

Multi-modal Carrier Partner Tool: Data Entry and Troubleshooting Guide 2013 Data Year - United States Version 2.0.13



Multi-modal Partner Tool: Data Entry and Troubleshooting Guide 2013 Data Year - United States Version 2.0.13

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

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Introduction

This guide is the second of two guides available to help your company participate fully in the SmartWay Transport Partnership as a Multi-modal Carrier Partner.

The first guide, the Multi-modal Carrier Tool “Quick Start Guide,” provides a basic walk-through of the process of identifying, gathering, preparing, and submitting your data using the SmartWay Multi-modal Carrier FLEET Tool. (From this point on, this guide will refer to the SmartWay Multi-modal Carrier FLEET Tool as the “Multi-modal Tool” or simply, the “Tool,” for brevity.)

The Quick Start Guide may be all you need to successfully complete the Multi-modal Carrier Tool.

This guide, the Multi-modal Carrier Tool “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 on specific topics without reading the entire guide.

In this guide, you will learn how to enter the fleet composition and activity data you collected (as mentioned Quick Start Guide and the online data entry forms it references) into the Multi-modal Carrier Tool. This guide covers:

- Downloading and setting up the Tool to run properly
 - Basic organization of the Multi-modal Carrier Tool
 - Entering your data
 - Viewing fleet performance summary data
 - Submitting data to SmartWay
 - Troubleshooting the Tool
- Appendices

WARNING!

*Completing this Tool requires a considerable amount of information about your fleet(s). There are many sections and screens to complete for each fleet. While you will have the ability to save your Tool along the way and return to it at anytime, 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 Multi-modal Carrier 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 Multi-modal Carrier Tool requires the following software and hardware:

- A 2007 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 10 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 768¹

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 Multi-modal Carrier Tool.

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

DOWNLOADING THE SMARTWAY MULTI-MODAL CARRIER TOOL

To download the Multi-modal Carrier Tool, visit: <http://www.epa.gov/smartway/forpartners/index.htm>

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


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

¹ The tool will also work at 800 x 600 resolution, but many of the screens will appear with scroll bars.

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 1**). Detailed instructions are also provided on the screen itself.

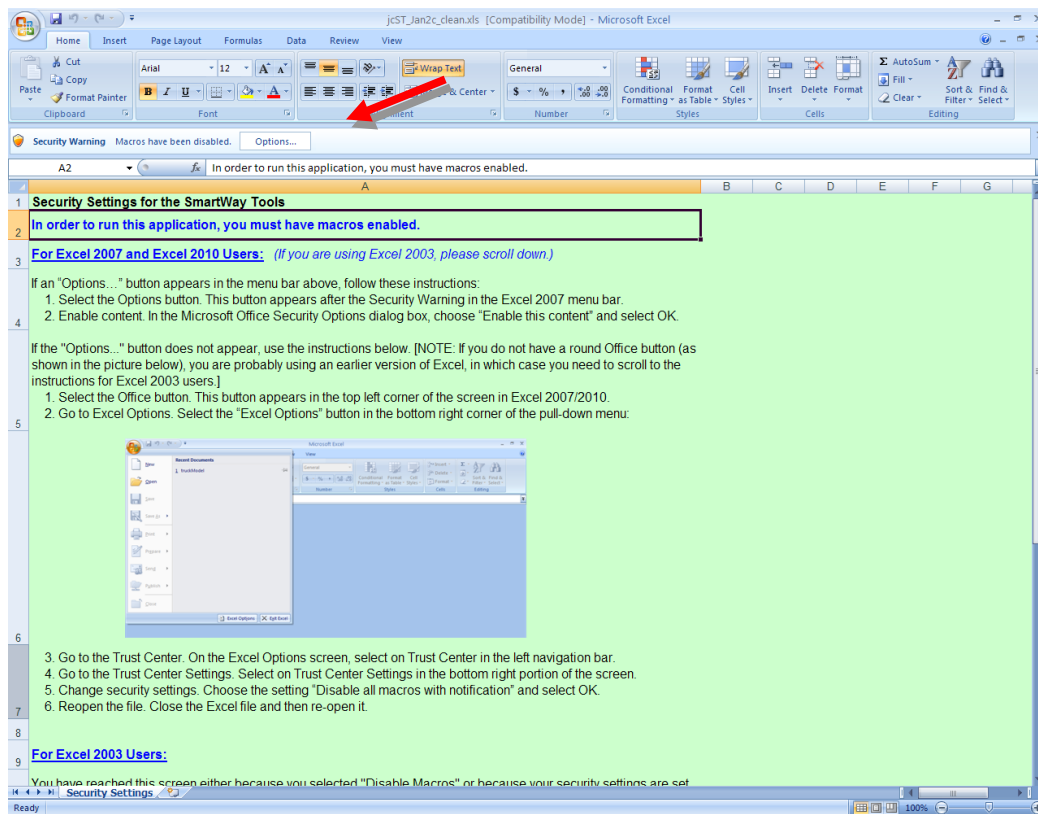


Figure 1: Security Warning Screen

- 3) In the **Microsoft Office Security Options** dialog box (**Figure 2**), choose “Enable this content” and select **OK**.

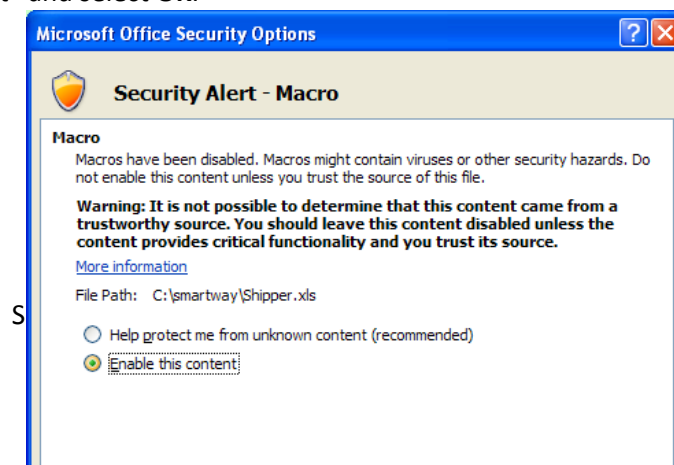




Figure 2: Security Options Dialogue Box

The **Welcome** Screen for the Truck Carrier 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  **Excel Options** button in the bottom right corner of the pull-down menu (**Figure 3A**).

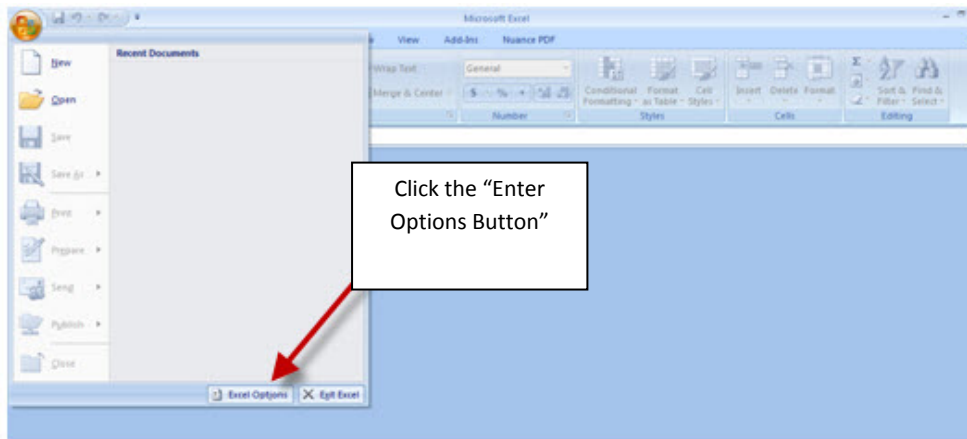


Figure 3A: Excel Options Drop-Down Menu

On the **Excel Options** screen, select **Trust Center** in the left navigation bar (**Figure 3B**):

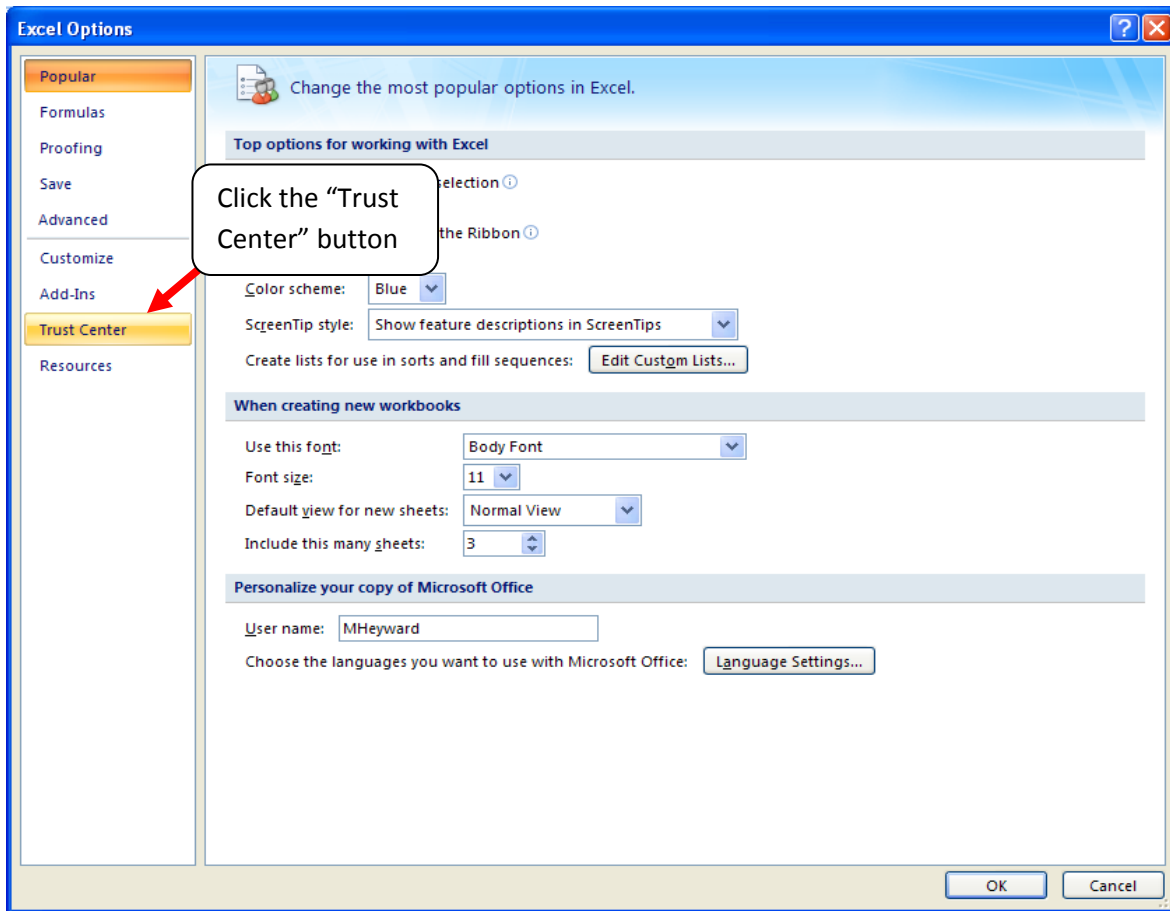


Figure 3B: Excel Options Drop-Down Menu

When the Trust Center options display opens, select **Trust Center Settings** in the bottom right portion of the screen (**Figure 4**):

