SmartWay®
Transport Partnership
U.S. Environmental Protection Agency

Shipper Partner 2.0.15 Tool: Data Entry and Troubleshooting Guide 2015 Data Year - United States Version

EPA United States Environmental Protection Agency

SmartWay®
Transport Partnership
U.S. Environmental Protection Agency

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

EPA United States Environmental Protection Agency

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What's New in this version?

Version 2.0.15 of the Shipper Tool contains a number of updates and revisions to the prior version, 2.0.14. These updates have been implemented to enhance the usefulness and clarity of the Tool, and are summarized below:

- **A note on new security warnings has been incorporated. Microsoft has instituted new security warnings that appear in some versions of Excel. The SmartWay files are still safe, and in the same format as previous years. Instructions are provided to navigate through the new Microsoft security warnings.**
- Screen backgrounds and navigation icons have been updated to improve visibility.
- The introductory screens have been re-organized to help new partners become oriented, and allow returning partners to proceed through the Tool more quickly.
- An "auto-population" option has been added, allowing partners to input their SmartWay ID and automatically upload the information for the initial steps of the Tool based on the prior year's submittal or, for new partners, information submitted through the SmartWay portal "On-ramp". This option can save time and ensure naming consistency from year to year.
- The Home screen has been reorganized for clarity.
- Subsidiary-specific contacts are no longer requested.
- Miscellaneous text and format updates for clarification.

Introduction

This document, the "Data Entry and Troubleshooting Guide" for the Shipper Tool, is the second of two guides available to help your company participate fully in the SmartWay Transport Partnership as a Shipper Partner.

The first guide, the Shipper Tool "Quick Start Guide," provides a basic walk-through of the process of identifying, gathering, preparing, and submitting your data by using the SmartWay Shipper Partner Tool, and includes several worksheets referenced in this guide. (From this point on, this guide will refer to the SmartWay Shipper Partner Tool as the "Shipper Tool" or simply, the "Tool," for brevity.)

The Quick Start Guide may be all you need to successfully complete the Shipper Tool.

This guide, the Data Entry and Troubleshooting Guide, is intended to supplement the Quick Start Guide and provide more detailed information for completing your tool submission.

The Table of Contents for this guide is designed so that you can find the relevant information without reading through the entire guide.

In this guide, you will learn how to enter the company and carrier data you collected (as mentioned in the Quick Start Guide and the online data entry forms it references) into the Shipper Tool. This guide covers:

- Downloading and setting up the Tool to run properly
- Basic organization of the Shipper Tool
- Entering your data
- Viewing company performance summary data
- Submitting data to SmartWay
- Troubleshooting the Tool
- Appendices

WARNING!

Completing this Tool requires a considerable amount of information about your company/companies and the freight carriers used by your companies. While you will have the ability to save your Tool along the way and return to it at any time, we **STRONGLY ENCOURAGE** you to review the Quick Start Guide to understand key information about joining the Partnership and preparing the required data **BEFORE** attempting to complete the Tool.

PART 1: DOWNLOADING AND SETTING UP THE TOOL

Downloading and Setting up the Tool

Software and Hardware Requirements

The Shipper Tool was designed in Microsoft Excel. Microsoft Excel is an electronic spreadsheet program used for storing and manipulating data. Microsoft Excel Forms were used to enable the functional capabilities of the Tool.

Completing the Shipper Tool requires the following software and hardware:

- A 2003 or later version of Microsoft Excel
- Excel security level set at Medium or lower
- A PC running Windows XP or newer operating system, or a Mac that is running the Windows XP operating system. The tool does not currently work using the Mac operating system
- At least 15 megabytes of available disk space (more disk space may be required based on the number of companies you define in your tool).
- Adequate memory (RAM) to run Microsoft Office
- A monitor resolution of at least 1,024 x 768

NOTE: The Excel web application in MS Office 365 (the cloud-based version of the Office operating system) does not currently support the macros used in the SmartWay tools. Therefore, SmartWay tools do no function properly in Office 365 at this time.

Check with the user guides for your computer, online support, or your company's IT department to make sure your system is set up to use the Shipper Tool.

We encourage you to make sure that you virus software is up to date, and scan your PC before putting data in the Shipper Tool.

Downloading the SmartWay Shipper Tool

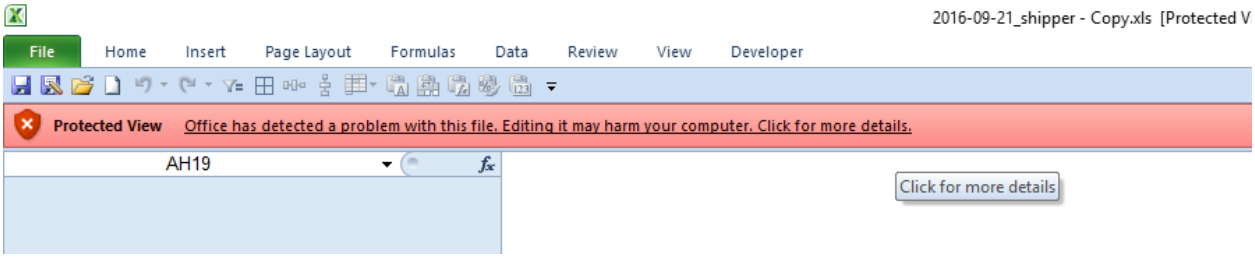
To download the Shipper Tool, visit:

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.

How to Set Security Levels for the SmartWay Tools

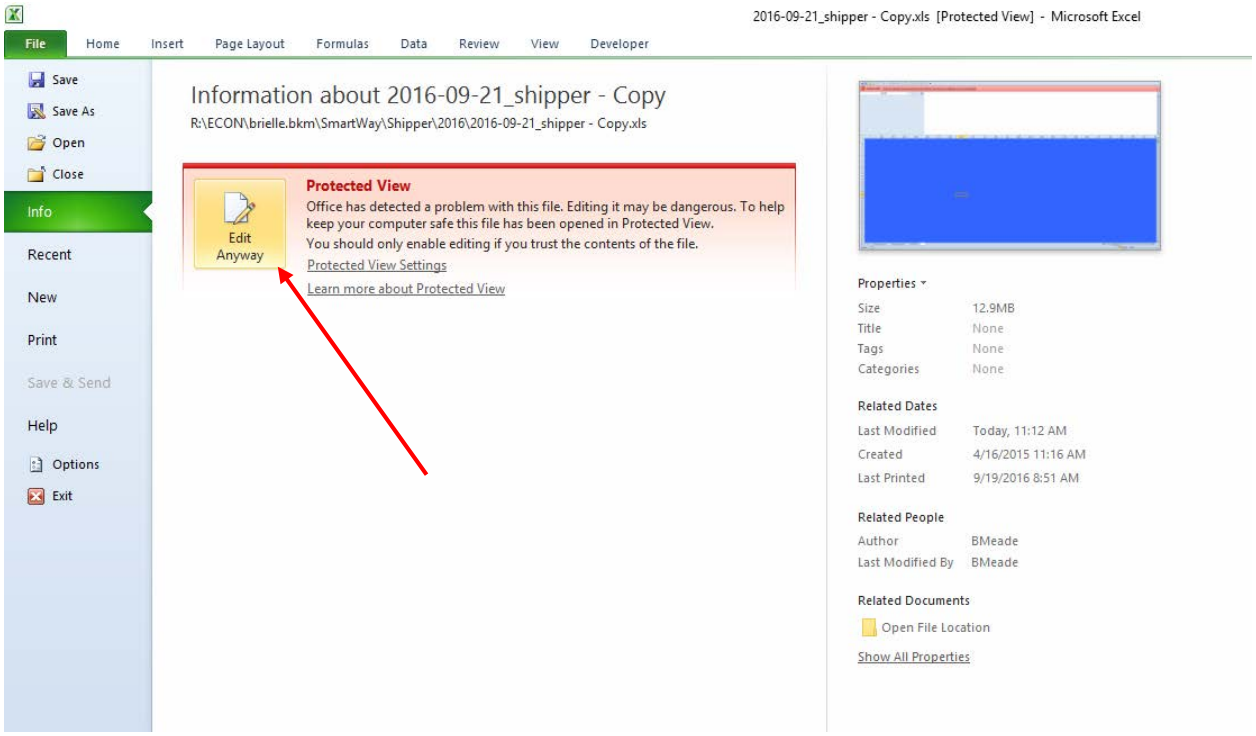
When you first open the Shipper Tool you may see a new “Protected View” security warning from Microsoft:



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

1) Select the "Click for more details" link at the end of the message in the menu bar shown above.

2) In the Microsoft Office File menu, choose the large "Edit Anyway" button located on the left next to the Protected View information section as shown below.



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

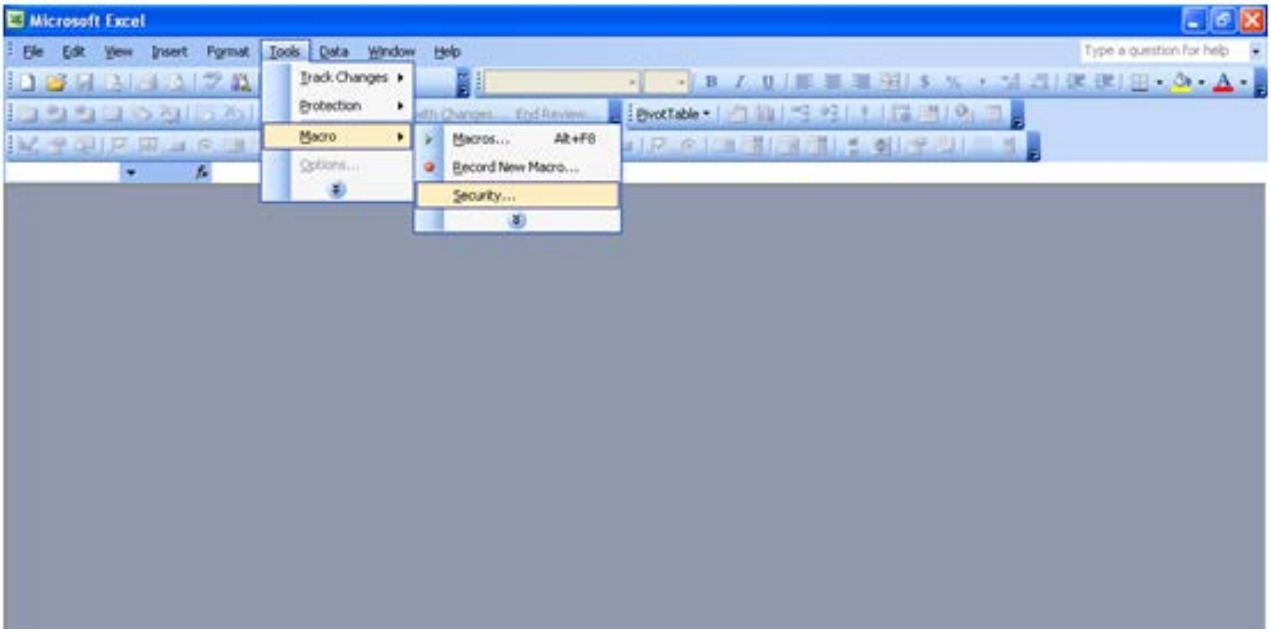


Figure 1: Macro Setting Tabs in Excel 2003

Security Settings for Excel 2003 Users

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

Setting Security Levels to Medium in Excel 2003

1. When using Excel 2003, on the menu bar, go to *Tools* → *Macro* →*Security Level*.

2. When the "Security" window opens, select the "Medium" level, and select **OK**.

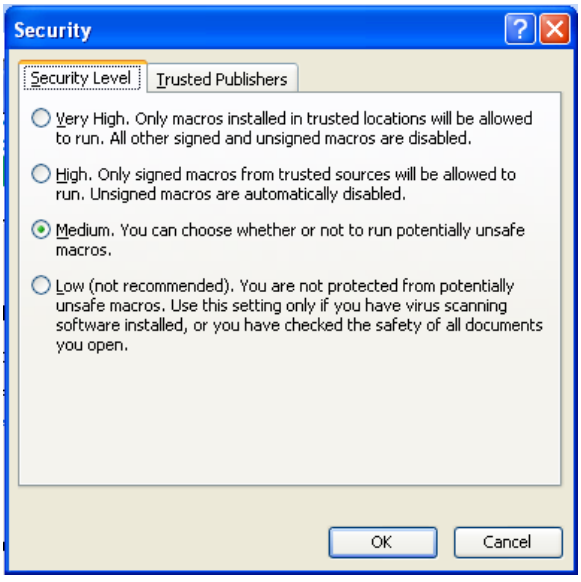


Figure 2: Security Level Setting Screen in Excel 2003

Running the Tool in Microsoft Excel 2003

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

button in the security-warning box.

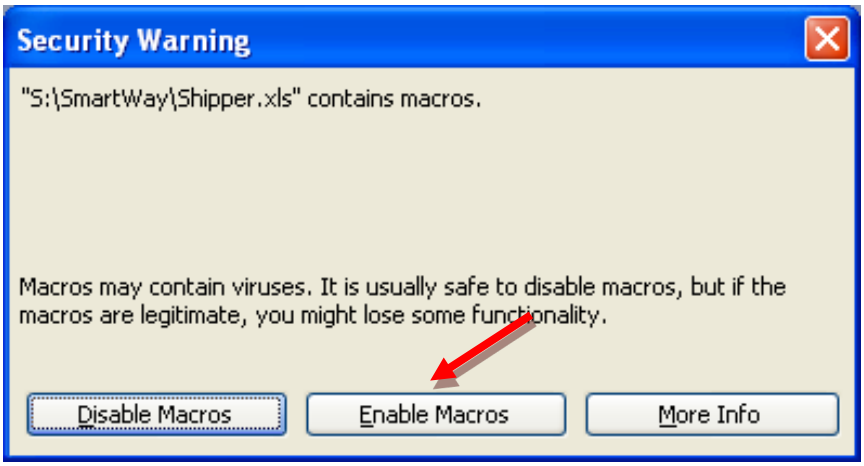


Figure 3: Screen showing "Enable Macros" button

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

Security Settings for Excel 2007 Users

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

Running the Tool in Microsoft Excel 2007

1) Save the Tool to your computer.

2) Open the file, and select the

button that appears after the Security Warning just below the menu bar (**Figure 4**). Detailed instructions are also provided on the screen itself.

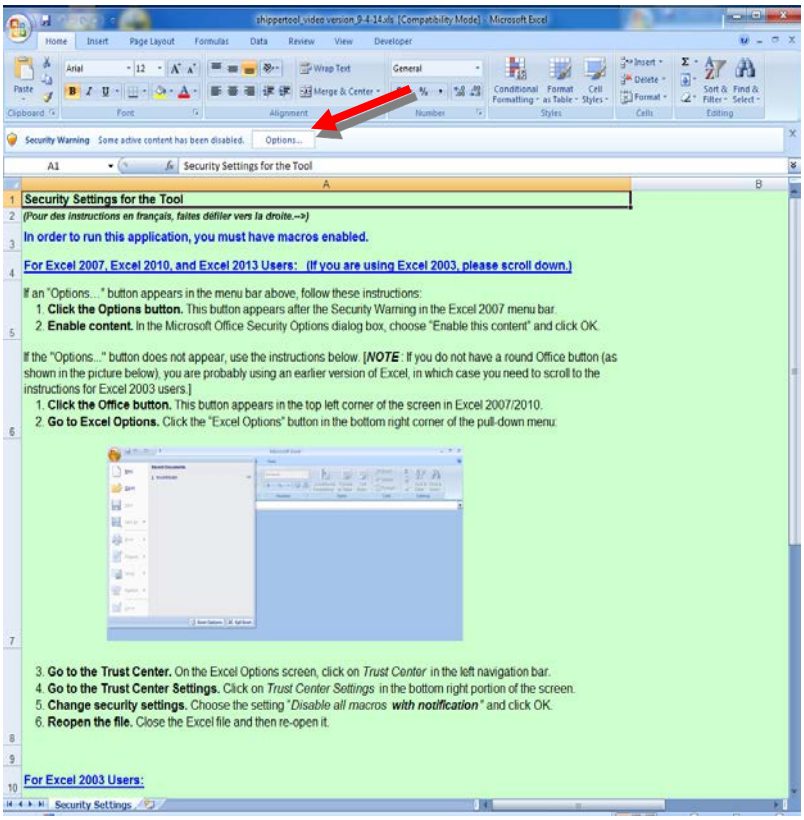


Figure 4: Security Warning Screen

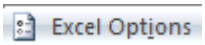
3) In the **Microsoft Office Security Options** dialog box (**Figure 5**), choose "Enable this content" and select **OK**.

Figure 5: Security Options Dialogue Box

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

Troubleshooting the Security Settings in Microsoft Excel 2007

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

To adjust your security settings, select the button (in the top left corner of the screen) and then select the 

button in the bottom right corner of the pull-down menu (**Figure 6**).

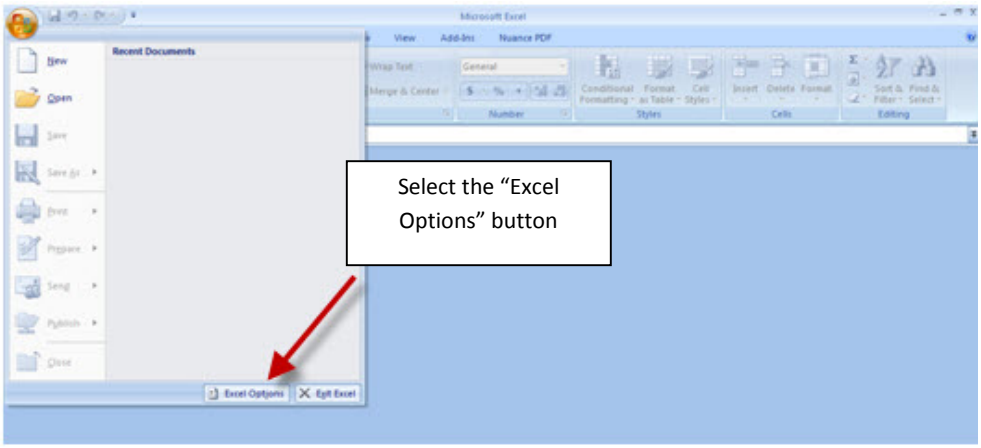


Figure 6: Excel Options Drop-Down Menu

On the **Excel Options** screen, select **Trust Center** in the left navigation bar (**Figure 7**):

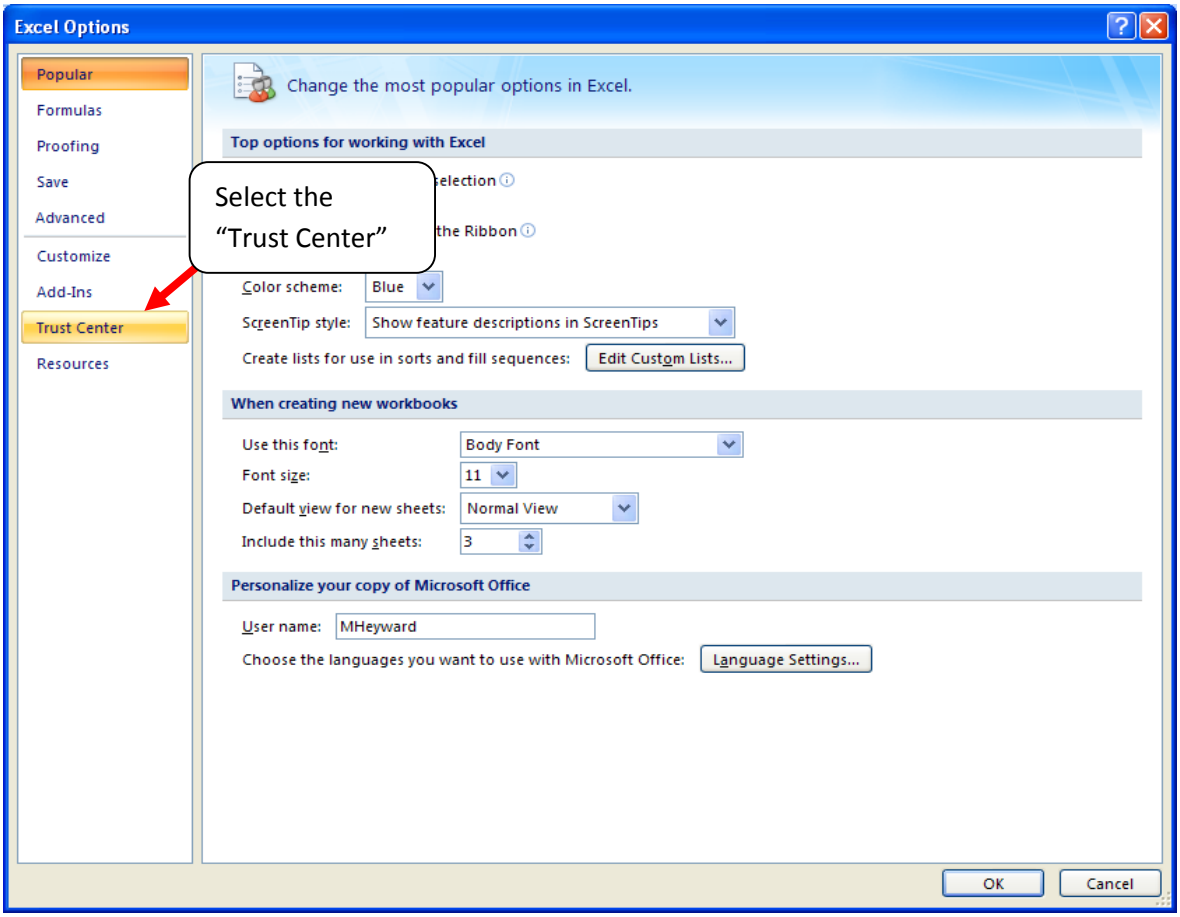


Figure 7: Excel Options Drop-Down Menu

When the Trust Center options display opens, select **Trust Center Settings** in the bottom right portion of the screen (**Figure 8**):

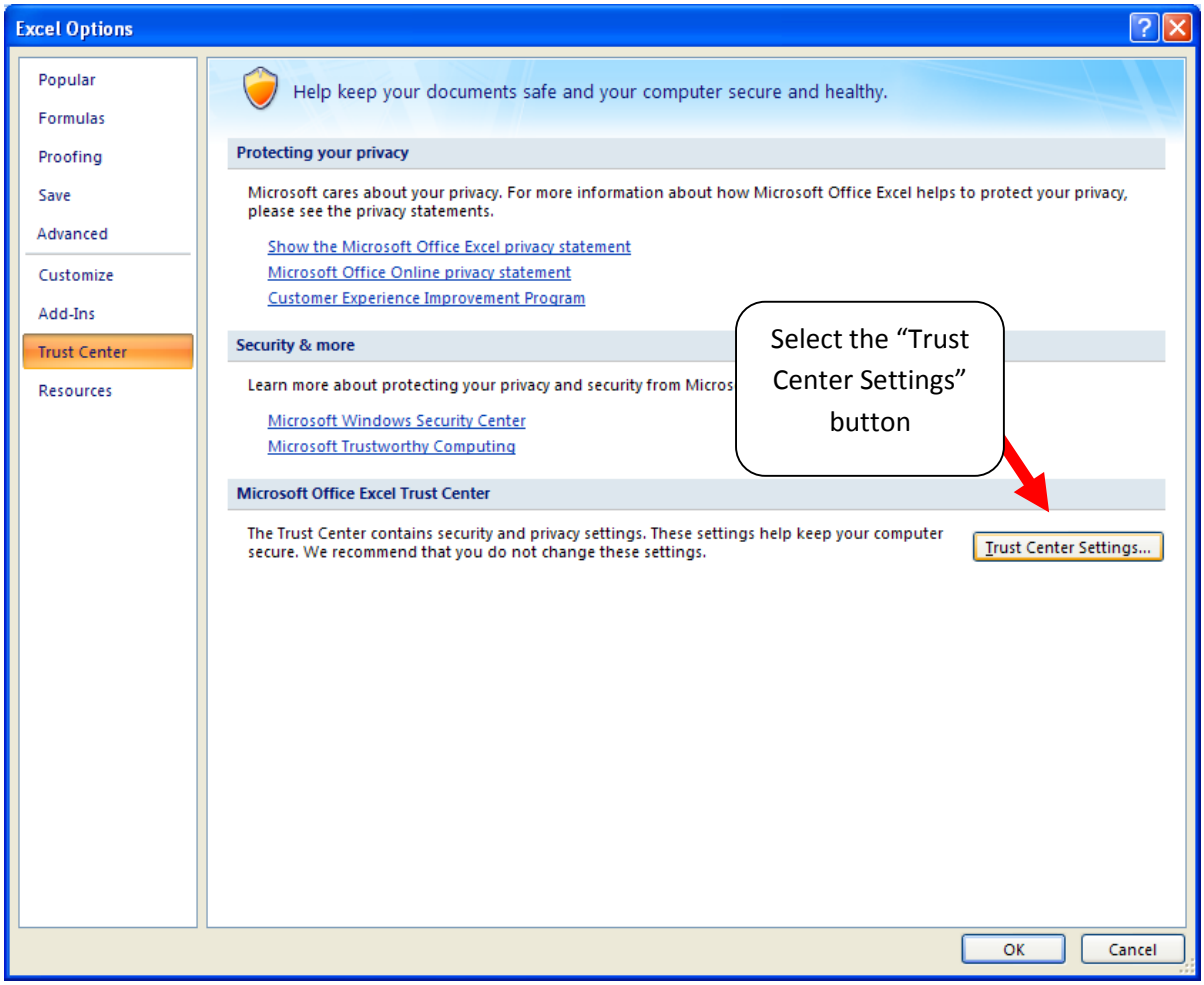


Figure 8: Trust Center Settings Screen

Choose the setting “Disable all macros with notification” (**Figure 9**) and select **OK**.

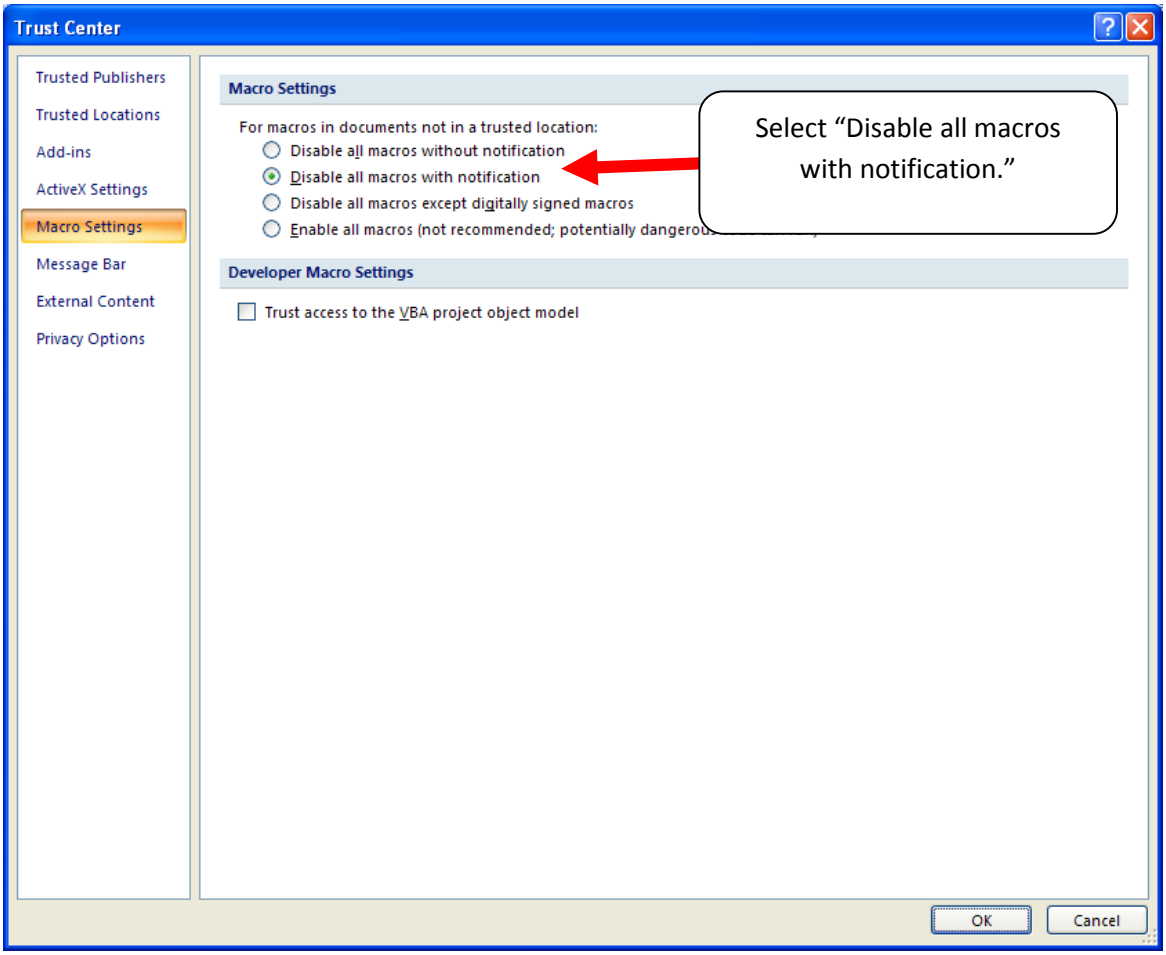


Figure 9: Macro Settings Screen

Then run the Tool.

If, at this point, the Tool does not open, review the “Software and Hardware Requirements” on page 8. If you after reviewing this section, you cannot determine how to correct the problem, contact your SmartWay Partner Account Manager.

Security Settings for Excel 2010 and newer Users

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

1) Save the tool to your computer.

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

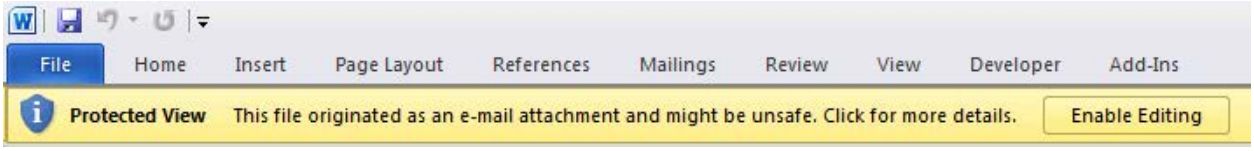


Figure 10: The Enable Editing Button

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

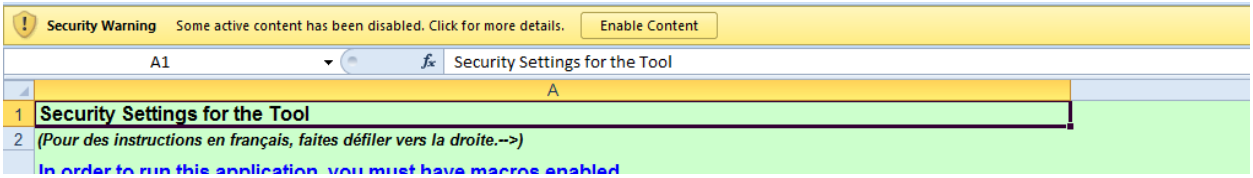


Figure 11: Security Warning Popup

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

To adjust your security settings, select the File tab from the menu bar File Home (in the top left corner of the screen) and then select the Options button in the bottom left-hand menu of the tab (**Figure 12**).

