile per gallon numbers. The methodology described above prevents a determination of an exact mpg figure, while at the same time attributing an emission factor much more precisely than a modal default number. Given the large number of trucking fleets, and thus opportunity for fleets to be very close to each other in performance, SmartWay believes it is acceptable and appropriate to break truck fleets into 5 performance ranges for each SmartWay Category.

The table below illustrates the ranges for CO<sub>2</sub> g/mile for the TL/Dry Van SmartWay Category, using 2022 Truck Partner data as an example.

**Table 2. Emission Factor Ranges for TL Dry Van CO<sub>2</sub> g/mile (2022 Data)**

Bin #	Fleets Per Bin	Grams Per Mile Min	Grams Per Mile Max	Grams Per Mile Range Midpoint
1	253	608	1,408	1,366
2	248	1,408	1,492	1,450
3	250	1,492	1,575	1,534
4	254	1,575	1,680	1,628
5	252	1,680	7,267	1,722

Similar tables have been developed for all performance SmartWay Categories. The "midpoint" of each performance range is the data that the online logistics tool uses to represent the emission performance of a specific fleet that is in the associated range. Once the categories and ranges have been established, the fleets of any new companies joining SmartWay will fall into one of the predefined categories/ranges for that reporting year. SmartWay may update the category/range structure periodically.

Performance estimates for non-SmartWay truck carriers were calculated based on the lowest performing truck partners. Since no data exist to define non-SmartWay fleets, SmartWay believes the prudent approach is to assign conservative emission factors to non-SmartWay companies. Also, this policy makes it likely that any company joining SmartWay will see better emission factors displayed than the non-SmartWay default emission factors.

The non-SmartWay performance metrics were calculated by taking the performance range delta (max - min) for the highest bin within each SmartWay Category and using the delta to calculate a non-SmartWay carrier midpoint for that Category. For truck carriers the midpoint for non-SmartWay carriers is the midpoint for

Range 5 plus the Bin 5 range delta. For example, if the Range 5 midpoint was 10.5 and the range delta was 1.0, then the non-SmartWay midpoint is calculated to be 11.5.<sup>3</sup> Table 3 summarizes the 2022 data year performance metrics for non-SmartWay Truck Carriers.

**Table 3. Non-SmartWay Truck Carrier Performance Metrics (Data Year 2022)**

Category	CO <sub>2</sub> g/tmi	CO <sub>2</sub> g/mi	NO <sub>x</sub> g/tmi	NO <sub>x</sub> g/mi	PM <sub>2.5</sub> g/tmi	PM <sub>2.5</sub> g/mi
Auto Carrier	132.000	2,270	0.320	7.200	0.0048	0.0882
Dray	112.000	2,028	0.652	12.750	0.0172	0.3505
Expedited	816.000	1,879	0.985	4.500	0.0150	0.0397
Flatbed	100.950	2,078	0.453	9.270	0.0092	0.1855
Heavy/Bulk	89.950	2,883	0.327	9.750	0.0075	0.2535
LTL/Dry Van	351.500	1,729	0.639	5.425	0.0070	0.0736
Mixed/General	119.265	2,036	0.361	6.231	0.0039	0.0806
Moving	523.500	1,810	2.030	11.500	0.0437	0.4500
Package	938.500	1,453	1.400	3.525	0.0202	0.0748
Refrigerated	111.325	2,095	0.319	5.742	0.0030	0.0505
Specialized	154.500	2,422	0.695	10.700	0.0106	0.1475
Tanker	95.000	2,396	0.241	5.615	0.0033	0.0795
TL/Dry Van	111.350	1,817	0.313	5.162	0.0026	0.0440

As discussed in the Online Logistics Tool User Guide, depending upon the type of data available for a given carrier, the user may input ton-miles or miles, and rely on carrier data to back-calculate the other value. For example, providing ton-miles and average payload allows the Tool to estimate total miles, by dividing the former by the latter.

When the “Miles Only” data availability option is selected, the Online Logistics Tool uses a default payload value for the associated SmartWay Category. Default values were determined by first plotting the range of reported payloads for all carriers within a SmartWay Category that were hired by Logistics Partners in the 2018 data year. The default payload value for each Category was selected to minimize the sum of the differences between each carrier’s reported payload and the default value.<sup>4</sup> This approach effectively equalizes the areas above and below the 0% line in the plots – see Figure 2 for an example.

<sup>3</sup> The performance metrics for the Non-SmartWay “General” Truck Category, which can be selected by partners when a carrier’s SmartWay Category is unknown, is set equal to the performance metrics for the Non-SmartWay Mixed Truck Category within the tool.

<sup>4</sup> The default payload value for the General Truck category is set equal to the average payload reported by logistics partners across all truck SmartWay Categories.

**Figure 2. Reported Logistics Partner Payloads (2018) vs Default (9.58 tons)**

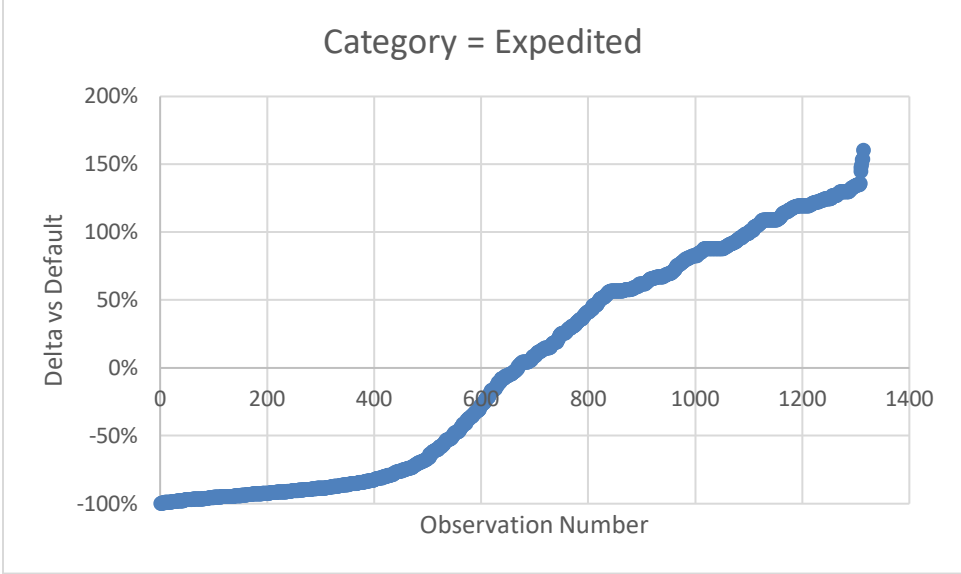


Table 4 presents the default payloads used for “Miles Only” selections for each SmartWay Truck Category.