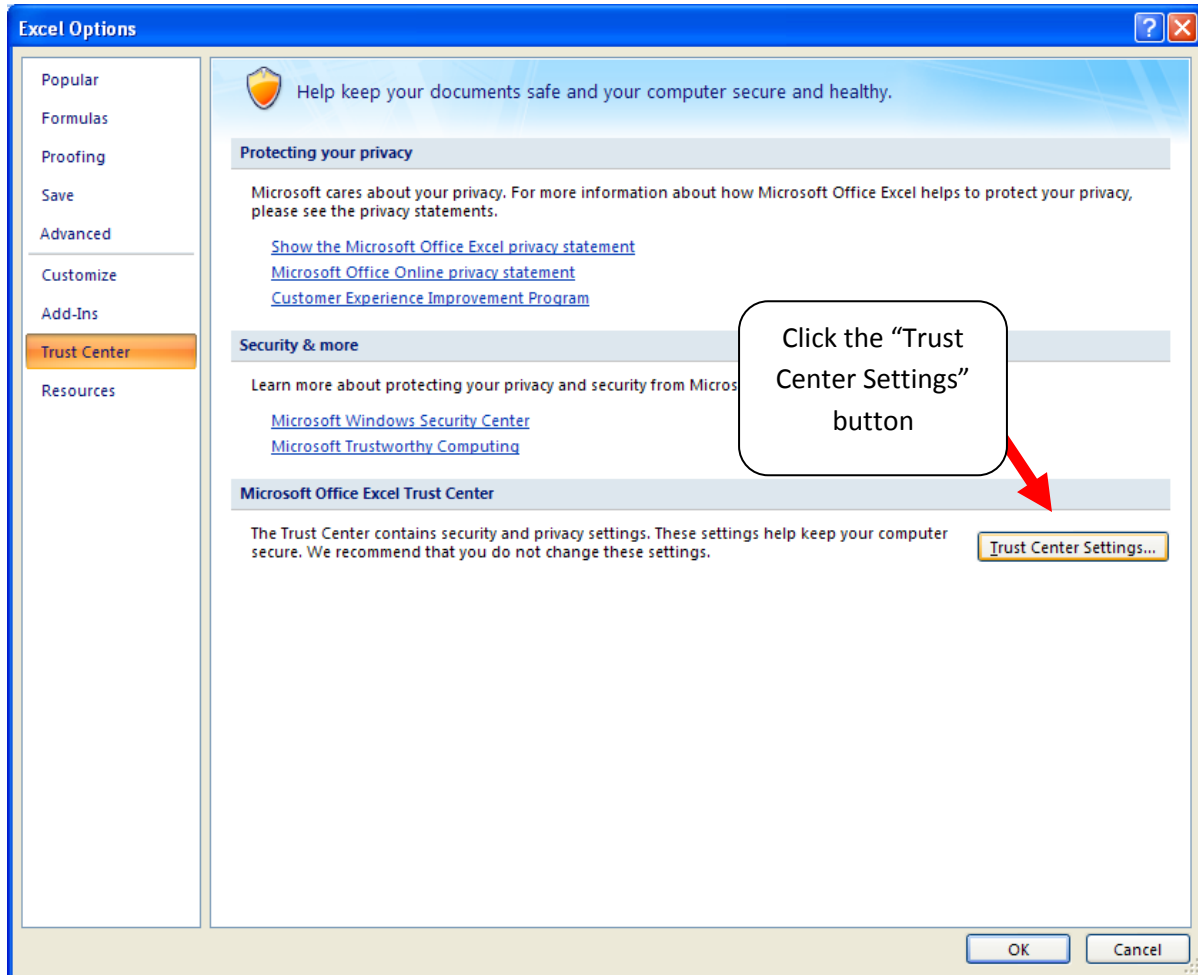


Figure 4: Trust Center Settings Screen

Choose the setting “Disable all macros with notification” (**Figure 5**) and select **OK**.

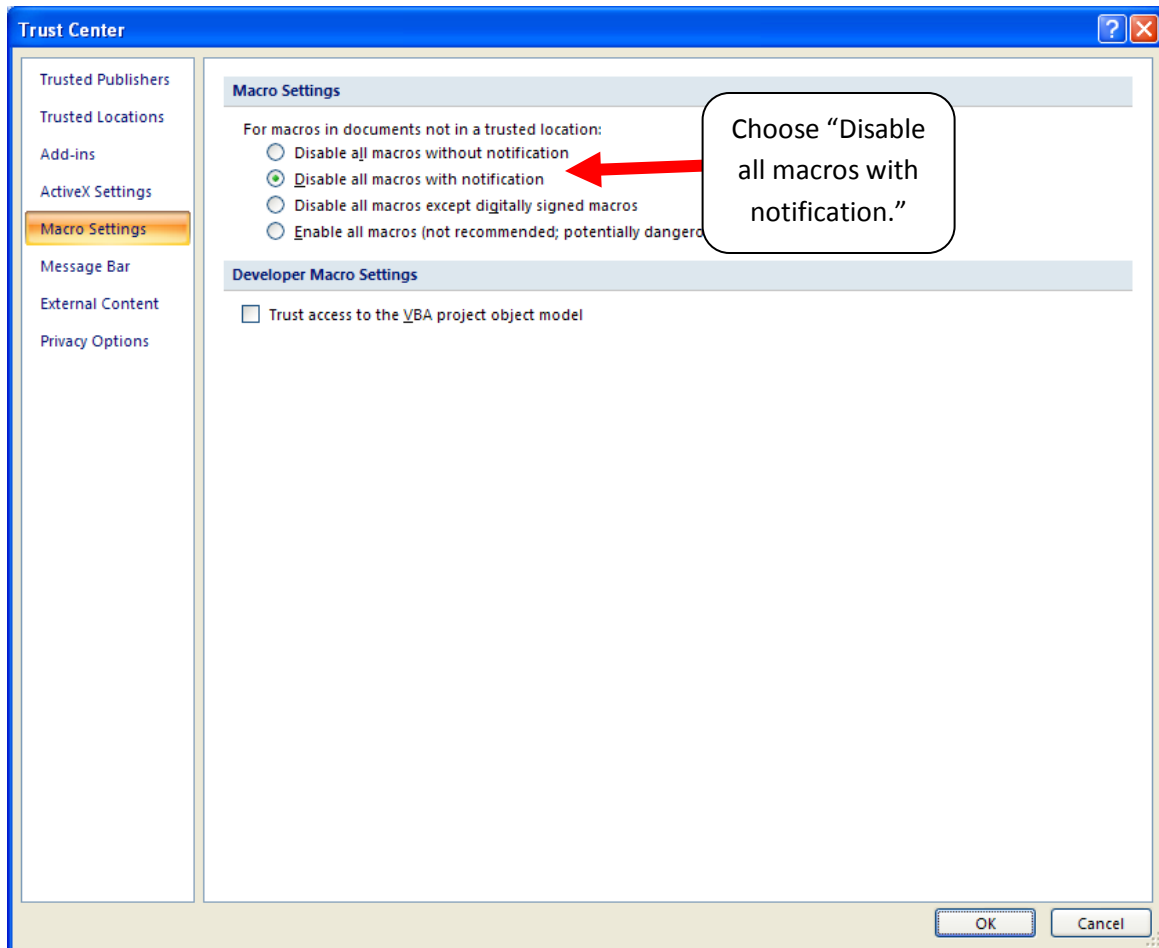


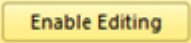
Figure 5: Macro Settings Screen

Then run the Tool.

If, at this point, the Tool does not open, review the “Software and Hardware Requirements” on page 7. 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 should enable you to run the tool without any changes. To run the tool:

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

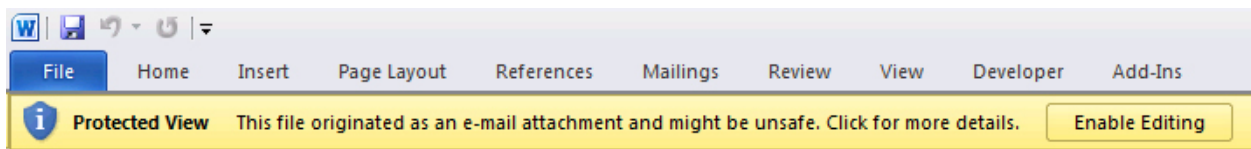
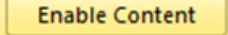
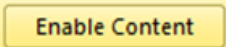


Figure 6: The Enable Editing Button

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

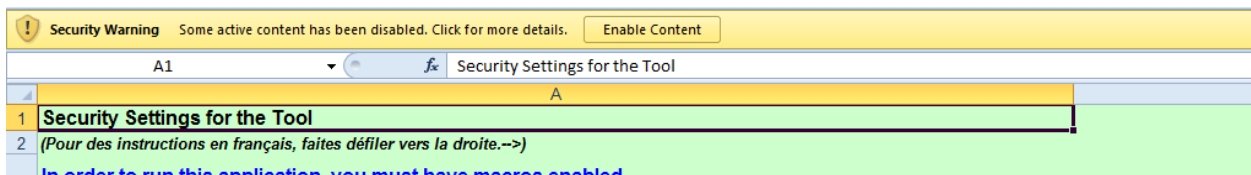
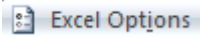


Figure 7: Security Warning Popup

If, at this point, the Tool does not open, review the “Software and Hardware Requirements” on page 7. Otherwise, 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  Excel Options button in the bottom right corner of the pull-down menu (Figure 8):

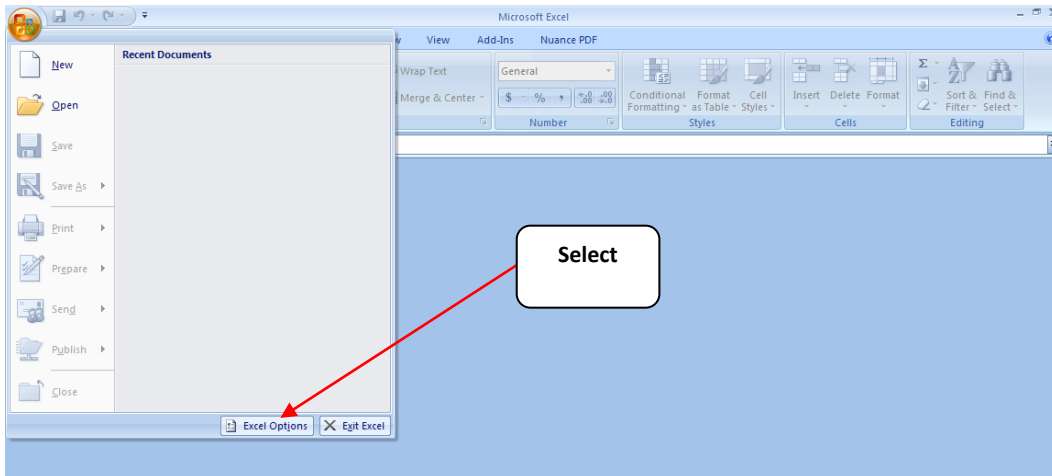


Figure 8: Excel 2010 Options Drop-Down Menu

On the Excel Options screen, select **Trust Center** in the left navigation bar (**Figure 9**):

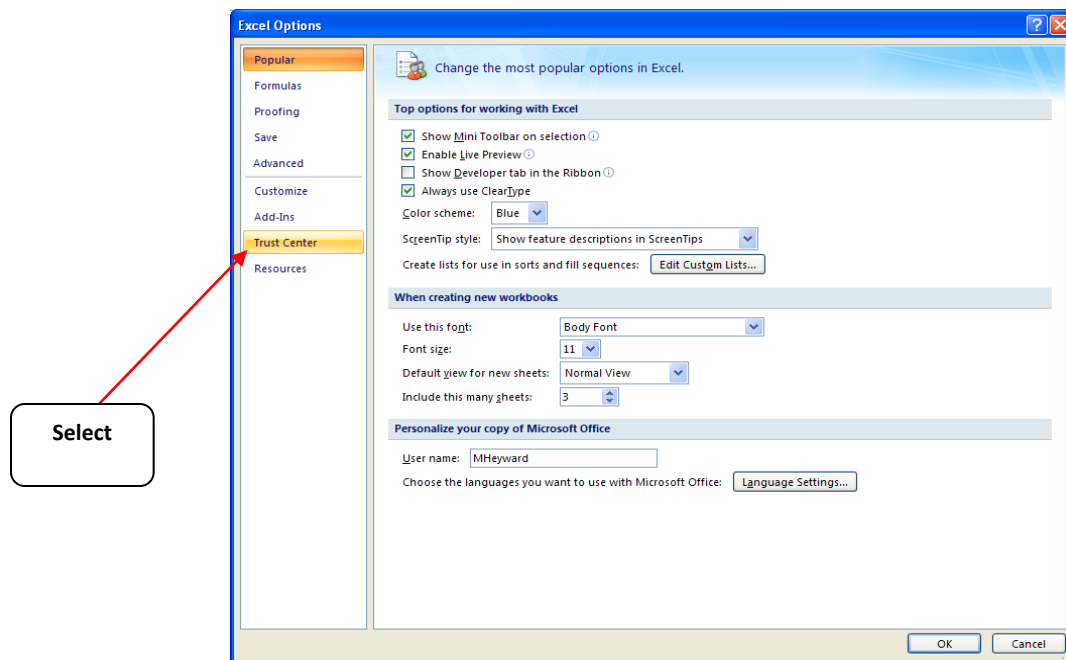


Figure 9: Excel 2010 Options Drop-Down Menu

When the Trust Center options display opens, select **Trust Center Settings** in the bottom right portion of the screen (**Figure10**):