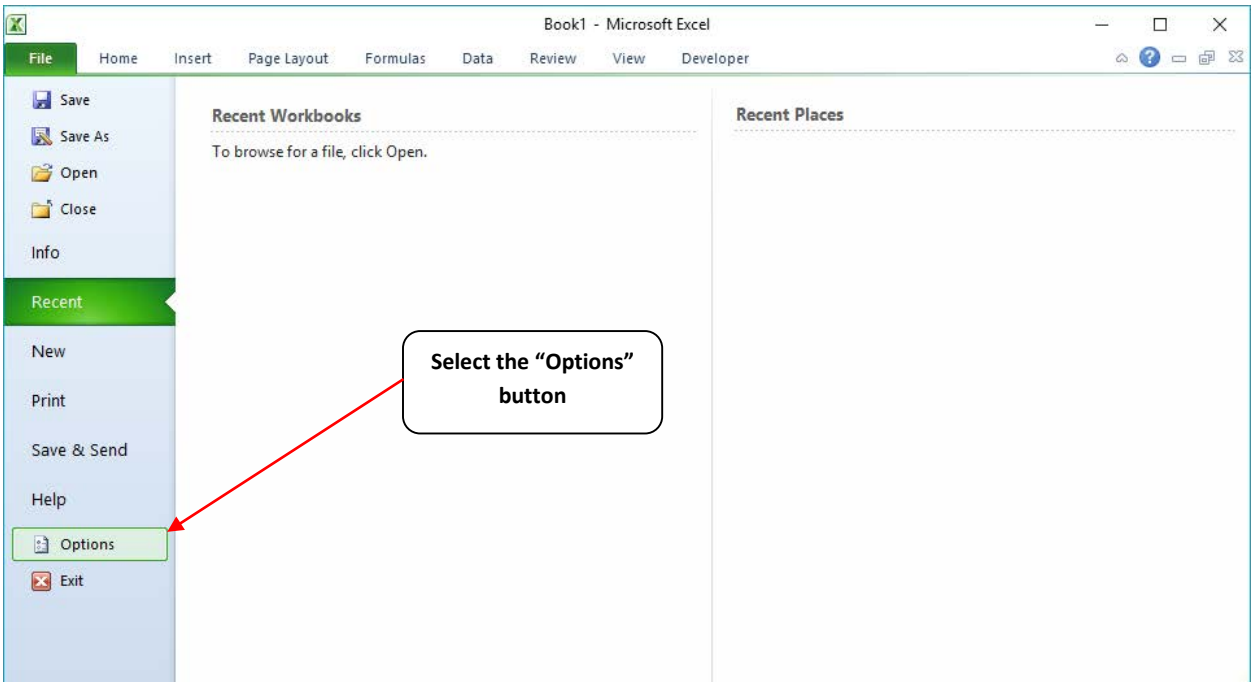


Figure 12: Excel 2010 and Newer Options Drop-Down Menu

On the Excel Options screen, select **Trust Center** in the left navigation bar (**Figure 13**):

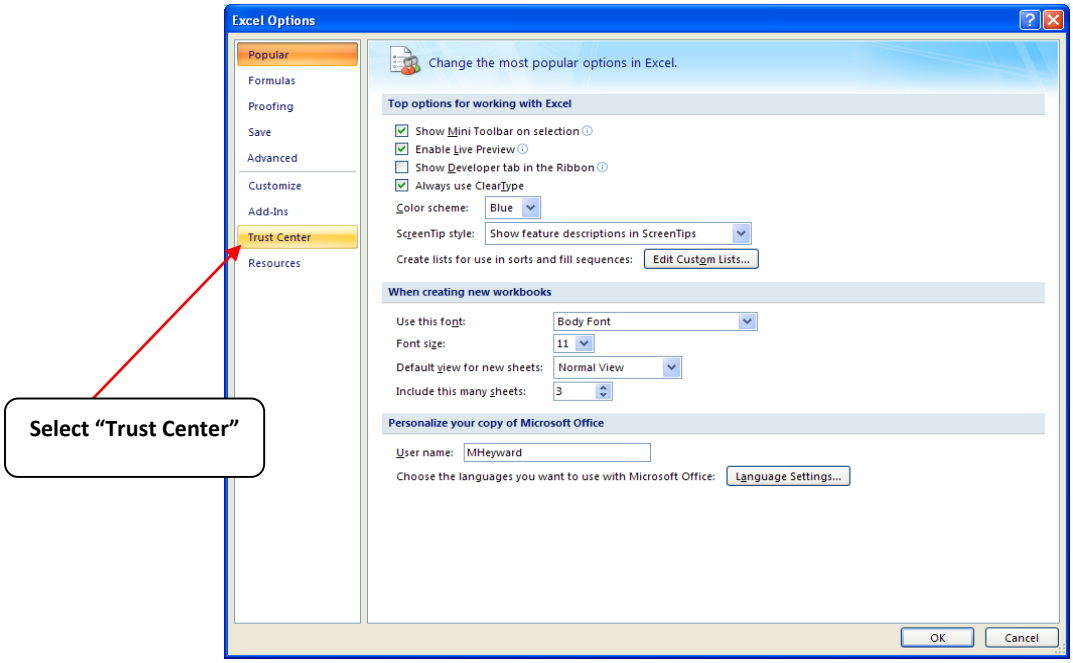


Figure 13: Excel 2010 and Newer Options Drop-Down Menu

When the Trust Center options display opens, select **Trust Center Settings** in the bottom right portion of the screen (**Figure 14**):

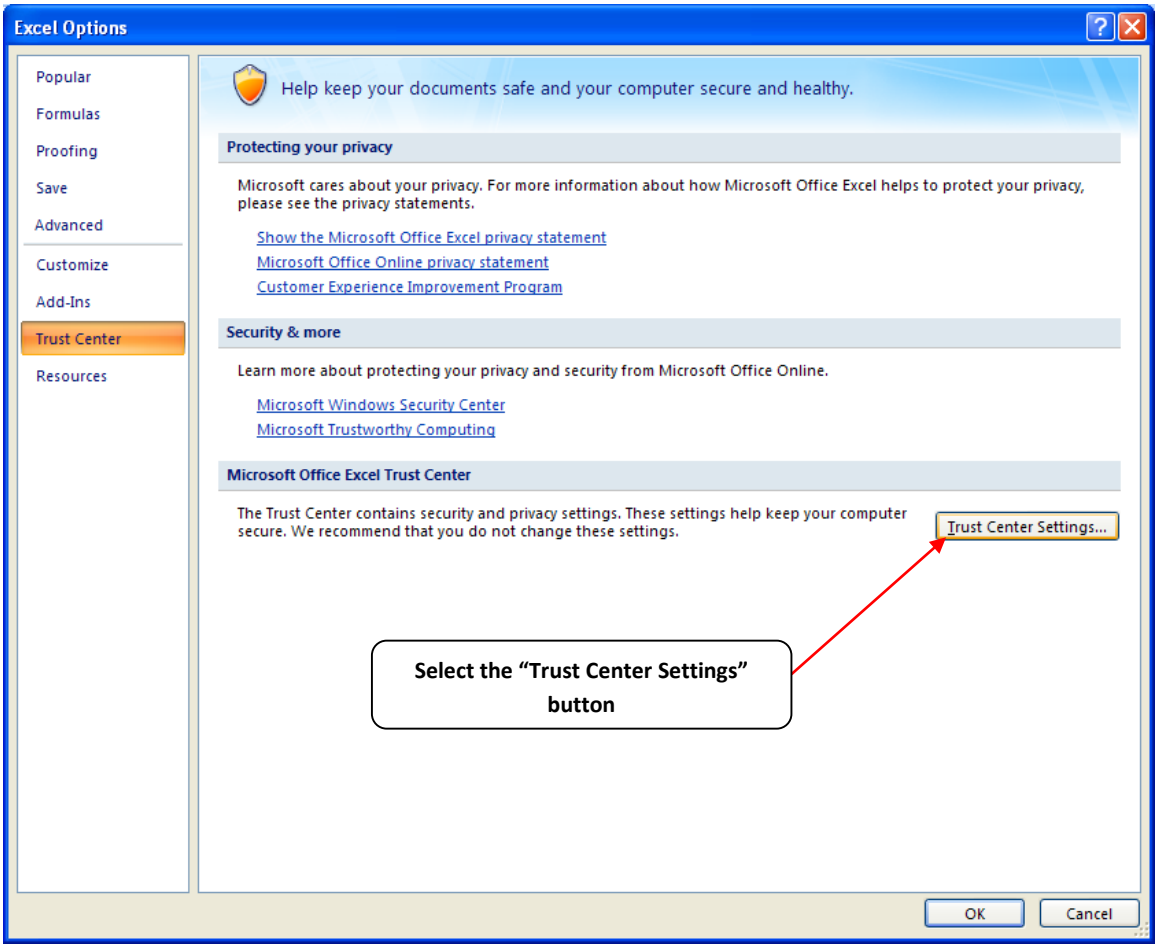


Figure 14: Trust Center Settings Screen

Choose the setting “Disable all macros with notification” (**Figure 15**) and select **OK**.

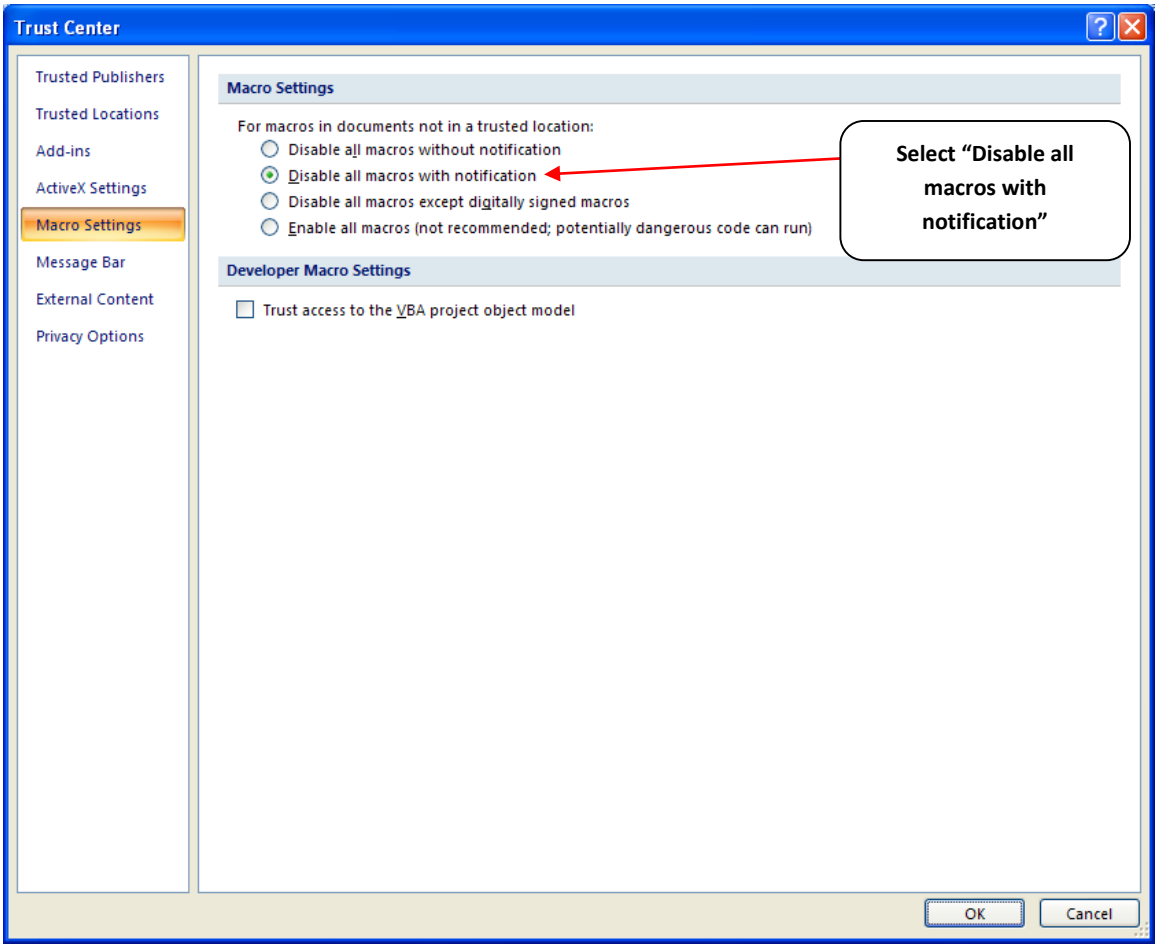


Figure 15: Macro Settings Screen

PART 2:
TOOL ORGANIZATION

Basic Organization of the Shipper Tool

The Shipper Tool is the basis of the SmartWay Partnership for Shipper Companies. Completion and submission of a Shipper Tool is the first step to becoming a SmartWay Shipper Company Partner. Your tool submission must be approved by EPA before you are officially a Partner.

The Shipper Tool is organized around:

- information screens,
- forms or worksheets, and
- reports and summaries

Each screen, or form, opens up within a Microsoft Excel spreadsheet. The screens generally look like the one shown in **Figure 16**, with the **Report Year** displayed prominently at the top:

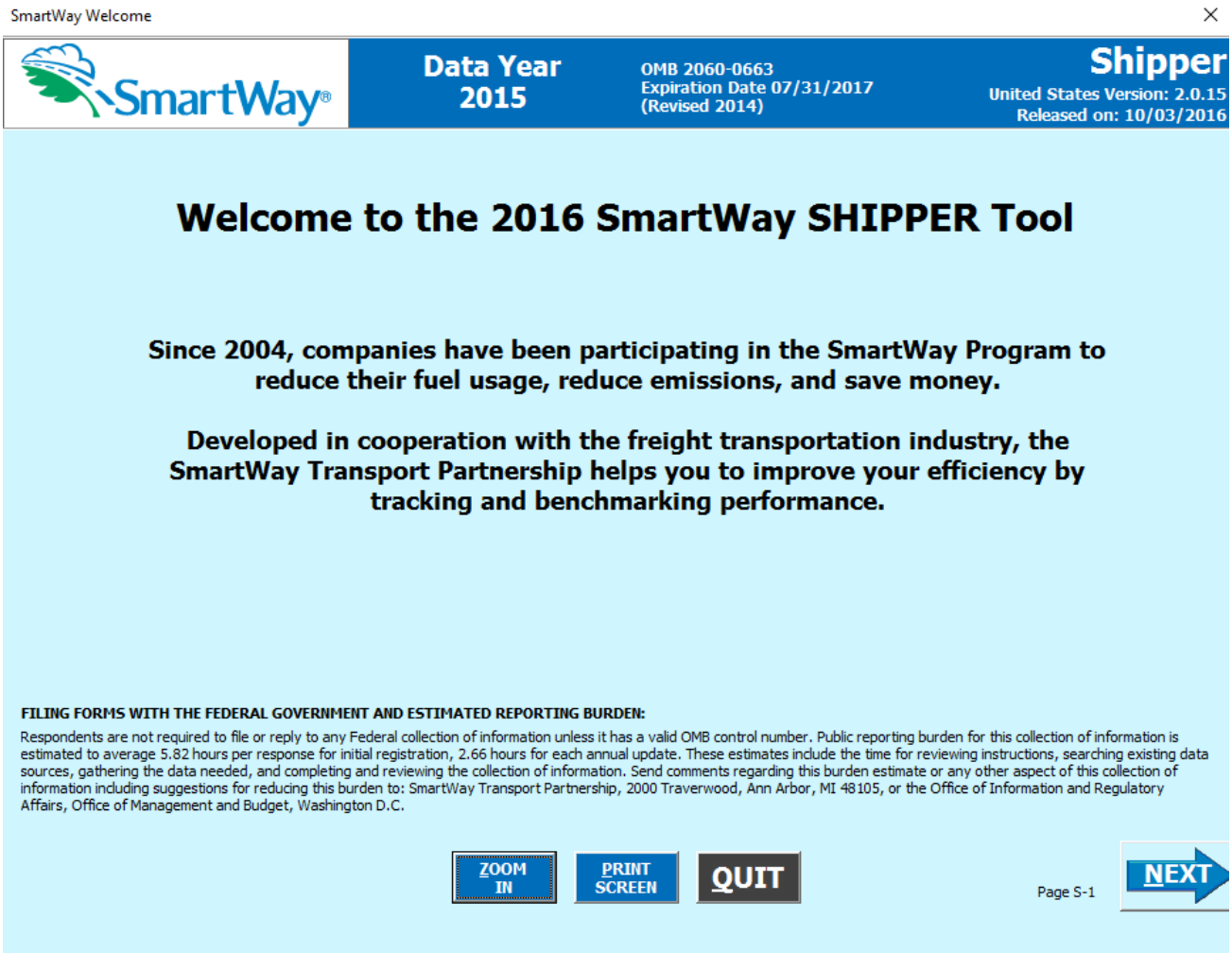


Figure 16: Welcome Screen for the Shipper Tool

The part of the Tool that you fill out resides in the light blue forms that appear on the screen. The Excel workbook that remains in the background – and which normally appears as a blue screen as in **Figure 17**– is where all of the data you enter is actually stored. However, for the purpose of your data entry, disregard the background workbook.

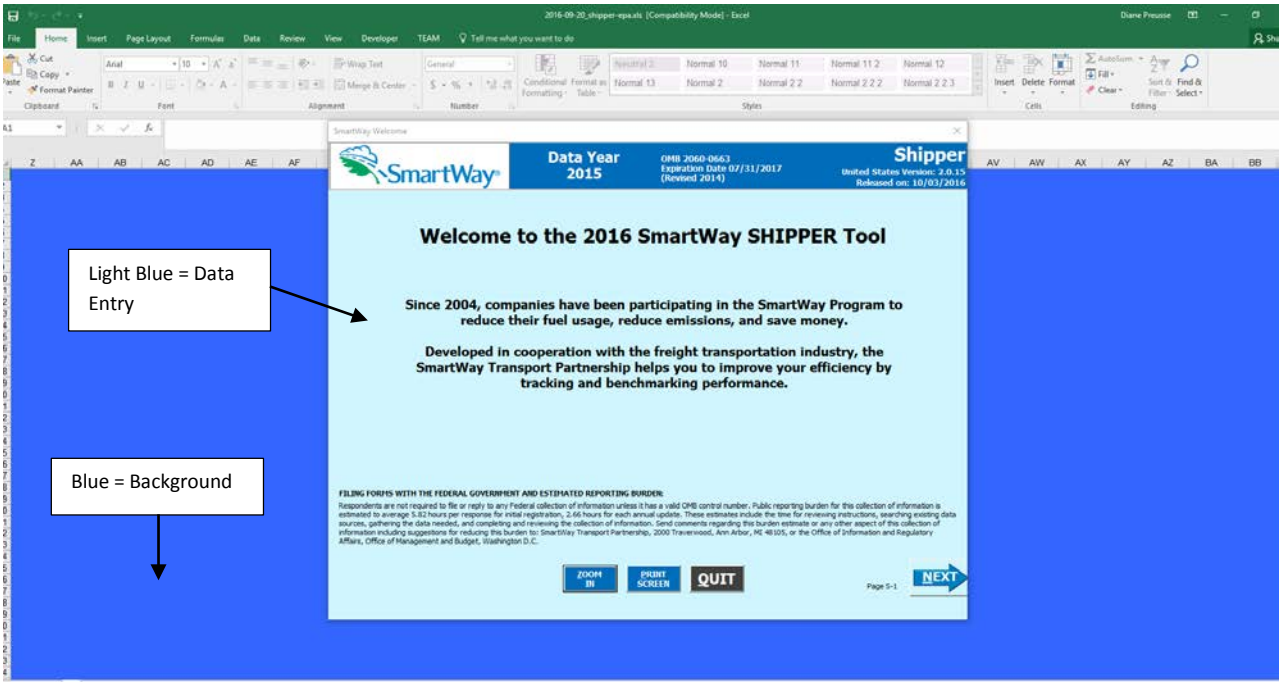


Figure 17: Data Entry Screens and Background Screen Illustration

The name of each form appears at the top left-hand corner of the screen, in white text on the blue window bar, and the reporting year for the Tool is prominently displayed at the top of the screen.

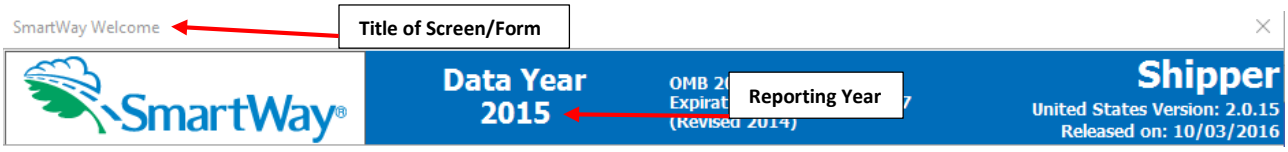


Figure 18: Screenshot of Title of Screen/Form

Each screen contains text instructions or information about the program. Where applicable, the screen will also include buttons linking to the SmartWay website or other sections of the Tool (e.g., the various data entry screens or other information screens); these buttons will be shown in blue and clearly labeled, as seen in **Figure 19**.

Figure 19: Screenshot of Link in the Tool

The screens also contain navigation buttons to direct you through the Tool (**Figure 20**).

Figure 20: Example Navigation Buttons in the Tool

When a new concept/topic is introduced on a screen, a small question mark ([?]) appears next to it. When you select the question mark, you will find additional definitions of terms or instructions to help you complete the screen properly. You may also find additional, detailed instructional material on how to successfully navigate and complete the different data entry screens within the Tool by selecting the

buttons at the bottom of selected screens.

Page numbers are found at the bottom right of all screens to facilitate navigation through the Tool and communication with your Partner Account Manager regarding any questions.

Reviewing the Introductory Screens

Upon opening the 2015 Shipper Tool you will see a **Welcome** screen. Next you will find several Introduction screens. If you are not familiar with the Tool, or if you wish to review the basic organization and functions of the Tool, these screens can help you become oriented. The Assistance for New Users screen appears first, and allows users to view an orientation video. Additional screens may be accessed from this screen, including Tool selection guidance, data collection needs, Tool help and navigation, and the SmartWay Partner Schedule for 2016. These are general information screens and may be skipped if you are already familiar with the Tool. **However, upon proceeding you MUST select the box at the bottom of the Partnership Agreement screen, indicating that you agree to the terms of the Partnership Agreement.**

Before proceeding to the **Home** screen you will see an "auto-population" screen. This screen allows partners to input their SmartWay ID and automatically upload the information for the first three steps of the Tool (Partner Name, Contact Information, and Company Description(s)), based on the prior year's submittal or, for new partners, information submitted through the online SmartWay Shipper Application. This option can save time and ensure naming consistency for your contacts and company

from year to year. If you do not have a SmartWay ID, or prefer to enter this data manually, you may skip this step. The features of these screens are described below.

SmartWay Welcome Screen

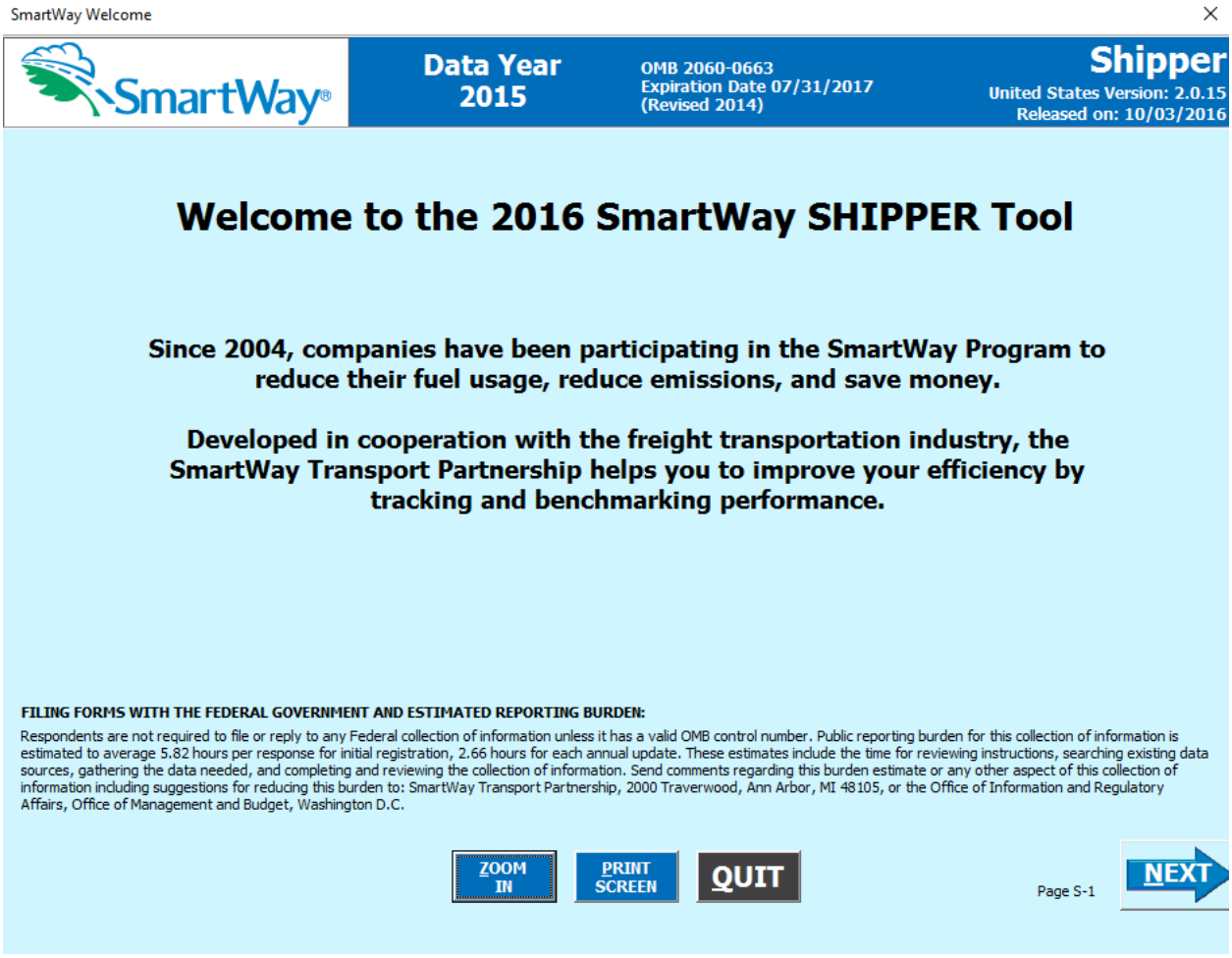


Figure 21: SmartWay Shipper Tool Welcome Screen

The **SmartWay Welcome** screen is the first window that appears when the Tool is opened (**Figure 21**). This screen provides basic information about the SmartWay Partnership. When new concepts/topics are introduced on a screen, a small question mark ([?]) appears next to it. When you select the question mark, you will find additional definitions of terms or instructions to help you complete the screen properly. You may also find additional, detailed instructional material on how to successfully navigate and complete the different data entry screens within the Tool by selecting the

buttons at the bottom of selected screens.

Assistance for New Users Screen

The **Assistance for New Users** screen appears first after the **Welcome** screen, and allows users to view a video presenting an overview of the Tool (see **Figure 22**).

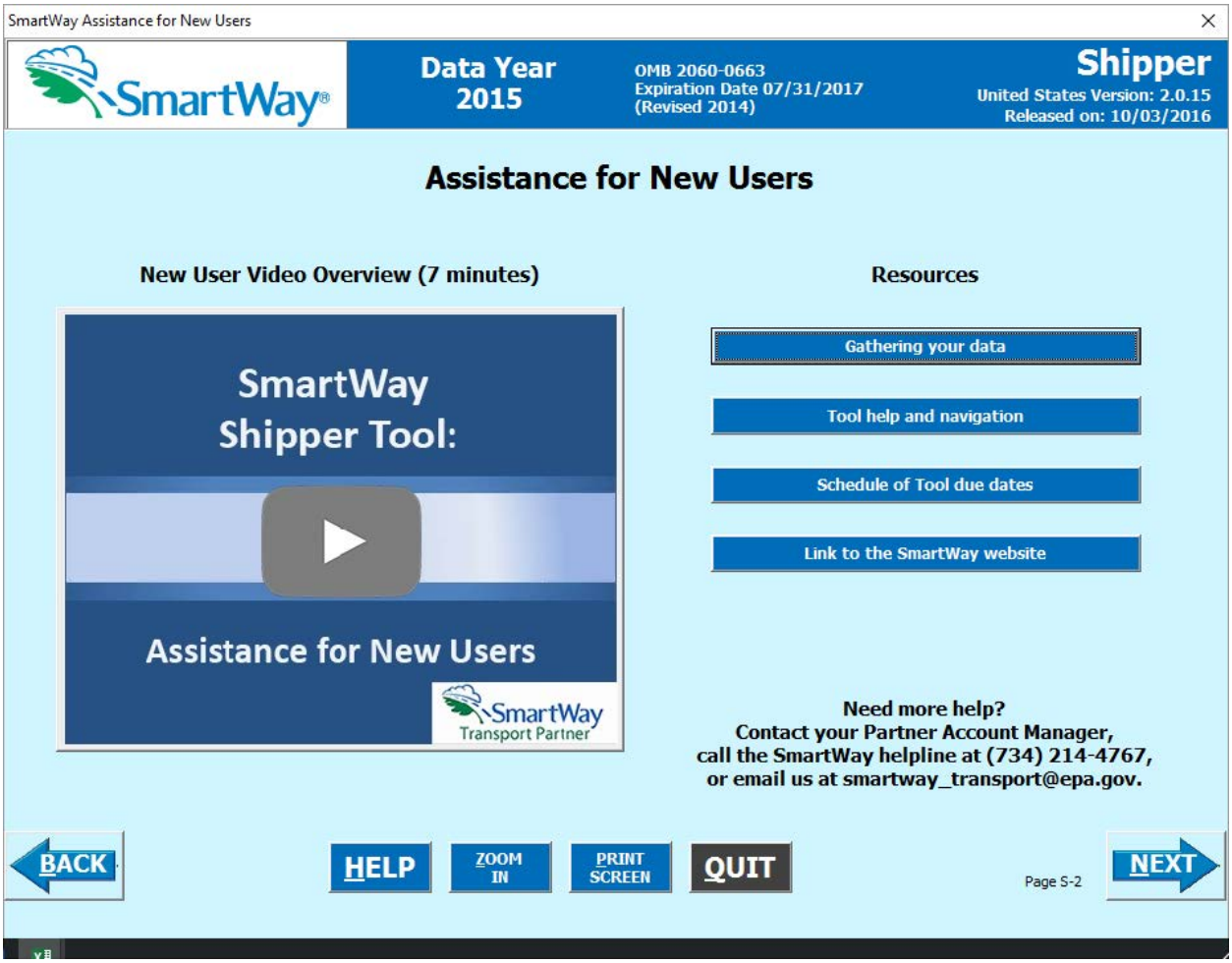


Figure 22: Assistance for New Users Screen

Additional screens may also be accessed from this screen, including:

- Making sure you have the right Tool
- Gathering your data
- Tool help and navigation
- Schedule of Tool due dates

Selecting these buttons on the **Assistance for New Users** screen will take you to a new screen containing the information of interest. These are general information screens and may be skipped if you are already familiar with the Tool.

Gathering Your Data Screen

This next screen summarizes the information needed to complete the Shipper Tool. Select PRINT SCREEN to retain a hardcopy for reference as you complete the rest of the Tool.

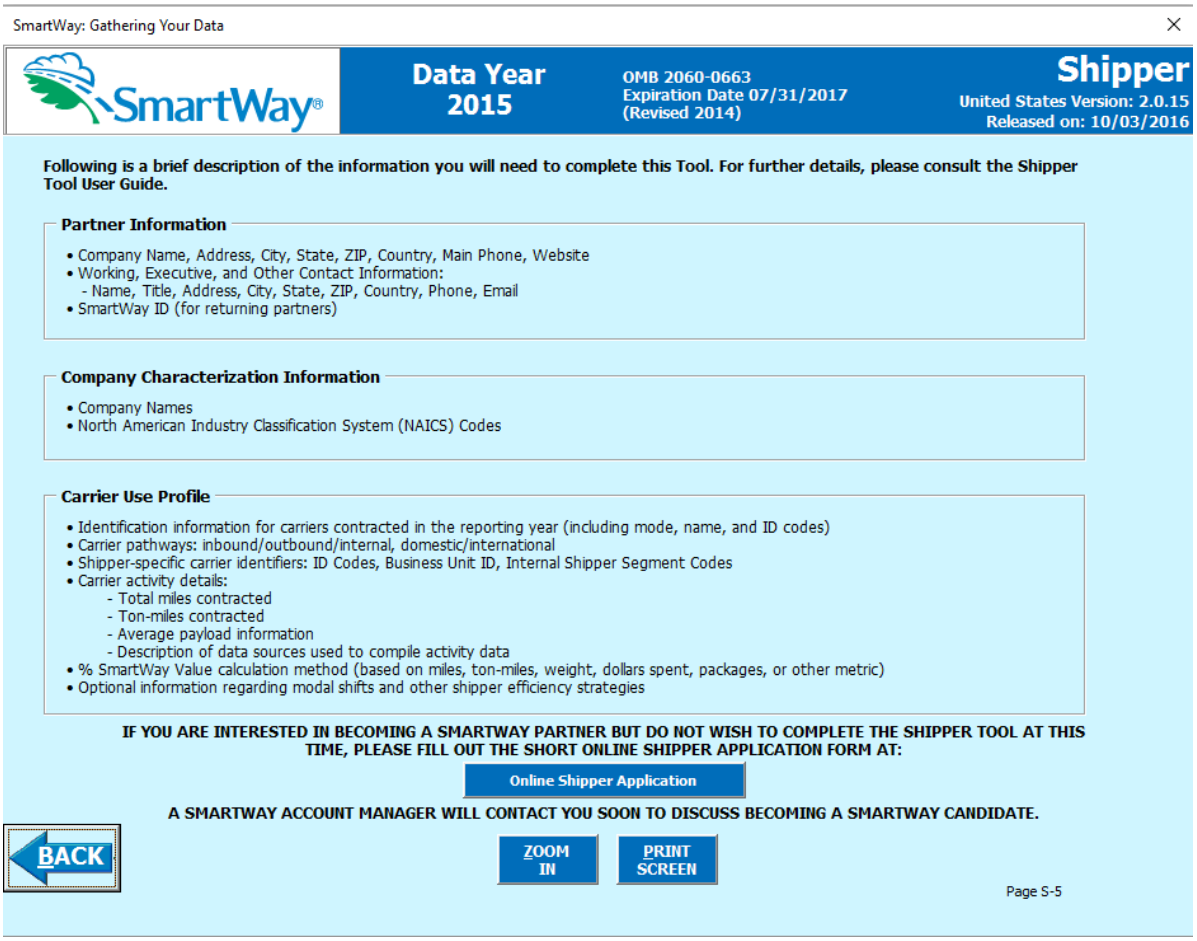


Figure 23: Summary of Shipper Tool Required Information

While this screen serves as a reminder of your data input needs, refer to the Shipper Tool Quick Start Guide for more tips and worksheets to help you gather your data for efficient and accurate tool completion.

NOTE: If you are interested in becoming a SmartWay Partner but do not wish to complete the Shipper Tool at this time, you can fill out a short application form to become a SmartWay Candidate by selecting the "Online Shipper Application" button toward the bottom of this screen. After completing the form a SmartWay Account Manager will contact you regarding opportunities for further participation.

Tool Help and Navigation Screen

This screen presents the complete list of buttons available throughout the Tool (**Figure 24**). Becoming familiar with these buttons will make completing the Tool easier and faster. Select the HELP button for additional information regarding the data entry requirements for a given screen. Of special note is the small question mark ([?]), which appears next to new concepts when they are introduced throughout the Tool. Selecting the question mark will reveal additional definitions of terms or instructions to help you complete the data fields properly.