**Table 4. Default “Miles Only” Payload Values (Data Year 2021)**

Category	Tons
Dray	16.18
Expedited	9.58
Specialized	17.20
LTL	6.34
Auto Carrier	15.12
Heavy Bulk	16.75
TL/Dry Van	16.35
Moving	10.73
Flatbed	17.32
Mixed	16.15
General	16.12
Package	5.86
Tanker	18.33
Refrigerated	17.60

## LOGISTICS CARRIER PERFORMANCE

Logistic carriers have their own performance bins based on the carrier tool submittals for the most recent available calendar year. Non-SmartWay carrier performance for the Logistics Category is estimated in the same way as is done for non-SmartWay Truck carriers. Table 5 summarizes the 2021 data year performance metrics for non-SmartWay Logistics Carriers.

**Table 5. Non-SmartWay Logistics Carrier Performance Metrics (Data Year 2021)**

Category	CO <sub>2</sub> g/tmi	CO <sub>2</sub> g/mi	NO <sub>x</sub> g/tmi	NO <sub>x</sub> g/mi	PM <sub>2.5</sub> g/tmi	PM <sub>2.5</sub> g/mi
Logistics	139	2,550	0.395	7.85	0.0050	0.091

## AIR AND BARGE CARRIER PERFORMANCE

Air and barge carriers have agreed to have their actual emissions results made public, and barge performance values used in the Logistics Tool are carrier-specific. The gram per mile performance values for barge carriers correspond to individual barge (nautical) miles travelled, rather than miles travelled by a string of barges or the associated tug(s).

Non-SmartWay barge carrier gram per mile and gram per ton-mile performance is set to be 25% higher than the worst performing SmartWay barge carrier.

Since no air carrier data submittals have been approved as of this date, performance levels for non-SmartWay air freight are based on publicly available data. First upper bound estimates for grams of CO<sub>2</sub> per ton-mile were obtained for short and long-haul air freight (~4,236 g/t-mi and ~1,461 g/t-mi, respectively).<sup>5,6</sup> Values for CO<sub>2</sub> g/mile were calculated by multiplying the g/t-mi value by an average cargo payload value of 22.9 short tons. The average payload value was estimated by dividing total air freight tonnage in 2012 (15M tons)<sup>7</sup> by the total number of cargo departures in the same year (654,956 LTOs).<sup>8</sup> Corresponding performance metrics for NO<sub>x</sub> and PM<sub>10</sub> were based on the ratio of these pollutants to CO<sub>2</sub> from the EDMS 5.1.4.1 model (0.009 for NO<sub>x</sub> and 0.000059 for PM<sub>10</sub>).<sup>9</sup> The performance metrics are shown in Table 6.

<sup>5</sup> Short haul air freight assumed to be less than 3,000 miles, covering most domestic air routes in the U.S.

<sup>6</sup> Estimates from Figure 8.6 in Sims R., R. Schaeffer, F. Creutzig, X. Cruz-Núñez, M. D'Agosto, D. Dimitriu, M. J. Figueroa Meza, L. Fulton, S. Kobayashi, O. Lah, A. McKinnon, P. Newman, M. Ouyang, J. J. Schauer, D. Sperling, and G. Tiwari, 2014: Transport. In: Climate Change 2014: Mitigation of Climate Change. Contribution of Working Group III to the Fifth Assessment Report of the Intergovernmental Panel on Climate Change [Edenhofer, O., R. Pichs-Madruga, Y. Sokona, E. Farahani, S. Kadner, K. Seyboth, A. Adler, I. Baum, S. Brunner, P. Eickemeier, B. Kriemann, J. Savolainen, S. Schlömer, C. von Stechow, T. Zwickel and J.C. Minx (eds.)]. Cambridge University Press, Cambridge, United Kingdom and New York, NY, USA.

<sup>7</sup> U.S. DOT Bureau of Transportation Statistics, Freight Facts and Figures 2013.

[http://www.ops.fhwa.dot.gov/freight/freight\\_analysis/nat\\_freight\\_stats/docs/13factsfigures/pdfs/fff2013\\_highres.pdf](http://www.ops.fhwa.dot.gov/freight/freight_analysis/nat_freight_stats/docs/13factsfigures/pdfs/fff2013_highres.pdf). Accessed 6-22-2022.

<sup>8</sup> U.S. DOT, Bureau of Transportation Statistics, U.S. Air Carrier Traffic Statistics. <https://www.transtats.bts.gov/TRAFFIC/>. Accessed 6-22-2022.

<sup>9</sup> EDMS outputs for take-off mode, assumed to be equal to cruising mode. (Cruise emissions are not output by EDMS). Take-off mode emission rates were averaged across all aircraft/engine combinations in the Heavy (Max Takeoff Weight over 255,000 lbs.) and Large (Max Takeoff Weight 41,001 to 255,000 lbs.) weight classes.