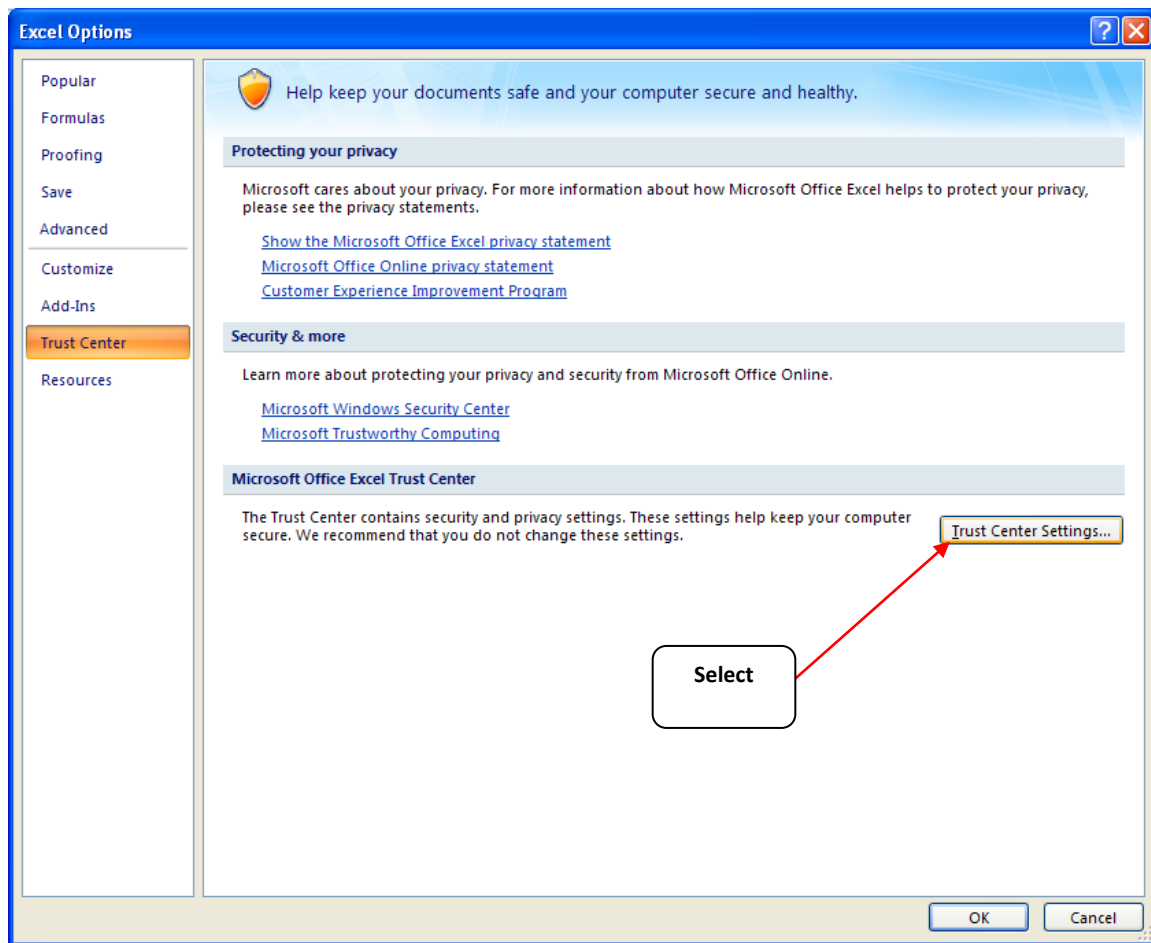


Figure 10: Trust Center Settings Screen

Choose the setting “Disable all macros with notification” (**Figure 11**) and select **OK**.

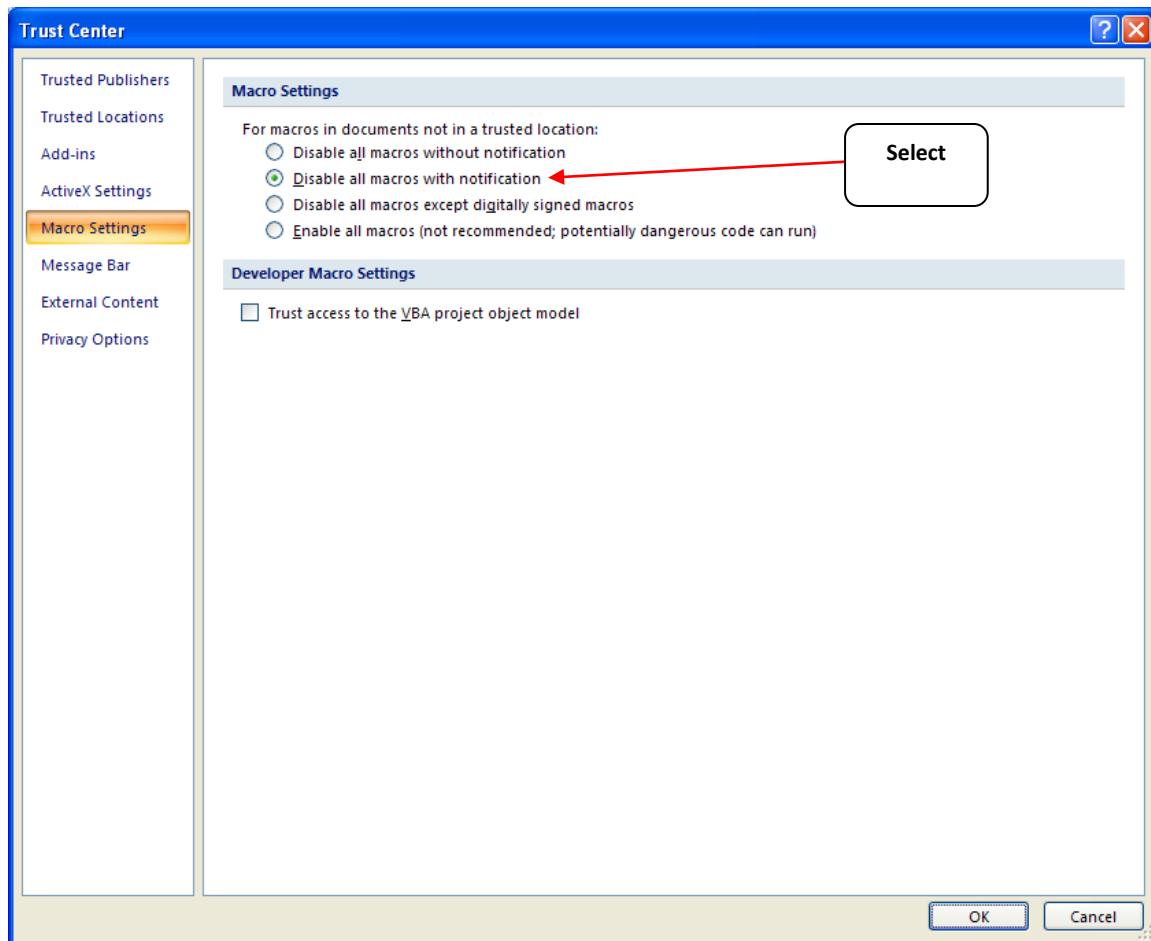


Figure 11: Macro Settings Screen

PART 2:

TOOL ORGANIZATION

Basic Organization of the SmartWay Multi-modal Carrier Tool

The Multi-modal Carrier Tool is the basis of the SmartWay Partnership for Multi-modal Carriers. Completion and submission of a Multi-modal Carrier Tool is the first step to becoming a SmartWay Multi-modal Carrier Partner. Your tool submission must be approved by EPA before you are officially a Partner.

The Multi-modal Carrier Tool is organized around

- information screens
- forms or worksheets
- reports and summaries

Each screen or form opens up within a Microsoft Excel spreadsheet. The screens generally look like the one shown here:

SmartWay Introduction

SmartWay®

Report Year 2013

Multi-modal
United States Version: 2.0.13
Released on: 06/06/2014

Introduction

Welcome to the SmartWay Multi-modal Tool. This version of the Truck Tool encompasses ground truck and rail movements.

For additional Information such as the tool user guide, technical manual or other support materials, select the button below:

[Go To Multi-modal Page of the SmartWay Website](#)

Or call the SmartWay Helpline at: (734) 214-4767
Or email the Helpline at: smartway_transport@epa.gov

Tool Help and Navigation

Throughout the tool, you will see numerous buttons. Becoming familiar with these buttons will make completing the tool easier and faster.

HELP	Provides instructions for completing each screen	NEXT	Proceed to the next screen
ADD COMMENTS	Allows you to add notes or clarifications (button becomes yellow if a comment exists)	BACK	Return to the previous screen
VALIDATE SCREEN	Checks your data input for missing or invalid information	?	Provides additional information about data entry fields
ZOOM IN	Enlarges the text on the screen	Screen Demo	Link to video instruction regarding Tool data entry and use
PRINT SCREEN	Sends an image of the screen to your default printer		

ZOOM IN **PRINT SCREEN** **NEXT** **QUIT**

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Figure 12: Opening Screen of Multi-modal Carrier Tool

The name of each form appears at the top left-hand corner of the screen, in white text on the blue window bar.

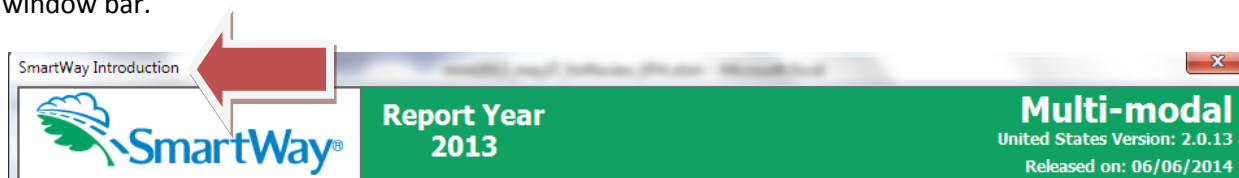


Figure 23: Screenshot of Title of Screen/Form

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); these buttons will appear in green as shown below.

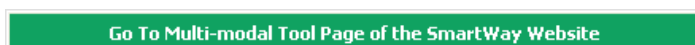


Figure 34 Screenshot of Button Link in the Tool

The screens also contain navigation buttons to direct you through the Tool.



Figure 45 Screenshot 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.

Reviewing the Introductory Screens

Before you reach your data entry section of the Tool, you will move through six introductory pages that allow you to review the basics of participation in SmartWay for Multi-modal Carriers:

- The “SmartWay Introduction” Screen
- The “Partnership Agreement” Screen
- The “Is this the Right Tool for Me?” Screen
- The “Required Information” Screen
- The “Summary Guidance” Screen
- The “US/Canada Operations” Screen

The features of these screens are described below.

THE “SMARTWAY INTRODUCTION” SCREEN

The **SmartWay Introduction** screen is the first window that appears when the Tool is opened (**Figure 16**). This screen contains a link 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.