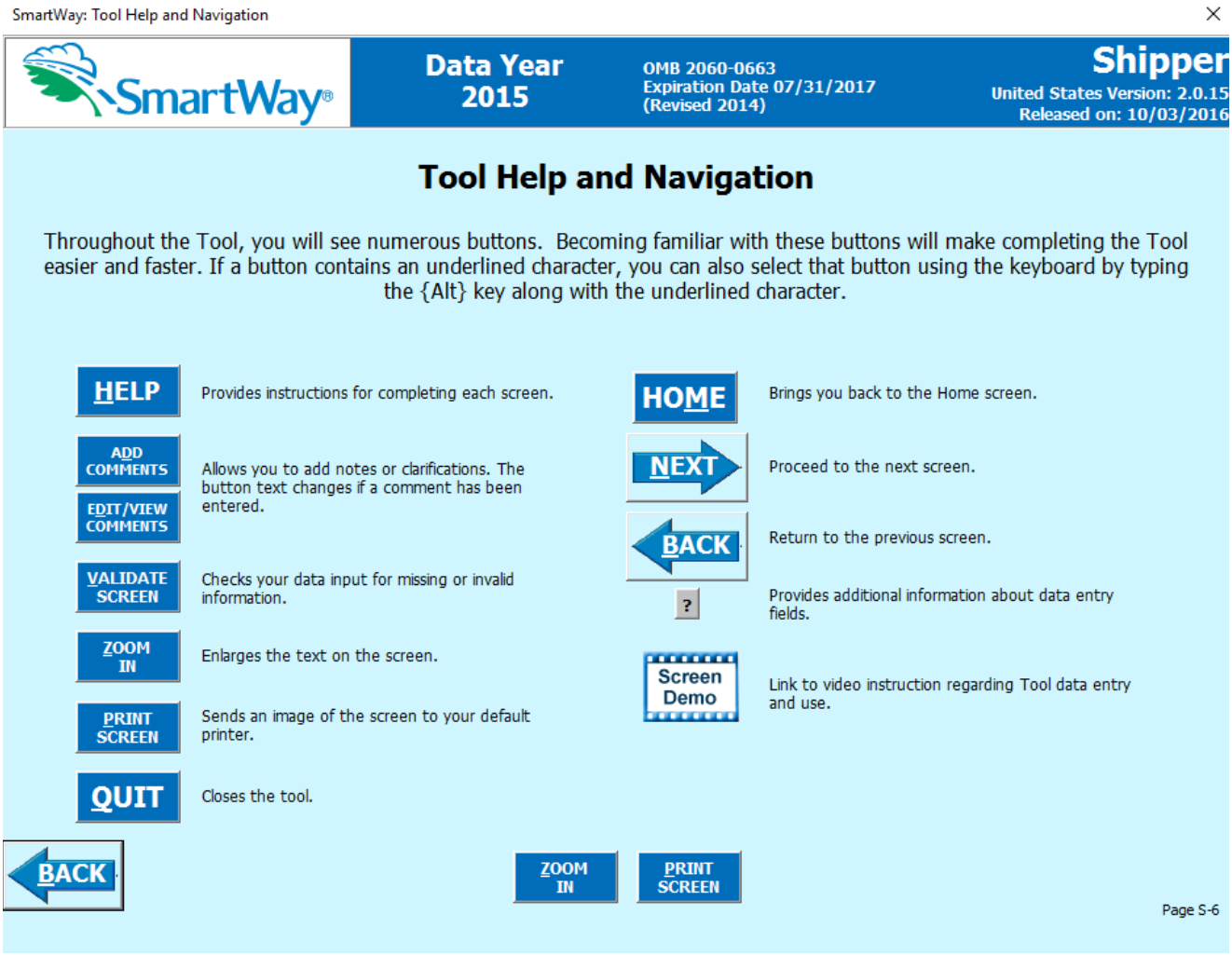


Figure 24: Tool Help and Navigation Screen

Schedule of Tool Due Dates Screen

As seen in **Figure 25**, this screen shows the *SmartWay Partner Schedule and Data Flow Diagram*, which provides the various Tool release and due dates for the 2016 calendar year, for tools completed using 2015 data. Refer to these dates to help ensure on-time delivery of your tool submittal.

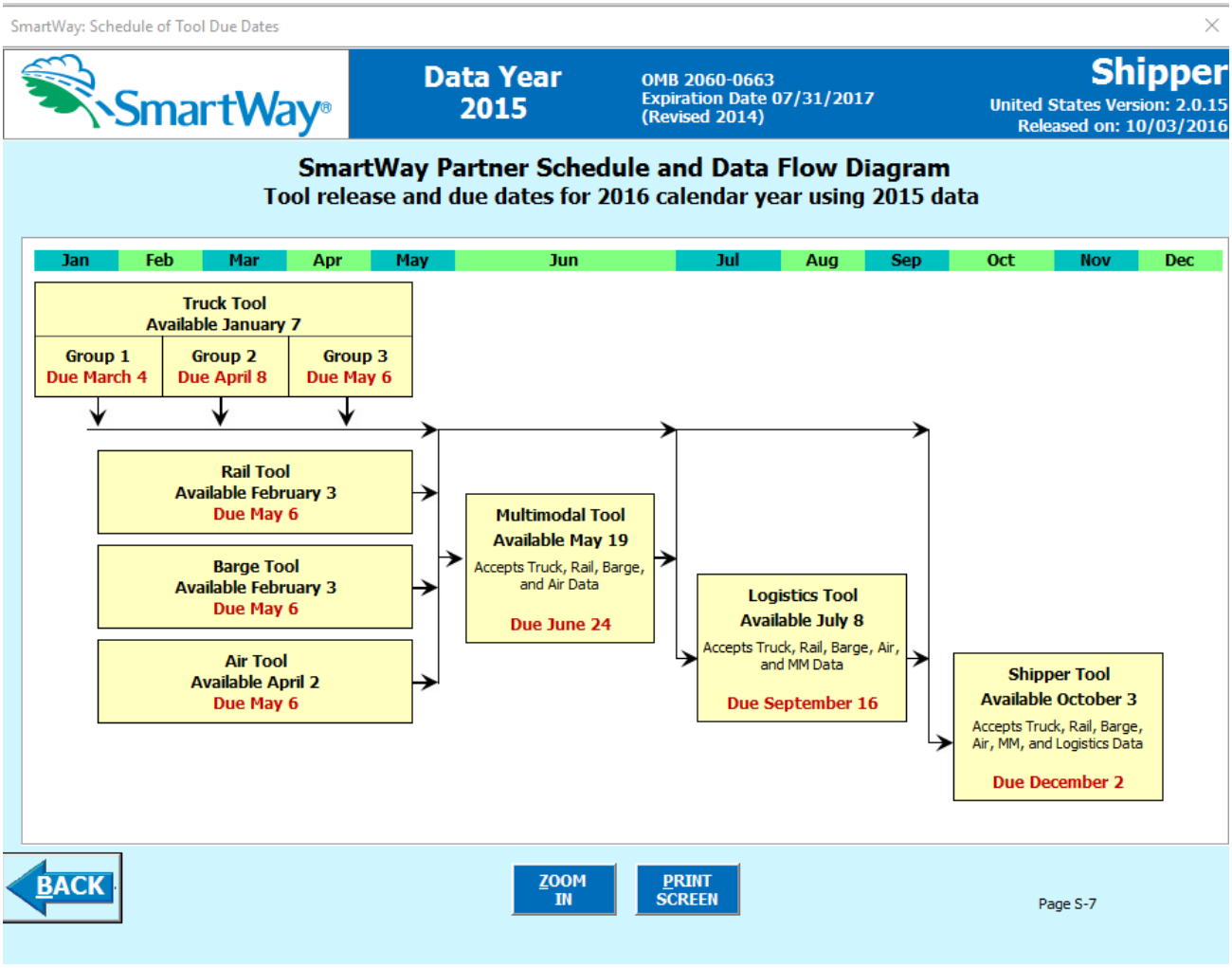


Figure 25: SmartWay Partner Schedule and Data Flow Diagram

After returning to the **Assistance for New Users** screen, you may select the Link to the SmartWay website button to proceed to the SmartWay website where you can view and download additional information about the program, the Tool, and the technical basis for the calculations in the Tool.

After selecting the NEXT button on the **SmartWay Assistance for New Users** screen, the **SmartWay Partnership Annual Agreement** will appear.

The "SmartWay Partner Agreement" Screen

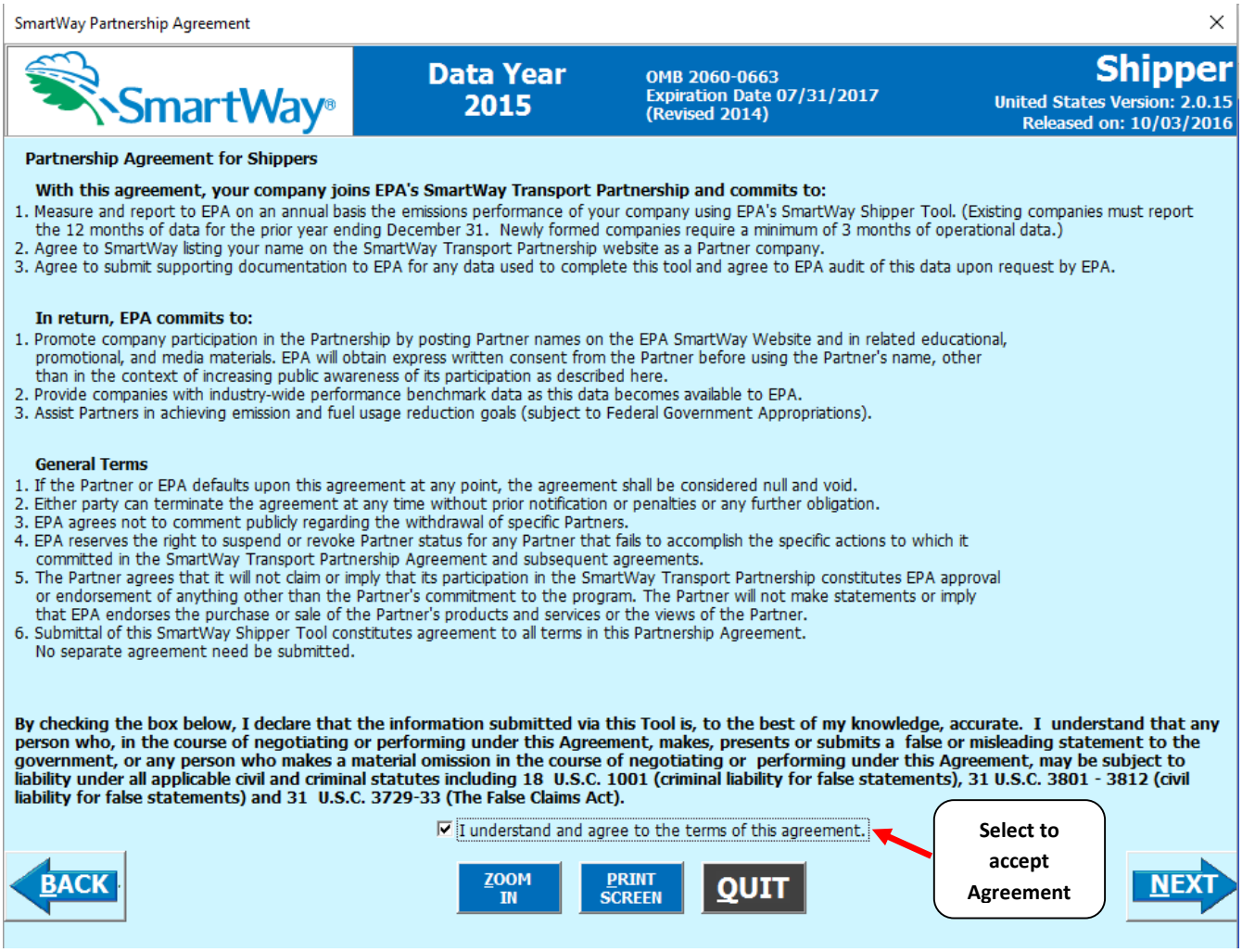


Figure 26: SmartWay Partnership Annual Agreement

Submitting a SmartWay Shipper Tool to EPA constitutes agreement to all terms in the Partnership Agreement, so please review this screen or the text version in Part 1 of this user's guide series ***before*** sending your Tool to EPA.

To reach the data entry sections of the Tool, you must agree to this language to join the SmartWay Transport Partnership by selecting the check box at the bottom of the screen.

SmartWay Shipper Tool submissions are due on an annual basis; therefore, when you submit your Tool each year, this will constitute your renewal of your Partnership Agreement. **Failure to send your annual**

Tool update will constitute a violation of the terms of the agreement and will result in immediate removal of your company/subsidiary name from the SmartWay Partner list.

Auto-Populate Screen

Before proceeding to the **Home** screen you will see the **Auto-populate Initial Steps** screen (**Figure 27**).

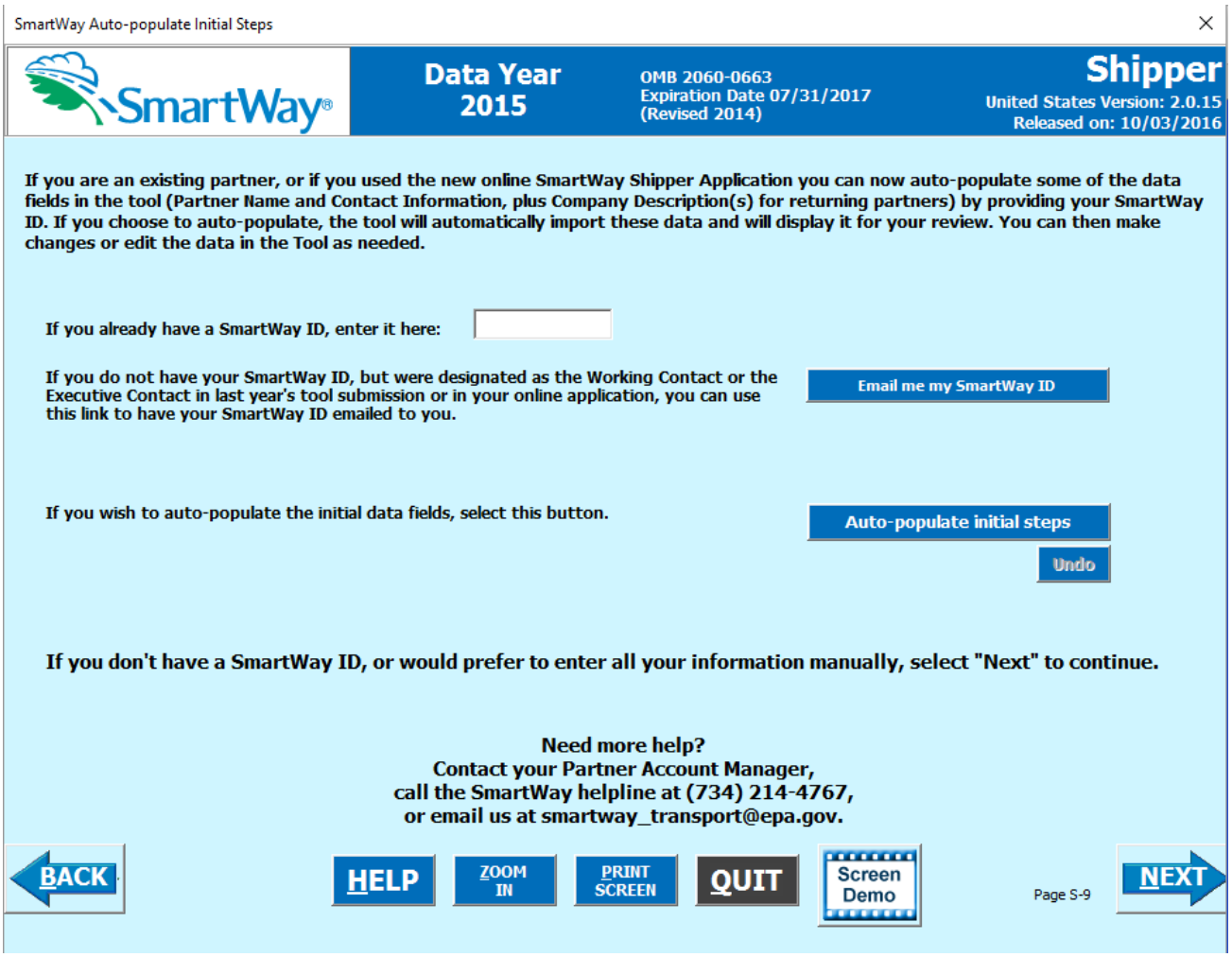


Figure 27: Auto-populate Initial Steps Screen

This screen allows you to input your SmartWay ID and automatically upload the information for the first three steps of the Tool (Partner Name, Contact Information, and Company Description(s)), based on your prior year's submittal or, if you are a new partner, information submitted through the online SmartWay Shipper Application. This option can save time and ensure naming consistency for your contacts and subsidiary companies from year to year.

If you prefer to enter this data manually, you may select

to skip this screen.

If you are the designated Working or Executive Contact for your company, but do not have your SmartWay ID, you may have it emailed to you it by selecting

. After entering your SmartWay ID select

and a summary of the data to be imported into the Tool will appear for your review. At this point you may reject the data import by selecting

.

When ready select

to be taken to the SmartWay Shipper Tool **Home** screen.

Navigating the Home Screen

All data entry screens are reached by starting on the **Home** screen.

Figure 28 displays the **Home** screen for users that have not selected the auto-populate option on the previous screen. (See page 51 to view an example **Home** screen after auto-population.)

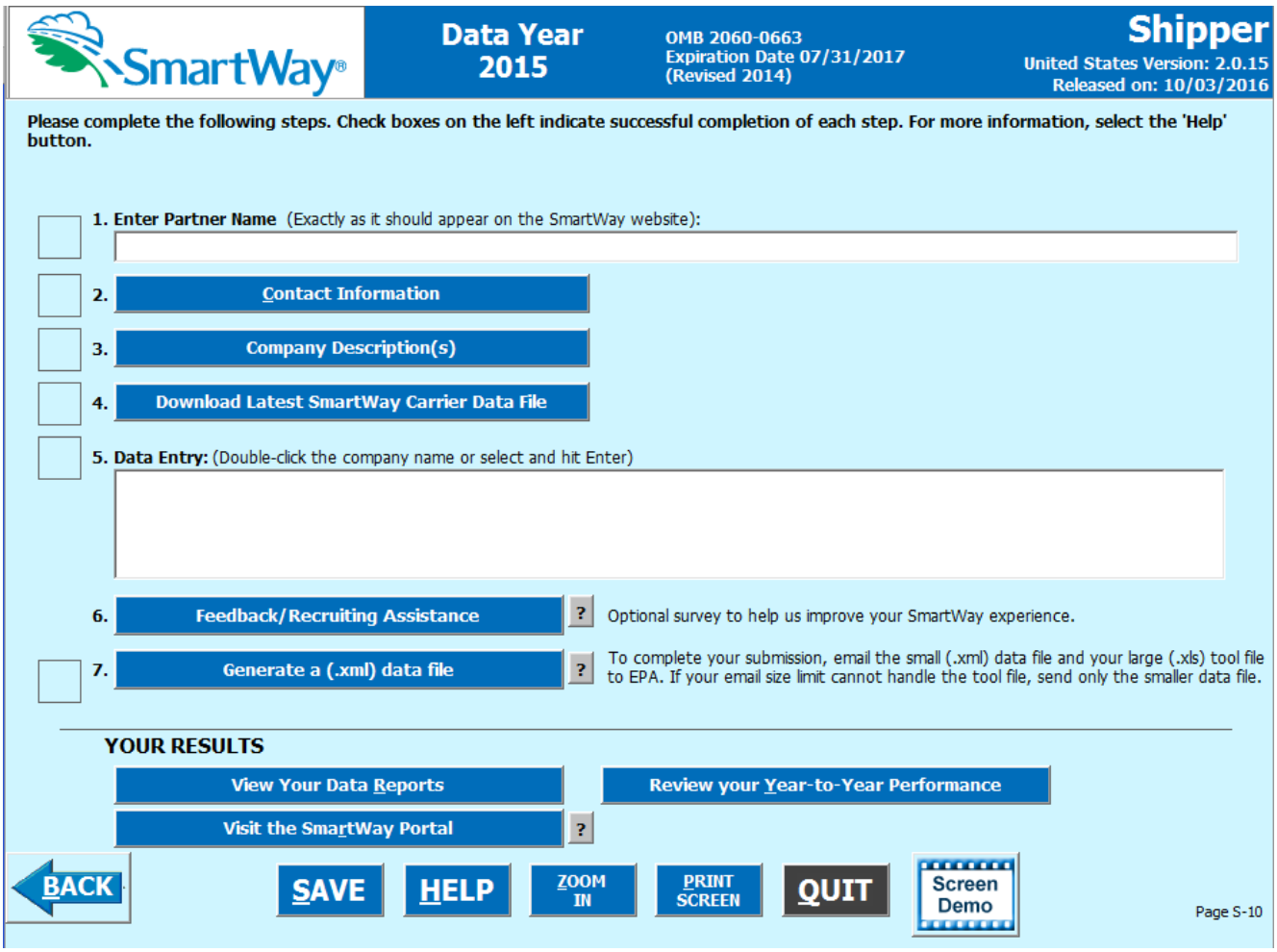


Figure 28: Main Tool Navigation or "Home" Screen

From the **Home** screen, you can:

1) Enter your Partner Name;
2) Fill out company and contact information;
3) Define your company subsidiaries;
4) Download the latest SmartWay Carrier Data File;
5) Enter data to characterize your company subsidiaries;

6) Complete a SmartWay Feedback Survey and provide EPA with recruiting assistance;
7) Create final version to submit to EPA;
8) View results of your data entry;
9) Review year-to-year comparisons; and
10) Visit the SmartWay Portal.

Sections of the Tool

There are seven primary sections on the **Home** screen. Each section links to additional screens or worksheets within the Tool which are described below. The first five sections of the **Home** screen comprise all the steps needed to complete your Shipper Tool, and you must complete them in order**.**

Section 1: **Enter Partner Name (data field):** Specify your company's Partner Name, exactly as you want it to appear on the SmartWay website.

Section 2: **Contact Information (button):** This button takes you to a screen that asks for general company contact information, a working SmartWay point of contact, and a different executive-level contact. Additional contacts may also be included.

Section 3: **Company Characterization (button)**: This button takes you to a screen that asks you to define all the shipper companies you operate. Once these companies are defined, the software will enable you to generate blank data entry forms for each company.

Section 4: **Download Latest SmartWay Carrier Data File (button)**: Select Download Latest SmartWay Carrier File. Select this button to download the latest SmartWay Carrier performance data for use with your shipper companies. You must download the latest file to ensure you use the most up to date information on SmartWay Carrier Partners.

Section 5: **Data Entry (selection list):** Selecting a company name will take you to screens asking for the carrier and activity information necessary to calculate efficiency metrics for the company.

Section 6: **(Optional) Feedback/Recruiting Assistance (button):** In this optional step you can give EPA feedback about the SmartWay Program and assist SmartWay in recruiting new carriers.

Section 7: **Generate a (.xml) data file (button):** This button creates a version of the Tool (in XML format) for you to send along with your XLS file as attachments in an e-mail to your

Partner Account Manager. Selecting the **OK** button on this screen does ***not*** automatically submit the files to EPA; you still need to submit them to EPA by attaching them in an e-mail.

The **Home** screen also contains three additional buttons that may be selected to review your data. EPA strongly encourages you to review these options closely before submitting your files.

(Optional) View Your Data Reports (button): Here you can view final summaries of your data including all data inputs, company performance summaries, an "out of range" report (summarizing inputs that are higher or lower than expected values) and a summary of comments you have entered.

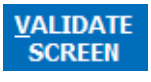
(Optional) Review Your Year-to-Year Performance (button): This option allows you to compare previous year data entries to the data entered for the current year. The comparison reports provide a useful tool for performing quality control of current data, as well as a method for evaluating trends in operation changes, activity levels and business unit performance over time.

Visit the SmartWay Portal (button): Selecting this button takes you to the SmartWay Portal.

ENTERING YOUR DATA

The first five sections of the Home screen are mandatory and MUST be completed in order. These sections comprise all the data collection steps needed to complete your SmartWay Shipper Tool. After they are completed, you can review your output and/or submit your Tool to EPA. Once you complete each mandatory step, a will appear on the left of the screen.

Validating YOUR DATA

The Shipper Tool includes range checks and other validation rules to help identify potential data entry errors and/or unusual data values. To identify potential data problems and ensure a high quality data submission, select the 

button before moving on to the next screen.

The Tool will identify any potential data problems on that screen and prompt you to modify the entry or provide a text explanation for legitimate anomalies.

Saving Your Data

You can save the data you have entered at any time by selecting the SAVE button that appears at the bottom of most screens (including the **Home** screen). EPA recommends saving your data frequently if you are entering information for large numbers of carriers.

Reviewing Your Data

Each screen within the Tool has a PRINT SCREEN button. To generate a hard copy of screen text or your data inputs, select this button. The screen will be printed on your default printer. Alternately, you can return to the **Home** screen, select the View Your Data Reports button, identify the report of interest using the Reports Menu, and print them out for review. The data reports provided by the Shipper Tool are discussed further in the **Finalize Data Entry and View Reports** section of this guide.

Submitting Data to SmartWay

Detailed instructions on properly submitting your data to EPA SmartWay is included on page 91.

PART 3: SECTION-BY-SECTION DATA ENTRY GUIDANCE

Preparing for Data Entry

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

- The official Partner Name, EXACTLY as you would like it presented on the SmartWay website
- Company contact information
- Contact details for your Working Contact
- Contact details for an Executive Contact (cannot be the same as the Working Contact)
- Shipper company name(s) and associated NAICS codes
- A comprehensive list of carriers used by your shipper companies including:
    - SmartWay carrier fleet names
    - Number and mode of non-SmartWay carriers (truck, logistics, multimodal, rail, barge, and air)
    - Carrier-specific activity, including miles and/or ton-miles hauled
- Data sources for all data to be entered
- SmartWay ID number (if this is not your first Tool submission)

This data must be provided for all of your shipper companies. This data reflects the amount of freight carried by each carrier and the distance that freight is carried.

The next five sections of this guide explain how to enter your data on each of the required screens. You must complete these sections of the **Home** screen in order.

Section 1 Data Entry: Enter Partner Name

Section 1 of the Shipper Tool asks you to "Enter Partner Name."

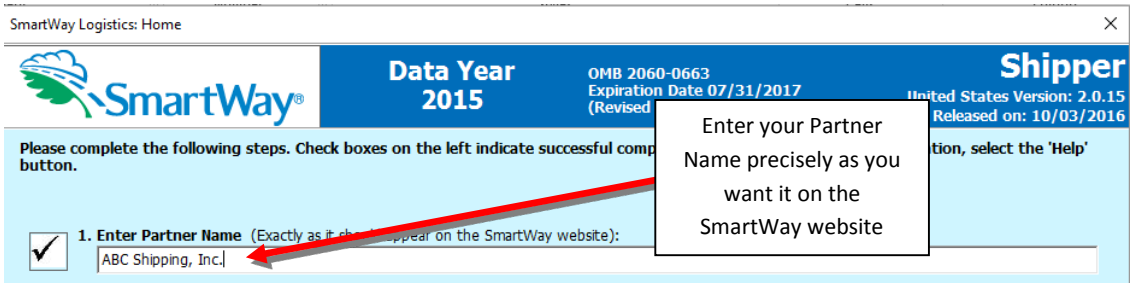


Figure 29: Field for Entry of Partner Name on Shipper Tool Home Screen

EPA publishes your company's official name on the EPA SmartWay website and in the SmartWay Carrier Data File used by the Shipper Tool. This is how your customers will know that you are a SmartWay Partner. The name that EPA lists is known as your "Partner Name" and is defined within Section 1 of the Shipper Tool.

Therefore, it is essential that you specify your company's Partner Name EXACTLY as you want it to appear on the SmartWay website.

Pay special attention to proper capitalization, abbreviations, and punctuation, and remember that EPA will use whatever you enter EXACTLY as reported.

Steps for Entering Partner Name

1. Type your Partner Name EXACTLY as you would like it to appear on the SmartWay website in the field as indicated.
2. Proceed to Section 2 to enter contact information.

Section 2 Data Entry: Enter Company and Contact Information

REFER TO **WORKSHEET #1: Company Contact Information in the Quick Start Guide, or go to** https://www.epa.gov/smartway/smartway-shipper-partner-tools-and-resources for more information on how to complete this section of the Shipper Tool.

The Contact Information section is where you identify all points of contact between EPA and your company that are related to your participation in SmartWay.

Section 2 asks you to click the blue button labeled "Contact Information."

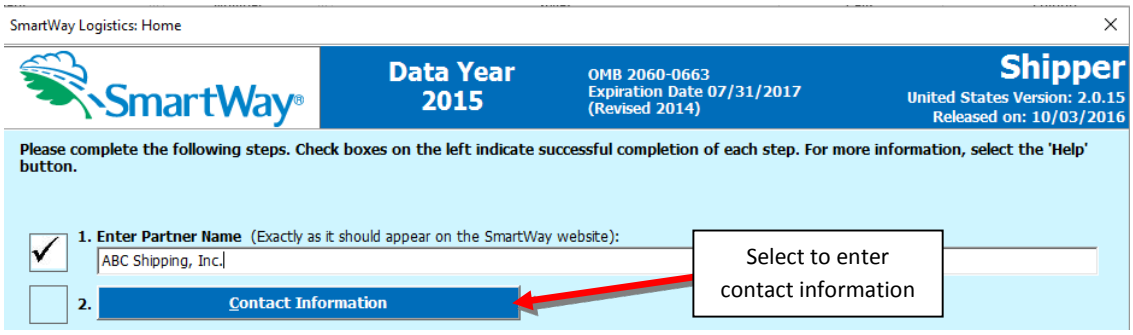


Figure 30: Select Contact Information Button on "Home" Screen

You will then be taken to the **Contact Information** screen. This screen will ask you to, provide the following information:

1. Company Information
2. Working Contact information
3. Executive Contact (Vice President or higher)
4. Other Contacts

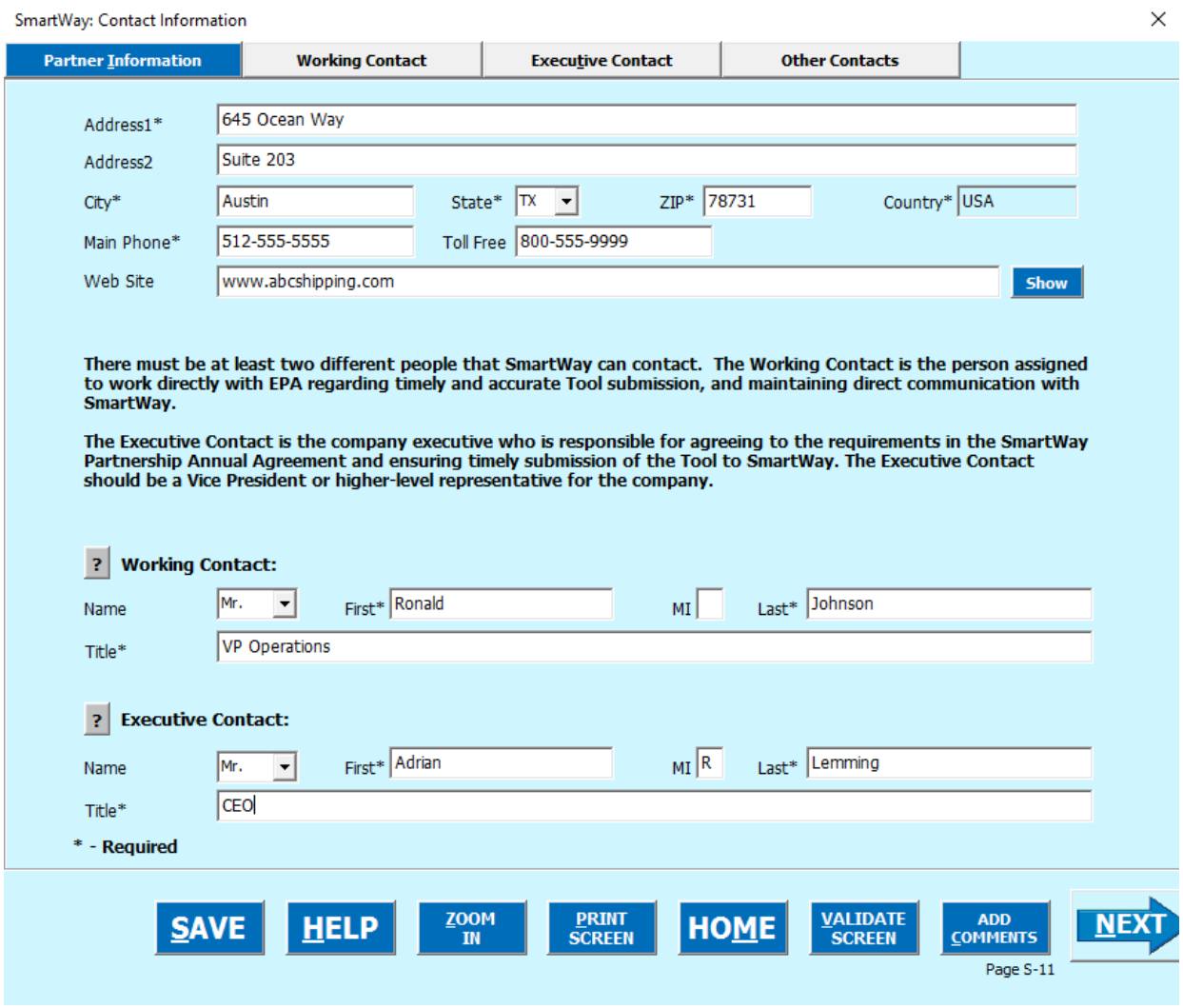


Figure 31: Entering Company and Contact Information

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

Steps for Entering Contact Information:

Under the Partner Information tab:

1. **Enter the Company data**.

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 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 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.