**Table 6. Performance Metrics for Non-SmartWay Air and Barge Carriers**

	CO <sub>2</sub> /tmi	CO <sub>2</sub> /mi	NO <sub>x</sub> /tmi	NO <sub>x</sub> /mi	PM/tmi	PM/mi
Short-haul Air	4.236	96.998	38.13	873	0.250797	5.743247
Long-haul Air	1.461	33.448	13.15	301	0.086482	1.980430
Barge	18.58	23.295	0.64	672	0.02	22.24

### RAIL CARRIER PERFORMANCE

For Class 1 railroads, rail carrier performance data are collected and displayed in the Logistics Tool at the industry average level derived from Class 1 rail company data. Carrier performance data for Class 2 and 3 railroads are actual values calculated from their submitted tools. Gram per ton-mile factors were determined by dividing total fuel use by total ton-miles and multiplied by a rail diesel CO<sub>2</sub> factor (10,180 g CO<sub>2</sub>/gal diesel fuel), from publicly available data submitted in the 2017 railroad R-1 reports to the Department of Transportation. 2017 R-1 data was also used to obtain total railcar-miles per year for all Class 1 carriers, to estimate gram per railcar-mile factors. *Industry average values are currently assumed for all rail carriers in the carrier file, regardless of SmartWay Partnership status.* Specific rail companies may have the opportunity to provide company-specific data in the future. The R-1 data and corresponding CO<sub>2</sub> performance data are presented in Table 7 below.

**Table 7. Rail Carrier Performance Metric Calculation Inputs & Results (2017 R-1 Data)**

Rail Company	Gal/Yr ('000) Sch. 750 Line 4	Freight Ton-Mi/Yr ('000) Sch. 755 line 110	Railcar-Mi/Yr ('000) Sch. 755 sum of lines 30, 46, 64 & 82	g CO <sub>2</sub> /railcar-mile	g CO <sub>2</sub> /short ton-mile
BNSF Railway	1,353,897	665,948,516	11,606,520	1,187	20.70
CSX Transportation	426,721	208,127,221	4,713,411	922	20.87
Grand Trunk	116,986	62,708,628	1,486,205	801	18.99
Kansas City Southern	68,873	34,582,626	724,012	968	20.27
Norfolk Southern*	458,179	201,451,969	4,383,081	1,064	23.15
Soo Line	65,299	35,244,079	745,550	892	18.86
Union Pacific	1,016,161	466,721,215	10,090,926	1,025	22.16
<b>Total/Industry Average</b>	<b>3,506,116</b>	<b>1,674,784,254</b>	<b>33,749,705</b>	<b>980</b>	<b>20.72</b>

\* and combined subsidiaries

NO<sub>x</sub> and PM emission factors for rail carriers are also based on industry averages. Please see the "Background on Illustrative (Modal Average) U.S. Truck and Rail Factors" in Appendix A for further details.



Average payloads per loaded railcar were calculated for all Class 1 carriers by dividing the value for annual ton-miles hauled by an estimate for loaded railcar-miles, based on 2008 R-1 data. The calculation uses the Total Revenue and Non-Revenue Ton-Miles as listed in the R-1 Report on line 114 of schedule 755 divided by the Total loaded Railcar-Miles (the sum of lines 30 and 64 of schedule 755) along with the factor for fuel gallons consumed for loaded freight that is created based on the percentage of loaded freight to total freight multiplied by the total diesel fuel value listed on schedule 750 Line 4. The following table summarizes the estimated average payload per railcar, by carrier.

**Table 8. Rail Carrier Average Payload**

Carrier	Avg Payload/Loaded Railcar (tons)
<b>BNSF Railway</b>	108
<b>CSX Transportation</b>	85
<b>Grand Trunk</b>	80
<b>Kansas City Southern</b>	91
<b>Norfolk Southern</b>	76
<b>Soo Line</b>	77
<b>Union Pacific</b>	91
<b>Industry Average</b>	<b>93</b>

Average railcar volumes were calculated for all carriers by first estimating an average volume for each major railcar type listed in the R-1 forms (schedule 755, lines 15-81). The assumptions used to estimate these volumes are provided in Table 9. The railcar-miles reported for each railcar type were multiplied by these average volumes to estimate annual cubic foot-miles travelled by car type for each company and for the industry average. The distribution of cubic foot-miles across car types was used as the weighting factor to estimate a single average railcar volume for each company. These values and the resulting volume estimates are presented in Table 10.

**Table 9. Railcar Volume Assumptions and Sources**

Railcar Type	Cubic Feet	Source/Method <i>Key: Norfolk Southern Railroad (NS)<sup>10</sup>, Union Pacific Railroad (UP)<sup>11</sup>, Burlington Northern Santa Fe Railroad (BNSF)<sup>12</sup>, CSX Transportation Railroad (CSX)<sup>13</sup>, World Trade Press Guide to Railcars (GTRC)<sup>14</sup>, Chicago Rail Car Leasing (CRCL)<sup>15</sup>, Union Tank Car Company (UTCC)<sup>16</sup>, U.S Department of Agriculture (USDA)<sup>17</sup></i>
<b>Boxcar 50 ft and longer including equipped boxcars</b>	7,177	Based on the average of the following boxcar types: <u>50ft</u> assumed to be 5694 [reflecting the average of 5355 (NS), 5431 (UP), 5238 (CSX), 6175 (BNSF), 6269 (GTRC)]. <u>60ft</u> assumed to be 6,648 [reflecting the average of 6618 (NS), 6389 (UP), 6085 (CSX), 7500 (BNSF)]. <u>50ft high cube</u> assumed to be 6,304 [reflecting the average of 6339 (NS) and 6269 (CSX)]. <u>60 ft. high cube</u> assumed to be 6917 [reflecting the average of 7499 (NS) , 6646 (CSX), and 6607 (GTRC)]. <u>86ft</u> assumed to be 9999 (NS). <u>Auto parts</u> assumed to be 7499 (NS).
<b>Boxcar 40ft</b>	4,555	Based on estimate of 50ft boxcar volume described above. Assumed 40ft length would result in 20% reduction in volume.
<b>Flat car – all types except for multi-level</b>	6,395	Based on the average of the following flat car types: <u>60ft</u> assumed to be 6739 (BNSF). <u>89ft</u> assumed to be 9372(BNSF). <u>Coil</u> assumed to be 3387(NS). <u>Covered coil</u> assumed to be 5294 [reflecting the average of 8328 (NS) and 2260 (BNSF)]. <u>Center beam</u> assumed to be 6546 [reflecting the average of 5857 (UP) and 7236 (BNSF)]. <u>Bulkhead</u> assumed to be 7030 (BNSF).
<b>Multi-level flat car</b>	13,625	Based on the average of the following multi-level flat car types: <u>Unilevel</u> (that carry very large cargo, such as vehicles/tractors) assumed to be 12183 (NS). <u>Bi-level</u> assumed to be 14381(NS). <u>Tri-level</u> assumed to be 14313 (based on average of 15287 (NS) and 13339 (BNSF)).