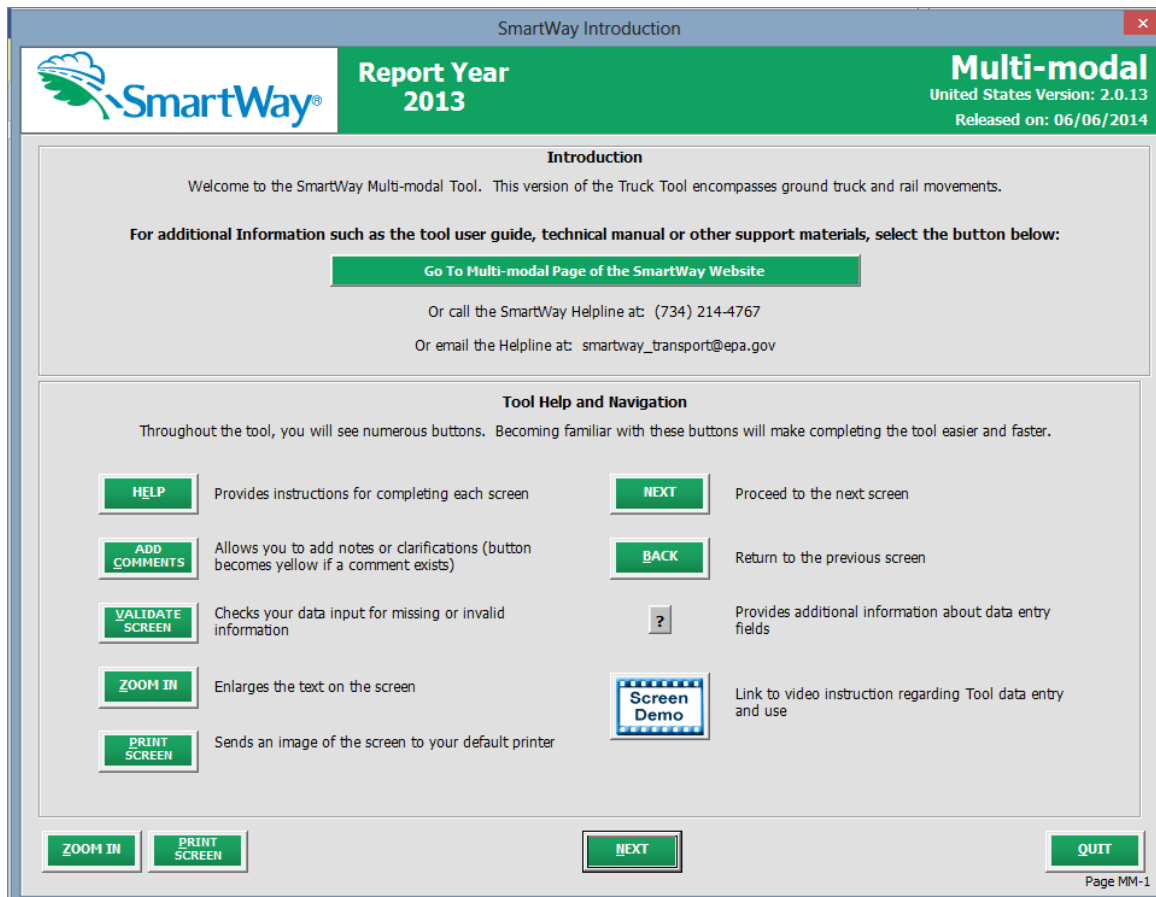



Figure 16: SmartWay Introduction Screen

THE “SMARTWAY PARTNER AGREEMENT” SCREEN

SmartWay Partnership Annual Agreement

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Released on: 06/06/2014

Partnership Annual Agreement for Carriers

With this annual agreement, your company joins EPA's SmartWay Transport Partnership and commits to:

1. Measure and report to EPA on an annual basis the environmental performance of your fleet(s) using EPA's SmartWay Tool. (Existing fleets must report the 12 months of data for the prior year ending December 31. Newly formed companies require a minimum of 3 months of operational data.)
2. Have performance results and Tool submittal status posted on the EPA SmartWay website/database.
3. Agree to submit supporting documentation to EPA for any data used to complete this Tool and agree to EPA audit of this data upon request by EPA.

In return, EPA commits to:

1. Promote company participation in the Partnership by posting Partner names on the EPA SmartWay Website and in related educational, promotional, and media materials. EPA will obtain express written consent from the Partner before using the Partner's name, other than in the context of increasing public awareness of its participation as described here.
2. Provide companies with industry-wide performance benchmark data as this data becomes available to EPA.
3. Assist Partners in achieving emission and fuel usage reduction goals (subject to Federal Government Appropriations).

General Terms

1. If the Partner or EPA defaults upon this agreement at any point, the agreement shall be considered null and void.
2. Either party can terminate the agreement at any time without prior notification or penalties or any further obligation.
3. EPA agrees not to comment publicly regarding the withdrawal of specific Partners.
4. EPA reserves the right to suspend or revoke Partner status for any Partner that fails to accomplish the specific actions to which it committed in the SmartWay Transport Partnership Agreement and subsequent annual agreements.
5. The Partner agrees that it will not claim or imply that its participation in the SmartWay Transport Partnership constitutes EPA approval or endorsement of anything other than the Partner's commitment to the program. The Partner will not make statements or imply that EPA endorses the purchase or sale of the Partner's products and services or the views of the Partner.
6. Submittal of this SmartWay Tool annually constitutes agreement to all terms in this Partnership Agreement.

No separate agreement need be submitted.


By checking the box below, I declare that the information submitted via this Tool is, to the best of my knowledge, accurate. I understand that any person who, in the course of negotiating or performing under this Agreement, makes, presents or submits a false or misleading statement to the government, or any person who makes a material omission in the course of negotiating or performing under this Agreement, may be subject to liability under all applicable civil and criminal statutes including 18 U.S.C. 1001 (criminal liability for false statements), 31 U.S.C. 3801 - 3812 (civil liability for false statements) and 31 U.S.C. 3729-33 (The False Claims Act).

☐ I understand and agree to the terms of this agreement.

ZOOM IN **PRINT SCREEN** **BACK** **NEXT** **QUIT**

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Figure 17: SmartWay Partner Agreement

After clicking the  button on the [SmartWay Introduction](#) screen, the [SmartWay Partner Agreement for Carriers](#) will appear. This screen replicates the agreement language found in Part 1 of this Users Guide series.

Submitting a SmartWay Multi-modal Carrier 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 users 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 clicking check box at the bottom of the screen.

SmartWay Multi-modal Carrier 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 name/fleet from the SmartWay Partner list.

SMARTWAY TOOL SELECTION SCREEN

SmartWay offers several Tools tailored for different business models and fleets. Most trucking companies will use the Truck Carrier Tool; however, it is advisable to review the checklist in Part 1 of the user guide series and/or this screen in the Multi-modal Carrier Tool to make sure it is the best option for your operations.

This screen provides basic information on three SmartWay tools (Truck, Logistics, and Multi-modal) appropriate for different types of trucking operations. Your choice of tool will depend primarily on your transport modes and the amount of business you contract to other companies.

Follow the flow chart in **Figure 18** to determine which Tool is most appropriate for your fleet(s).

Select the  button for further details.

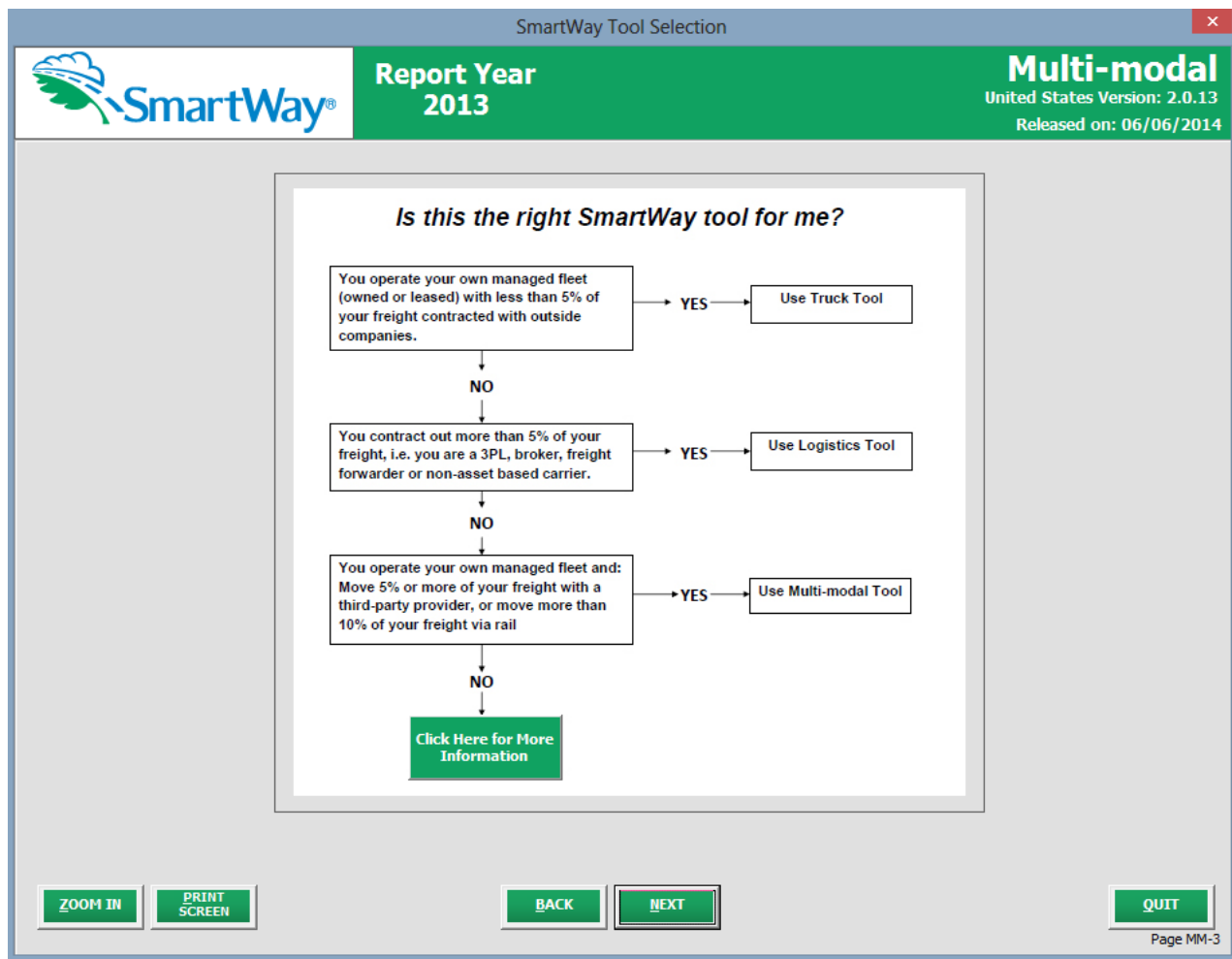


Figure 18: Determining Which Tool is Appropriate for your Fleets

This screen provides basic information on three SmartWay Tools (Truck, Logistics, and Multi-Modal) appropriate for different types of trucking operations. Your choice of Tool will depend primarily on the transport modes you utilized and the amount of business you contract to other companies.

Follow the flow chart in **Figure 18** to determine which Tool is most appropriate for your fleet(s).

Select the  button for further details.


REQUIRED INFORMATION SCREEN

The next screen summarizes the information needed to complete the Multi-modal Carrier Tool. Click



in order to retain a hardcopy for reference as you complete the rest of the Tool.

SmartWay - Required Information



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Following is a brief description of the information you will need to complete this tool. For further details, please consult the Multi-modal Tool User Guide.