Under the Working Contact tab:

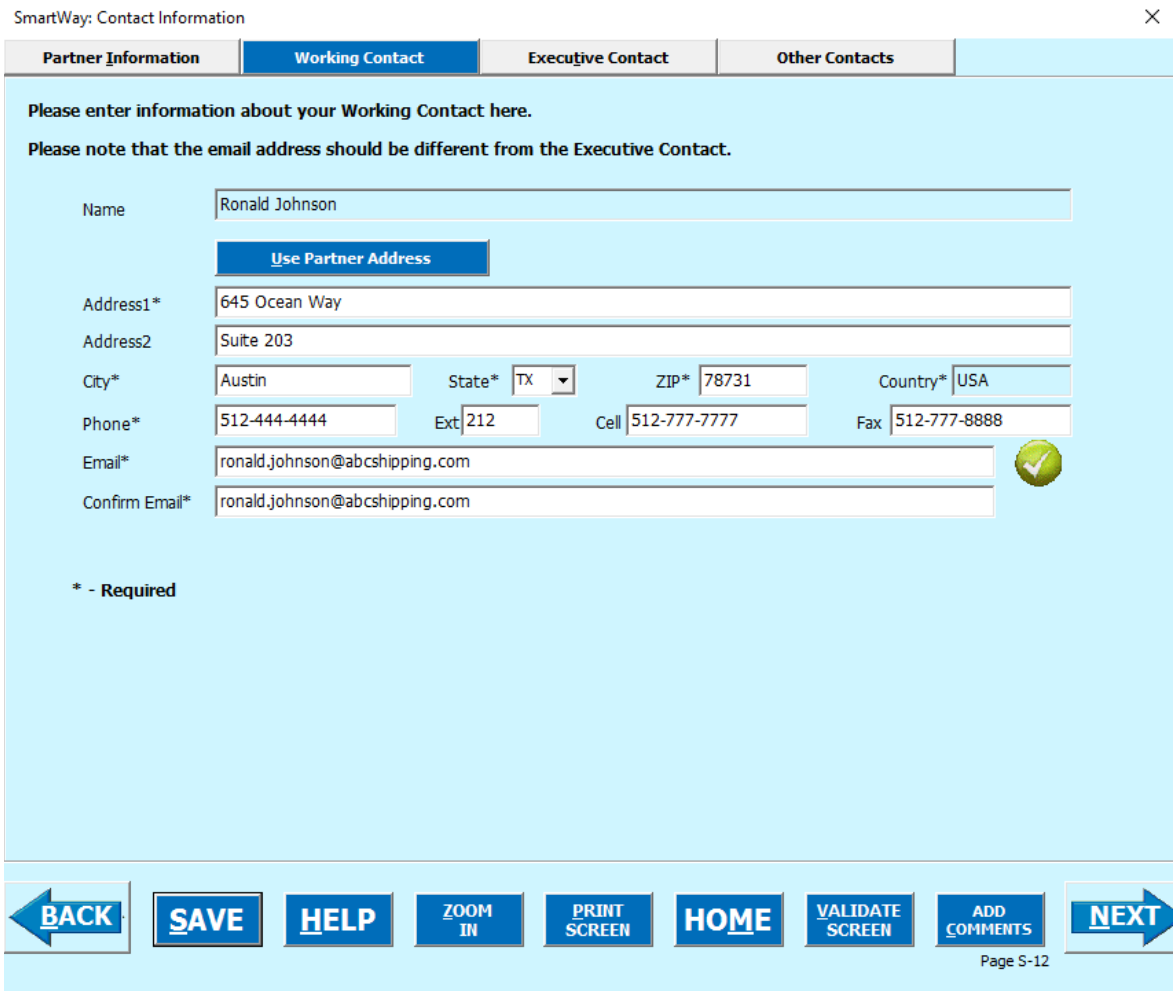


Figure 32: Working Contact Information Screen

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

Under the Executive Contact tab:

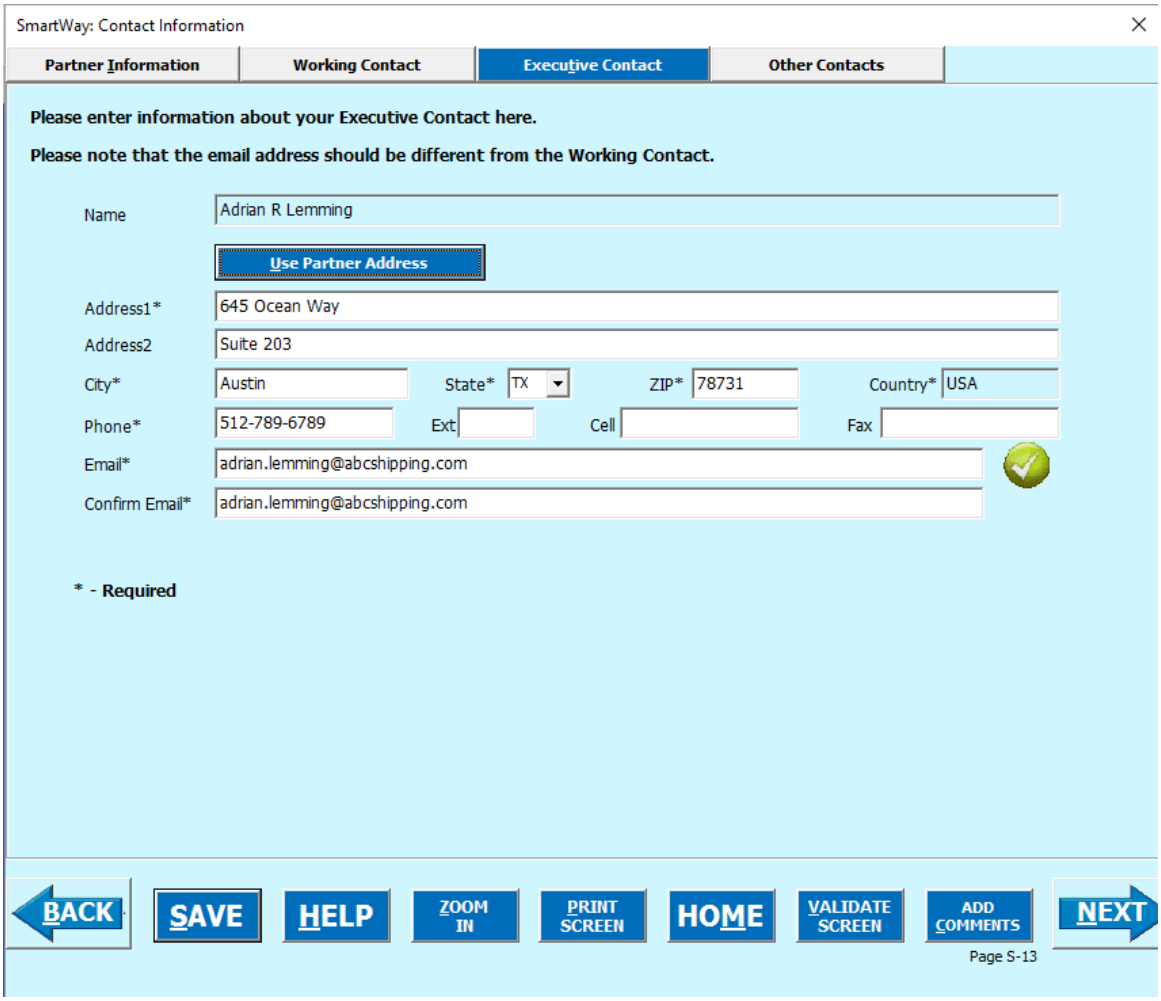


Figure 33: Executive Contact Information Screen

Enter the Executive Contact information. If the Working Contact shares the same address as the company, you may select the Use Partner Address button to auto-populate the address section of this record.

Under the Other Contacts tab:

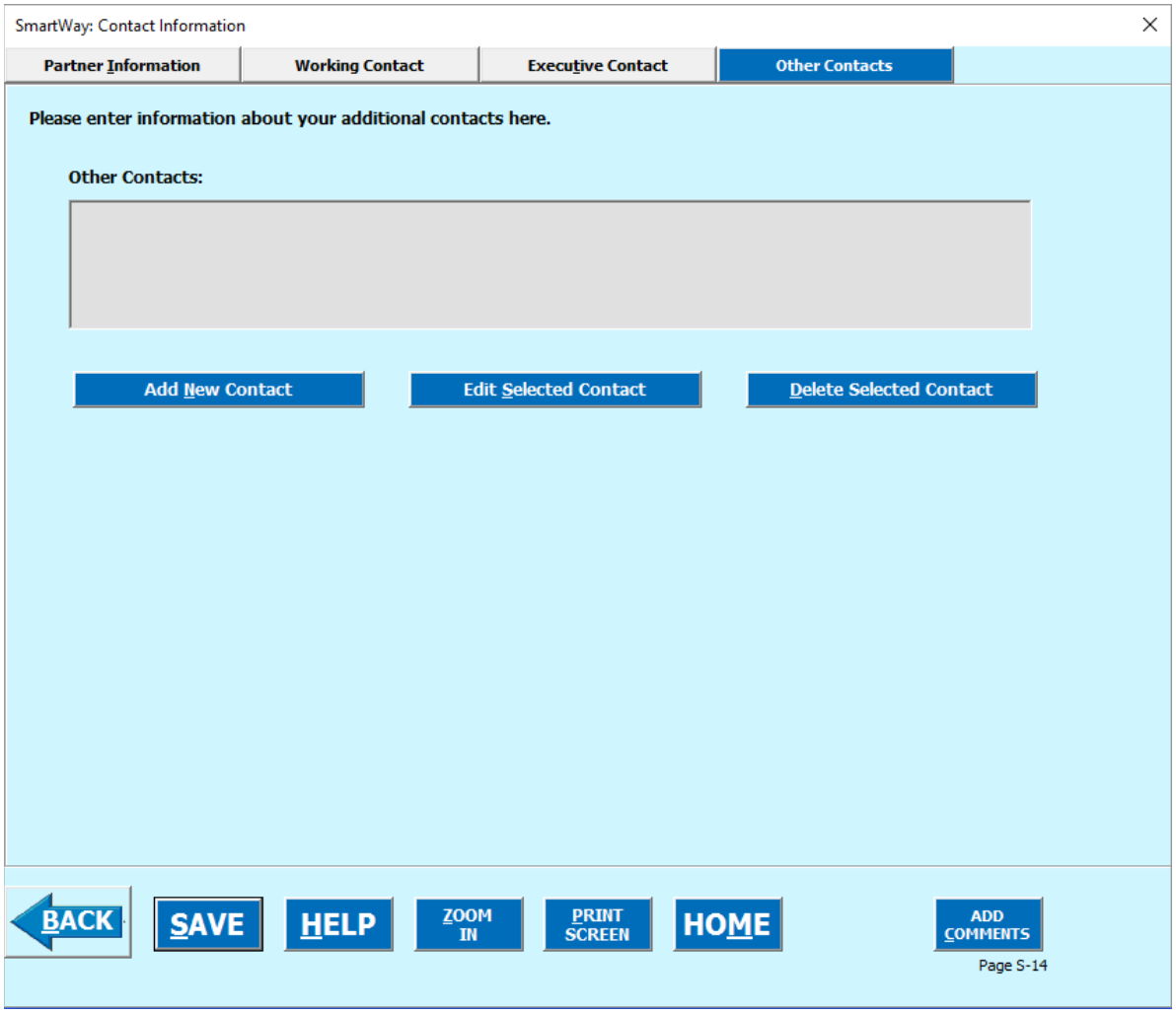


Figure 34: Other Contact Information Screen

1. Enter Other Contacts (if applicable) by selecting the Add New Contact button.

2. Enter the first Other Contact then select OK when done.

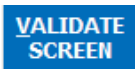
NOTE: You must supply at least two unique contacts with separate email addresses on the contact screen to ensure EPA has access to at least two people for Tool submission follow-up.

NOTE: In some cases, companies with multiple subsidiaries 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

button. You can remove an existing contact by highlighting the contact and then selecting

.

To make sure you have filled out all required contact information, select 

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.

4. Next select the

button to return to the **Home** screen and go to Step 3.

Section 3 Data Entry: Shipper Company Characterization

The next section of the Tool is the "Company Description(s)" section. This is the section where you will define your companies.

The Shipper Tool allows you to assess your operations by defining multiple companies. If you operate more than one separate and distinct company you may wish to track each company separately.

On the **Home** screen select the Company Description(s) button (**Figure 35**) to display the **Company Description(s)** screen. This is the section where you will define the various components of your shipper companies.

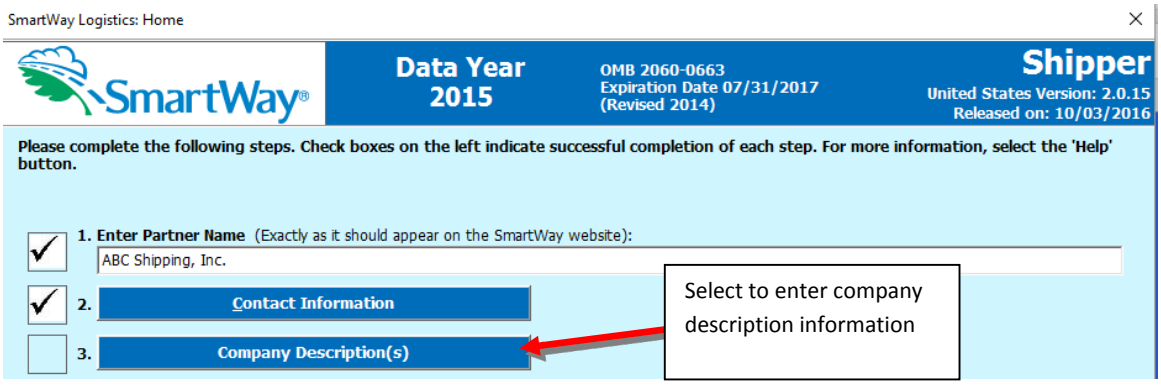


Figure 35: Selecting Shipper Company Description(s) on Home Screen

The steps required to complete the **Company Description(s)** screen are described below.

"Company Description(s)" Screen Overview

The **Company Description(s)** screen is shown below:

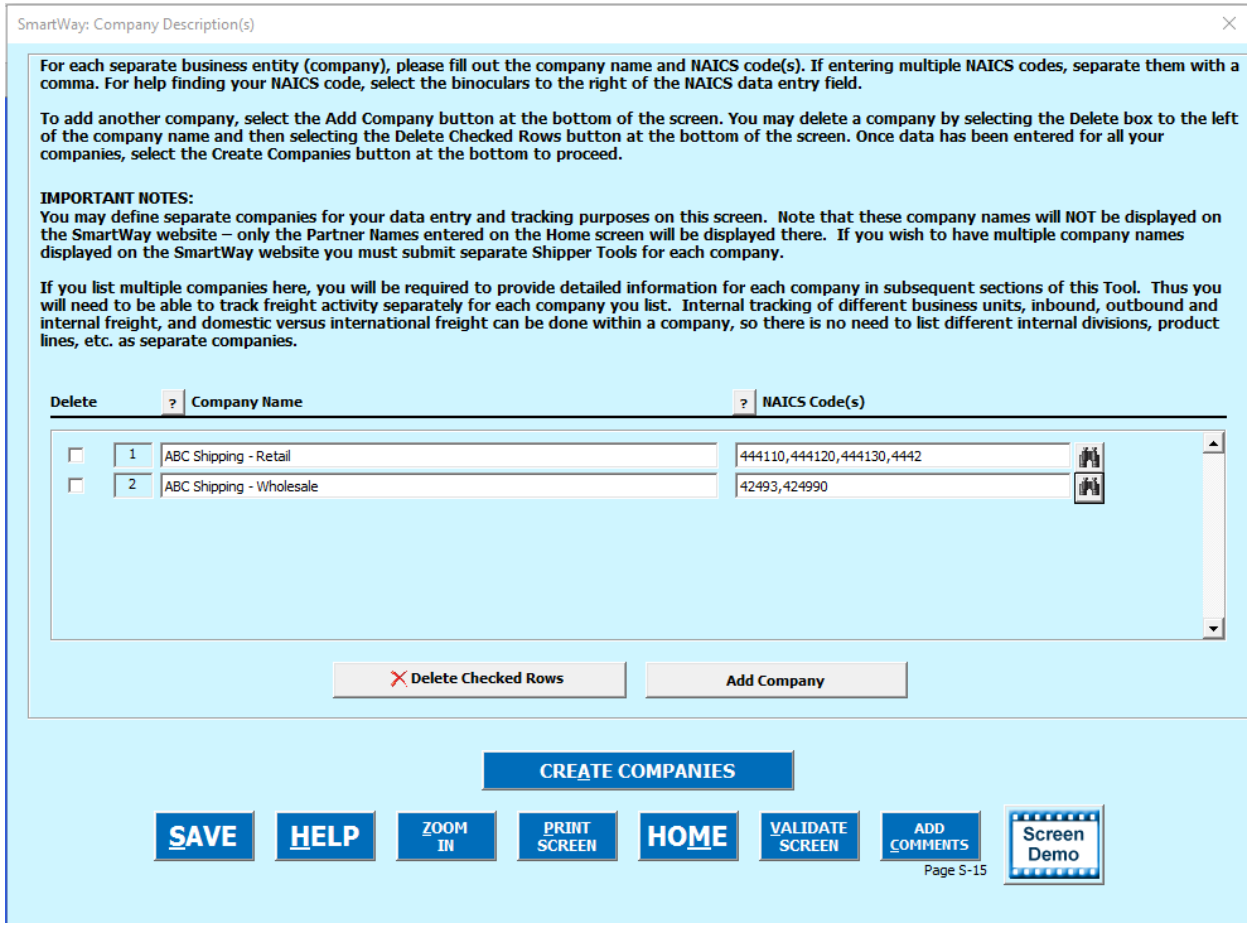


Figure 36: Shipping Company Subsidiary Description(s)

This screen 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; i.e., one line. 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.

REFER TO **WORKSHEET #2: Shipping Company Characterization** in the **Quick Start Guide**, or go to https://www.epa.gov/smartway/smartway-shipper-partner-tools-and-resources for more information on how to complete this section of the Shipper Tool.

- **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.

  Note: Detailed information on NAICS codes can be found at http://www.census.gov/eos/www/naics/.

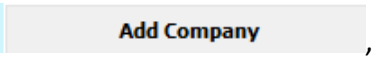
  Alternatively, you may contact your accountant who can locate your NAICS code:

  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.

  NOTE: ***SmartWay highly recommends developing your list of companies beforehand by using an organization chart or perhaps a customer interface webpage. 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.***

Adding Companies to Your List of Shipper Companies

To enter a shipper company, select the

button and fill in the Company Name and NAICS Code, as described above. At this point you may add another shipper company by selecting 

, or you may choose to delete a company, add notes, or finish data entry on the company characterization screen by following the instructions below.

Deleting Companies from Your List of Shipper Companies

To delete a company, select the box next to the company you wish to delete, and then select the Delete Checked Rows button. Then you may add a company as described above or complete your shipper company characterization by selecting CREATE COMPANIES.

Adding Comments/Notes

Creating useful comments assists SmartWay Tool reviewers in approving your Tool as quickly as possible. Your comments help reviewers understand your company operations. Any details that you can provide related to your operations may speed up approval time.

NOTE: *Please consider using the* ADD COMMENTS *button located at the bottom right of the screen. This allows you to enter notes about the collection process, your assumptions and methods, data, or other information. These details could prove useful for your reviewer when you or someone else fills out the Tool next year. If comments have been added for a particular screen, the button will now read* VIEW/ADD COMMENTS*, indicating to your reviewer that there are comments to be read.*

A HELP button is also available should you need assistance. You will also notice small gray icons with question marks [?] displayed throughout the Tool. When selected, these icons provide additional information about specific items located on the screen.

Finishing Your Shipper Company Description(s)

Once you are sure you have entered your information correctly for each of your shipper companies, you may select the CREATE COMPANIES button at the bottom of the screen. Before proceeding to the next screen however, a popup screen will appear asking you to verify your company name(s) (**Figure 37)**.

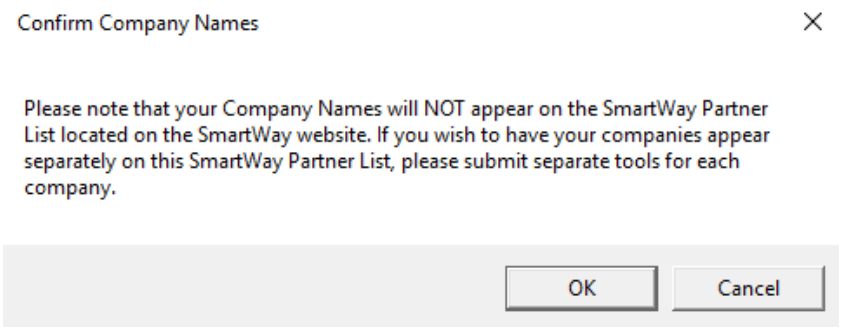


Figure 37: Shipper Company Name Verification Message

Select OK to proceed, or Cancel to revise your company name(s).

If, at a point later in the data entry process, you realize that you need to add a new company or delete an existing company, you can return to the **Company Description(s)** screen. You can add or delete companies in the same way as described above, being sure to select the CREATE COMPANIES button at the end of the process. When you select this button, the system will create blank data entry forms only for the new company/companies you have added; any existing companies will not be affected. Note that, if you are deleting a company for which you have already generated data entry forms, the system will prompt you to confirm the deletion.

Selecting HOME will take you back to the **Home** screen (see **Figure 35**). At this point you may define another shipper company following the same process, or proceed to **Step 4** on the **Home** screen.

Auto-Population Option

If you used the auto-populate option to import the data for the initial steps, the **Home** screen will resemble the example shown below.

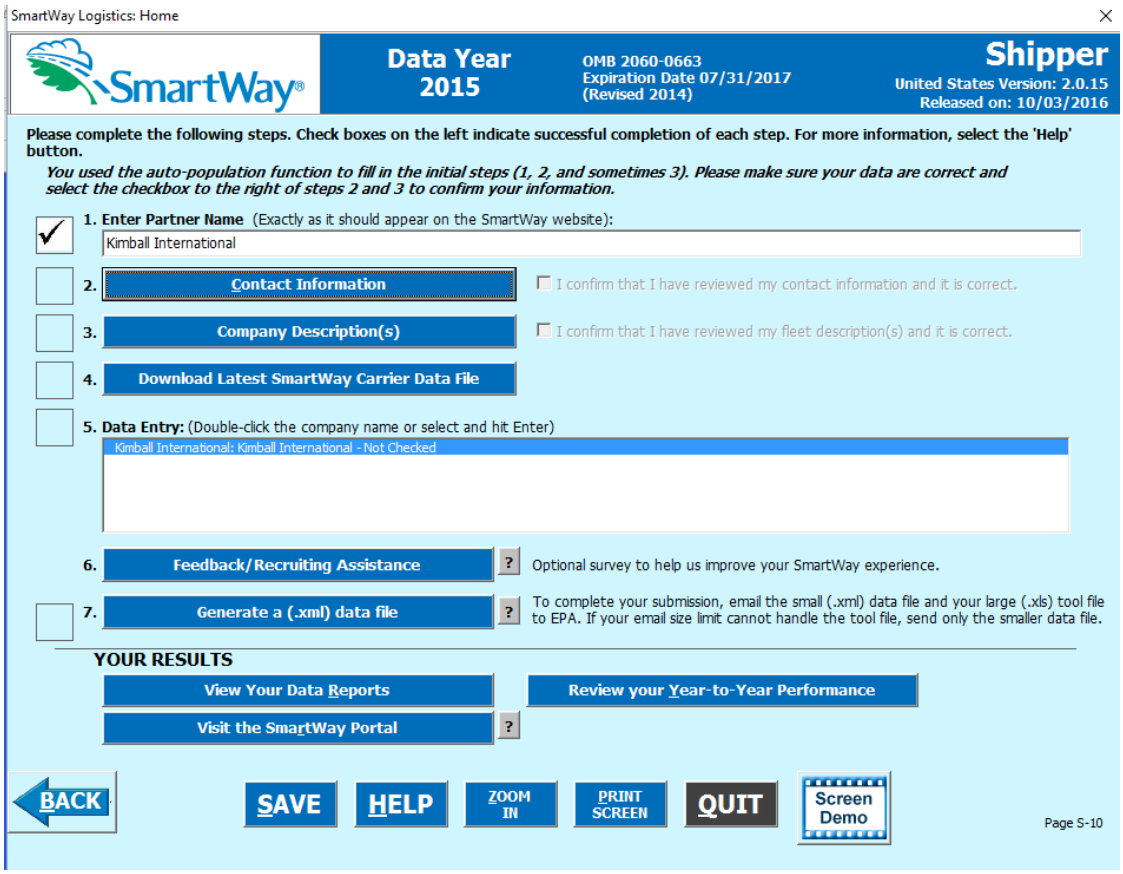


Figure 38: Example Home Screen after Using Auto-populate Function

First review the Partner Name as it appears on the screen, revising it as necessary.

Next, you MUST review the populated **Contact Information** and **Company Description(s)** screens, and then select the boxes to the right on the **Home** screen confirming the accuracy of the data. These boxes will not become active until you have opened the **Contact** and **Company Description(s)** screens for review.

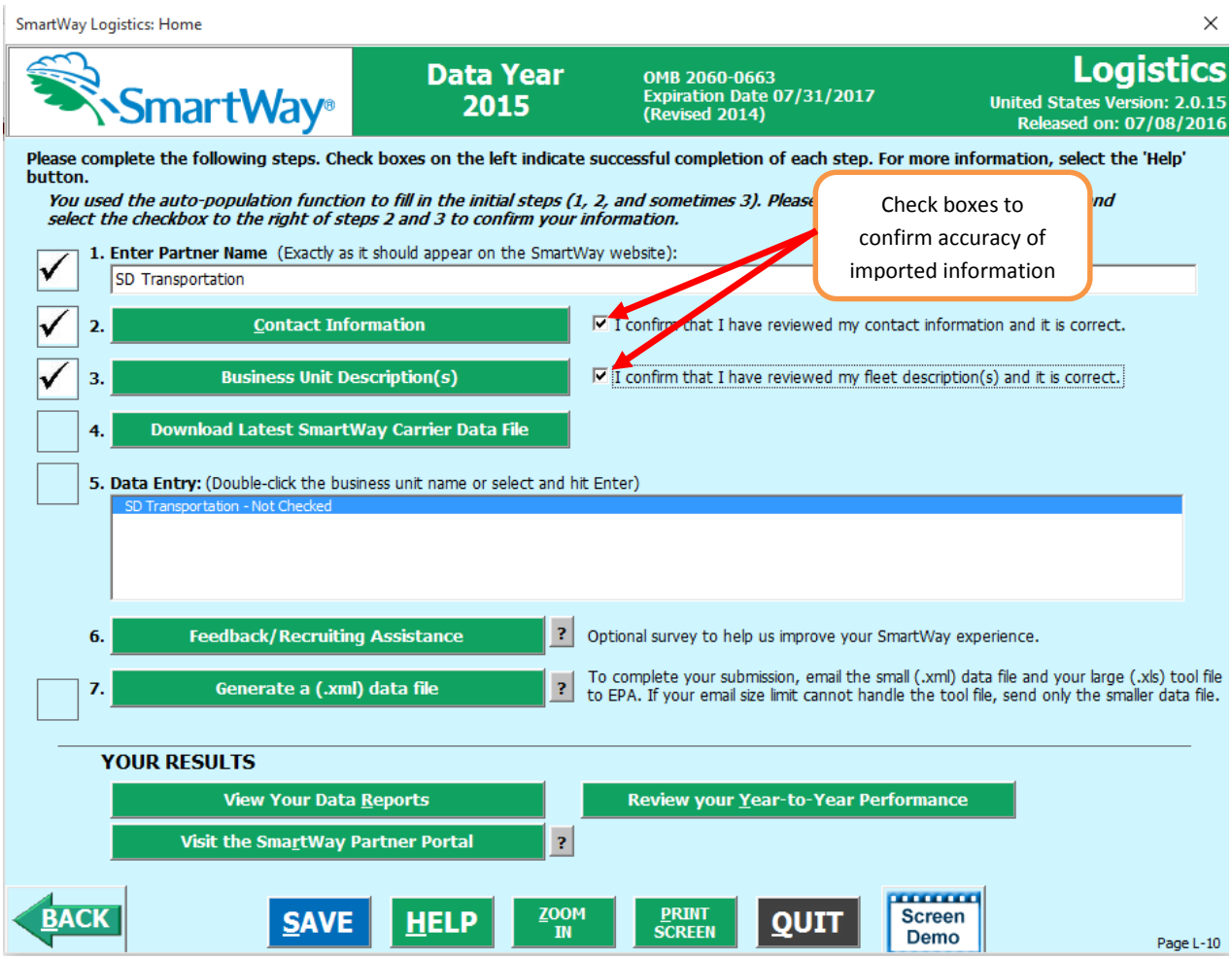


Figure 39: Example Home Screen Using Auto-populate – After Review of Steps 1 – 3

Once the confirmation boxes are checked you may proceed to Step 4.

Section 4: Download Latest SmartWay 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, as shown in **Figure 40**. You will not be able to input the required shipper company data in Step 5 without this file. *You must have an active Internet connection to perform this step.*

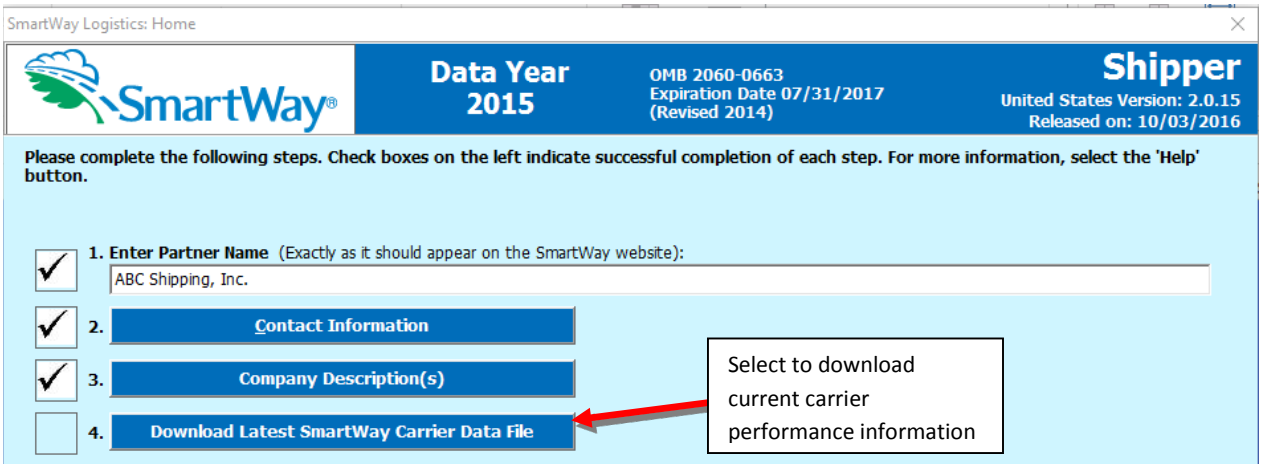


Figure 40: Downloading Latest SmartWay Carrier Data File

After selecting the button, the carrier file will be downloaded to your computer and the date of the file will be displayed to the right on the **Home** screen, as shown in **Figure 41**.

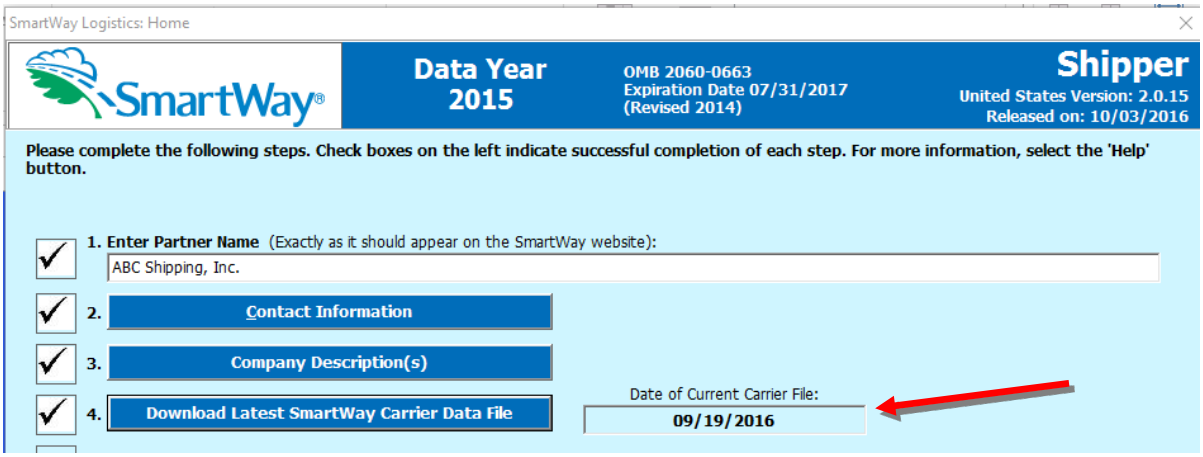


Figure 41: Home Screen Indicating Date of Current Carrier File Downloaded

If you already have a SmartWay Carrier Data File located in the same folder as the Shipper Tool (perhaps used to create last year's submittal), the Tool will notify you before downloading the

new file. If you would like to retain a copy of the old file for your records you can either rename the old file or move it to another folder before downloading the latest file. Otherwise you can download the new carrier file directly, over-writing the old file.

You are now ready to go on to selecting carriers and entering activity data for each company.

Section 5: Select Company for Data Entry (providing carrier activity information for your companies)

Now that you have defined your shipper companies, in Section 5 of the Shipper Tool, you will be asked to provide additional information for EACH company separately.

"Company Status Review" Overview

Once you have returned to the **Home** screen, you will see all of your shipper companies listed in the window below item # 5: **Data Entry**.

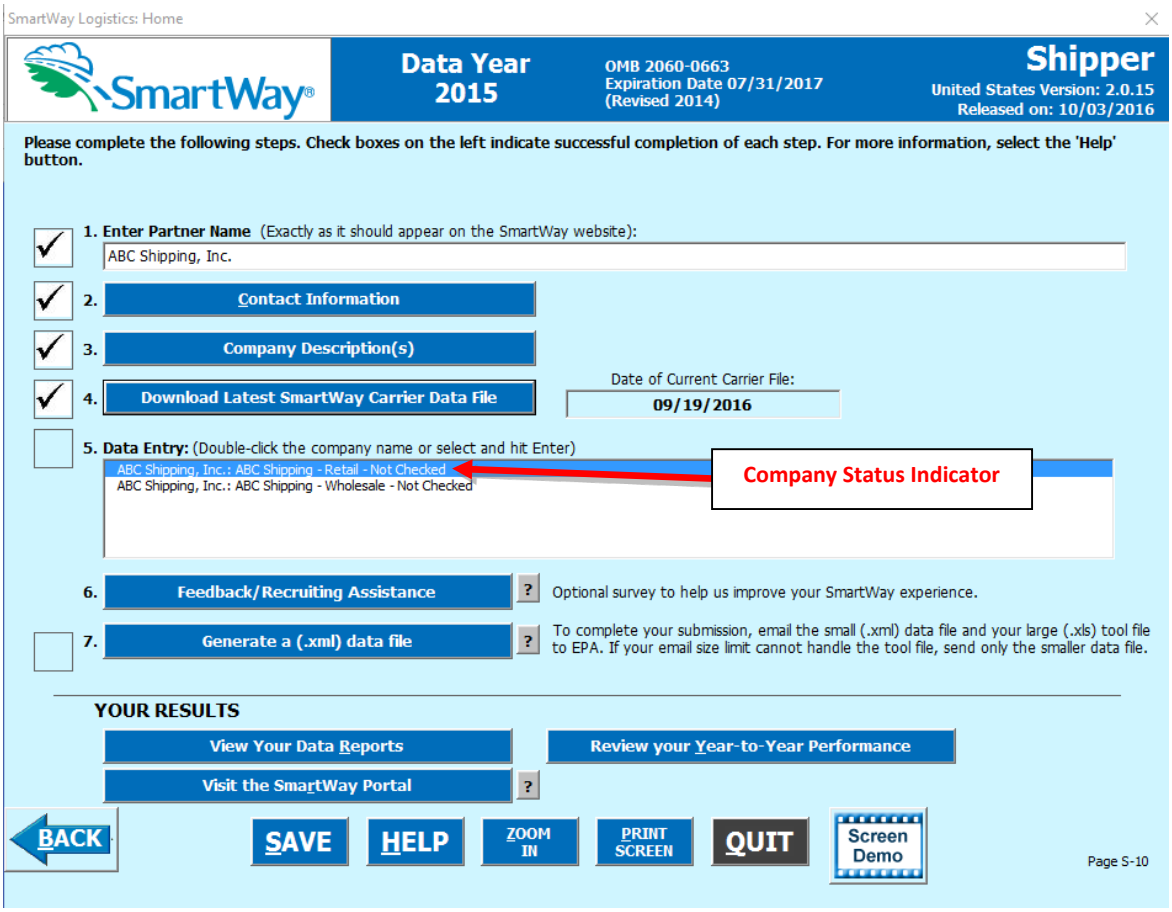


Figure 42: Home Screen with Shipper Company Status Prior to Carrier Activity Data Entry

A status message appears after each company name, indicating whether or not the data entry for that company is complete. There are three possible status messages:

- **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 messages above, you may see one of two qualifiers: “Errors” or “Warnings.”