<sup>10</sup> Norfolk Southern Shipping Tools/Equipment Guide/Merchandise Equipment. <http://www.nscorp.com/content/nscorp/en/shipping-tools/equipment-guide/merchandise-equipment.html>. Accessed 6-11-23.

<sup>11</sup> UP Rail Equipment Descriptions, UP Rail Equipment Descriptions. <https://www.uprr.com/customers/equip-resources/cartypes/index.shtml>. Accessed 6-11-23.

<sup>12</sup> BNSF Individual Railcar Equipment. <http://www.bnsf.com/ship-with-bnsf/ways-of-shipping/individual-railcar.html#subtabs-3>. Accessed 6-11-23.

<sup>13</sup> CSX Railroad Equipment. <https://www.csx.com/index.cfm/customers/resources/equipment/railroad-equipment/>. Accessed 6-11-23.

<sup>14</sup> World Trade Press, World Trade Resources Guide to Railcars 2010.

<sup>15</sup> Chicago Freight Car Leasing Company, Railcar Types. <https://chicagofreightcar.com/>. Accessed 6-11-23.

<sup>16</sup> UTLX Tank Car Designs and Descriptions. <https://www.utlx.com/tank-car-overview/>. Accessed 6-11-23.

<sup>17</sup> U.S. Department of Agriculture (USDA), 1992, *Weights, Measures, and Conversion Factors for Agricultural Commodities and Their Products*, Agricultural Handbook Number 697. Economic Research Service, Washington, DC. Available at: [https://www.ers.usda.gov/webdocs/publications/41880/33132\\_ah697\\_002.pdf?v=42487](https://www.ers.usda.gov/webdocs/publications/41880/33132_ah697_002.pdf?v=42487). Accessed 6-11-23.

**Table 9. Railcar Volume Assumptions and Sources**

Railcar Type	Cubic Feet	Source/Method <i>Key: Norfolk Southern Railroad (NS)<sup>10</sup>, Union Pacific Railroad (UP)<sup>11</sup>, Burlington Northern Santa Fe Railroad (BNSF)<sup>12</sup>, CSX Transportation Railroad (CSX)<sup>13</sup>, World Trade Press Guide to Railcars (GTRC)<sup>14</sup>, Chicago Rail Car Leasing (CRCL)<sup>15</sup>, Union Tank Car Company (UTCC)<sup>16</sup>, U.S Department of Agriculture (USDA)<sup>17</sup></i>
<b>Flat Car – all types-including multi-level</b> <i>[not used in analysis, except for estimating volume of “All Other Cars”]</i>	7,428	Based on the average volumes of the flatcar types described above including multi-level as a single flat car type.
<b>Gondola – all types including equipped</b>	5,190	Based on the average of the following gondola car types: <u>52-53ft</u> assumed to be 2626 [based on average of 2665 (NS), 2743 (CSX), 2400 (BNSF), and 2697(CRLC)]. <u>60-66ft</u> assumed to be 3372 [based on average of 3281 (NS), 3242 (CSX), 3350 (BNSF), CRCL-3670, and 3366 (GTRC)]. <u>Municipal Waste</u> assumed to be 7999 (NS). <u>Woodchip</u> assumed to be 7781 [based on average of 7862 (NS) and 7700 (CRCL)]. <u>Coal</u> assumed to be 4170 [based on average of 3785 (NS) and 4556 (BNSF)].
<b>Refrigerated - Mechanical / non-Mechanical</b>	6,202	Based on the average of the following refrigerated car types: <u>48-72ft</u> assumed to be 6963 [based on average of 6043 (UP) and 7883 (BNSF)]. <u>50ft</u> assumed to be 5167(GTRC). <u>40-90 ft</u> assumed to be 6476 [based on average of 6952 (UP) and 6000 (BNSF)].
<b>Open Top Hopper</b>	4,220	Based on the average of the following open top hopper car types: <u>42ft</u> assumed to be 3000 (UP). <u>54ft</u> assumed to be 3700 (UP). <u>60ft</u> assumed to be 5188 [based on average of 5125 (UP) and 5250 (GTRC)]. <u>45ft+</u> assumed to be 4105 [based on average of 4500 (UP) and 3710 (BNSF)]. <u>Woodchip</u> assumed to be 7075 [based on average of 7525 (NS), 5999 (UP), and 7700 (CRCL)]. <u>Small Aggregate</u> assumed to be 2252 [based on average of 2150 (NS), 2106 (BNSF), and 2500 (CRCL)].
<b>Covered Hopper</b>	4,188	Based on the average of the following covered top hopper car types: <u>45ft</u> assumed to be 5250 (GTRC). <u>Aggregate</u> assumed to be 2575 [based on average of 2150 (NS) and 3000 (CRCL)]. <u>Small Cube Gravel</u> assumed to be 2939 [based on average of 2655 (NS), 3100 (CSX), and 3063 (BNSF)]. <u>Med-Large Cube Ores and Sand</u> assumed to be 4169 [based on average of 3750 (NS) and 4589 (BNSF)]. <u>Jumbo</u> assumed to be 5147 [based on average of 4875 (NS), 4462 (CSX), 5175 (BNSF), and 6075 (CRCL)]. <u>Pressure Differential (flour)</u> assumed to be 5050 [based on average of 5124 (NS) and 4975 (CRCL)].