Partner Information

- Company Name, Address, City, State, ZIP, Country, Main Phone, Website
- Working, Executive, and Other Contact Information:
 - Name, Title, Address, City, State, ZIP, Country, Phone, Email
- SmartWay ID (for returning partners)

Company Characterization Information

- Company Names and Contacts
- Standard Carrier Alpha Codes (SCACs), Motor Carrier Numbers, DOT Numbers, NAICS Codes
- Fleet type (private/for-hire/dedicated)
- Operation Type and Body Type

Component Fleet Profile*

- Identification info
- Types of equipment
- Vehicle/Vessel use by type
- Fuel types used
- Engine information
- Total ton-miles
- Total miles

Composite Fleet Characterization

- Composite Fleet names and associated Component Fleets
- Component Fleet Allocation Percentages
- Composite Fleet SCAC and/or Motor Carrier Numbers

* Specific data required will depend on the mode selected. Items above are general guidelines.

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Figure 19: Summary of Required Input Information

SUMMARY GUIDANCE SCREEN

The next screen provides guidance regarding use of the Multi-modal Carrier Tool, including an example definition for different types of fleets defined within the Tool.

SmartWay Multi-modal Summary



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Multi-modal companies are somewhat more complicated to characterize than truck or rail only companies. Often, multi-modal services are comprised of a wide range of truck, barge, rail, and/or dray services that may be provided by the company or purchased from third-party providers by the company. To properly characterize the emission rates for multi-modal companies, one must account for this wide variety of operations and service levels.

To accomplish this, SmartWay has developed the concept of "component" and "composite" fleets.

Composite fleets are entities that your customers can hire to move their freight. For example, you may have a Truckload Division and an Intermodal Division, whereas Component fleets are fleets organized around your internal management of the company.

In the Multi-modal Tool, you will be asked to input data for all of your component fleets, which will include the fleets you own and manage as well as any hired services you purchase. Once these component fleets have been characterized, you will be asked to build your composite fleets (the ones the public sees and can hire) from your component fleets. This will attribute the appropriate weighted emission factors to your composite fleets, and demonstrate to your customers the benefits of using your multi-modal freight services.

Example: Company "J" has a Truckload Division, an Intermodal Division, and a Dray Division that the public can hire. Internally the company has its own truckload fleet, it hires a 3PL, it hires rail services, it has its own dray fleet, and it hires dray companies.

The Truckload Division's services are provided by its own truckload fleet and its hired 3PL fleet.

The Dray Division's services are provided by its own dray fleet and hired dray services.

The Intermodal Division's services are provided for by its own truckload fleet, its own dray fleet, its hired rail services, and its hired dray services.

The Partner will create these component fleets:

1. For its truckload fleet (using the Truck Tool)
2. For its dray fleet (using the Truck Tool)
3. For its 3PL fleet and hired dray operations (using the Logistics Tool)
4. For its rail fleet (using the Rail Tool)

The Partner will then assign the appropriate operations of these component fleets to create the composite fleets that the public can hire.

A. Composite Fleet One (Truckload Division): 60% of its truckload fleet, 70% of its 3PL fleet

B. Composite Fleet Two (Intermodal Division): 40% of its truckload fleet, 30% of its 3PL fleet, 100% of its hired rail, 80% of its hired dray fleet, and 40% of its own dray fleet

C. Composite Fleet Three (Dray Division): 20% of its hired dray fleet, 60% of its own dray fleet

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PRINT

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Figure 20: Summary of Required Input Information

THE US/CANADA OPERATIONS SCREEN

The last screen asks for information about any operations you have in both the US and Canada.

SmartWay US / Canadian Operations

SmartWay® **Report Year 2013** **Multi-modal**
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Released on: 06/06/2014

The SmartWay Transport Partnership is now being administered in the United States and Canada. The Partnership operates the same in both countries, allowing partners to submit one tool for all of their US-Canada operations. Partners will be recognized by both national programs and will be listed on both the US and Canadian SmartWay websites. The US and Canadian SmartWay tools produce the same output results, however the Canadian tools use metric rather than English measurements and are available in French as well as English.

Partners should submit to the country where their headquarters is geographically located.

If unsure about which country to which you should submit, please contact either national SmartWay Program for assistance.

United States: <http://www.epa.gov/smartway/>
Canada: <http://www.smartway.nrcan.gc.ca>

To allow the United States and Canada to determine country-specific impacts for internal tracking purposes, please answer the following question about your freight operation. This answer is not used in any calculations regarding your score so therefore can be approximate.

Please indicate the percentage of your overall fuel consumed in the United States and Canada.

% Fuel consumed in the United States
 % Fuel consumed in Canada

ZOOM IN **PRINT SCREEN** **BACK** **NEXT** **ADD COMMENTS** **QUIT** Page MM-7

Figure 21: US/Canadian Operations Screen

The SmartWay Transport Partnership is now being administered in both the United States and Canada. The Partnership operates the same way in both countries; however, data collection for Canadian Partners is collected in metric units and there are French translations of all Tool screens and guidance.

If your company operates in both the United States and Canada, note that you should **ONLY SUBMIT ONE TOOL**. You may select either the US Tool or the Canadian Tool, and your Partnership participation will be recognized in both countries. If unsure about which country to which you should submit, you may contact either national SmartWay Program for assistance. Use the following program links:

United States: <http://www.epa.gov/smartway/>

Canada: <http://www.smartway.nrcan.gc.ca>

To allow the United States and Canada to accurately determine the impacts of freight operations in each country, you are asked to complete a single screen indicating the approximate percentage of your total fuel consumption that is US-based vs. Canada-based.

-

Once you have navigated through the six introductory screens, you will be taken to the SmartWay Multi-modal Carrier Tool [Home](#) screen.

Basic Overview of How to Complete the Tool

All data entry screens are reached by starting with the [Home](#) screen.

Figure 22 displays the structure of the [Home](#) screen.

The screenshot shows the 'SmartWay Multi-modal: Home' window. At the top, there's a header with the SmartWay logo, 'Report Year 2013', and 'Multi-modal United States Version: 2.0.13 Released on: 06/06/2014'. Below the header, a message says 'Please complete the following steps. For more information, select the 'Help' button.' The main area contains a list of 10 steps, each with a checkbox and a description. Steps 2, 4, 6, 7, 8, 9, and 10 are represented by green buttons. Step 5 has a large empty text box. At the bottom, there are buttons for BACK, ZOOM IN, PRINT SCREEN, SAVE, QUIT, and HELP. The page number 'Page MM-8' is in the bottom right corner.

SmartWay Multi-modal: Home

SmartWay

Report Year 2013

Multi-modal
United States Version: 2.0.13
Released on: 06/06/2014

Please complete the following steps. For more information, select the 'Help' button.

- ☐ 1. Enter Partner Name (Exactly as it should appear on the SmartWay website):
- ☐ 2. [Go To Contact Information Screen](#)
- ☐ 3. Define Your Component Fleets
- ☐ 4. [Download Latest SmartWay Carrier Data File](#)
- ☐ 5. Select Component Fleet for Data Entry
- ☐ 6. [Define your Composite Fleets](#)
- ☐ 7. [Partner Profile / Logo Info / Suggestions](#)
- ☐ 8. [Review Year-to-Year Comparison](#)
- ☐ 9. [Go To Reports Menu](#)
- ☐ 10. [Generate File to Send to EPA](#)

[BACK](#) [ZOOM IN](#) [PRINT SCREEN](#) [SAVE](#) [QUIT](#) [HELP](#)

Page MM-8

Figure 22: 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 component fleet(s) by mode;
- 4) Download the latest SmartWay Carrier data file;
- 5) Enter data to characterize your component fleet(s);
- 6) Define your composite (multi-modal) fleet(s);
- 7) Enter partner profile, logo information, and suggestions;
- 8) Review year-to-year comparisons;
- 9) View results of your data entry; and
- 10) Create final version to submit to EPA.

SECTIONS OF THE TOOL

The Multi-modal Carrier Tool [Home](#) screen contains **ten sections**. Each section links to additional screens or worksheets within the Tool which are described below:


1. **Enter Partner Name:** Here you will enter the name of your organization, exactly as it should appear on the Partner Listing of the SmartWay Web site.
2. **Enter Contact Information**
 - a. **Go To Contact Information Screen:** This button takes you to a screen that asks for general company contact information, a working SmartWay point of contact, and an executive-level contact. Additional contacts may also be included.
3. **Define your Component Fleets**
 - a. **Choose a Carrier Mode:** Select the mode(s) of interest. The Multi-modal Carrier Tool currently allows users to define truck, logistics, barge and rail component fleets.
 - b. When you select a Carrier mode, the software will automatically display screens where you will define all of the fleets your company operates in each transport mode. You will provide information describing the operation of those fleets.
4. **Download SmartWay Carrier File**
 - a. **Download Latest SmartWay Carrier File:** Select this button to download the latest SmartWay Carrier performance data for use with logistic component fleets.
5. **Select Component Fleet for Data Entry**
 - a. **View or change information for the selected component fleet:** Select a component fleet to provide the activity, performance and fleet composition information necessary to calculate the efficiency metrics for your carrier fleet.
6. **Define Your Composite Fleets**
 - a. **Define Your Composite Fleets:** This selection will allow you to identify your composite fleets (made up of one or more of your component fleet) and to allocate total annual mileage and ton-miles across the corresponding component fleets. For example, a “composite fleet” representing intermodal services might include three component fleets – one logistics carrier and two truck carrier companies.
7. **Partner Profile / Logo Info / Suggestions:** In this optional step you can provide information about your company’s environmental accomplishments as well as potential use of the SmartWay Logo, and give EPA feedback about the SmartWay Program.
8. **Review Year-to-Year Comparison:** This optional step allows you to compare previous year data entries to one another or 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 fleet performance over time.
9. **View Reports:** Here you can see final summaries of your data including:
 - a. **Go to Report Menu:** This button will display a reports menu screen which has multiple options for viewing and printing all of the data, as well as performance data for either your Component Fleets or your Composite Fleets.
- 10.

11. Create Final Version

- a. **Generate File to Send to EPA:** This button creates a version of the Tool (in XML format) for you to send as an attachment in an e-mail to your Partner Account Manager (PAM). Selecting the **OK** button on this screen does **not** automatically submit the file to EPA; you still need to submit it to EPA by attaching it in an e-mail.

ENTERING YOUR DATA

The first six sections of the Home screen are mandatory, and should be completed in order These sections comprise all the data collection steps needed to complete your SmartWay Multi-modal Carrier 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 Truck Carrier 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  button that appears at the bottom of all screens (including the Home screen). EPA recommends saving your data frequently if you are entering information for large numbers of fleets and/or vehicle classes.

REVIEWING YOUR DATA

Each screen within the Tool has a  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  button, identify the report of interest using the Reports Menu, and print them out for review. The data reports are discussed further in the  section of this guide.

PROVIDING PARTNER PROFILE / LOGO INFORMATION / SUGGESTIONS INFORMATION

The Multi-modal Carrier Tool includes an optional section that allows you to provide EPA with additional information regarding your company's environmental stewardship, potential use of the SmartWay Logo, and general feedback regarding the SmartWay program.

SUBMITTING DATA TO SMARTWAY

Detailed instructions on properly submitting your data to EPA is included in this guide on page 66

PART 3:

SECTION-BY-SECTION

DATA ENTRY GUIDANCE

Entering Your Data

*You should complete the first six sections of the [Home](#) screen (see Figure 23) [in order](#).
The next six sections of this guide explain how to enter your data on each of the
required and optional screens.*

SECTION 1 DATA ENTRY: ENTER PARTNER NAME

- Enter the name of your organization, exactly as it should appear on the Partner Listing of the SmartWay Web site.
- Note that the reporting year for your data entry is shown next to “Report Year” to the right of the Partner name.