- **Errors** prevent you from generating internal metrics reports (under the “View Your Data Reports” section of the Tool), and **must be addressed** before you can submit your Tool to EPA. However, with errors, you will be able to use the **Review Year-to-Year Comparison** report to help identify missing data or otherwise clarify uncertainties by referring to previous year submissions.
- **Warnings** will still allow you to run internal metrics reports 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 of addressing errors and warnings is described for the various input screens in the following sections.

Selecting a Company to Review:

1. Using your mouse, select and highlight the name of the company for which you wish to enter data.
2. Double click the name; you will then be taken to the **Awards/Data Entry Selection** screen for that company.

SmartWay Awards Screen

The **SmartWay Awards** tab provides information regarding qualification for the SmartWay Excellence Awards Program.

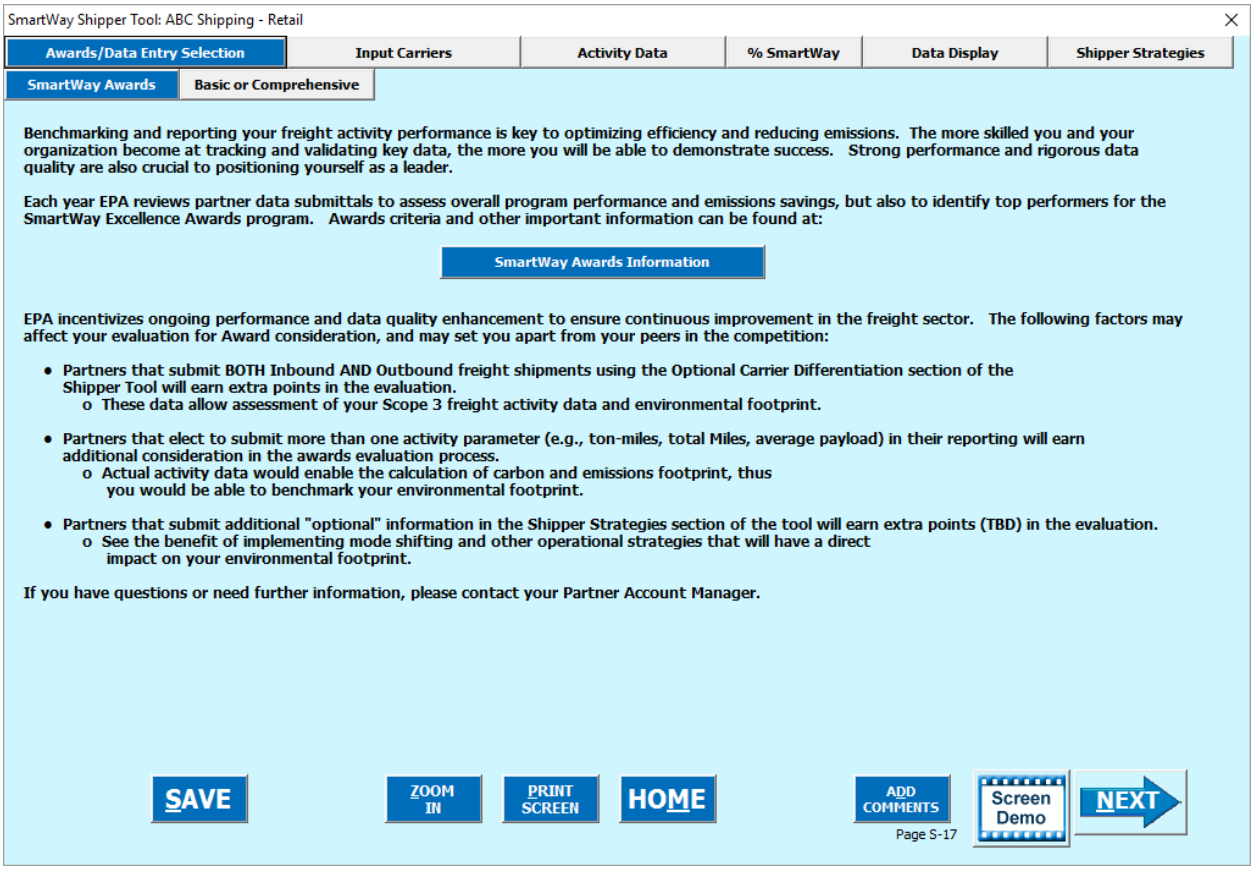


Figure 43: SmartWay Awards Screen

Basic or Comprehensive Screen

The second tab under the Awards/Data Entry Selection section is the **Basic or Comprehensive** tab (**Figure 44**).

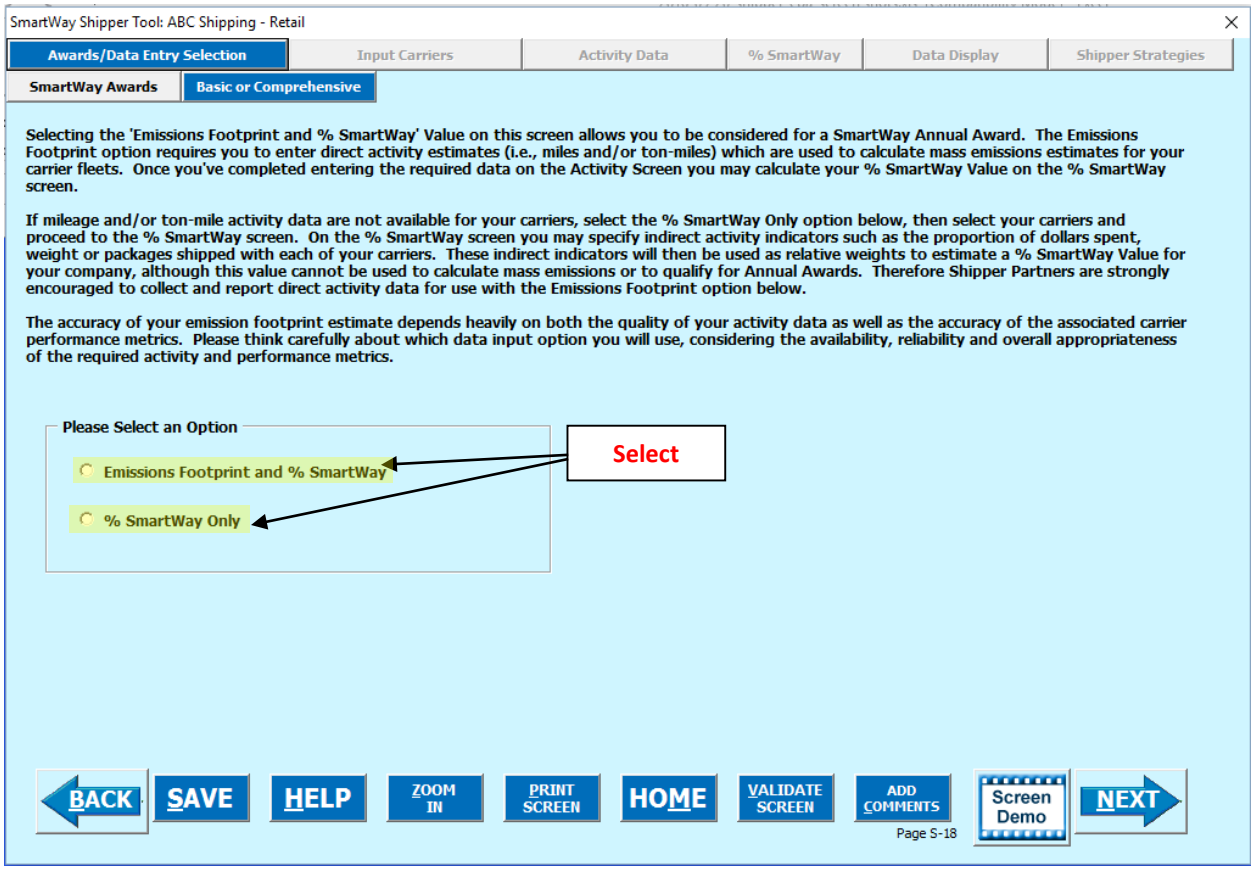


Figure 44: Basic or Comprehensive Screen

Two options are available for assessing the performance of the carriers used by your company on the **Basic or Comprehensive** screen. Selecting **Emissions Footprint and % SmartWay** (Comprehensive option) allows you to calculate the mass emissions associated with your company, as well as to determine your **% SmartWay Value** based on percent of ton-miles or miles traveled, or other activity measure attributable to SmartWay Carrier Partners (we will use the name "SmartWay Carriers" to describe this group of Partners). The **Emissions Footprint and % SmartWay** selection also allows you to determine emission reductions from mileage- or weight-reducing strategies employed by your company, and to estimate the change in emissions due to various mode shifts.

Selecting **% SmartWay Only** (Basic option) allows you to estimate the relative percentage of your carriers that are SmartWay Carriers, but does not allow you to estimate mass emissions.

If you select the **Emission Footprint and % SmartWay** option then you will be required to enter direct activity estimates (i.e., miles and ton-miles) which are used to calculate mass emissions estimates for your carriers. Once you've entered the required data on the **Activity Data** screen you will calculate your **% SmartWay Value** on the **% SmartWay** screen. In this case, your %

SmartWay Value will be used to help determine if you qualify for a SmartWay Excellence Award.

If you do not have total mileage and/or ton-mile estimates available for each carrier you have hired in the reporting year, select the **% SmartWay Only** option. This will allow you to calculate your **% SmartWay Value** based on the weighted utilization of your carrier selections (using % spent, % weight, % packages, or % custom). However, note that the **Shipper Strategies** and **Modal Shift** screens will be unavailable, and you will be ineligible for the SmartWay Excellence Awards.

After you make your selection, use the

button to proceed to the **Input Carriers** Screens.

Completing the Carrier Selection Screens

Overview

The first screen you encounter under the **Input Carriers** tab is the **Instructions** screen, which describes the two basic methods of data input to specify your fleets in detail (**Figure 45**). After carefully reading the instructions, you must check the box that appears on the **Instructions** screen acknowledging that you have read and understood the carrier data input instructions before proceeding to the next screen.

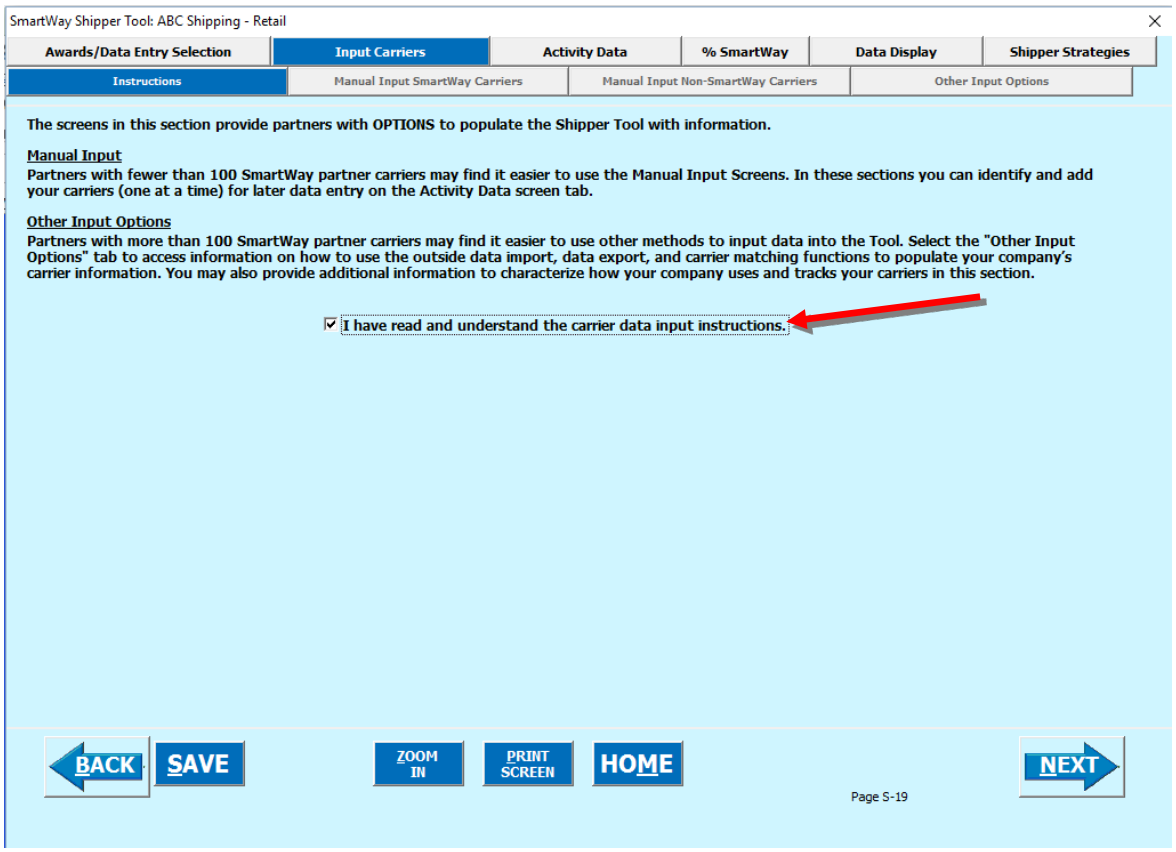
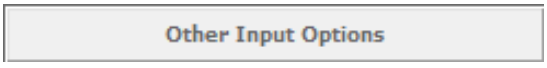


Figure 45: Input Carriers Instructions Screen

After reading the **Instructions** screen, you will need to identify the carriers used by each shipper company. Three options are available for identifying your carriers. If you have a large number of carriers (e.g., a large 3PL with 100 or more carriers), you may wish to develop your carrier details separately and upload your data in a single file using the **Outside Data Import** method available under the 

tab. (You may also use the new carrier matching function contained in the SmartWay portal to match your carriers with those in the SmartWay database before importing your data if you wish, as described below.) Alternatively, if your shipper company has a limited number of carriers, you may choose to specify your carriers one at a time using the **Manual Input SmartWay Carriers Entry** method. These methods are described in detail in the **Data Import/Export Guide**.

Regardless of the method you choose, you will need to identify the mode of transport for the carrier. Six carrier mode selections are available, including:

- Rail
- Truck
- Multimodal
- Logistics

- Barge
- Air

(Note: By selecting “All” on the Tool’s **Manual Input SmartWay Carriers** screen, you may search across all carriers, regardless of mode.)

Next, you may also identify a SmartWay Category for the Truck mode. Truck SmartWay Categories include:

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

SmartWay Category selections are not currently available for other modes but may be added in the future. (Note: Multimodal selections list “Multimodal” as the SmartWay Category.)

After identifying the mode (and SmartWay Category, if available), you should identify each carrier’s specific fleet name, as listed in the SmartWay Carrier Data file, along with any associated SCACs, DOT numbers and MCNs, and NSCs. The Carrier Data File must be downloaded from the SmartWay website by selecting the button under Step 4 on the Shipper Tool **Home** screen. This data can then be viewed on the **Manual Input SmartWay Carriers** screen or offline using Microsoft® Excel.

In certain cases, a carrier may have multiple fleets associated with its operations. The **Manual Input SmartWay Carriers** screen also allows you to filter carrier fleets by SCAC, MCN, DOT number, NSC, and/or address if needed.

Carrier Matching: Some companies have had difficulty matching the carrier information in their databases with the data that carriers submit to SmartWay. Therefore a carrier matching function has been added this year that enables partners to identify which of their current carriers are SmartWay Partners.

You may add company-specific carrier identification information and/or carrier contact information into your CSV import file. Once you have created your file you can use the new matching function located in the SmartWay Portal to identify and match which of your carriers are SmartWay carriers. In your first reporting year you can match your carrier data using identification fields including carrier name, address, phone number, SCAC code, MCN code, NSC code, and/or DOT number.

You can also match your carrier data with the SmartWay data by including your own unique identification data in the Carrier CSV. For example, if you have a unique Carrier ID for each of your carriers, include that in the Carrier CSV this year so that this information is stored in the SmartWay database. Then in subsequent years, when you include your unique identifier in the Carrier CSV file, you can use the SmartWay portal to find your carriers for the current reporting year. Your company-specific match data is not shared with other companies.

The steps to use the carrier matching function are described on the **Match My Carriers** screen within the Shipper Tool. **Follow the instructions in the "Guide to Importing Carrier Data Using the Outside Data Import Function - 2015 Data Year" for detailed guidance.**

After identifying your SmartWay carriers, you must then go to the **Manual Input Non-SmartWay Carriers** screen to enter the number of non-SmartWay carriers within the current shipper company. *Only include carriers used during the reporting year.* Enter the total number of non-SmartWay partners within the current fleet and check the box to confirm that all the non-SmartWay carriers in this shipper company have been added. If this company has non-SmartWay carriers, select the carrier mode(s) the non-SmartWay carrier(s) belong to.

The following describes the detailed steps for identifying the carriers used for your shipper companies.

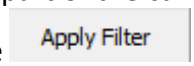
Steps for Inputting Carriers for a Shipper Company:

1. On the **Home** screen, select and highlight the name of the company for which you wish to enter data.
2. Double click the name; you will then be taken to the **Input Carriers** data entry screen for that company.
3. You will see the **Instructions** screen; read the instructions and Check the box next to the words "I have read and understand the carrier data input instructions" when you have read them.
4. You must now decide how you will enter your data; i.e., via manual input or through the outside data import function. Refer to the "Logistics, Multimodal and Shipper Partner 2.0.15 Tools: Guide to Importing Carrier Data Using the Outside Data Import Function - 2015 Data Year" on the shipper page of the SmartWay website for more information about using the Outside Data Import function to enter your carriers.

   Otherwise, proceed to the

tab.

Steps for Completing the Manual Input SmartWay Carriers Tab:

1. To select carriers manually, you can enter all or part of the carrier's name directly into the "Carrier Name" input box and the select the 

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 address 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. Six carrier mode selections are available, including "All," "Rail," "Truck," "Multimodal," "Barge," "Air," and "Logistics."

- Note that by selecting "All", you may search across all carriers, regardless of mode.
- Next, if you select the Truck mode, you may also specify a SmartWay Category. Truck SmartWay Categories include auto carrier, dray, expedited, flatbed, heavy/bulk, LTL dry van, mixed, moving, package, refrigerated, specialized, tanker, and TL dry van.

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.

4. Once you have successfully identified your carriers using the **Manual Entry** method, proceed to the Manual Input Non-SmartWay Carriers tab.

Steps for Completing the Manual Input Non-SmartWay Carriers Tab:

1. Enter the total number of Non-SmartWay Carriers for the company into the data field.
2. Check the box to confirm that you have added all of the Non-SmartWay Carriers for your company.
3. 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 carriers, select the appropriate carrier type (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).

Note – All rail carriers are treated identically in the Shipper Tool, assuming industry average performance levels. If your company uses rail carriers please choose the "Rail Modal Average" selection on the Manual Input SmartWay Carriers screen.

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

Optional Carrier Differentiation Screen

If you wish, after specifying (and importing if necessary) all of your SmartWay and Non-SmartWay carriers, you may provide additional information to help you reflect how your company uses and tracks its carriers. This screen allows you to differentiate your carriers' activity based on a variety of characteristics, including the following optional "tags":

- Business Unit Identifier

- ID Code
- Inbound/Outbound/Internal
- Domestic/International
- Internal Shipper Segment 1
- Internal Shipper Segment 2

An example **Optional Carrier Differentiation** screen is provided below (**Figure 46**).

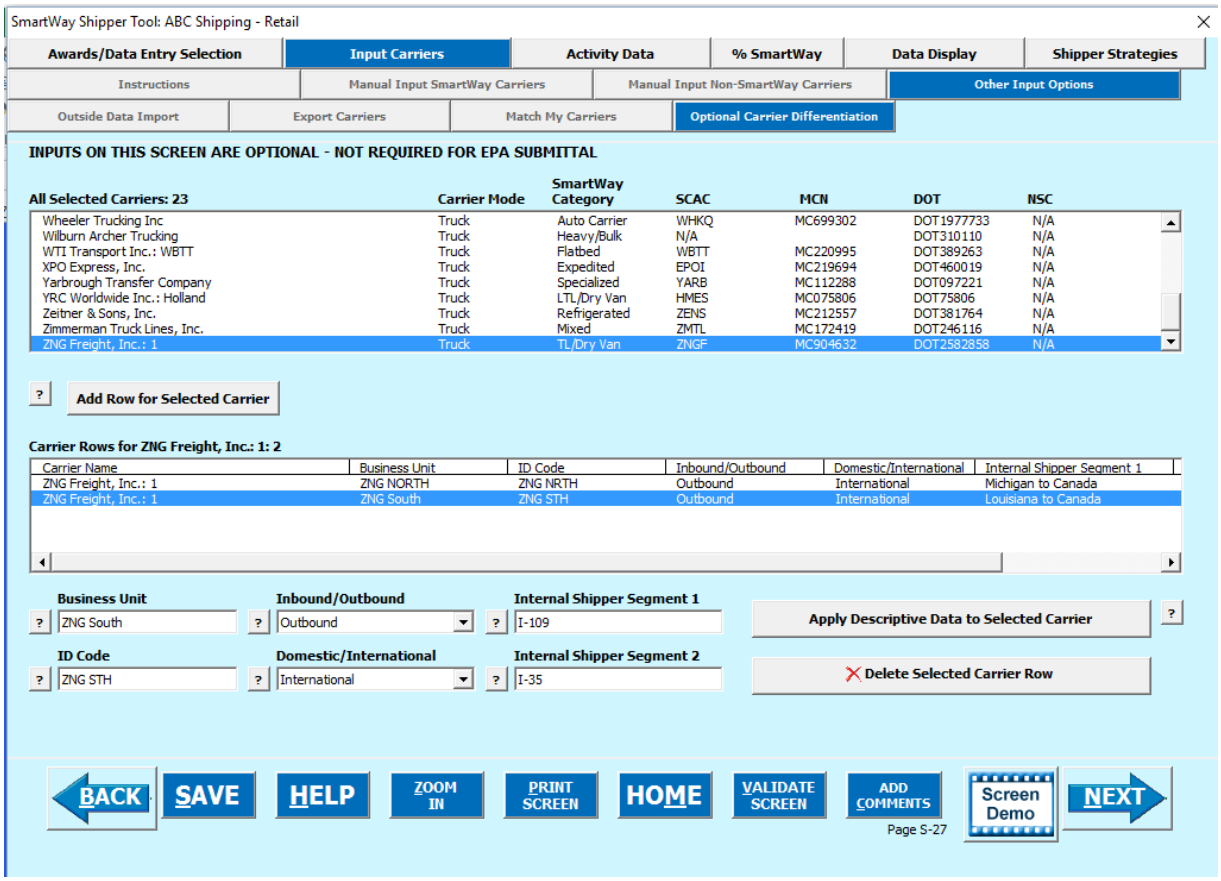


Figure 46: Optional Carrier Differentiation Screen

If you do not wish to provide such information you may proceed directly to the **Activity Data** screen.

If you wish to provide additional information, look near the top of the Optional Carrier Differentiation screen for the complete list of carrier names you have specified up to this point, either manually or through data import, along with carrier information such as mode, SmartWay Category, and SCAC/MCN/DOT/NSC. In order to provide additional information for a given carrier, first highlight the carrier name in the upper list box and you will see the carrier name appear in the lower list box. At this point you may enter one or more tags for the

selected carrier. Once you enter the desired information, select the

button at the lower right to associate the tag information with the carrier. If you wish to change the tag information, simply highlight the carrier name in the lower list box and repeat the process.

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

button immediately below the box. You will then see an additional row appear in the lower list box with the same carrier name. Enter the different tag combinations for each row as described above, and repeat the process as many times as necessary. Rows in the lower text box may be deleted by highlighting them and selecting the

button at the bottom right. Once finalized, your complete list of differentiated carrier rows will be brought forward to the **Activity Data** screen.

At this point you may return to the **Export Carriers** screen to export your selected carrier list in CSV format, or you may proceed to the **Activity Data** screen to input the mile and/or ton-mile data associated with each of your carriers using the Tool itself. If you designated multiple tags for a given carrier, you must provide separate activity data inputs for each carrier tag.

> **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*
>
>
>
>
> *on the **Home** screen.*

Steps for Completing the Activity Data Screen

REFER TO **WORKSHEET #3B: Activity Data in the Quick Start Guide, or** go to https://www.epa.gov/smartway/smartway-shipper-partner-tools-and-resources for additional help to complete this section.

Data reported on this screen are used to calculate your shipper company's overall performance and mass emissions. Carriers specified in the **Input Carriers** screens are automatically listed on this screen, along with their associated mode and SmartWay Category, if applicable (**Figure 47**).

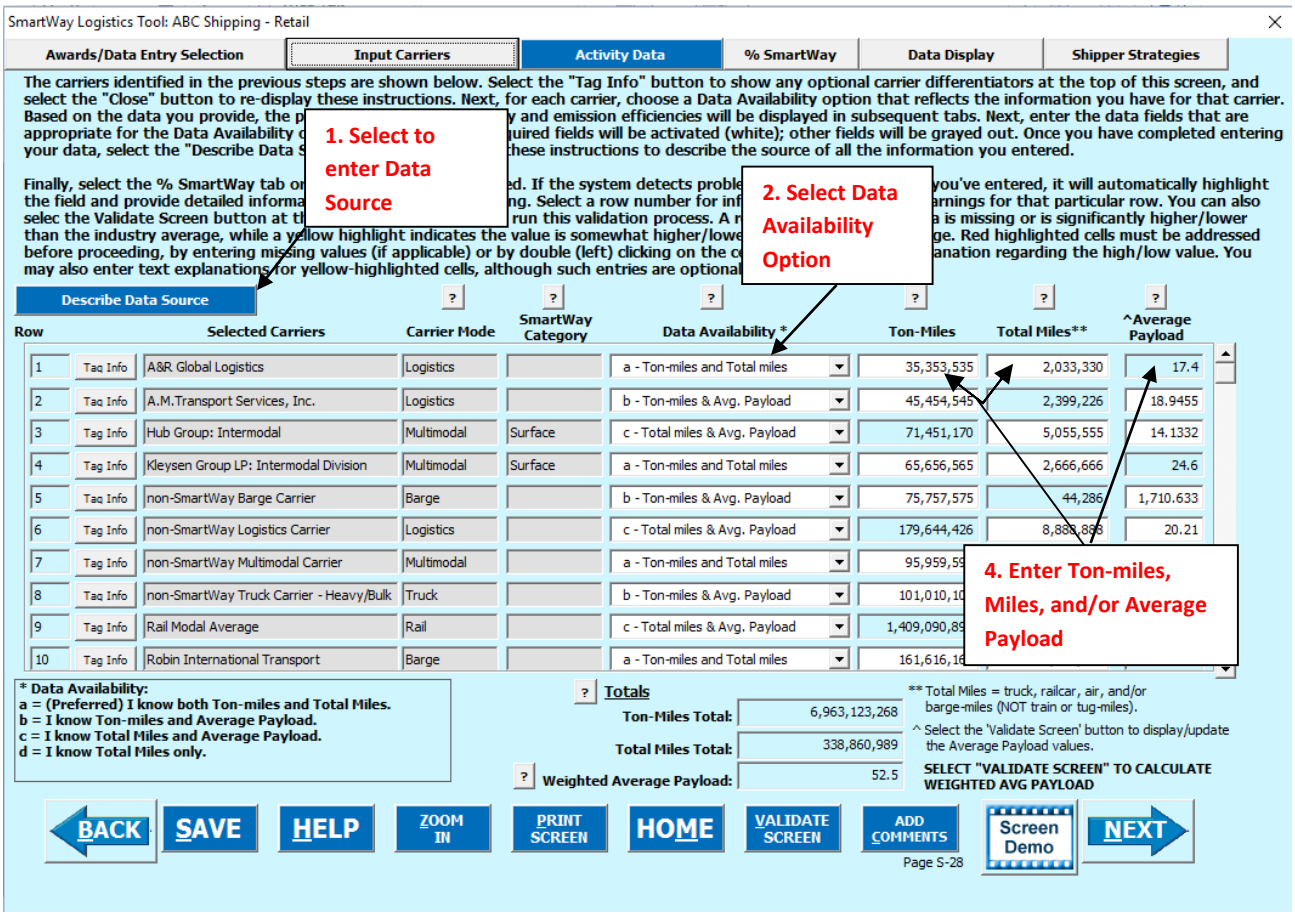


Figure 47: Activity Data Screen

Before proceeding with your activity data entry, note that you can display detailed tag information for each carrier row on the **Activity Data** screen by selecting the Tag Info button. Selecting this button will display the specific tags assigned to each carrier on the **Optional Carrier Differentiation** screen, as shown in **Figure 48**. The Shipper Tool provides this feature to assist SmartWay Shipper Partners that have defined multiple rows for a single carrier, in order to determine which activity data should be entered in which row. Select the **Close** button to re-display the screen instruction text.

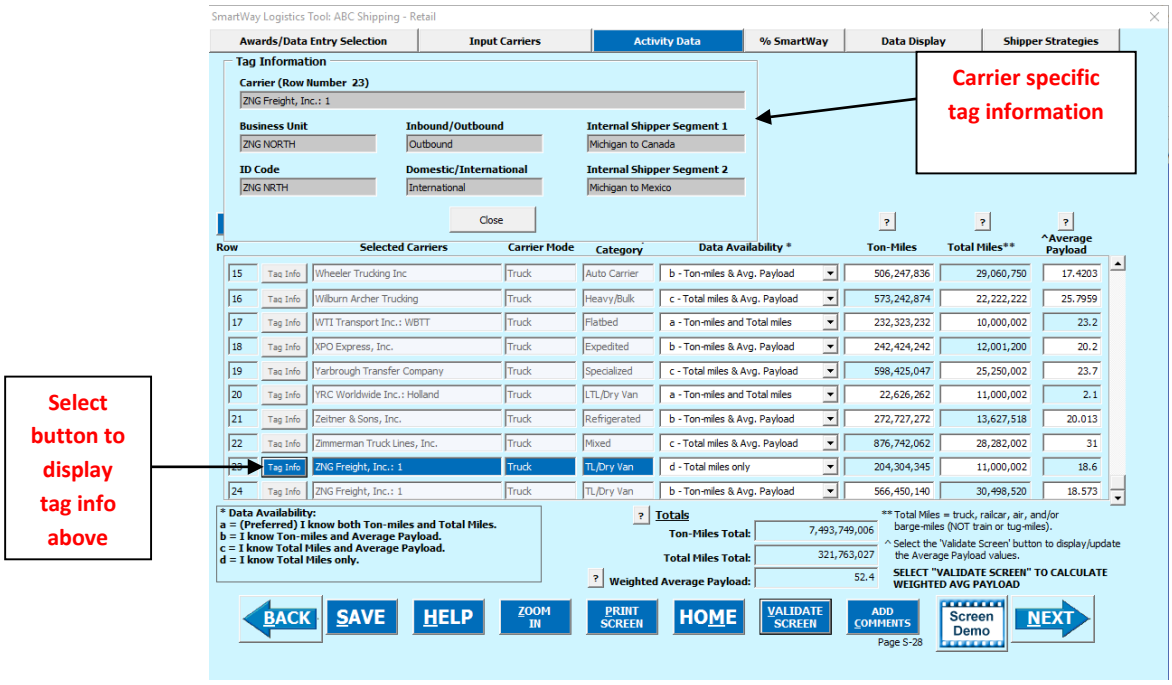


Figure 48: Activity Data Screen with Tag Information Displayed

The following describes the steps required for completing the **Activity Data** screen.

1. Entering Data Source Description

Before you begin entering activity data for your companies, select the Describe Data Source button and enter a detailed description of the sources used to generate your activity data in the popup text box (**Figure 49**). Be sure to indicate how you calculated miles and ton-miles, and where these data were obtained. For example, you may use PC Miler, 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.

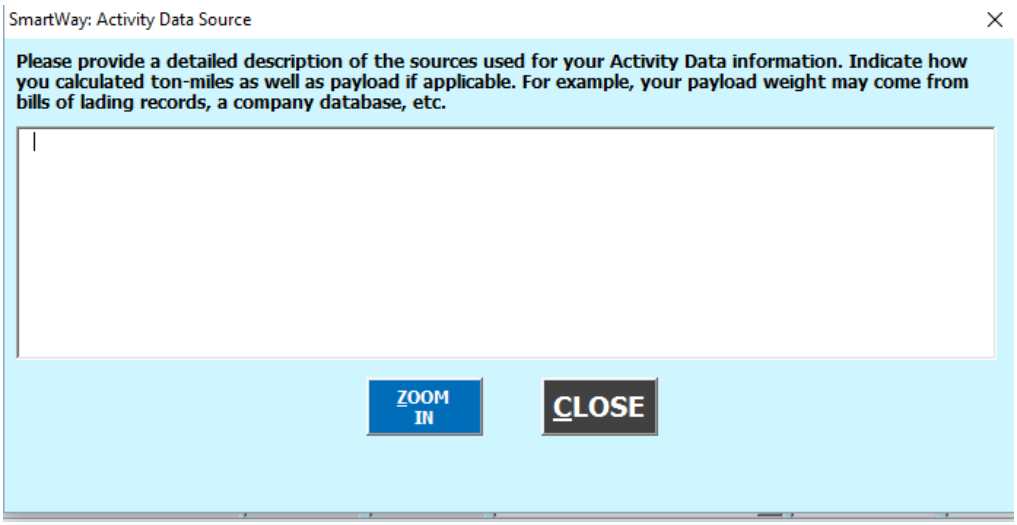


Figure 49: Activity Data Source Description Text Box

2. Selecting the Data Availability Option

To begin entering data regarding how you use each carrier, you must first specify a **Data Availability** option. There are four **Data Availability** options offered, as summarized below (and listed near the bottom left area of the **Activity Data** screen for your reference; see **Figure 48**).

a - Ton-miles and Total miles (preferred),

b - Ton-miles and Average Payload,

c - Total miles and Average Payload, and

d - Total miles only.