**Table 9. Railcar Volume Assumptions and Sources**

Railcar Type	Cubic Feet	<b>Source/Method</b> <i>Key: Norfolk Southern Railroad (NS)<sup>10</sup>, Union Pacific Railroad (UP)<sup>11</sup>, Burlington Northern Santa Fe Railroad (BNSF)<sup>12</sup>, CSX Transportation Railroad (CSX)<sup>13</sup>, World Trade Press Guide to Railcars (GTRC)<sup>14</sup>, Chicago Rail Car Leasing (CRCL)<sup>15</sup>, Union Tank Car Company (UTCC)<sup>16</sup>, U.S Department of Agriculture (USDA)<sup>17</sup></i>
<b>Tank Cars under 22,000 gallons</b>	2,314	Assumes 1 gallon=0.1337 cubic foot (USDA). Based on small tank car average volume of 17304 gallons, which is the average of the following currently manufactured tank car volume design capacities of 13470, 13710, 15100, 15960, 16410, 17300, 19900, 20000, 20590, and 20610 gallons (GTRC).
<b>Tank Cars over 22,000 gallons</b>	3,857	Assumes 1 gallon=0.1337 (USDA). Based on large tank car volume of 28851 gallons, which is the average of the following currently manufactured tank car volume design capacities of 23470, 25790, 27200, 28700, 30000, 33000, and 33800 gallons (GTRC).
<b>All Other Cars</b>	5,014	Based on average volume presented above for each of the nine railcar types (all flatcars are represented by the line item that includes multi-level flatcars - 7428).

**Table 10. Rail Carrier Average Volume Determination**

Freight Car Types (R1 - Schedule 755)	Avg. Cu Ft.	BNSF	
		Railcar Miles (x1K)	Cu Ft Miles (x1K)
Box-Plain 40-Foot	4,555	1	4,555
Box-Plain 50-Foot & Longer	7,177	9,338	67,018,826
Box-Equipped	7,177	147,226	1,056,641,002
Gondola-Plain	5,190	379,762	1,970,964,780
Gondola-Equipped	5,190	75,894	393,889,860
Hopper-Covered	4,188	758,442	3,176,355,096
Hopper-Open Top-General Service	4,220	65,077	274,624,940
Hopper-Open Top-Special Service	4,220	137,449	580,034,780
Refrigerator-Mechanical	6,202	19,272	119,524,944
Refrigerator-Non-Mechanical	6,202	32,910	204,107,820
Flat-TOFC/COFC	6,395	520,521	3,328,731,795
Flat-Multi-Level	13,625	38,624	526,252,000
Flat-General Service	6,395	357	2,283,015
Flat-All Other	6,395	71,826	459,327,270
All Other Car Types-Total	5,772	20,146	116,282,712
Average Railcar Cubic Feet			5,811

Freight Car Types (R1 - Schedule 755)	CSX	
	Railcar Miles (x1K)	Cu Ft Miles (x1K)
Box-Plain 40-Foot	-	-
Box-Plain 50-Foot & Longer	6,987	50,145,699
Box-Equipped	144,631	1,038,016,687
Gondola-Plain	137,256	712,358,640
Gondola-Equipped	64,532	334,921,080
Hopper-Covered	153,315	642,083,220
Hopper-Open Top-General Service	78,412	330,898,640
Hopper-Open Top-Special Service	35,451	149,603,220
Refrigerator-Mechanical	17,117	106,159,634
Refrigerator-Non-Mechanical	11,923	73,946,446
Flat-TOFC/COFC	125,828	804,670,060
Flat-Multi-Level	29,956	408,150,500
Flat-General Service	162	1,035,990
Flat-All Other	31,913	204,083,635
All Other Car Types-Total	19,861	114,637,692
Average Railcar Cubic Feet		6,389

Freight Car Types (R1 - Schedule 755)	Grand Trunk	
	Railcar Miles (x1K)	Cu Ft Miles (x1K)
Box-Plain 40-Foot	0	-
Box-Plain 50-Foot & Longer	2,119	15,208,063
Box-Equipped	66,110	474,471,470
Gondola-Plain	6,467	33,563,730
Gondola-Equipped	19,201	99,653,190
Hopper-Covered	44,239	185,272,932
Hopper-Open Top-General Service	9,114	38,461,080
Hopper-Open Top-Special Service	32,621	137,660,620
Refrigerator-Mechanical	312	1,935,024
Refrigerator-Non-Mechanical	205	1,271,410
Flat-TOFC/COFC	2,779	17,771,705
Flat-Multi-Level	4,831	65,822,375
Flat-General Service	20	127,900
Flat-All Other	31,744	203,002,880
All Other Car Types-Total	4,755	27,445,860
Average Railcar Cubic Feet		6,309

Freight Car Types (R1 - Schedule 755)	Kansas City Southern	
	Railcar Miles (x1K)	Cu Ft Miles (x1K)
Box-Plain 40-Foot	0	-
Box-Plain 50-Foot & Longer	3,383	24,279,791
Box-Equipped	39,792	285,587,184
Gondola-Plain	16,628	86,299,320
Gondola-Equipped	11,150	57,868,500
Hopper-Covered	50,346	210,849,048
Hopper-Open Top-General Service	626	2,641,720
Hopper-Open Top-Special Service	943	3,979,460
Refrigerator-Mechanical	21	130,242
Refrigerator-Non-Mechanical	52	322,504
Flat-TOFC/COFC	10,736	68,656,720
Flat-Multi-Level	629	8,570,125
Flat-General Service	12	76,740
Flat-All Other	2,321	14,842,795
All Other Car Types-Total	247	1,425,684
Average Railcar Cubic Feet		5,938