The screenshot displays the 'SmartWay Multi-modal: Home' window. The top header is green and contains the SmartWay logo, 'Report Year 2013', and 'Multi-modal United States Version: 2.0.13 Released on: 06/06/2014'. Below the header, a message states: 'Please complete the following steps. For more information, select the 'Help' button.' The main area lists ten numbered steps, each with a checkbox and a button or text field. Step 1, 'Enter Partner Name (Exactly as it should appear on the SmartWay website):', is the active step, featuring a large text input field. A red callout box with the text 'Enter Name Here' and an arrow points to this input field. Other steps include 'Go To Contact Information Screen', 'Define Your Component Fleets', 'Download Latest SmartWay Carrier Data File', 'Select Component Fleet for Data Entry', 'Define your Composite Fleets', 'Go To Reports Menu', 'Partner Profile / Logo Info / Suggestions', 'Generate File to Send to EPA', and 'Review Year-to-Year Comparison'. At the bottom, there are buttons for 'BACK', 'ZOOM IN', 'PRINT SCREEN', 'SAVE', 'QUIT', and 'HELP'. The page number 'Page MM-8' is visible in the bottom right corner.

Figure 23: Step 1 – Enter Partner Name

SECTION 2 DATA ENTRY: ENTER COMPANY AND CONTACT INFORMATION

From the [Home](#) screen, select the **Go To Contact Information Screen** button.

The screenshot shows the 'SmartWay Multi-modal: Home' window. The header includes the SmartWay logo, 'Report Year 2013', and 'Multi-modal United States Version: 2.0.13 Released on: 06/06/2014'. Below the header, a message says 'Please complete the following steps. For more information, select the 'Help' button.' A list of steps follows:

- ☒ 1. Enter Partner Name (Exactly as it should appear on the SmartWay website): [Multi-Modal 1, Inc.]
- ☐ 2. **Go To Contact Information Screen** (highlighted with a red arrow and 'Select this' text)
- ☐ 3. Define Your Component Fleets [dropdown menu] ?
- ☐ 4. Download Latest SmartWay Carrier Data File
- ☐ 5. Select Component Fleet for Data Entry ?
- ☐ 6. Define your Composite Fleets ?
- ☐ 7. Partner Profile / Logo Info / Suggestions
- ☐ 8. Review Year-to-Year Comparison
- ☐ 9. Go To Reports Menu
- ☐ 10. Generate File to Send to EPA ?

At the bottom are buttons: BACK, ZOOM IN, PRINT SCREEN, SAVE, QUIT, and HELP. The page number 'Page MM-8' is in the bottom right corner.

Figure 24: Accessing the Contact Information 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

SmartWay: Contact Information

Partner Information Working Contact Executive Contact Other Contacts

Address1* 645 Ocean Way

Address2 Suite 203

City* Austin State* TX ZIP* 78731 Country* USA

Main Phone* 512-555-5555 Toll Free

Web Site www.MM1.com **Show**

There must be at least two different people that SmartWay can contact. The Working Contact is the person assigned to work directly with EPA regarding timely and accurate Tool submission, and maintaining direct communication with SmartWay.

The Executive Contact is the company executive who is responsible for agreeing to the requirements in the SmartWay Partnership Annual Agreement and ensuring timely submission of the Tool to SmartWay. The Executive Contact should be a Vice President or higher-level representative for the company.

Working Contact: ?

Name Mr. First* Glenn MI Last* Johnson

Title* VP Operations

Executive Contact: ?

Name Mr. First* Jack MI Last* Shephard

Title* CEO

* - Required

NEXT ZOOM IN PRINT SCREEN HOME VALIDATE SCREEN HELP

Page MM-9

Figure 25: 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 fleet data; completing and updating the Tool itself; maintaining direct communication with SmartWay; and keeping interested parties within the company apprised of

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


3. Enter the Executive Contact name and title

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

Under the Working Contact tab:

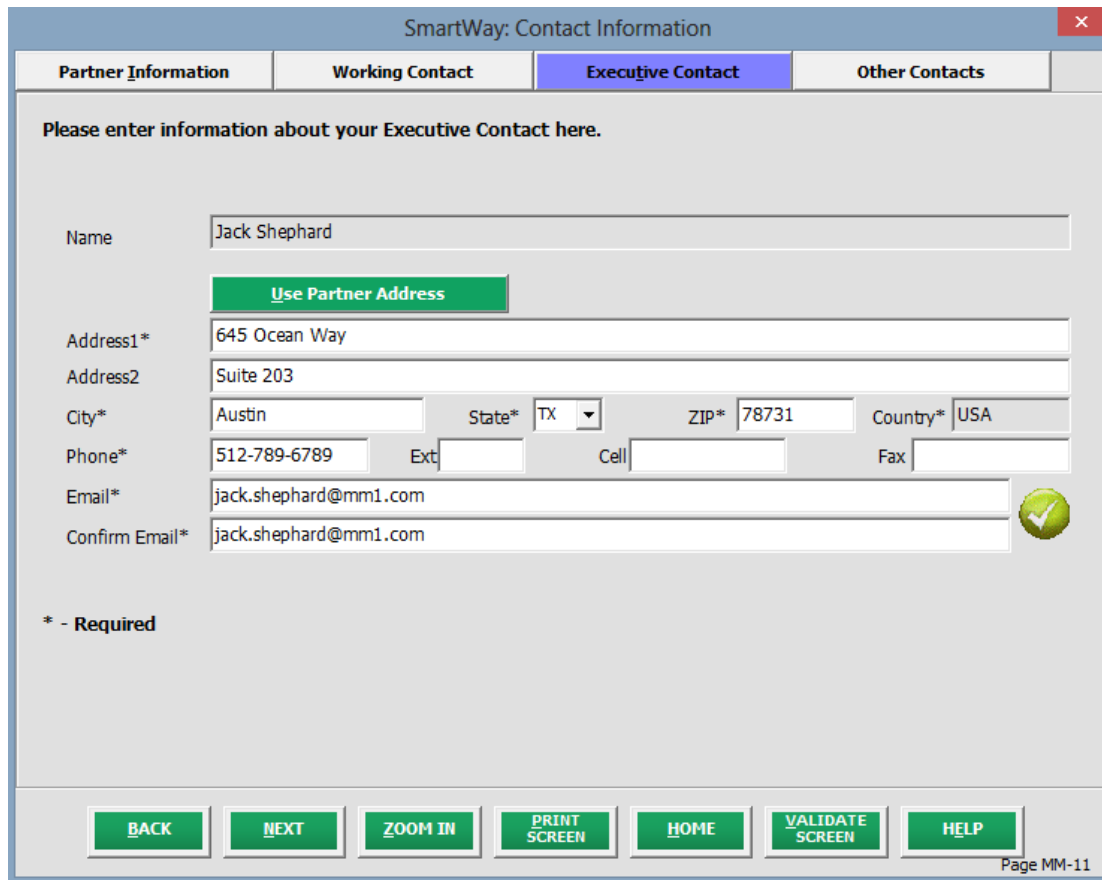
The screenshot shows a web application window titled "SmartWay: Contact Information". It has four tabs: "Partner Information", "Working Contact" (which is selected and highlighted in blue), "Executive Contact", and "Other Contacts". Below the tabs, a message says "Please enter information about your Working Contact here." The form contains several fields: "Name" with the value "Glenn Johnson"; a green button labeled "Use Partner Address"; "Address1*" with "645 Ocean Way"; "Address2" with "Suite 203"; "City*" with "Austin", "State*" with a dropdown menu showing "TX", "ZIP*" with "78731", and "Country*" with "USA"; "Phone*" with "512-444-4444", "Ext" with "212", "Cell" with "512-777-7777", and "Fax" with "512-888-8888"; "Email*" with "glenn.johnson@mm1.com"; and "Confirm Email*" with "glenn.johnson@mm1.com". A green checkmark icon is visible to the right of the email fields. At the bottom left, it says "* - Required". At the bottom right, there are several green buttons: "BACK", "NEXT", "ZOOM IN", "PRINT SCREEN", "HOME", "VALIDATE SCREEN", and "HELP". The page number "Page MM-10" is in the bottom right corner.

Figure 26. Working Contact Information Screen

1. Enter the Working Contact information. If the Working Contact shares the same address as the company, you may select the  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:



SmartWay: Contact Information

Partner Information Working Contact **Executive Contact** Other Contacts

Please enter information about your Executive Contact here.

Name Jack Shephard

[Use Partner Address](#)

Address1* 645 Ocean Way

Address2 Suite 203

City* Austin State* TX ZIP* 78731 Country* USA

Phone* 512-789-6789 Ext Cell Fax

Email* jack.shephard@mm1.com

Confirm Email* jack.shephard@mm1.com

* - Required

BACK NEXT ZOOM IN PRINT SCREEN HOME VALIDATE SCREEN HELP


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Figure 27. Executive Contact Information Screen

1. 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:

The image shows a software window titled "SmartWay: Contact Information". It has four tabs: "Partner Information", "Working Contact", "Executive Contact", and "Other Contacts". The "Other Contacts" tab is selected and highlighted in blue. Below the tabs, there is a text prompt: "Please enter information about your additional contacts here." followed by the label "Other Contacts:". Underneath this label is a large, empty rectangular text input box. Below the input box are three green buttons with white text: "Add New Contact", "Edit Selected Contact", and "Delete Selected Contact". At the bottom of the window, there is a navigation bar with five green buttons: "BACK", "ZOOM IN", "PRINT SCREEN", "HOME", and "HELP". The text "Page MM-12" is visible in the bottom right corner of the window.

Figure 28. Other Contact Information Screen


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

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


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

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




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: DEFINE YOUR COMPONENT FLEETS

Understanding Component and Composite Fleets:

Multi-modal companies are somewhat more complicated to characterize than truck, rail or barge-only companies. Often, multi-modal services are comprised of a wide range of truck, rail, barge, and/or dray services that may be provided by the company or purchased from third party providers by the company. To properly characterize the emission rates for multi-modal companies, one must account for this wide variety of operations and service levels.

Note: Multi-modal rail freight is defined as any freight transported by a multi-modal carrier, which may include intermodal containers as well as other cargo configurations such as boxcars, tanker cars, etc.

To accomplish this SmartWay has developed the concept of “component” and “composite” fleets.

Composite fleets are entities that your customers can hire to move their freight. For example you may have a Truckload Division and an Intermodal Division, whereas **Component fleets** are organized around your internal management of the company.

In the Multi-modal Carrier Tool you will be asked to input data for all of your component fleets which will include those you own and manage as well as any hired services you purchase. Once these component fleets have been characterized you will be asked to build your composite fleets (the ones the public sees and can hire) from your component fleets. This process will attribute the appropriate weighted emission factors to your composite fleets, and demonstrate to your customers the benefits of using your multi-modal freight services.

Example: Company “J” has a Truckload Division, an Intermodal Division, and a Dray Division that the public can hire. Internally the company has its own truckload fleet, it hires a 3PL, it hires rail services, it has its own dray fleet, and it hires dray companies.

The Truckload Division's services are provided by its own truckload fleet and its hired 3PL fleet.

The Dray Division's services are provided by its own dray fleet and hired dray services.

The Intermodal Division's services are provided for by its own truckload fleet, its own dray fleet, its hired rail services, and its hired dray services.

Therefore the partner defines the following component fleets:

1. For its truckload fleet (using the Truck Mode selection)
2. For its dray fleet (using the Truck Mode selection)
3. For its 3PL fleet and hired dray operations (using the Logistics Mode selection)
4. For its rail operations (using the Rail Mode selection)

The partner will then assign the appropriate operations of these component fleets to define the composite fleets that the public can hire:

Composite Fleet One: Truckload Division

60% of its truckload fleet, 70% of its 3PL fleet

Composite Fleet Two: Intermodal Division

40% of its truckload fleet, 30% of its 3PL fleet, 100% of its hired rail, 80% of its hired dray fleet, and 40% of its own dray fleet

Composite Fleet Three: Dray Division

20% of its hired dray fleet, 60% of its own dray fleet

NOTE: Drayage operations should be included in the SmartWay Multi-modal Carrier Tool if your company controls drayage movements (e.g., receives payments directly to move the freight using your own drayage trucks, or purchases drayage services directly from a third party).

Identifying Component Fleet:

On the [Home](#) screen select the pull-down menu next to "Define Your Component Fleets" to display the available component fleet modes. The Multi-modal Carrier Tool currently allows users to define truck, logistics, barge and rail component fleets. Other modes will be added to the Tool in the future, including an air module.