Depending on the **Data Availability** option selected, the fields on the screen will become active (white) or remain grayed out.

Choose the method that uses the most accurate data at your disposal for each carrier. You can specify various data availability options for carriers, depending on what type(s) of data you have for each and the reliability of that data.

- **If you have reliable data for both ton-miles and total miles, select Option a.**
- **If you don't have reliable mile data, but do have reliable ton-mile data, select Option b.**

In Option b, you will need to provide average payload, which will be used to develop a mileage estimate. For this option, the miles estimate is paired with the carriers' g/mile efficiency factors to estimate mass emissions for each carrier.

Providing ton-mile data (Option b) is generally preferable to simple mileage data for most modes. For example, when shipping bulk commodities by rail, ton-mile estimates are often available and will result in a more precise estimate of mass emissions (when combined with gram per ton-mile metrics for each carrier) than relying on gram per mile metrics. Ton-mile estimates are also most appropriate for LTL and package delivery truck shipments, given the uncertainty in cargo volume utilization. Ton-miles are also more appropriate for heavier TL shipments. Alternatively, mileage activity measures are often acceptable for light truckload shipments. However, for all calculations, where precise estimates of weight are often unknown, and distance estimates are highly reliable, mileage activity measures may be the better metric. See the ***SmartWay Shipper Tool Technical Documentation*** *for additional information on these calculations.*

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

In Option c, you will also need to provide average payload which will be used to develop a ton-miles estimate. In this option, the ton-miles estimates are paired with the carriers' g/ton-mile efficiency factors to estimate mass emissions for each carrier.

- **If you only have reliable mile data, select Option d.**

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

3. Entering Ton-Mile and Mile Data

After specifying the **Data Availability** for each carrier, enter the total activity data for the carrier for the associated unit type (ton-miles, miles, railcar-miles, or barge-miles). Enter the data to the nearest whole number. If you selected Data Availability Option a, enter both miles and ton-miles for the given carrier.

If you selected Data Availability Option b, you must enter ton-miles along with the average payload in short tons (2,000 lbs). In this case the total miles for the carrier will be back-calculated by dividing ton-miles by tons.

If you select Data Availability Option c, enter your total miles, expressed as either truck miles (for truck, logistics, and multimodal carriers), railcar-miles for rail carriers, and barge-miles for

barge carriers. Next enter your average payload in tons and ton-miles will be back-calculated for you.

Selecting Data Availability Option d only requires entry of total miles, and ton-miles will be back-calculated using the carrier's average payload value.

> **NOTE:** *Correctly calculating Ton-Miles is **critically important** for the accurate determination of your carbon foot-print.*

Enter the ton-miles hauled per year attributable to each carrier. A ton-mile is one ton moving one mile.

> **NOTE:** ***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 your company's 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 = $\frac{\text{(total miles per carrier x total tons per carrier)}}{\text{total \# of trips per carrier}}$

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

4. Validating Your Activity Data

The Shipper Tool also contains data validation checks designed to identify missing and potentially erroneous data. Selecting the VALIDATE SCREEN button at the bottom of the screen will allow you to view any potential data entry errors. **Figure 50** provides an example validation screen check result.

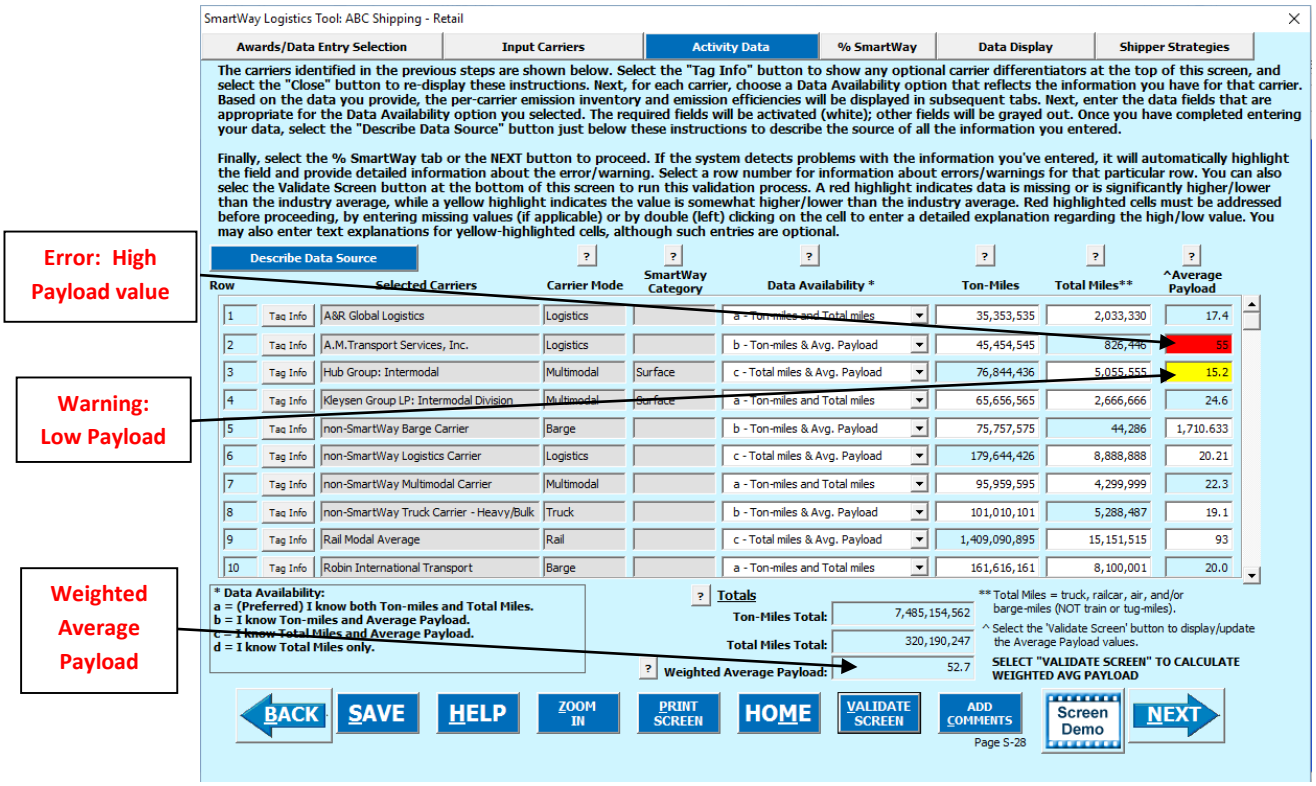


Figure 50: Example Validate Screen Check Result

The red highlighting in row 2 indicates a possible error – a high average payload value for this carrier. By double-clicking on the **Average Payload** cell (highlighted in red on the far right), you may enter an explanation detailing the reasons for the unusual value (see **Figure 51**). After entering your text explanation and selecting

, the highlighting will change from red (error) to yellow (warning) status.

The yellow highlighting indicates a warning condition. Warnings do not have to be addressed before proceeding, but may indicate a **possible** data entry error. In row 3 above, the average payload entered, is less than the validation threshold.

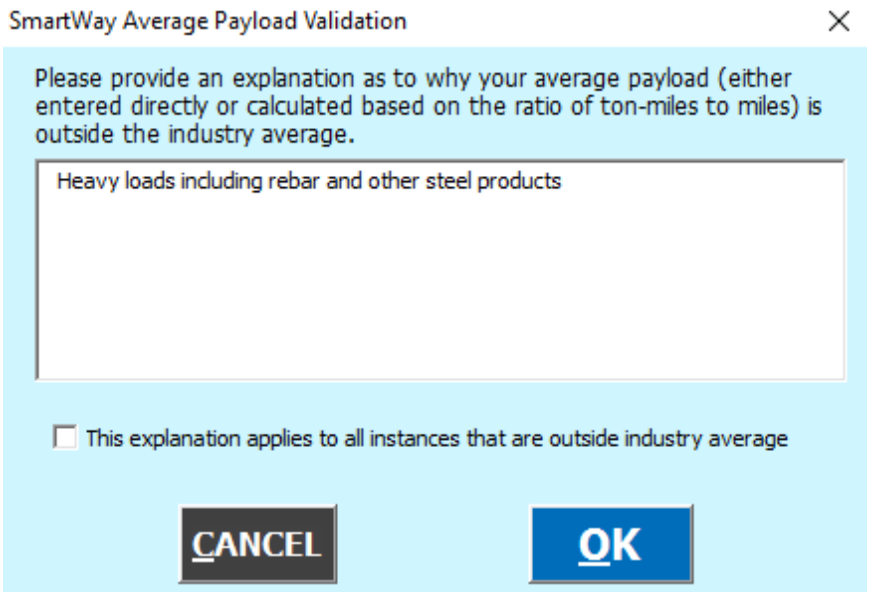


Figure 51: Example Average Payload Validation Explanation

NOTE: *By selecting the checkbox at the bottom of the* ***Average Payload Validation*** *text box, the user may apply the explanation to all instances of potentially high/low payload values on the* ***Activity Data*** *screen. This function is provided primarily for shippers importing large numbers of carriers resulting in the same error/warning condition multiple times.*

NOTE: *While providing explanatory comments for "yellow" warnings is optional, you must address all "red" errors. You can do this either by entering an explanation (by double-clicking on the highlighted cells) concerning the validity of the value, or by making any necessary corrections. Red errors will prevent you from submitting your Tool.*

Other validation messages may be presented for a variety of payload and ton-mile values. Please refer to the **Shipper Tool Technical Documentation** for a complete list of validation ranges used within the Shipper Tool.

Finally, the **Activity Data** screen provides total company-level mile, ton-mile and average payload values at the bottom of the screen (see **Figure 50**). You may check these values to help ensure the accuracy of your carrier activity inputs. The Total Miles and Total Ton-Miles values are simple summations of the individual carrier rows. However, the Weighted Average Payload is calculated by multiplying the average payload for each carrier (as shown in the far right

column) by the fraction of the total ton-miles attributable to each carrier, and then summing across all carriers. Check this value for reasonableness before proceeding.

NOTE: Select the VALIDATE SCREEN button to calculate the company level weighted average payload, displayed at the bottom of the **Activity Data** screen (see **Figure 50**).

Viewing the % SmartWay Screen

REFER TO **WORKSHEET #3C: % SmartWay in the Quick Start Guide, or go to** https://www.epa.gov/smartway/smartway-shipper-partner-tools-and-resources to complete this section of the Shipper Tool.

Once you finish entering your data you may proceed to the **% SmartWay** screen (**Figure 52**). The **% SmartWay** screen calculates your **% SmartWay Value**, reflecting the percentage of total activity attributable to SmartWay Carriers. For Shipper Partners selecting the **Emissions Footprint and % SmartWay** option on the **Basic or Comprehensive** screen, the **% SmartWay Value** is used to help determine eligibility for the SmartWay Excellence Awards.

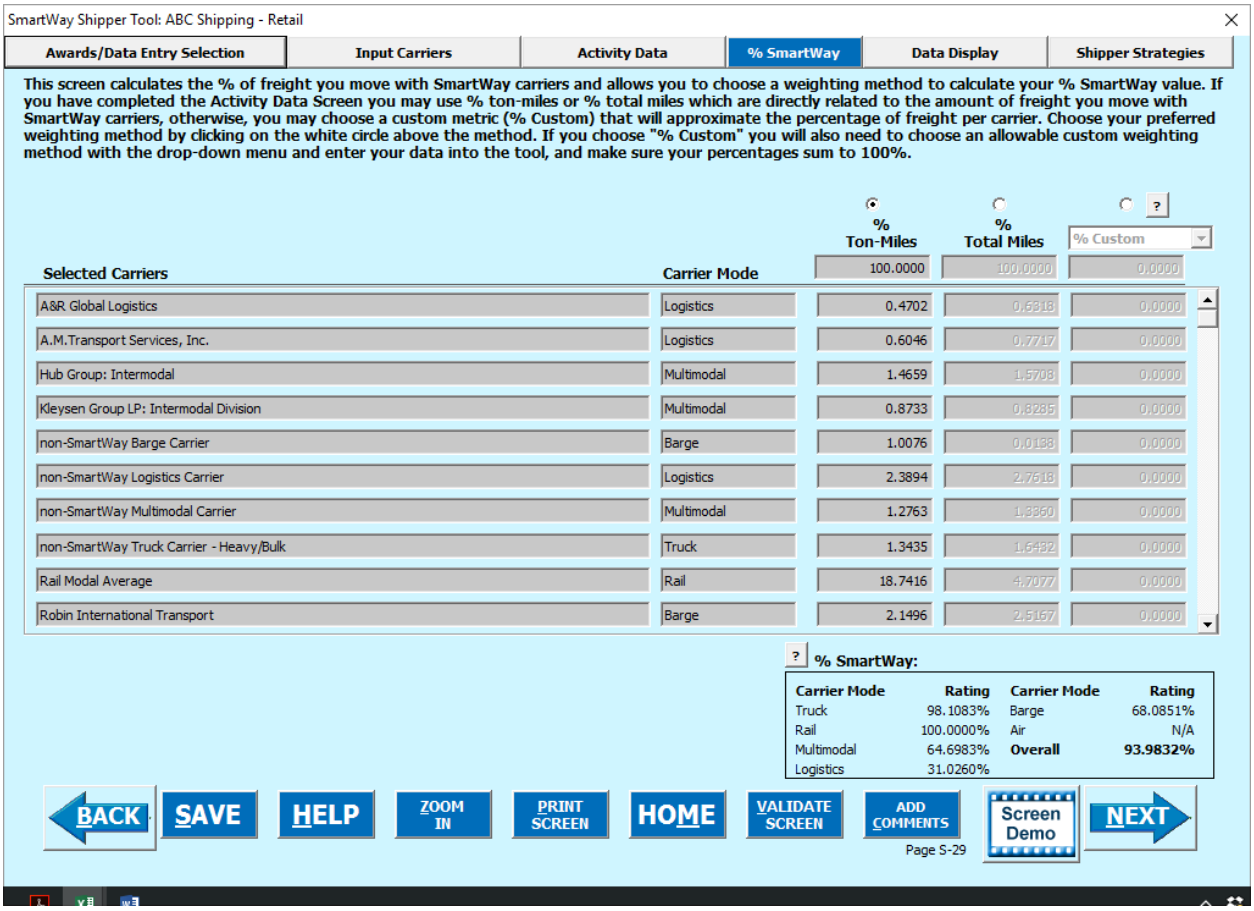


Figure 52: % SmartWay Screen

Carriers identified in the **Input Carriers** screens are automatically carried over to this screen. In addition, if the **Activity Data** screen has been completed, the fractional mileage and ton-mile amounts attributable to each carrier are also shown here, and may be used as weighting factors across your carriers to calculate your **% SmartWay Value**. If you prefer, you may select other weighting factors (using the drop-down selection on the far right column) for calculating your **% SmartWay Value**, including the percentage of total payments, the percentage of total weight or total packages, or an alternative "custom" factor, across the different carriers. (If you selected **% SmartWay Only** on the **Basic or Comprehensive** screen, you will not see the Ton-Mile or Total Mile columns.)

Enter the type of data you use for your percentage allocation estimates using the drop-down menu at the top left, and then enter the percent allocated to each carrier. Percentages must sum to 100. The resulting weighted average **% SmartWay Value** is displayed at the bottom right of the screen. If you select any of the user-defined allocation options under the far right column you must also specify a data source in the cell on the upper left of the screen. In

addition, if you select the "% Custom" option for allocating your % SmartWay Value, you must provide a detailed description of the custom factor used in the text box at the lower left of the screen.

Viewing the Data Display Screens

Once you finish entering your data, you may view your performance on the **Emissions Summary, Carrier Performance** and **Truck Carrier Performance (SmartWay Category Detail)** screens under the **Data Display** tab. Based on the shipper company activity data inputs and the carrier performance data downloaded from the EPA website, weighted average g/mile and g/payload ton-mile factors are calculated for CO_2, NOx, PM10, and PM2.5 for each carrier, as well as total mass emissions (based on the preferred metric designated for each carrier). The company-specific g/mile and g/ton-mile factors, as well as total mass emissions, are shown on the **Emissions Summary** screen.[1] CO_2 mass emissions can also be displayed in either short tons or million metric tons on this screen. A full range of summary data is displayed on the **Carrier Performance** screen. The **Truck Carrier Performance (SmartWay Category Detail)** screen provides this same information, but allows the user to display carrier data by truck SmartWay Category (e.g., TL/Dry Van, Dray, etc.) Note that mass emissions displays are only provided for partners selecting the **Emissions Footprint and % SmartWay** option on the **Basic or Comprehensive** screen.

The **Emissions Summary** screen (see **Figure 53**) displays emissions performance by carrier and for your shipper company as a whole, presented in terms of grams per mile and grams per ton-mile. Select the pollutant to display using the buttons at the top of the screen.

[1] The gram per mile and gram per ton-mile values provided for SmartWay Truck, logistics and multimodal carriers actually represent averages for a given ranking category (e.g., TL Dry Van operators), indicating range midpoints for the ranked set of all operators in this category. In this way precise performance metrics are not attributed to any given carrier. Alternatively, performance metrics for rail are industry-averages, without ranges. Values for rail carriers are all the same, based on industry averages, while barge-carrier emissions are specific to each carrier.

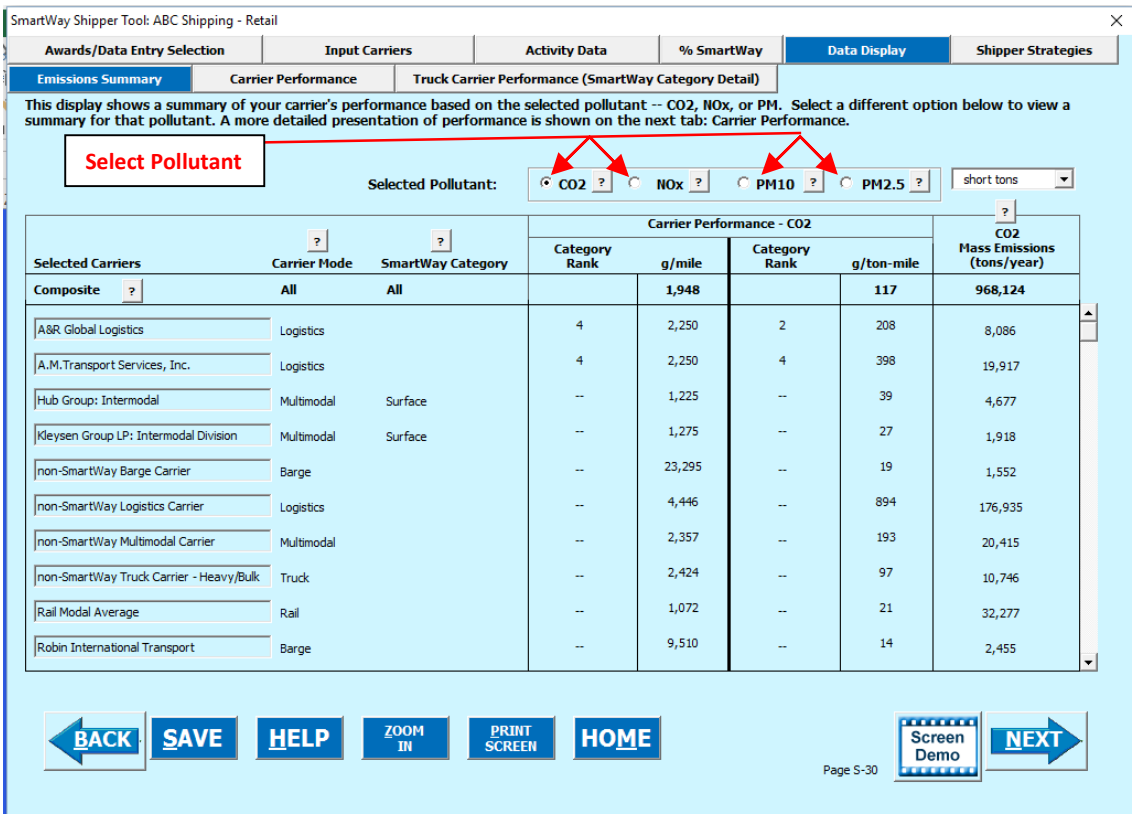


Figure 53: Emissions Summary Screen

The **Emissions Summary** screen also displays the performance category ranking for any truck carriers. Truck carrier emission factors are determined by placing similar trucking companies in groups called SmartWay Categories. There are 13 current SmartWay Categories for truck carriers:

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

The fleets in each ranking category are divided by performance into five roughly equal sets (ranges). The midpoint of performance for each range represents the emission factor for all fleets in that range. Thus, a fleet will have a ranking for each of the four pollutants and two performance metrics. Rankings are currently used for truck, logistics, and multimodal carriers. Mass emissions in tons per year are also calculated in the right hand column of the **Emissions**

Summary screen. The **Composite** row at the top of the table provides the activity-weighted average performance metrics across all carriers and modes. This summary, plus other detailed reports can be printed by returning to the **Home** screen and selecting **View Your Data Reports**.

The **Carrier Performance** screen displays data at a more detailed level than the **Emissions Summary** screen. Emission factors, mass emissions or category ranking may be selected for display using the **Display Type** drop-down box (**Figure 54**).

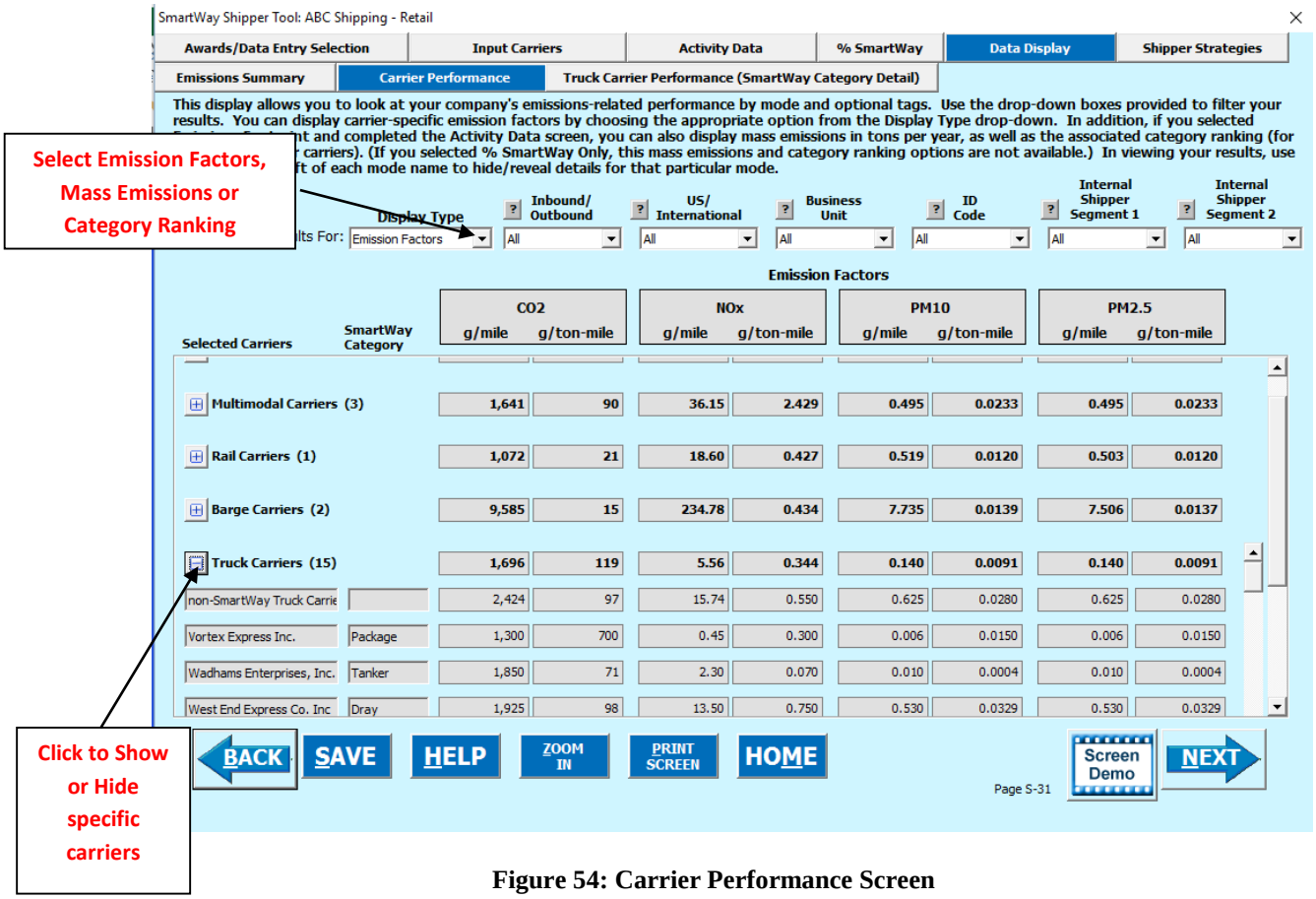


Figure 54: Carrier Performance Screen

You may also expand or aggregate the display rows to show carrier performance by individual carrier by clicking the icons to the left.

The **Truck Carrier Performance (SmartWay Category Detail)** screen displays data at an even more detailed level than the **Carrier Performance** screen. Emission factors, mass emissions or category ranking may be selected for display on this screen using the **Display Type** drop-down box for any truck category of interest (**Figure 55**).

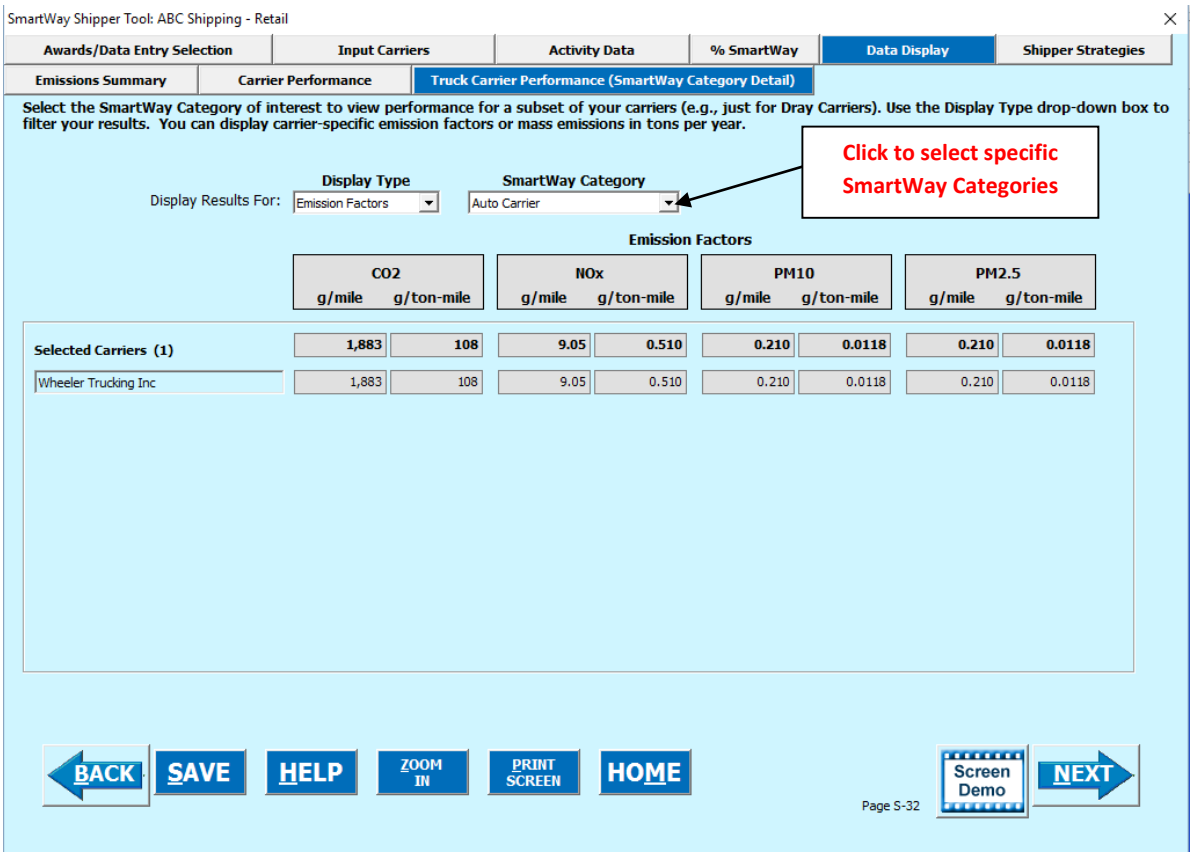


Figure 55: Carrier Performance (SmartWay Category Detail) Screen

These data, plus other detailed reports, can be printed out by returning to the **Home** screen and selecting View Your Data Reports.

Viewing Shipper Strategies Sections

Two optional screens are available for evaluating emission reductions associated with various initiatives under the **Shipper Strategies** tab.

System Activities Screen

REFER TO **WORKSHEET #4A: System Activities in the Quick Start Guide, or go to** https://www.epa.gov/smartway/smartway-shipper-partner-tools-and-resources to complete this section.

The Shipper Tool calculates the emissions savings impacts for a range of activities and best practices which are known to impact the emission footprint of the transportation supply chain. Using the **System Activities** screen (**Figure 56**), you can input specific information pertaining to your company's strategies to impact emissions that are *already being implemented for the reporting year*. On this screen, all strategies are based on eliminating miles or weight from the system.

Note: The use of this screen is optional and not required for submitting the Tool to SmartWay.

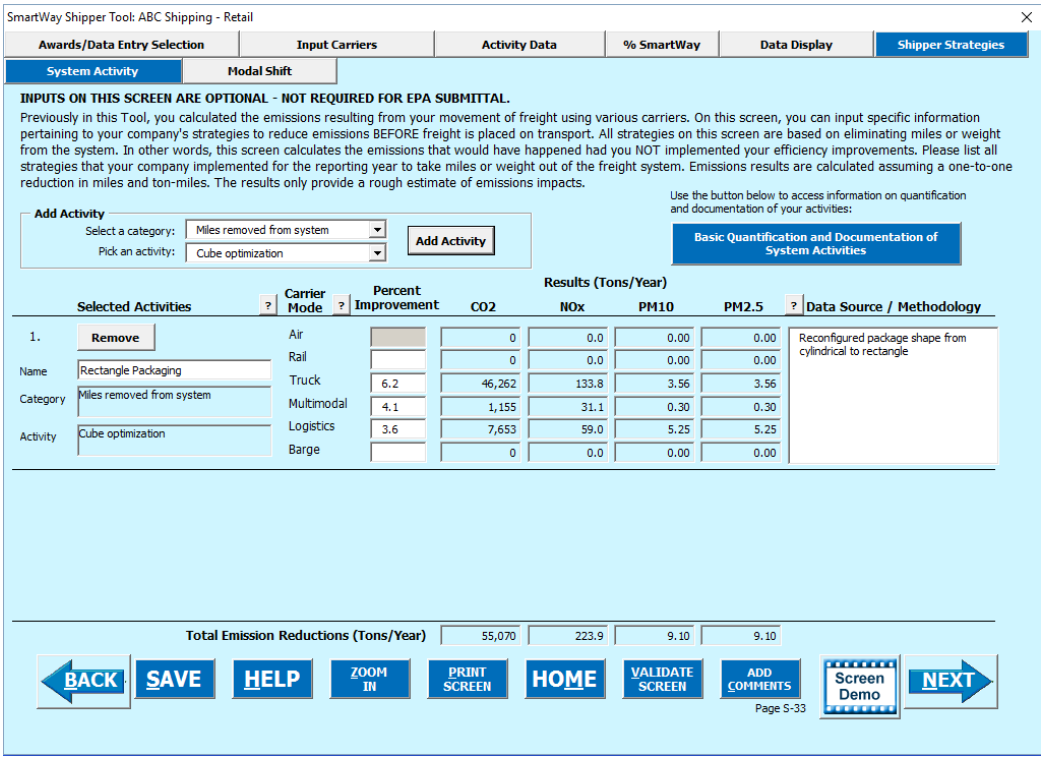


Figure 56: Shipper Strategies Screen

First, select an activity category from the drop-down menu at the upper left, and then chose a specific activity from the options provided. You may select from the following options:

- Miles Removed from the System
    - Distribution center relocation
    - Retail sales relocation
    - Routing optimization
    - Cube optimization
    - Larger vehicles and/or trailers
    - Other (specify)

- Weight Removed from System
    - Product weight reduction
    - Package weight reduction
    - Vehicle weight reduction
    - Other (specify)

For each strategy selected, you must provide an estimate of the percentage impact (in terms of miles or ton-miles, as appropriate), for each mode of interest, along with a text description of the strategy itself and details regarding 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. You can repeat this process for each strategy that your company has implemented.

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.

> ***Please carefully document the procedure used to estimate the percentage impacts associated with your different measures, including how you established your baseline performance levels.***

Use the

button on the upper right of the screen to obtain additional information regarding how shipper strategies should be quantified and documented. If you have questions regarding calculations and/or documentation, contact your SmartWay Partner Account Manager.

Modal Shift Screen

REFER TO **WORKSHEET #4B: Modal Shift in the Quick Start Guide, or go to** https://www.epa.gov/smartway/smartway-shipper-partner-tools-and-resources to complete this section of the Shipper Tool.

The **Modal Shift** 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.

Note: The use of this screen is optional and not required for submitting the Tool to SmartWay.

The **Modal Shift** screen allows you to estimate the emissions impact of shifting modes by selecting one or more modal shifts between air, marine, truck, logistics, multimodal and rail operations. The resulting estimates of emissions impacts are for partner information only and are not used in determining performance estimates.

On the **Modal Shift** screen (**Figure 57**), you can 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":

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 air and self-propelled marine modes at this time.

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, as appropriate) and are currently available for truck, rail, multimodal and logistics 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 barge and air modes are only available for gram per ton-mile metrics at this time.

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).

User Input – This option allows you to input performance metric estimates for any carrier mode, using alternative data sources. This is the only option available for air and self-propelled marine modes at this time. If you select this option, you MUST provide a description of the data sources that you used to develop these estimates (by clicking the **User Input Data Source** button). 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.