Freight Car Types (R1 - Schedule 755)	Norfolk Southern	
	Railcar Miles (x1K)	Cu Ft Miles (x1K)
Box-Plain 40-Foot	0	-
Box-Plain 50-Foot & Longer	7,622	54,703,094
Box-Equipped	136,745	981,418,865
Gondola-Plain	193,214	1,002,780,660
Gondola-Equipped	111,320	577,750,800
Hopper-Covered	116,848	489,359,424
Hopper-Open Top-General Service	84,557	356,830,540
Hopper-Open Top-Special Service	30,078	126,929,160
Refrigerator-Mechanical	3,512	21,781,424
Refrigerator-Non-Mechanical	5,392	33,441,184
Flat-TOFC/COFC	114,928	734,964,560
Flat-Multi-Level	20,349	277,255,125
Flat-General Service	145	927,275
Flat-All Other	24,563	157,080,385
All Other Car Types-Total	212,408	1,226,018,976
Average Railcar Cubic Feet		6,065

Freight Car Types (R1 - Schedule 755)	Soo Line	
	Railcar Miles (x1K)	Cu Ft Miles (x1K)
Box-Plain 40-Foot	0	-
Box-Plain 50-Foot & Longer	725	5,203,325
Box-Equipped	17,972	128,985,044
Gondola-Plain	1,203	6,243,570
Gondola-Equipped	8,856	45,962,640
Hopper-Covered	94,146	394,283,448
Hopper-Open Top-General Service	3,077	12,984,940
Hopper-Open Top-Special Service	20	84,400
Refrigerator-Mechanical	159	986,118
Refrigerator-Non-Mechanical	742	4,601,884
Flat-TOFC/COFC	11,178	71,483,310
Flat-Multi-Level	2,973	40,507,125
Flat-General Service	12	76,740
Flat-All Other	10,068	64,384,860
All Other Car Types-Total	428	2,470,416
Average Railcar Cubic Feet		5,667

Freight Car Types (R1 - Schedule 755)	Union Pacific	
	Railcar Miles (x1K)	Cu Ft Miles (x1K)
Box-Plain 40-Foot	0	-
Box-Plain 50-Foot & Longer	12,311	88,356,047
Box-Equipped	238,241	1,709,855,657
Gondola-Plain	206,370	1,071,060,300
Gondola-Equipped	91,775	476,312,250
Hopper-Covered	370,929	1,553,450,652
Hopper-Open Top-General Service	188,027	793,473,940
Hopper-Open Top-Special Service	104,969	442,969,180
Refrigerator-Mechanical	82,874	513,984,548
Refrigerator-Non-Mechanical	27,009	167,509,818
Flat-TOFC/COFC	1,026,251	6,562,875,145
Flat-Multi-Level	46,889	638,862,625
Flat-General Service	350	2,238,250
Flat-All Other	72,371	462,812,545
All Other Car Types-Total	16,769	96,790,668
Average Railcar Cubic Feet		6,248

Freight Car Types (R1 - Schedule 755)	Total (for Industry Average)	
	Railcar Miles (x1K)	Cu Ft Miles (x1K)
Box-Plain 40-Foot	1	4,555
Box-Plain 50-Foot & Longer	42,485	304,914,845
Box-Equipped	790,717	5,674,975,909
Gondola-Plain	940,900	4,883,271,000
Gondola-Equipped	382,728	1,986,358,320
Hopper-Covered	1,588,265	6,651,653,820
Hopper-Open Top-General Service	428,890	1,809,915,800
Hopper-Open Top-Special Service	341,531	1,441,260,820
Refrigerator-Mechanical	123,267	764,501,934
Refrigerator-Non-Mechanical	78,233	485,201,066
Flat-TOFC/COFC	1,812,221	11,589,153,295
Flat-Multi-Level	144,251	1,965,419,875
Flat-General Service	1,058	6,765,910
Flat-All Other	244,806	1,565,534,370
All Other Car Types-Total	274,614	1,585,072,008
Industry Average Railcar Cubic Feet		6,091



## Black Carbon Emissions Estimation

Air, rail, barge, and truck carrier black carbon (BC) emissions are estimated using either emission factors (e.g., grams of BC per mile for truck carriers) or by scaling from PM emission estimates (e.g., for air carriers). BC emissions are also estimated for logistics business units assuming BC emission rates scale directly with PM (e.g., tons BC = scaling factor x tons PM). Average scaling factors for logistics business units are estimated for each selected carrier's mode/SmartWay Category combination, based on the following:

- The BC/PM<sub>2.5</sub> ratios for air and rail carriers are constant for each mode and are the same as those used to estimate BC emissions in the SmartWay Air and Rail Tools, respectively. Estimates assume jet fuel use for air carriers, and ultra-low sulfur diesel for rail carriers.
- Factors for barge carriers are based on the average BC/PM<sub>10</sub> ratio across all propulsion engine age groups and sizes in EPA's 2020 Port Emission Inventory Guidance.<sup>18</sup> Estimates assume ultra-low sulfur diesel fuel use.
- Factors for each Truck/SmartWay Category combination are based on average BC/PM<sub>2.5</sub> ratio for SmartWay truck carrier submissions for Data Year 2019.
- Factors for logistics business units are determined by calculating a weighted average of the BC/PM ratios for all other modes/SmartWay Categories. First, the ton-miles attributed to the air, rail, barge, and truck carriers selected by SmartWay logistics business units for the 2019 data year were summed by mode.<sup>19</sup> Then the fraction of ton-miles for each mode were applied to the BC factors for each mode to estimate a weighted average BC/PM ratio for all logistics carriers. The resulting weighting factors are as follows:
  - Air – 0.04%
  - Barge – 0.06%
  - Rail – 4.07%
  - Truck (all Categories) – 88.99%

Table 11 presents the average scaling factors used to estimate logistics business unit BC emissions. The table also presents the minimum and maximum BC/PM ratios observed in the various data sources to provide a measure of the potential variability associated with a logistic business unit's carrier selections. BC estimates are particularly uncertain for truck carriers selected by logistics business units, due to the large variation in BC/PM ratios across engine model years and truck classes.