Note that some terminology on the Define Component Fleets screens are slightly inconsistent between the Truck Mode and the Logistics Mode, however the two modes work and act the same. For example, “fleets” within the Truck Mode are referred to as “Business Units” within the Logistics Mode.

The screenshot shows the 'SmartWay Multi-modal: Home' window. The header includes the SmartWay logo, 'Report Year 2013', and 'Multi-modal United States Version: 2.0.13 Released on: 06/06/2014'. Below the header, a message states: 'Please complete the following steps. For more information, select the 'Help' button.' The steps are listed as follows:

1. Enter Partner Name (Exactly as it should appear on the SmartWay website): Multi-Modal 1, Inc.
2. Go To Contact Information Screen
3. Define Your Component Fleets: A dropdown menu is open, showing options: Barge, Logistics, Rail, and Truck. An arrow points to the 'Logistics' option with the text 'Select here'.
4. Download Latest SmartWay
5. Select Component Fleet for Data Entry
6. Define your Composite Fleets
7. Partner Profile / Logo Info / Suggestions
8. Review Year-to-Year Comparison
9. Go To Reports Menu
10. Generate File to Send to EPA

At the bottom, there are buttons for BACK, ZOOM IN, PRINT SCREEN, SAVE, QUIT, and HELP. The page number 'Page MM-8' is visible in the bottom right corner.

Figure 29: Selecting Component Fleet Modes on Home Screen

When you select a Component Carrier Mode, a set of screens will automatically appear allowing you to characterize your fleet(s) for that mode.

There are four screens in the **Truck Fleet Characterization** section of the Tool. These screens are also common to the Logistics Mode:

1. Identify Fleets
2. Fleet Details
3. Operation Categories
4. Body Types

Screen 1: Identify Fleets is shown below for the Truck Mode below. Note that the data entry screens for Logistics Carriers contains the same required fields as for the Truck Mode, with the exception of the “95+% Control” field, as discussed below.

SmartWay: Fleet Characterization - Truck

Identify Fleets | Fleet Details | Operation Categories | Body Types

List all your fleets that your customers can specifically hire. DO NOT list internal fleet designations that are invisible to your customers. Example: ABC Trucking Inc. has two divisions; ABC Truckload and ABC Intermodal. If shippers can hire "ABC Truckload division" separately from "ABC Intermodal" Division," then list them as separate fleets; otherwise simply list "ABC Trucking, Inc."

To add fleets, select the "Add Another Fleet" button at the bottom of the screen. When you have added all your fleets, select the Fleet Details tab at the top of the screen or select the NEXT button to proceed.

Delete	Fleet (Partner Name) ?	Fleet Identifier ?	Fleet Name
<input type="checkbox"/>	1 Multi-Modal 1, Inc.	Intermodal Division	Multi-Modal 1, Inc.: Intermodal Division
<input type="checkbox"/>	2 Multi-Modal 1, Inc.	Truckload Division	Multi-Modal 1, Inc.: Truckload Division

Page T-1

Figure 30: Identifying Component Fleets

Steps for Completing "Identify Fleets" Screen

Using data collected using **Worksheet #2: Component Fleet Characterization** in the **Part II Workbook**, enter data for your first fleet:

- Fleet (Partner Name):** Each of your component fleet names will begin with the name of your company. This fleet name will be whatever you enter in the Fleet Name (Partner Name) field on the Identify Fleets screen. By default, this field is automatically populated with the first 50 characters of the Partner Name that was entered on the **Home** screen. Whatever you enter for Fleet Name for the first fleet will automatically be used for any additional fleets you add. Similarly, any edits you make to the Fleet Name for the first fleet will automatically be reflected on each subsequent fleet. Note that this field is called Company Name for Logistics component fleets.
- Fleet Identifier:** Please make sure to specify each fleet identifier name exactly as you want it displayed on the SmartWay website, including proper capitalization, any abbreviations, and punctuation. Remember that it will automatically be combined with the Fleet Name (Partner Name) field. NOTE: If you have only one fleet, you may leave the Fleet Identifier field blank, in which case your fleet name will simply be your Partner Name. Note that this field is called the Business Unit Identifier for Logistics component fleets.

Note: for each Rail fleet, you will also need to specify the Class of the associated fleet (1, 2, or 3).


Adding and Deleting Component Fleets



To enter another component fleet, select the **Add Another Fleet** button. To delete a component fleet, select the box next to the row you wish to delete, and then select the **Delete Checked Rows** button. Once you have confirmed or modified the Partner Name and specified the Fleet Identifiers, the full Fleet Names will be displayed on the screen to the right of the screen.



Adding Comments/Notes

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



Please note the  button located at the bottom 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 be highlighted in yellow on your screen and will now read  to indicate to your reviewer that there are comments to be read.

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

To proceed, select the [Fleet Details](#) tab at the top of the screen, or simply select the



Screen 2: Fleet Details is shown below for the Truck Mode below.

SmartWay: Fleet Characterization - Truck

Identify Fleets | **Fleet Details** | Operation Categories | Body Types

For each component fleet, if you control over 95% of the operation of the fleet (weighted by miles) please check the box labeled "95+% Control." "Control" means that you operate/route the fleet, regardless of ownership status. Control includes dedicated fleets that you operate for other parties. If you contract out more than 5% of a fleet's operation, return to Step 3 on the Home screen (Define Your Component Fleets) and select Logistics carrier mode option for that fleet.

For each fleet check the "Control" box and input NAICS code(s), SCAC, MCN, DOT, Fleet-type, and Fleet Contact information.

After completing the information on this screen, select the "Operations Categories" tab above or select the NEXT button at the bottom of this screen.

Fleet Name	95+% Control ?	SCAC(s) ?	MCN ?	DOT ?	Fleet Type ?	Fleet Contact ?
1: Multi-Modal 1, Inc.: Intermodal Division	<input checked="" type="checkbox"/>	ABCD	321213	5654646	For-Hire	Glenn Johnson
2: Multi-Modal 1, Inc.: Truckload Division	<input checked="" type="checkbox"/>	DAAA	987545	987545	Private/Dedicated	Jack Shephard

BACK NEXT ZOOM IN PRINT SCREEN HOME CREATE FLEET(S) SAVE VALIDATE SCREEN ADD COMMENTS HELP Screen Demo

Page T-2

Figure 31: Fleet Details (Truck Mode)

Steps for Completing "Fleet Details" Screen

Using data collected using **Worksheet #2: Component Fleet Characterization** in the **Part II Workbook**, enter data for your fleets. For each you will need to specify:

- **95% Control:** Select this box if your company controls over 95% of the operation of each fleet, weighted by miles. "Control" means that you operate/route the fleet, regardless of ownership status. Control includes dedicated fleets that you operate for other parties. If you contract out more than 5% of the fleet's operation, the Logistics mode should be selected instead for that fleet. (Note this box is not included in the [Fleet Details](#) screen for the Logistics Mode selection.)

The key question regarding definition of "control" is: Am I able to influence the fuel efficiency of the trucks, and can I collect data on the trucks? SmartWay understands that control within the trucking business exists along a continuum. On one hand, some fleets purchase their own trucks, spec, maintain, and route the trucks, and have full operational control over the trucks, for example controlling the speed the trucks are allowed to drive, when and where they can idle, etc. These fleets have a high degree of control. On the other end of the continuum, some

companies hire other parties to move the freight, and other than assigning a load with a pickup/destination point, have no interaction with the freight delivery, or ability to influence the fuel efficiency of the truck or the collection of data on the truck.

If you can actively affect the fuel efficiency of the truck and collect the data necessary on that truck to include in this Tool, you have control. SmartWay understands that there are many organizational/operational permutations in the trucking industry and there may be “gray” areas that need further clarification. If you still have questions, you may contact your assigned SmartWay Partner Account Manager or the SmartWay help line at 734-214-4767.

- **Standard Carrier Alpha Codes (SCACs):** The Standard Carrier Alpha Code is a unique 2-4 alphabetic character code used by the transportation industry to identify transportation companies. If your fleet has a SCAC, please input that information. If you have a single fleet that has multiple SCACs, enter all of the codes into the SCAC field, and separate them with commas. It is not required to enter SCAC information for each component fleet. SCACs are assigned by the National Motor Freight Traffic Association, Inc., (NMFTA). If you cannot remember your SCAC(s), please contact NMFTA before proceeding. You can find NMFTA contact information at <http://www.nmfta.org/Pages/ContactUs.aspx>.
- **Motor Carrier Number (MCN):** The Motor Carrier Number is a 5 to 7 digit number provided by the Federal Motor Carrier Safety Administration. If your fleet has a Motor Carrier Number, please input that information. It is not required to enter MCN information for each component fleet.
- **Department of Transportation (DOT) Numbers** are carrier identification number issued to all carriers in the U.S. by the Federal Motor Carrier Safety Administration, and can be up to 7 digits in length.

NOTE: Entering SCACs, MCNs, and DOT numbers are optional; however, if you have this information you are encouraged to supply it to make sure that SmartWay Shippers and Logistics companies can identify you.

- **Fleet Type:** Fleet Type is defined as the service type for your fleet. There are two options accepted by the Tool—“For-Hire” and “Private/Dedicated.” If your company has only one fleet, your “Fleet Type” selection will reflect your company’s operations as a whole. If there are multiple fleets, each will have its fleet type defined separately.
- **Fleet Contact:** This contact should be one of the contacts you already identified in the [Contact Information](#) section as the contact for each fleet. NOTE: A drop-down menu in the Tool will supply this information; if there is a contact for the fleet that is not already listed in the Contacts worksheet, you will need to go back to the [Contact Information](#) screen to add the required contact information.

Screen 3: Operation Categories is shown below.

SmartWay: Fleet Characterization - Truck

Identify Fleets Fleet Details **Operation Categories** Body Types

For each fleet, enter the percentage of total miles driven that fall into each operation category. Percentages must sum to 100 percent for each fleet.
When finished, select the "Body Types" tab above or select the NEXT button at the bottom of this screen.

Partner/Fleet Name	Operation Category (%)					Total
	Truckload	Less Than Truckload	Drayage	Package Delivery	Expedited	
1: Multi-Modal 1, Inc.: Intermodal Division	78	18			4	100
2: Multi-Modal 1, Inc.: Truckload Division	25	60	15			100

BACK NEXT ZOOM IN PRINT SCREEN HOME CREATE FLEET (2) SAVE VALIDATE SCREEN ADD COMMENTS HELP Screen Demo

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Figure 32: Operation Categories Screen

Steps for Completing "Operation Categories" Screen (Truck Mode Only):

For each component fleet, fill out the **Operation Category (%)** information by indicating the percentage of operation on a mileage basis. Operational categories include:

- **Truckload (TL)** - Truckload shipping is the movement of large amounts of homogeneous cargo, generally the amount necessary to fill an entire semi-trailer or intermodal container. A truckload carrier is a trucking company that generally contracts an entire trailer-load to a single customer.
- **Less-than-truckload (LTL)** - Less-than-truckload carriers collect freight from various shippers and consolidate that freight onto enclosed trailers for linehaul to the delivering terminal or to a hub terminal where the freight will be further sorted and consolidated for additional linehauls.

- **Drayage** - Predominantly associated with port, or rail-head connections where freight is picked up, and moved to another transfer facility or transport mode terminal. Often these moves are short in nature, but can be longer depending on specific situations.
- **Package delivery (PD)** - Covers operations characterized by residential or business package delivery/pickup consisting primarily of single or small groups of packages. It does not include larger scale pickup delivery operations that are more properly characterized as LTL operations. Common examples of this type of operation are the brown UPS and white FedEx delivery vehicles.
- **Expedited** - Time-sensitive freight shipments, with trucks typically on stand-by.

Enter the percent of each operational category based on approximate mileage. This percentage calculation does not need to be exact but should be reasonably reflective of your fleet.

Screen 4: Body Types is shown below.