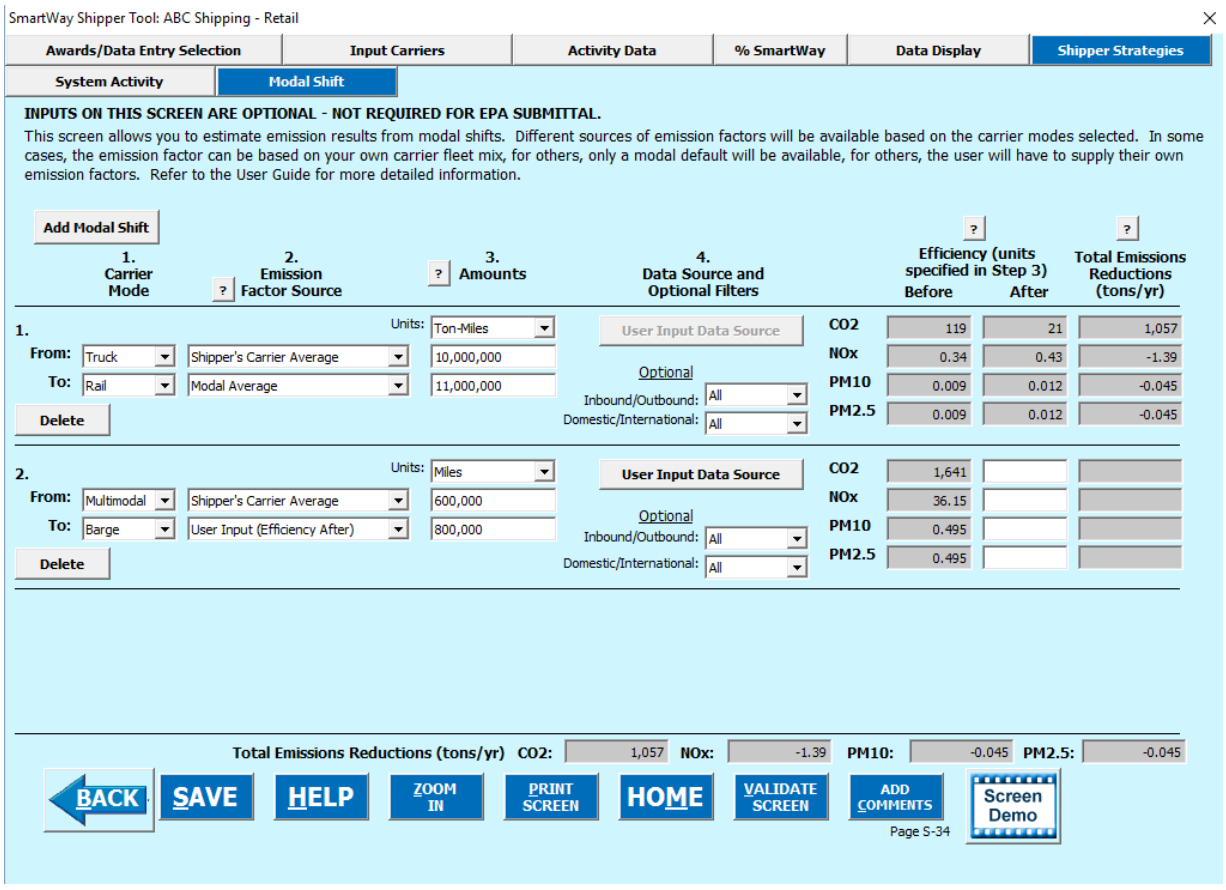


Figure 57: Modal Shift Screen

Note that emissions factors that automatically appear in the **Modal Shift** screen do not include all potential emissions impacts; for example the factors do not include emissions associated

with drayage (i.e., short-distance trips often required to move freight from one mode to another) or the operation of intermodal facilities.

You may select to perform the emission impact calculation based on miles or ton-miles 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. 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. (**User Input** selections will result in empty white cells which require manual entry of the required values.) Next, the actual amount of freight to be shifted must be specified 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 that 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.

Checking Company Status

Once you completed your activity and associated data entry and returned to the **Home** screen, notice that the company that you filled out and validated now identifies its status as "Complete" or "Complete (with Warnings)." You may now highlight the next company if you have another one to complete. In the example below, the company listed as "ABC Shipping - Wholesale" remains to be finished. Fill out unfinished company in the same manner as the previous company.

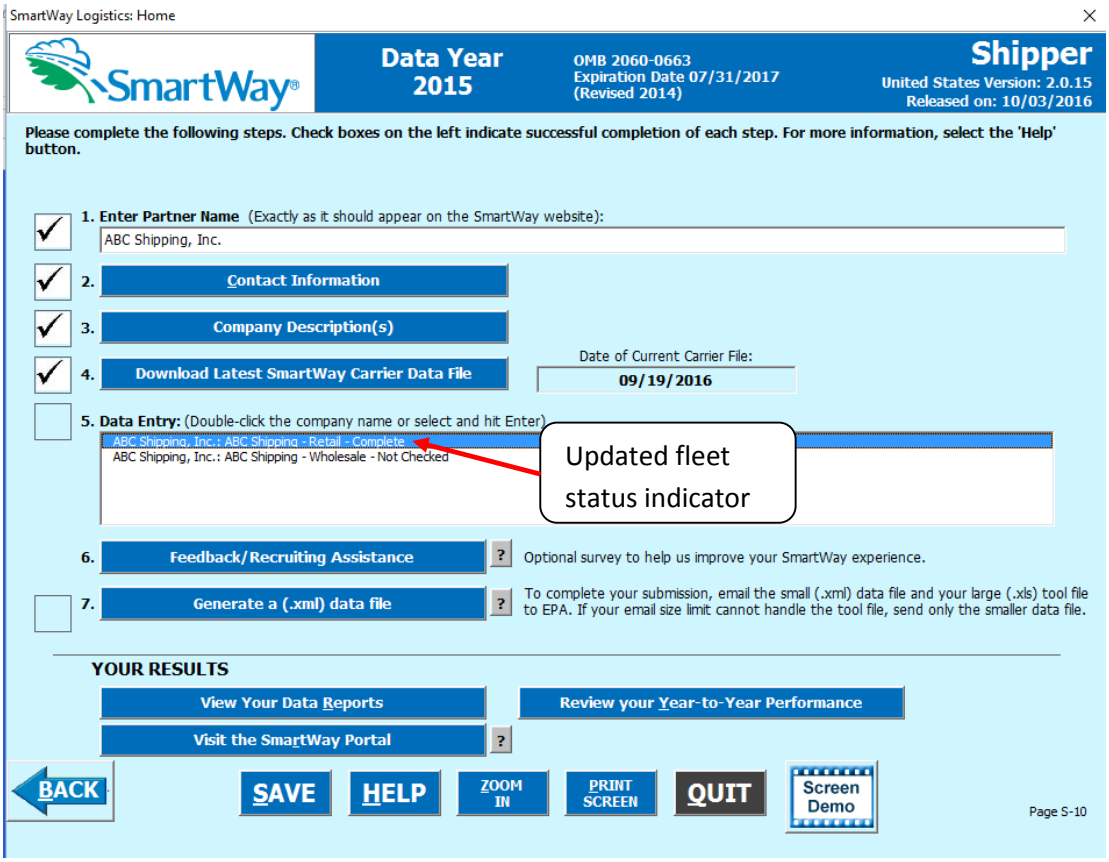


Figure 58: Home Screen - After Completing the Data Entry/Modification Process for First Company

Once you have filled out information for all your companies, be sure that all companies show "Complete" or "Complete with Warnings" beside the name. If, and only if, all companies are marked as such, you can move on to the next step. If one or more companies are not marked as such, review the data you entered for errors or omissions.

Validating Your Data

The Shipper Tool has validation checks embedded at different points in the Tool to ensure data quality, including checks of payload and ton-miles, to help ensure the reasonableness and quality of Partner data.

In most instances the validation ranges are based on Truck Partner data distributions from the previous calendar year. (Refer to the **Shipper Tool Technical Documentation** (found on the website at https://www.epa.gov/smartway/smartway-shipper-partner-tools-and-resources for a detailed discussion of all validation criteria used within the Tool.)

At any time, you can select the VALIDATE SCREEN button at the bottom of the screens to make sure you have filled out everything properly before proceeding to the next screen.

Any time you leave a particular screen, the Tool will automatically perform a *screen* validation.

Any time you return to the Home screen, the Tool will automatically perform a *company-level* validation.

If you select the VALIDATE SCREEN button and no potential errors are identified, the following message will be displayed. Select **OK** to proceed.

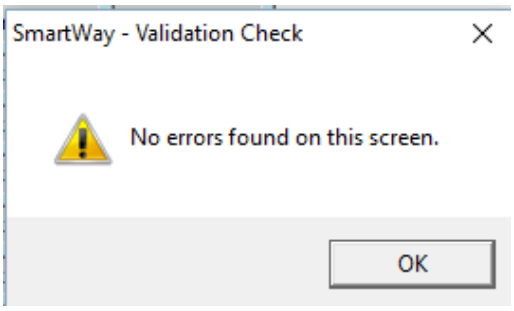


Figure 59: Validation Check Notification – No Errors

If missing or potentially erroneous inputs are identified, you will see the following message.

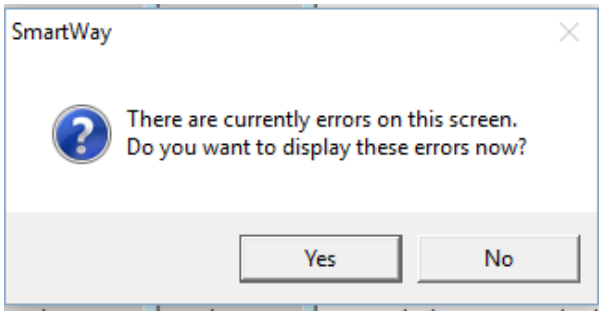


Figure 60: Validation Check Notification – with Errors/Warnings

Select **Yes** to see a complete list of validation errors/warnings. An example **Validation** Check results screen is provided in **Figure 61**.

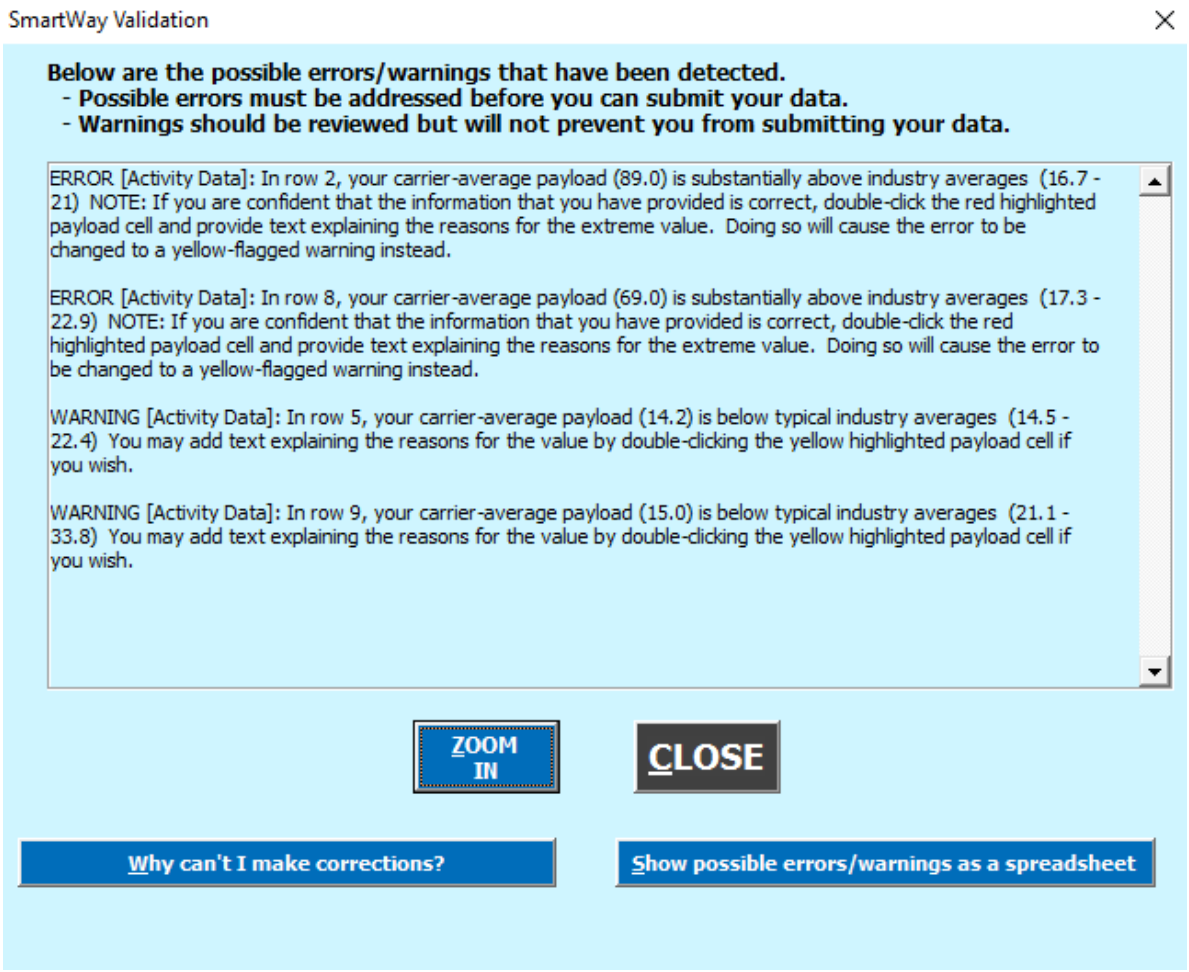
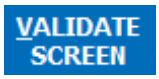


Figure 61: Validation Check Screen - Error/Warning Details

The

and

buttons at the bottom of the screen provide additional information to assist you in correcting any errors.

Once you close the **Validation** check screen, you will see warnings and errors highlighted in a red or yellow on the **Activity Information** screen. Entering new data in a highlighted cell will cause the colored shading to disappear, ***even if the new value is still invalid***. To check the validity of your newly entered data, select the 

button again and repeat the procedure described above as necessary.

For a complete listing of all validation checks used in the Tool, refer to the **Shipper Tool Technical Documentation**.

Once all potential validation errors have been corrected or otherwise verified, select

to proceed to the next step or return to the **HOME** screen.

Section 6: Provide Additional Information

After completing Steps 1 – 5 on the **Home** screen, you may provide EPA with feedback regarding the SmartWay program. This information is optional and is not required in order to submit your Logistics Tool data to EPA. Selecting the Feedback/Recruiting Assistance button on the **Home** screen will open the **Give Us Feedback** forms.

Figure 62 displays 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.

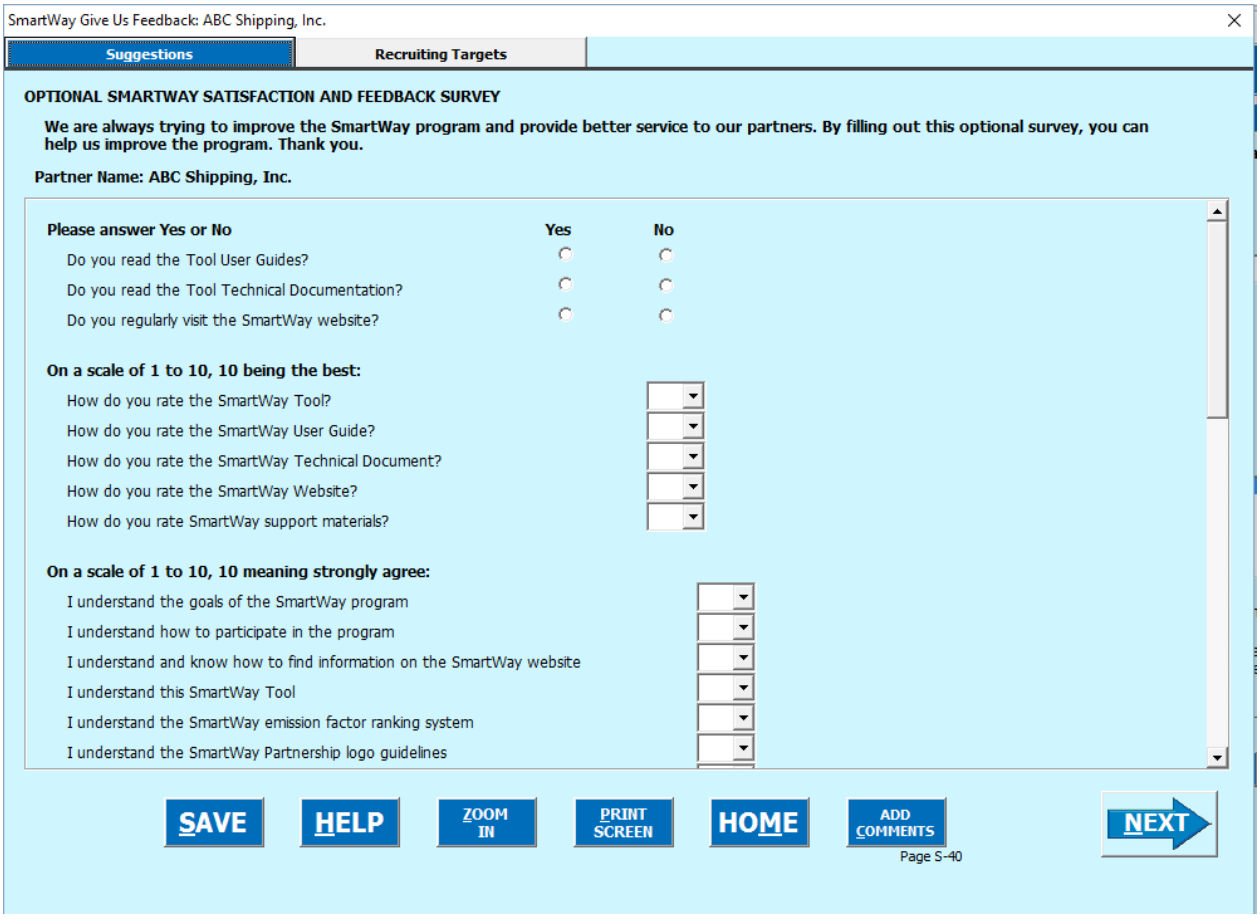


Figure 62: Suggestions Screen

Figure 63 displays 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.

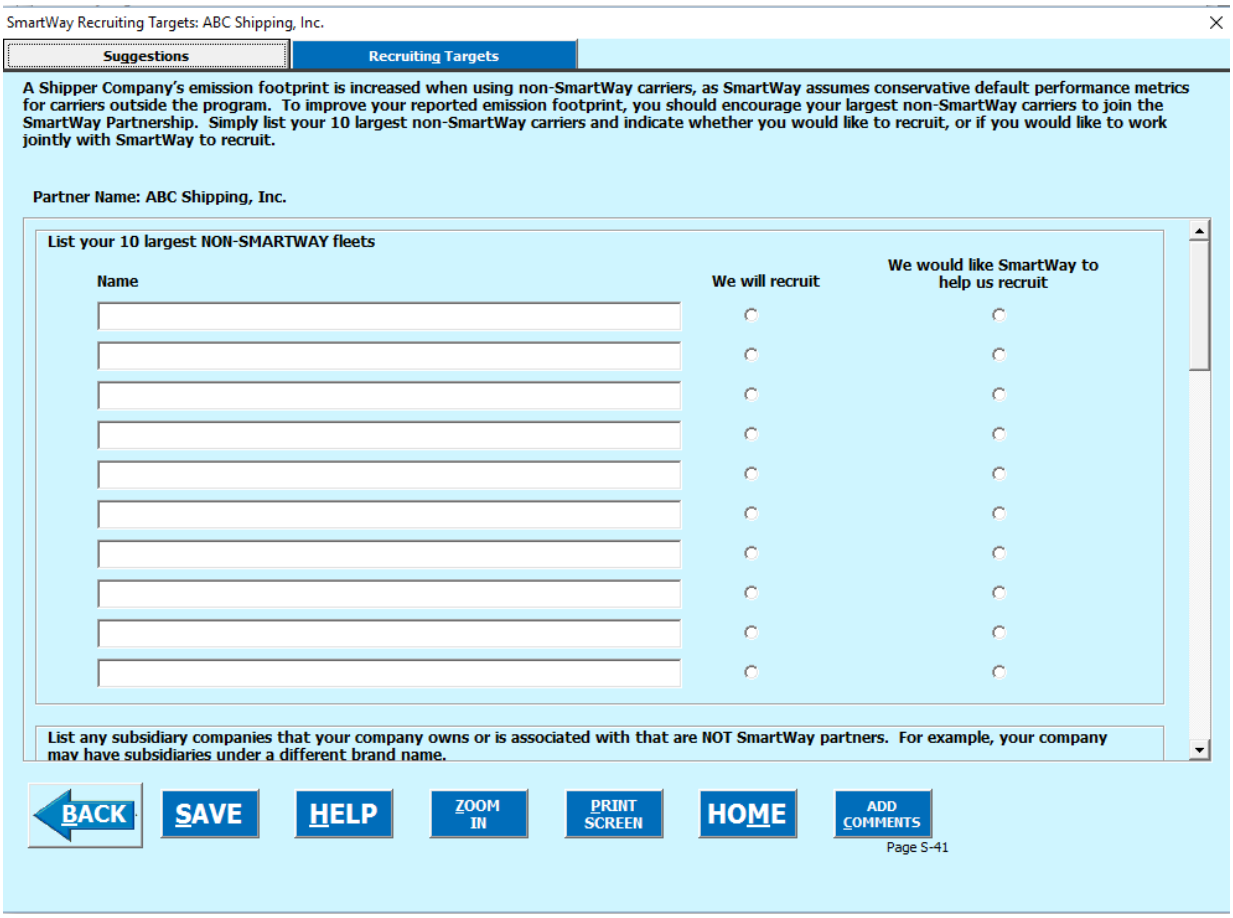


Figure 63: Recruiting Targets Screen

Once you have completed these screens, select the HOME button to return to the **Home** screen.

*****Once you've reviewed these sections, you will be ready to submit your Tool to EPA*****

Section 7: Submitting Data to SmartWay

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

From the **Home** screen, select Generate a (.xml) data file, which will open the following screen.

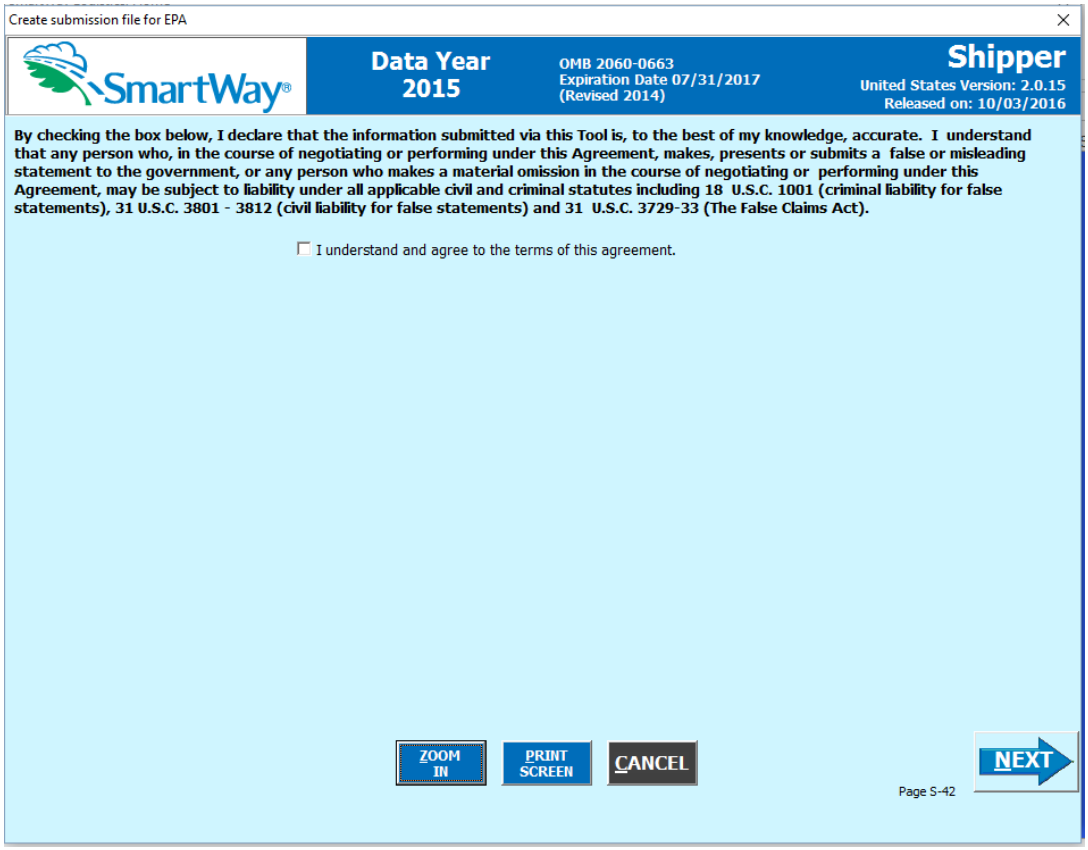


Figure 64: Creating Submission File for EPA

Select the checkbox to indicate you understand the terms of the **SmartWay Partnership Agreement** once again. Next, a question will appear asking if you are an existing SmartWay Partner (Y/N). If you are, a question will appear asking if you submitted your data the previous reporting year. If you have ever been a SmartWay partner you should then enter your Annual Submission ID, which has been sent to you by your SmartWay Partner Account Manager via email. If you cannot locate your submission ID you can select the Email me my SmartWay ID button to have your ID sent to you. Submission of the SmartWay ID is optional.

If you did not submit data last year, indicate how your company first heard about SmartWay.

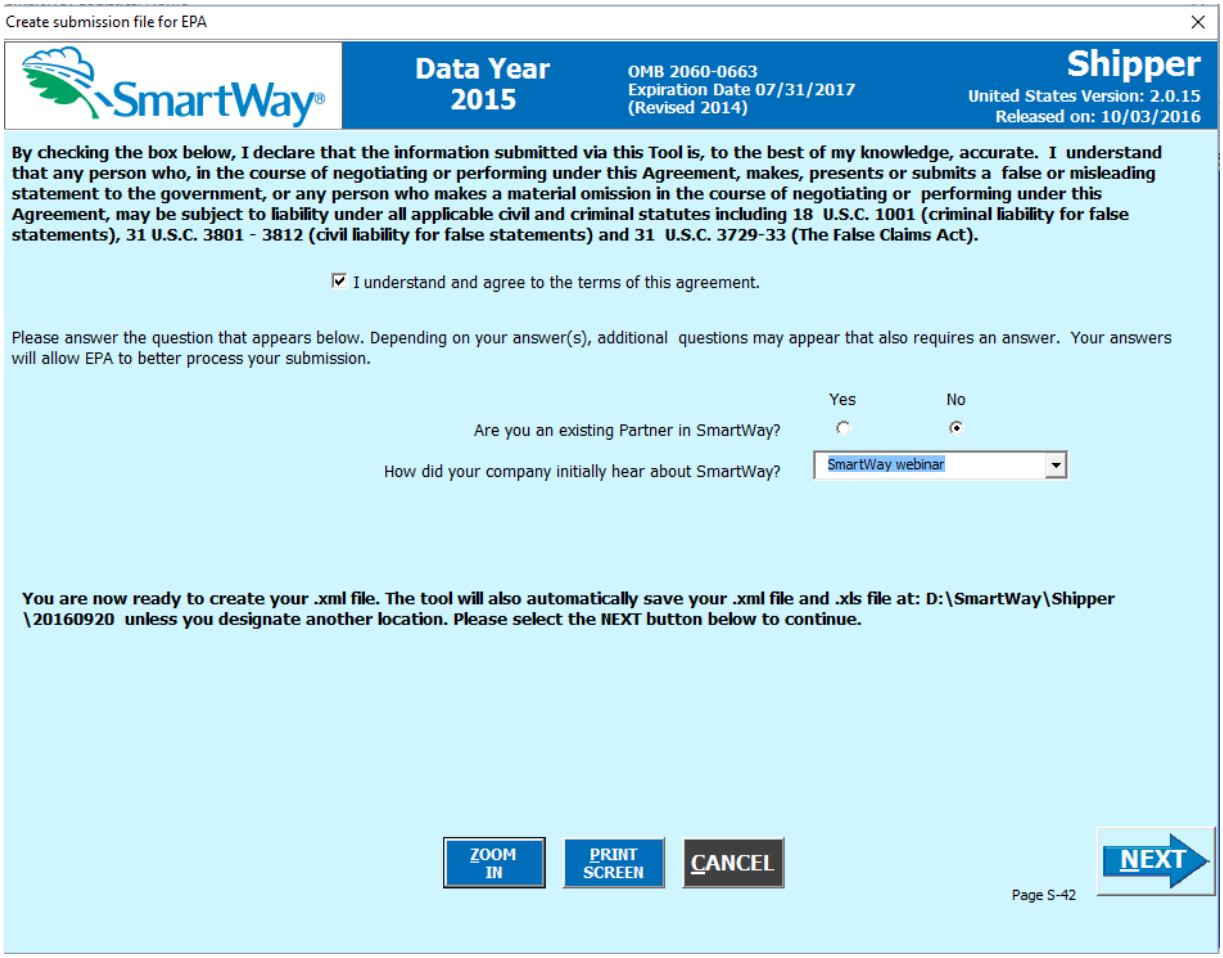


Figure 65: Create Submission File Screen

When ready, select

to create a file with the following naming convention:

Shipper_PartnerName_ Year_ V0.xml

For example, Shipper_ABCShipper, Inc_ 2015 _V0.xml

where **PartnerName** is your company's name, as entered for **Step 1** on the **Home** screen, and **Year** indicates the year for which you are submitting your data.

Next specify the folder where you would like to save the .xml and .xls files. After specifying the folder and selecting **Save**, and the following screen will appear.

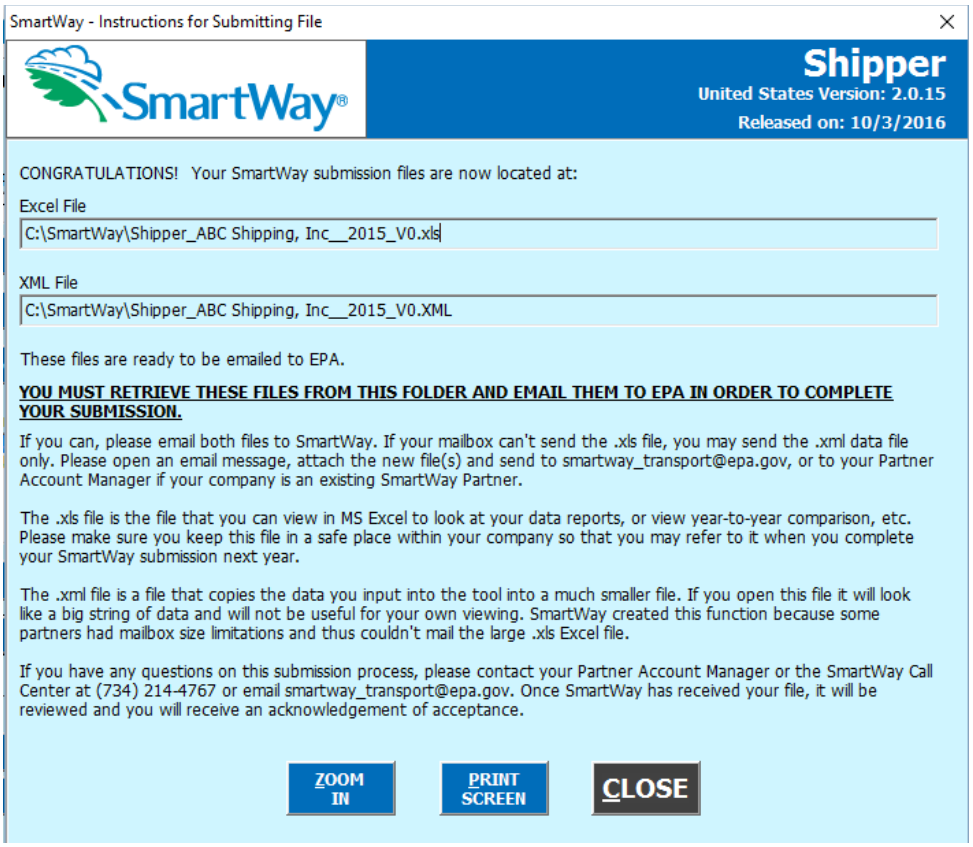


Figure 66: Completed Submission File Screen

Follow these instructions for submitting your .xml and .xls files to SmartWay. Note that the .xml file is approximately 10 times smaller than the .xls files. If you have difficulty submitting the .xls file due to file size limitations you may submit the .xml file alone.

Upon selecting CLOSE a screen will appear that allows you to close the Shipper Tool or return to the **Home** screen.

NOTE: The XML and XLS files are not sent to EPA automatically. You will need to locate the files and attach them in an e-mail to your Partner Account Manager.