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<sup>18</sup> See Table H-6. <https://nepis.epa.gov/Exe/ZyPDF.cgi?Dockkey=P10102U0.pdf>. Accessed 6-11-23.


<sup>19</sup> Logistics business units selected by other logistics business units were excluded to simplify the analysis. This exclusion adds an unspecified degree of uncertainty to the final BC/PM ratio estimate.

**Table 11. BC/PM Ratios for Logistics Business Units**

Mode/Category	Basis	Average	Min	Max	Range	Data Source/Basis
Rail	PM2.5	<b>0.677</b>	N/A	N/A	N/A	SmartWay Rail Tool
Air	PM2.5	<b>0.130</b>	N/A	N/A	N/A	SmartWay Air Tool
Barge	PM10	<b>0.746</b>	0.733	0.754	0.021	2020 EPA Port Emissions Inventory Guidance
Truck/Auto	PM2.5	<b>0.366</b>	0.088	0.760	0.671	2019 Data Year Truck Partner submissions
Truck/Dray	PM2.5	<b>0.442</b>	0.085	0.782	0.697	2019 Data Year Truck Partner submissions
Truck/Expedited	PM2.5	<b>0.295</b>	0.071	0.720	0.649	2019 Data Year Truck Partner submissions
Truck/Flatbed	PM2.5	<b>0.366</b>	0.083	0.815	0.732	2019 Data Year Truck Partner submissions
Truck/Heavy-Bulk	PM2.5	<b>0.335</b>	0.088	0.764	0.676	2019 Data Year Truck Partner submissions
Truck/LTL	PM2.5	<b>0.330</b>	0.063	0.746	0.684	2019 Data Year Truck Partner submissions
Truck/Mixed	PM2.5	<b>0.355</b>	0.077	0.785	0.708	2019 Data Year Truck Partner submissions
Truck/Moving	PM2.5	<b>0.361</b>	0.077	0.673	0.596	2019 Data Year Truck Partner submissions
Truck/Package	PM2.5	<b>0.162</b>	0.088	0.576	0.488	2019 Data Year Truck Partner submissions
Truck/Refrigerated	PM2.5	<b>0.330</b>	0.090	0.799	0.710	2019 Data Year Truck Partner submissions
Truck/Specialized	PM2.5	<b>0.353</b>	0.077	0.733	0.656	2019 Data Year Truck Partner submissions
Truck/Tanker	PM2.5	<b>0.330</b>	0.088	0.767	0.680	2019 Data Year Truck Partner submissions
Truck/TL-Dry Van	PM2.5	<b>0.295</b>	0.059	0.826	0.768	2019 Data Year Truck Partner submissions
Truck/General Logistics	PM2.5	<b>0.329</b>	0.059	0.826	0.768	Average across all SmartWay Truck Categories
	PM2.5	<b>0.355</b>	0.130	0.746	0.616	Weighted average of all category ratios

## % SMARTWAY VALUE

The % SmartWay screen presents the portion of goods that logistics business units move with SmartWay Partners (expressed as a percentage between 0 and 100). Partners select the basis for calculating the percentage shipped with SmartWay Partners including:

-  Total annual miles (the Tool will automatically populate the % SmartWay screen with any carrier activity data that partners entered in the freight Activity Data screen). Miles corresponds to truck-miles for trucks, aircraft-miles for air, barge-miles for barge, and railcar-miles for rail;
-  Total annual ton-miles (the Tool will automatically populate the % SmartWay screen with any carrier activity data that partners entered on the freight Activity Data screen);

Note the Tool will automatically populate the % SmartWay screen with any carrier activity data entered in the Activity Data screen. In addition, the metric selected for your first business unit will be chosen as the basis for your other business units as well, so that a Partner-level % SmartWay Value can be calculated. The Partner-level % SmartWay Value is used to determine Excellence Award eligibility in the SmartWay program. To see your Partner-level % SmartWay Value, calculated across all companies, go to the % SmartWay Report in the Reports Menu via the Home page.

## Adjusted % SmartWay Value

The SmartWay Carrier breakout for the Logistics category includes an additional column for "Adjusted %SmartWay" values. The adjusted value reflects the % SmartWay score for each logistics business unit hired accounting for the portion of activity that business unit allocates to other SmartWay carriers.<sup>20</sup> If logistics business units are used, Adjusted % SmartWay values are also displayed in the "%SmartWay" summary table at the bottom of the screen.

## PUBLIC DISCLOSURE REPORTS

The Logistics Tool provides a report summarizing Scope 3 emissions for public disclosure purposes. Mass emissions are presented in metric tons for CO<sub>2</sub> (biogenic and non-biogenic), NO<sub>x</sub>, and PM<sup>2.5</sup> for all carriers listed on the Tool's Activity screen. The percent of CO<sub>2</sub> attributable to SmartWay Carriers is also provided. Biogenic CO<sub>2</sub> emissions estimates are assumed to equal approximately 2 percent of total CO<sub>2</sub> emissions, as per U.S. requirements for biomass-based diesel from the EPA Renewable Fuel Standard program final volume requirements.<sup>22</sup>

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<sup>20</sup> At this time SmartWay logistics partners are assigned full credit when calculating their % SmartWay Value, regardless of the amount of business logistics partners do with SmartWay carriers. SmartWay may adopt the Adjusted % SmartWay Value for scoring purposes in the future, but as of now the adjusted values are for information purposes only.

<sup>21</sup> Emissions from CH<sub>4</sub>, N<sub>2</sub>O, HFC's, PFC's, SF<sub>6</sub> and NF<sub>3</sub> have been deemed immaterial, comprising less than 5% of overall GHG emissions and are therefore EXCLUDED for reporting purposes.

<sup>22</sup> As stated in the [Final Rule](https://www.govinfo.gov/content/pkg/FR-2018-12-11/pdf/2018-26566.pdf) (Table I.B.7-1 - see <https://www.govinfo.gov/content/pkg/FR-2018-12-11/pdf/2018-26566.pdf>, accessed 6-11-23.), the volume requirements for biomass-based diesel are rounded to equal 2% for calculation purposes. The percentage is updated annually in the Tool.