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

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 the Shipper Tool.mailto:

Optional Data Review Sections

View Your Data Reports

Once you have completed Steps 1-5 and the companies listed under Step 5 are "Complete" or "Complete (with Warnings)", you may select the View Your Data Reports button which will take you to the following screen:

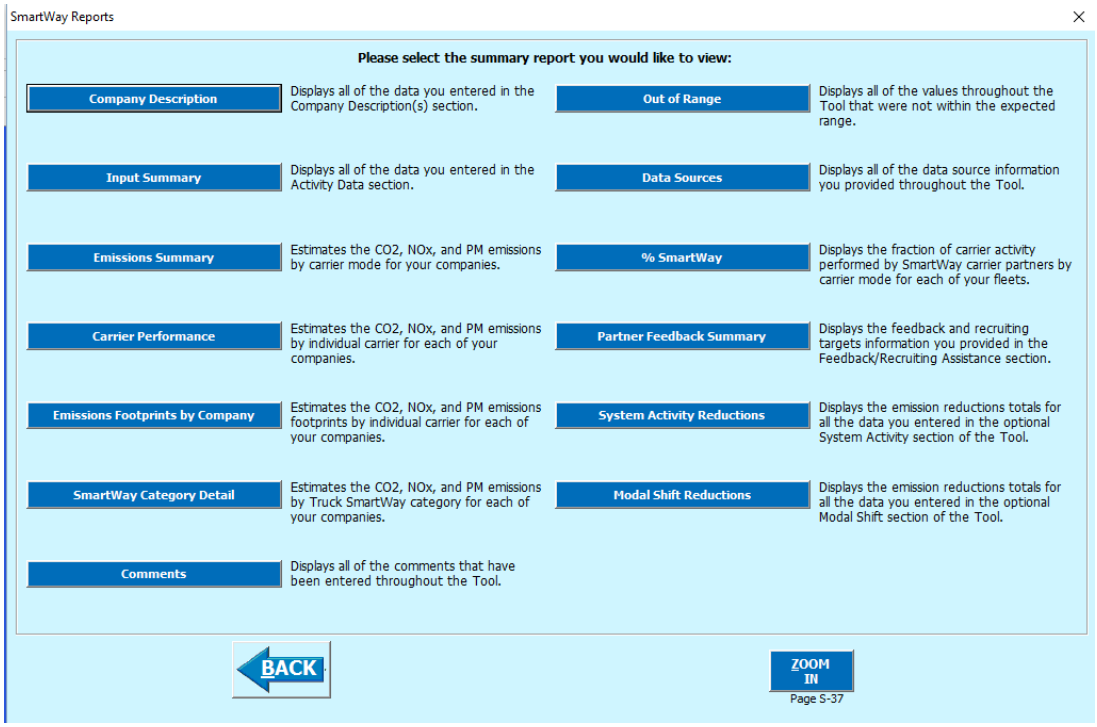
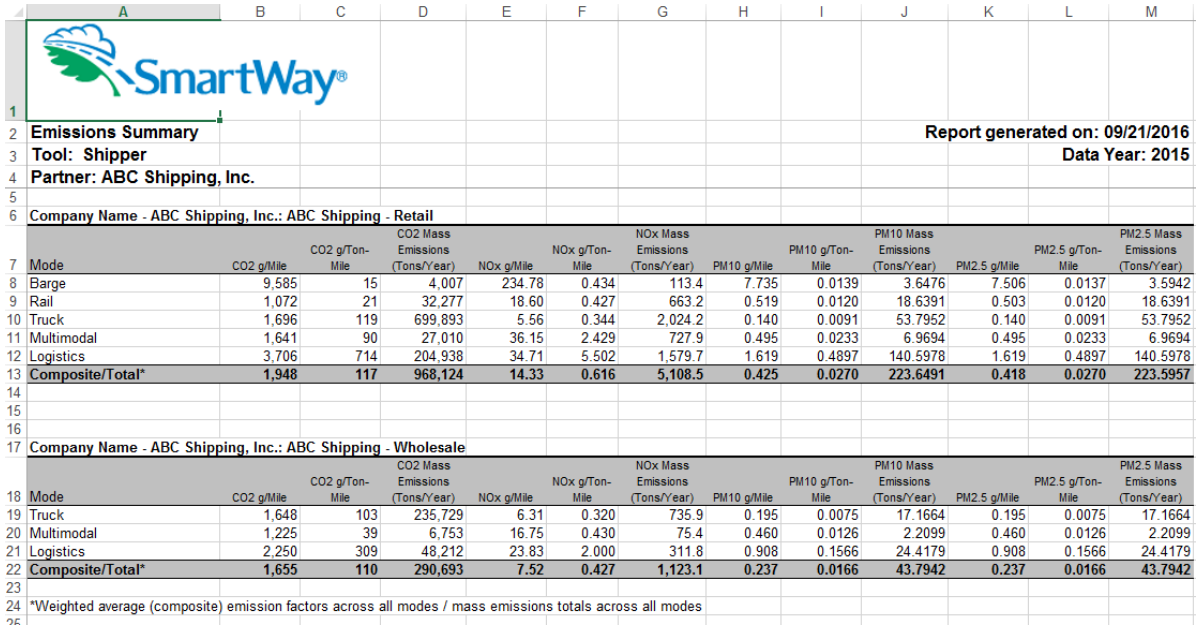


Figure 67: Reports Menu

Selecting any of the blue buttons on this screen will display the indicated data. Several reports summarize the data you entered on specific data input screens, such as the **Company Description** and **Input Summary** reports. The **Out of Range** report may be particularly useful in identifying and addressing those inputs flagged as potentially erroneous during data validation.

Selecting any of the summary report types will take you to a screen allowing you to preview and print your reports. **Figure 68** shows one of many sample reports the Tool can generate for you; in this case summarizing mass emission in tons and assorted performance metrics at the company subsidiary level. These reports will prove useful for your company's evaluation and improvement efforts.



Emissions Summary — **Report generated on: 09/21/2016**
Tool: Shipper — **Data Year: 2015**
Partner: ABC Shipping, Inc.

Company Name - ABC Shipping, Inc.: ABC Shipping - Retail

Mode	CO2 g/Mile	CO2 g/Ton-Mile	CO2 Mass Emissions (Tons/Year)	NOx g/Mile	NOx g/Ton-Mile	NOx Mass Emissions (Tons/Year)	PM10 g/Mile	PM10 g/Ton-Mile	PM10 Mass Emissions (Tons/Year)	PM2.5 g/Mile	PM2.5 g/Ton-Mile	PM2.5 Mass Emissions (Tons/Year)
Barge	9,585	15	4,007	234.78	0.434	113.4	7.735	0.0139	3.6476	7.506	0.0137	3.5942
Rail	1,072	21	32,277	18.60	0.427	663.2	0.519	0.0120	18.6391	0.503	0.0120	18.6391
Truck	1,696	119	699,893	5.56	0.344	2,024.2	0.140	0.0091	53.7952	0.140	0.0091	53.7952
Multimodal	1,641	90	27,010	36.15	2.429	727.9	0.495	0.0233	6.9694	0.495	0.0233	6.9694
Logistics	3,706	714	204,938	34.71	5.502	1,579.7	1.619	0.4897	140.5978	1.619	0.4897	140.5978
Composite/Total*	**1,948**	**117**	**968,124**	**14.33**	**0.616**	**5,108.5**	**0.425**	**0.0270**	**223.6491**	**0.418**	**0.0270**	**223.5957**

Company Name - ABC Shipping, Inc.: ABC Shipping - Wholesale

Mode	CO2 g/Mile	CO2 g/Ton-Mile	CO2 Mass Emissions (Tons/Year)	NOx g/Mile	NOx g/Ton-Mile	NOx Mass Emissions (Tons/Year)	PM10 g/Mile	PM10 g/Ton-Mile	PM10 Mass Emissions (Tons/Year)	PM2.5 g/Mile	PM2.5 g/Ton-Mile	PM2.5 Mass Emissions (Tons/Year)
Truck	1,648	103	235,729	6.31	0.320	735.9	0.195	0.0075	17.1664	0.195	0.0075	17.1664
Multimodal	1,225	39	6,753	16.75	0.430	75.4	0.460	0.0126	2.2099	0.460	0.0126	2.2099
Logistics	2,250	309	48,212	23.83	2.000	311.8	0.908	0.1566	24.4179	0.908	0.1566	24.4179
Composite/Total*	**1,655**	**110**	**290,693**	**7.52**	**0.427**	**1,123.1**	**0.237**	**0.0166**	**43.7942**	**0.237**	**0.0166**	**43.7942**

*Weighted average (composite) emission factors across all modes / mass emissions totals across all modes

Figure 68: Example of Completed Reports

Select the CLOSE REPORT button to return to the reports menu screen.

Review Your Year-to-Year Performance

The **Year-to-Year Performance Report** is another optional section of the Tool, allowing the user to compare the company characteristics and activity values, as well as CO_2 performance metrics for the current year with those of the prior year. This report is particularly helpful in identifying any changes that may have occurred since your last reporting period, determining trends in activity and performance over multiple years, and performing general quality assurance of the inputs used for your current Tool.

You can access this report by selecting the Review your Year-to-Year Performance button under the "**Your Results**" section on the **Home** screen.

Figure 69 shows the data entry screen for the comparison report. Note that your most recent year's data is already "loaded," including the data you have entered for your current companies. In order to load data for the previous year companies, select the Load Data from Previous Year… button. Next a screen will appear allowing you to specify the location of your prior year file, using the Browse… button.

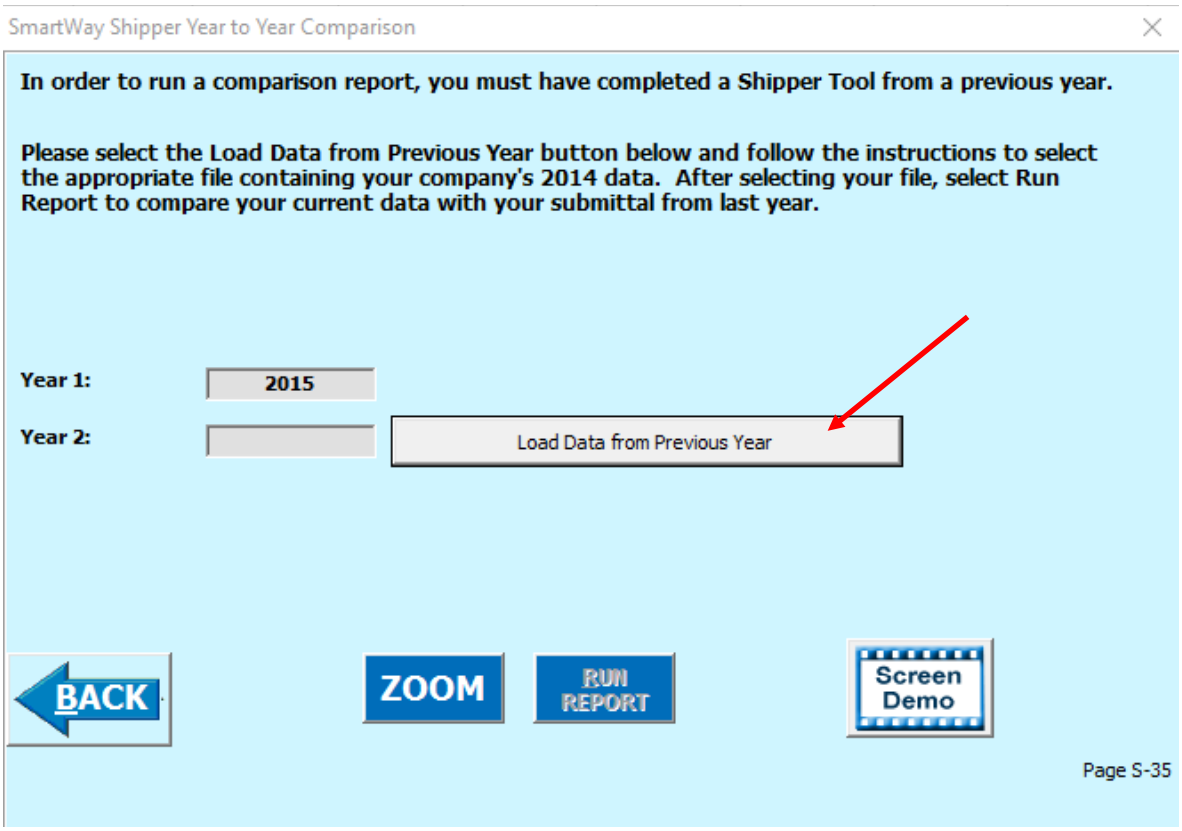


Figure 69: Year-to-Year Comparison Report Input Screen

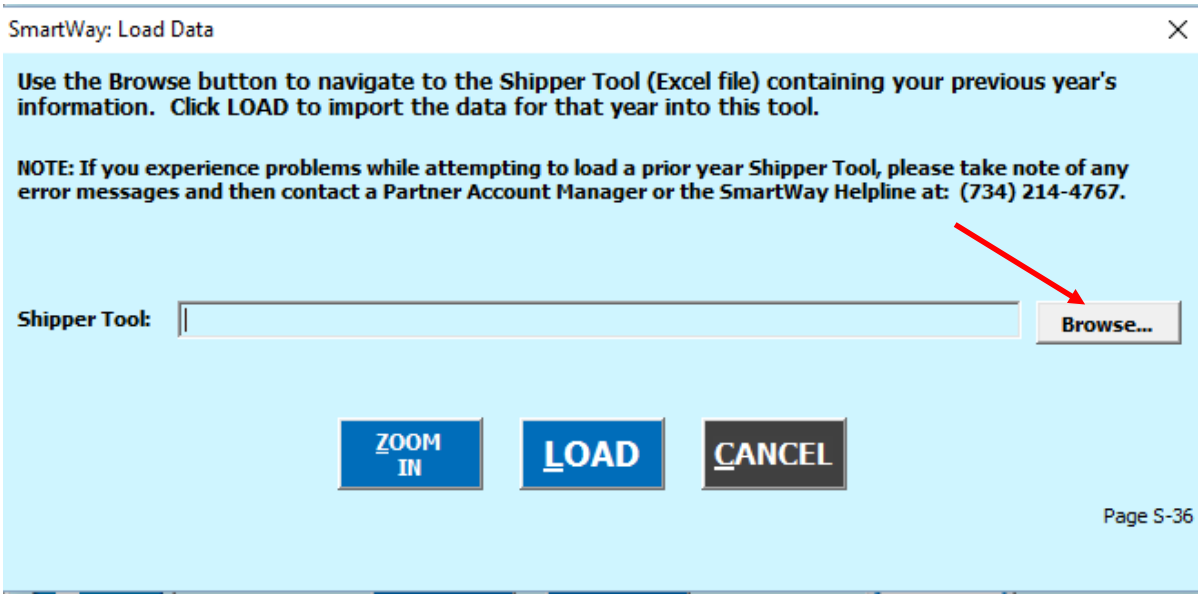
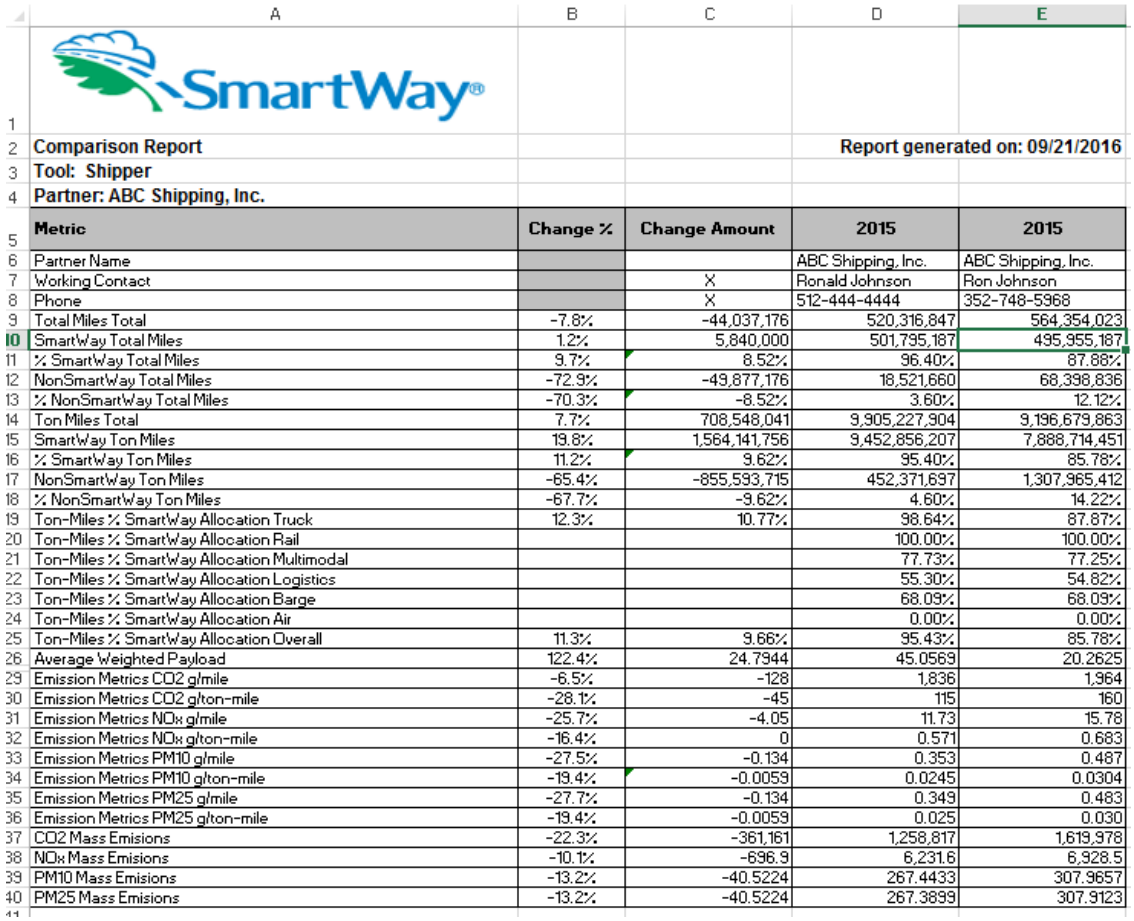


Figure 70: Data Load Screen for Year-to-Year Comparison Report

Once your comparison years have been specified and your prior year data loaded into the Shipper Tool, select the RUN REPORT button to view the line-item data entry comparisons. An example report is presented in **Figure 71.**



Comparison Report — Report generated on: 09/21/2016
Tool: Shipper
Partner: ABC Shipping, Inc.

Metric	Change %	Change Amount	2015	2015
Partner Name			ABC Shipping, Inc.	ABC Shipping, Inc.
Working Contact		X	Ronald Johnson	Ron Johnson
Phone		X	512-444-4444	352-748-5968
Total Miles Total	-7.8%	-44,037,176	520,316,847	564,354,023
SmartWay Total Miles	1.2%	5,840,000	501,795,187	495,955,187
% SmartWay Total Miles	9.7%	8.52%	96.40%	87.88%
NonSmartWay Total Miles	-72.9%	-49,877,176	18,521,660	68,398,836
% NonSmartWay Total Miles	-70.3%	-8.52%	3.60%	12.12%
Ton Miles Total	7.7%	708,548,041	9,905,227,904	9,196,679,863
SmartWay Ton Miles	19.8%	1,564,141,756	9,452,856,207	7,888,714,451
% SmartWay Ton Miles	11.2%	9.62%	95.40%	85.78%
NonSmartWay Ton Miles	-65.4%	-855,593,715	452,371,697	1,307,965,412
% NonSmartWay Ton Miles	-67.7%	-9.62%	4.60%	14.22%
Ton-Miles % SmartWay Allocation Truck	12.3%	10.77%	98.64%	87.87%
Ton-Miles % SmartWay Allocation Rail			100.00%	100.00%
Ton-Miles % SmartWay Allocation Multimodal			77.73%	77.25%
Ton-Miles % SmartWay Allocation Logistics			55.30%	54.82%
Ton-Miles % SmartWay Allocation Barge			68.09%	68.09%
Ton-Miles % SmartWay Allocation Air			0.00%	0.00%
Ton-Miles % SmartWay Allocation Overall	11.3%	9.66%	95.43%	85.78%
Average Weighted Payload	122.4%	24.7944	45.0569	20.2625
Emission Metrics CO2 g/mile	-6.5%	-128	1,836	1,964
Emission Metrics CO2 g/ton-mile	-28.1%	-45	115	160
Emission Metrics NOx g/mile	-25.7%	-4.05	11.73	15.78
Emission Metrics NOx g/ton-mile	-16.4%	0	0.571	0.683
Emission Metrics PM10 g/mile	-27.5%	-0.134	0.353	0.487
Emission Metrics PM10 g/ton-mile	-19.4%	-0.0059	0.0245	0.0304
Emission Metrics PM25 g/mile	-27.7%	-0.134	0.349	0.483
Emission Metrics PM25 g/ton-mile	-19.4%	-0.0059	0.025	0.030
CO2 Mass Emisions	-22.3%	-361,161	1,258,817	1,619,978
NOx Mass Emisions	-10.1%	-696.9	6,231.6	6,928.5
PM10 Mass Emisions	-13.2%	-40.5224	267.4433	307.9657
PM25 Mass Emisions	-13.2%	-40.5224	267.3899	307.9123

Figure 71: Example Year-to-Year Comparison Report

Comparisons are shown for a number of activity parameters including:

- Total Miles and Ton-Miles, for both SmartWay and Non-SmartWay carriers
- Activity allocation (in this case based on ton-miles) for SmartWay Value by mode
- average payload, density and load percent

A variety of calculated annual performance metrics are also shown, including:

- mass emissions in short tons for all pollutants
- grams per mile for all pollutants
- grams per ton-mile for all pollutants

Percentage changes are also indicated for each of these items, relative to the earlier year baseline values. Note that all comparisons are at the aggregated Partner level rather than the company level.

Visit the SmartWay Portal

You may select the Visit the SmartWay Portal button which will open a web browser to the login page of the **EPA SmartWay Portal** (**Figure 72**).

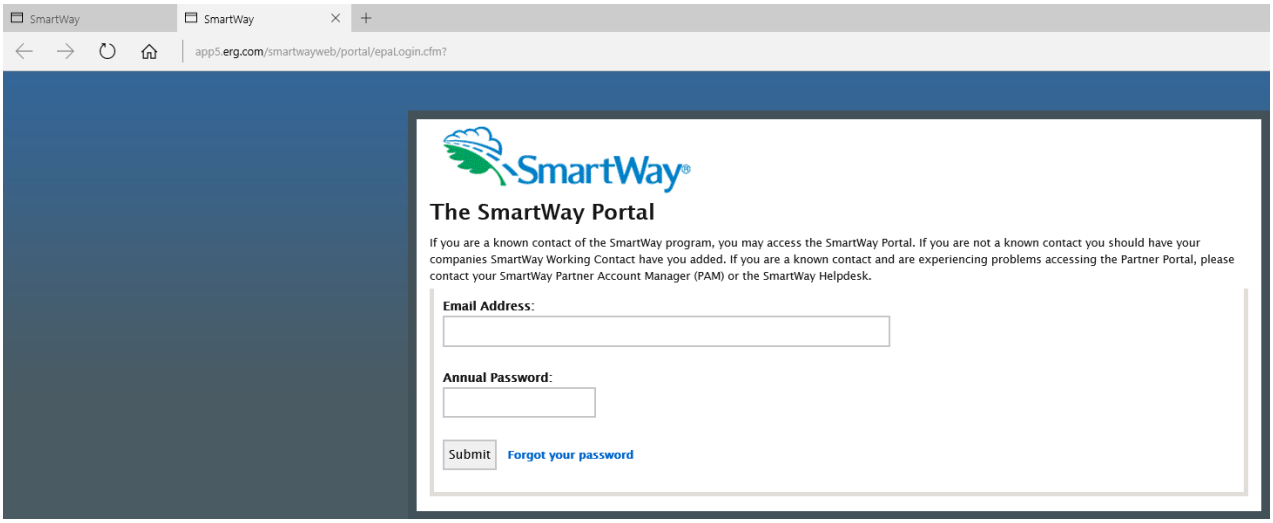


Figure 72: SmartWay Portal Login Page

Please visit https://www.epa.gov/smartway/smartway-shipper-partner-tools-and-resources for additional resources, including printable data collection worksheets, technical documentation, and the **Data Import/Export Guide**.

Troubleshooting the Tool

Although the revised SmartWay Tools have been tested extensively, you may encounter errors. Intermittent errors have been encountered when opening the Tools directly from an e-mail or from the SmartWay website rather than from a drive, or when multiple Excel files are open simultaneously. If you encounter an error during use of the Tool, try restarting it directly from a disk drive, with all other Excel files closed. In addition, make sure that your computer is using a system and application version validated for use with the SmartWay 2013 Tools (Windows XP or later operating system, and Excel Office 2003 2007, 2010, or 2013)

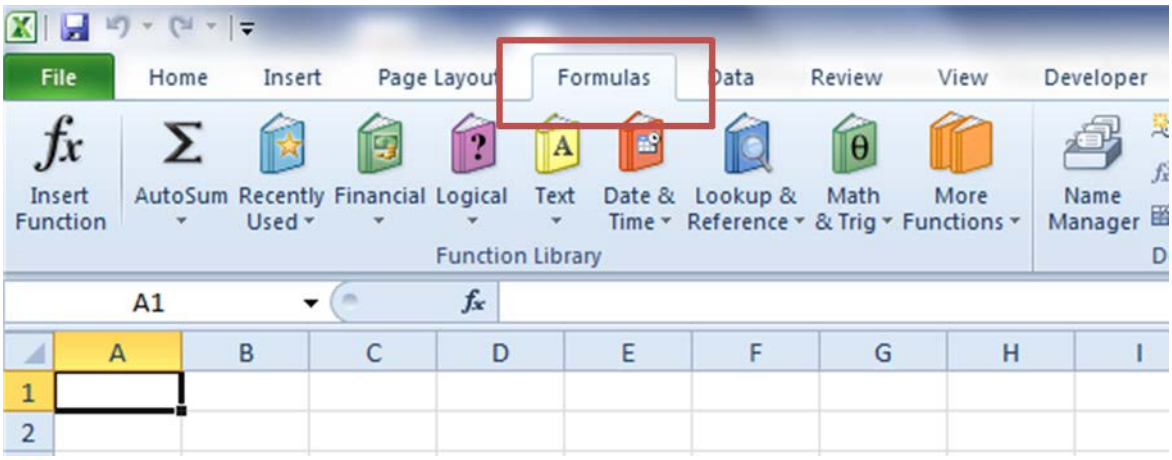
If you continue to encounter problems, please make a screen capture of the error message, and save the data at that point. (You can make a screen capture by pressing **Alt-Prt Scr**, and then pasting the image into a document such as MS Word.) Then send the screenshot, along with the saved data to your Partner Account Manager for further assistance.

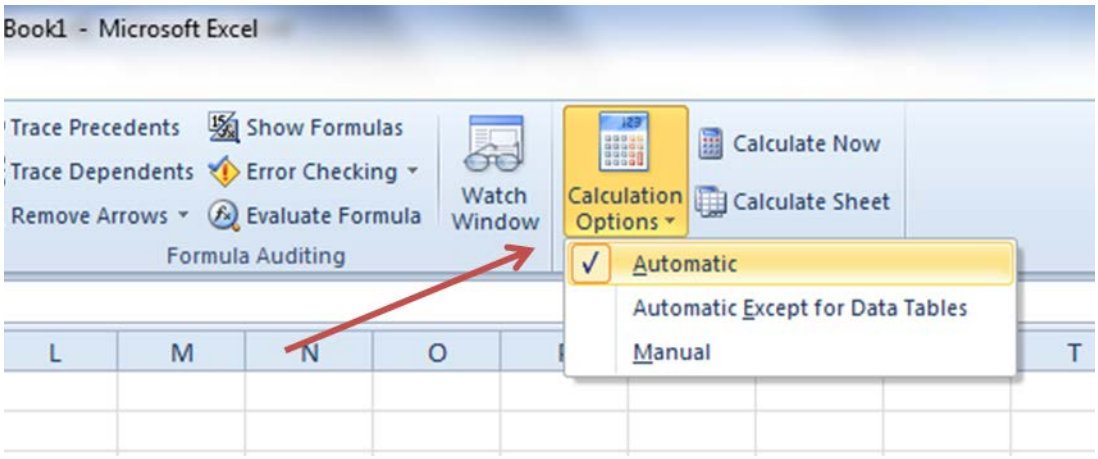
Proper Calculation Setting

By default, Microsoft Excel is set to automatically calculate formulas. If values within your Tool are not calculating automatically, then your Excel may be set to "Manual". Follow these instructions to change your Excel Calculation setting.

Office 2010 and Newer

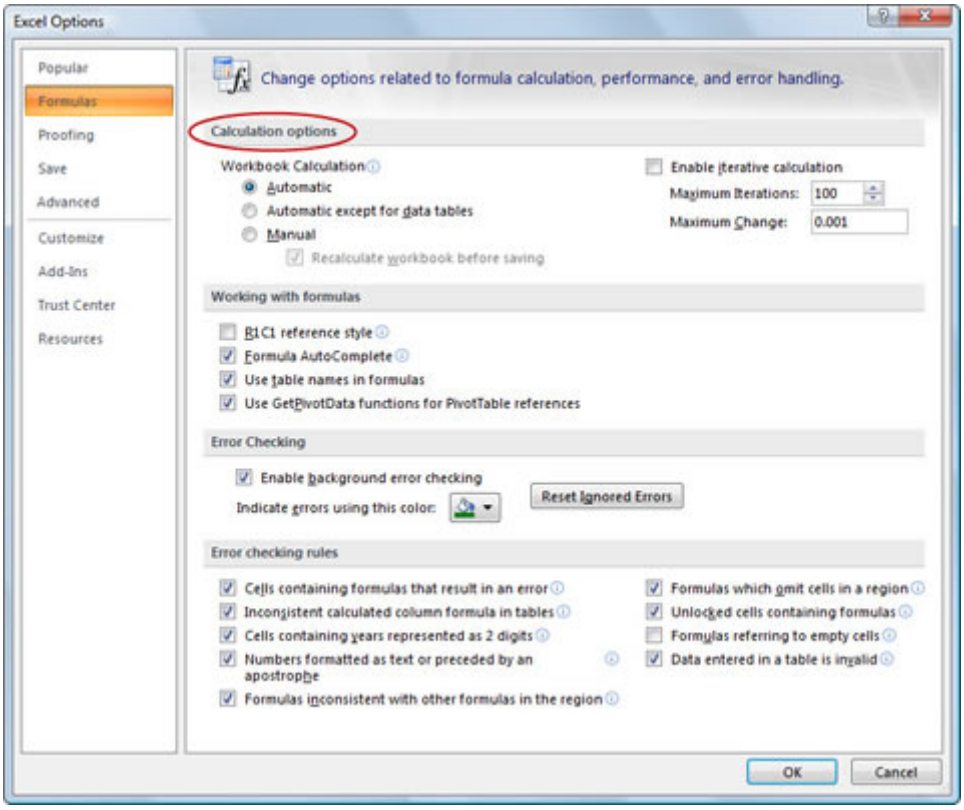
Choose the "Formulas" tab. Select the "Calculation Options" button in the "Calculation" section to view the drop-down list of options. Choose "Automatic" from the list of options to switch to automatic calculation.

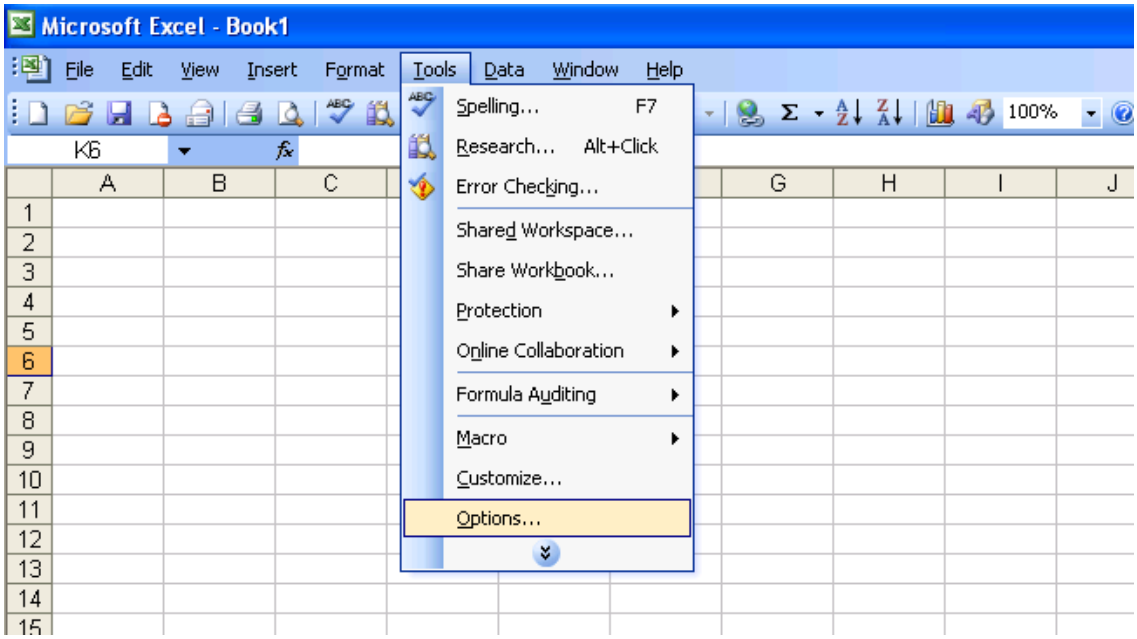
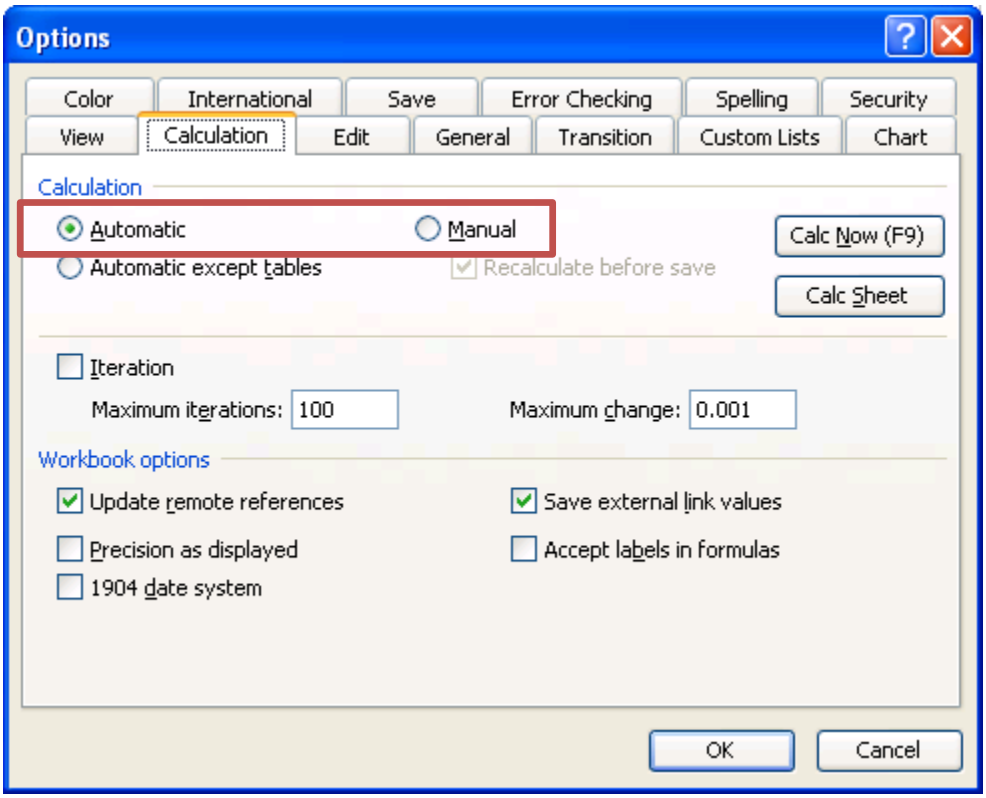




Office 2007

Select the Office button at the top left. Then select the Excel Options button and the Excel Options dialog box will appear. Select the Formulas tab and the Formulas options will appear in the right pane. Select the "Automatic" radio button in the Calculation options section.



Office 2003

From the tools menu, select “Options”. When the Options dialog box is displayed, select the “Calculation” tab. Under the Calculation section, select the “Automatic” radio button and then select “OK”.