## 2.0 Payloads and Data Validation

The Logistics Tool contains data validation checks designed to identify missing and potentially erroneous data. At this time the only validation involves payload checks and total ton-mile checks.

### PAYLOAD VALIDATION

Validation cut points are set in the Logistics Tool to identify payloads that are somewhat outside typical industry values (yellow flag warnings) and those that are far outside industry averages (red flag warnings). The payload check only applies to Data Availability selections where payloads are either entered by the user or calculated based on other inputs. Checks are applied at the carrier (row) level.

Payload checks are specific to the truck carrier fleet's SmartWay Category/mode, which is available for each carrier category from the Carrier Data Table. Red payload ranges require explanations. For yellow ranges explanations are optional.

Validation ranges are based on payload values reported by SmartWay Logistics partners for the 2018 calendar year. Minimum values are set to zero, requiring all payload entries to be greater than zero. Red and yellow ranges were determined based on visual identification of apparent inflection points in the payload distribution curves, corresponding to "natural" groupings where possible. Maximum, not-to-exceed values are based on those used in the SmartWay Truck Tool.

**Table 12. Logistics Business Unit Payload Validation Ranges**

SmartWay Truck Category	Low Red	Low Yellow	High Yellow	High Red
LTL Dry Van	0.0 - 1.0	1.0 - 2.5	15.0 - 20.0	20.0 - 83.7
Package	0.0 - 0.1	0.1 - 2.5	15.0 - 20.0	20.0 - 83.7
TL Dry Van	0.0 - 5.0	5.0 - 10.0	20.0 - 22.5	22.5 - 150.0
Refrigerated	0.0 - 5.0	5.0 - 15.0	21.0 - 22.5	22.5 - 82.5
Flatbed	0.0 - 5.0	5.0 - 10.0	24.0 - 26.0	26.0 - 99.9
Tanker	0.0 - 5.0	5.0 - 15.0	23.5 - 25.0	25.0 - 103.8
Moving	0.0 - 2.5	2.5 - 4.0	17.5 - 19.5	19.5 - 150.0
Specialized/Utility	0.0 - 2.0	2.0 - 10.0	22.5 - 25.0	25.0 - 111.0
Dray	0.0 - 5.0	5.0 - 10.0	22.0 - 30.0	30.0 - 73.5
Auto Carrier	0.0 - 5.0	5.0 - 7.5	20.0 - 22.5	22.5 - 73.5
Heavy-Bulk	0.0 - 5.0	5.0 - 10.0	22.5 - 25.0	25.0 - 120.0
Mixed	0.0 - 5.0	5.0 - 11.5	22.0 - 32.0	32.0 - 99.3

SmartWay Truck Category	Low Red	Low Yellow	High Yellow	High Red
<b>Expedited</b>	0.0 - 1.0	1.0 - 2.5	20.0 - 22.5	22.5 - 83.7
<b>General (all categories)</b>	0.0 - 5.0	5.0 - 10.0	23.0 - 25.0	25.0 - 150.0
<b>Logistics</b>	0.0 - 12.0	12.0 - 16.7	21.0 - 27.2	27.2 - 150.0
<b>Rail</b>	0.0 - 9.4	N/A	N/A	125.0 - 200.0
<b>Air</b>	N/A	N/A	55.0 - 110.0	> 110.0

Validation cutoffs for rail payloads are based on the distribution of average values estimated for all Class 1 carriers, and only include red flags. The absolute upper bound for rail carriers has been set at 200 tons.

Air carriers have their maximum average payload set to 110 tons, corresponding to the maximum payload capacity for the largest aircraft make/model specified by SmartWay partners in 2017. Payloads above this amount trigger a “red” out of range error that must be explained by the partner to proceed, although no value has been set for a maximum allowable payload at this time. Payloads between 55 and 110 tons receive a “yellow” warning which may be explained if the partner chooses.

Barge carrier payloads are flagged for verification if their density is greater than 0.6 tons per cubic foot or less than 0.003 tons per cubic foot, consistent with the payload validation used in the SmartWay Barge Tool.

## TON-MILE VALIDATION

2011 Logistics Partner data was evaluated to establish absolute upper bounds for ton-mile inputs. The ton-mile validation applies at the carrier (row) and total fleet (summation of rows) level, with the same values applied to both. The maximum allowable ton-mile value was set to twice the observed maximum value in the 2011 data set: 209,207,446,000 ton-miles.

# Appendix A - Background on Industry Average U.S. Rail Factors

Industry average freight rail grams per mile and grams per ton-mile factors were developed using data released in August of 2019 for EPA's 2017 National Emission Inventory (NEI).<sup>23</sup> The factors were developed using emission estimates specifically for Class I (line-haul and yard switching) locomotives. These data were then divided by railcar-mile and ton-mile data for 2017 Class I rail carriers to obtain the corresponding performance metrics. Table A-1 presents the industry average freight rail emissions factors used in the Tool.

**Table A-1. U.S. Freight Rail Industry Average Factors (2017)**

Performance Metric	CO <sub>2</sub>	NO <sub>x</sub>	PM <sub>10</sub>	PM <sub>2.5</sub>
gram/short ton-mile	20.72	0.2897	0.0085	0.0082
gram/railcar mile	980	14.38	0.418	0.405

Note that NO<sub>x</sub> and PM emission factors are not available at the carrier level for the rail mode. Accordingly, the industry average emission factors are assumed to apply equally for all rail carriers.

<sup>23</sup> Emissions Modeling Platform Collaborative, Specification Sheet: Rail 2017 National Emissions Inventory, August 2019 – Table 1. See [https://gaftp.epa.gov/air/nei/2017/doc/supporting\\_data/point/2017Rail\\_main\\_21aug2019.pdf](https://gaftp.epa.gov/air/nei/2017/doc/supporting_data/point/2017Rail_main_21aug2019.pdf), accessed 6-11-23.



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