SmartWay: Fleet Characterization - Truck

Identify Fleets | Fleet Details | Operation Categories | **Body Types**

For each fleet, enter the percentage of total vehicles by body type. Percentages must sum to 100 percent for each fleet.
When finished, select the CREATE FLEET(S) button at the bottom of this screen to create the data entry forms for your fleets.

Partner/Fleet Name	Body Type (%)										Total
	Dry Van	Reefer	Flatbed	Tanker	Chassis	Heavy/Bulk	Auto Carrier	Moving	Utility	Special Hauler	
1: Multi-Modal 1, Inc.: Intermodal Division	64	12			14	10					100
2: Multi-Modal 1, Inc.: Truckload Division	80		8	7						5	100

Describe

BACK ZOOM IN PRINT SCREEN HOME CREATE FLEET(S) SAVE VALIDATE SCREEN ADD COMMENTS HELP Screen Demo

Page T-4


Figure 33: Body Types Screen

Steps for Completing “Body Types” Screen (Truck Mode Only):


Next, fill out the **Body Type** fields, indicating the percentage by body type for each component fleet. Body Type categories include:

- Dry van
- Refrigerated (Reefer)
- Flatbed
- Tanker
- Intermodal chassis containers (pooled and owned)
- Heavy/Bulk hauler
- Auto carriers
- Moving
- Utility²
- Special hauler (e.g., Hopper, Livestock, and other specialized carriers)

The percentages specified can be approximate, based on vehicle populations. The percentages for each fleet must sum to 100%.

Once you are sure your information is input correctly, you may click the  button at the bottom of the page.



If, at a point later in the data entry process, you realize that you need to add a new fleet or delete an existing fleet, you can return to the [Identify Fleets](#) screen. To add a new fleet, follow all of the


instructions on the screen regarding defining your fleets, including clicking the  button. When you select this button, the system will create blank data entry forms only for the new fleet(s) you have added; the existing fleets will not be affected.

If you need to delete an existing fleet, simply check the box next to the fleet and then click the **Delete Checked Rows** button. Note that, if you have already generated data entry forms for the fleet you are deleting, the system will prompt you to confirm the deletion.

If you choose to delete a component fleet, and if you have allocated any activity to this fleet to the composite multi-modal fleets (defined under Step 6 on the [Home](#) screen) then you must re-allocate your composite fleet activity to reflect this change. Similarly, adding a new component fleet may require modifying your composite fleet activity allocations under Step 6 as well.

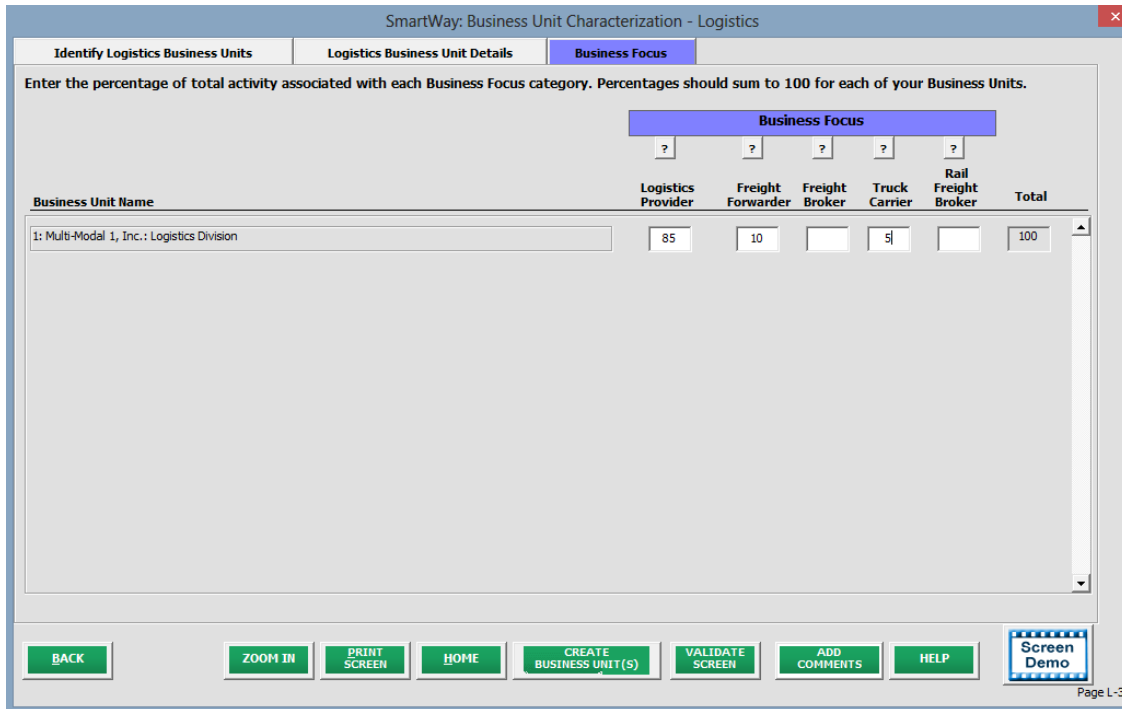
² The utility category encompasses class 2b to 8b vehicles that do not carry typical commercial freight. Examples include garbage, recycle, service, work, dump, landscape, cement, bucket, boom, ambulance, armored, fire, farm, wrecker and other similar trucks. Because these trucks do not carry traditional freight payload, the user should self-define their payloads so as to make the emissions per payload efficiency useful to the user. SmartWay will not use the emissions per payload results for the utility category. Users may experience yellow or red warning labels on the Activity screen due to the unique nature of utility “payload.” In the case of red alerts, simply input text defining your special conditions in the required text boxes that appear.

As on the other screens there is a  button as well as an  button. Clicking

 will take you back to the [Home](#) screen (see **Figure 33**). At this point you may define another component fleet following the same process, or proceed to Step 4 on the [Home](#) screen.

Data Requirements for Business Unit Focus Screen (Logistics Tool Only):

The **Business Unit Focus** screen is shown below.



SmartWay: Business Unit Characterization - Logistics

Identify Logistics Business Units | Logistics Business Unit Details | **Business Focus**

Enter the percentage of total activity associated with each Business Focus category. Percentages should sum to 100 for each of your Business Units.

Business Unit Name	Business Focus					Total
	Logistics Provider	Freight Forwarder	Freight Broker	Truck Carrier	Rail Freight Broker	
1: Multi-Modal 1, Inc.: Logistics Division	85	10		5		100

Buttons: BACK, ZOOM IN, PRINT SCREEN, HOME, CREATE BUSINESS UNIT(S), VALIDATE SCREEN, ADD COMMENTS, HELP, Screen Demo

Page L-3

Figure 34: Business Unit Focus Screen (Logistics Mode Only)

For each Logistics business unit you will need to specify the percent of total activity associated with the different Business Unit Focus categories, listed below.

- **Logistics Provider:** Logistics providers are non-asset based third parties that provide multiple, bundled logistics services. They may be involved in material management, transportation management, inbound and outbound freight, inventory management, 4PL activities, warehousing, cross dock, kitting, packaging, and sub assembly processes.
- **Freight Forwarder:** Freight forwarders are documentation specialists and consolidators of freight such as LTL (less than truckload) and LCL (less than container load). Freight forwarders normally provide pickup and delivery for domestic and international shipments, and provide the property transportation for a compensation or fee basis.

- **Freight Broker:** A freight broker buys and sells transportation services and normally works on behalf of a carrier or shipper.
- **Truck Carrier:** Truck carriers operate their own managed fleet (owned or leased). These fleets can be for-hire or private/dedicated. Refer to “Choosing the Right Tool for your Business Units” in Part I of this guide to determine if you should complete the SmartWay Truck Tool for the Truck Carrier portion of your operations.
- **Rail Freight Broker:** A freight broker buys and sells transportation services and normally works on behalf of a carrier or shipper.

SECTION 4: DOWNLOAD SMARTWAY CARRIER DATA FILE

Once you are back on the Home screen, if you have any Logistics Component Fleet, you will need to select the button in step # 4: **Download Latest SmartWay Carrier Data File**. This will ensure that you have the latest carrier performance data for characterizing logistic fleet performance. You will not be able to input the required logistics fleet data in Step 5 without this file. You must have an active Internet connection to perform this step.

Select Component Fleet for Data Entry

On the **Home** screen, you will now see all the fleets you created listed in the window below item # 5: **Select Component Fleet for Data Entry**.

SmartWay Multi-modal: Home

SmartWay
Report Year 2013

Multi-modal
United States Version: 2.0.13
Released on: 06/06/2014

Please complete the following steps. For more information, select the 'Help' button.

- ☒ 1. Enter Partner Name (Exactly as it should appear on the SmartWay website):
Multi-Modal 1, Inc.
- ☒ 2. [Go To Contact Information Screen](#)
- ☒ 3. Define Your Component Fleets ?
- ☐ 4. [Download Latest SmartWay Carrier Data File](#)
- ☐ 5. Select Component Fleet for Data Entry ?
 Multi-Modal 1, Inc.: Intermodal Division [Truck1] - Not Checked
 Multi-Modal 1, Inc.: Truckload Division [Truck2] - Not Checked
 Multi-Modal 1, Inc.: Logistics Division [Logistics1] - Not Checked
 Multi-Modal 1, Inc.: Rail Division [Rail1] - Not Checked
 Multi-Modal 1, Inc.: Barge Division [Barge1] - Not Checked
- ☐ 6. [Define your Composite Fleets](#) ?
- ☐ 7. [Partner Profile / Logo Info / Suggestions](#)
- ☐ 8. [Review Year-to-Year Comparison](#)
- ☐ 9. [Go To Reports Menu](#)
- ☐ 10. [Generate File to Send to EPA](#) ?

[BACK](#) [ZOOM IN](#) [PRINT SCREEN](#) [SAVE](#) [QUIT](#) [HELP](#)

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Figure 35: Home Screen with Component Fleet Status

There will be a status message after each fleet, indicating whether or not the data entry for that fleet is complete. The following information may appear beside a fleet name:

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

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

- **Errors** will prevent you from generating the **Internal Metrics Reports** under item #9, [Go To Reports Menu](#), and must be addressed before you can submit your Tool to EPA.
- **Warnings** will still allow you to run the **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 (PAM) as a result of your data being outside the expected ranges. The method

for addressing errors and warnings is described for subsequent input screens in the following sections.

To add data to a particular fleet file, highlight the fleet name and then double-click. You will then proceed to the Tool **Data Entry Screens**.

SECTION 5 DATA ENTRY: ENTER FUEL AND/OR ACTIVITY INFORMATION FOR EACH OF YOUR COMPONENT FLEETS

PLEASE REFER TO THE TRUCK, LOGISTICS, BARGE, AND RAIL TOOL USER GUIDES FOR DETAILED INSTRUCTIONS REGARDING DATA ENTRY FOR YOUR COMPONENT FLEETS.

SECTION 6 DATA ENTRY: DEFINE YOUR COMPOSITE FLEETS

Now that you have identified and characterized your component fleets, you will be asked to provide information for EACH composite fleet. In this section, you will be asked to allocate component fleet miles and ton-miles across the different composite fleets.

The “**Define Your Composite Fleet**” section of the Tool has three subsections:

1. Identify Composite Fleet
2. Allocate Component Fleet
3. Composite Fleet Details

The requirements for each subsection are described below.

Once you have entered data for all of your component fleets, and resolved any error notifications, you may proceed to Step 6, [Define Your Composite Fleets](#). This step allows you to group your component fleets into larger, *composite fleets* operating across one or more modes. Composite fleets are entities that your customers can hire to move their freight. For example you may have a Truckload Division and an Intermodal Division for hire.

Identify Composite Fleets

First, enter the name of your composite fleets on the first screen, [Identify Composite Fleets](#), as shown in **Figure 36**. Names include your Partner Name combined with your Fleet Identifier. Remember to enter your composite fleet names exactly as you want them to be seen on the SmartWay website.

Note: Your company’s name and your composite fleet(s) will be listed on the SmartWay website to indicate your participation in the SmartWay Transport

Partnership. Your shipper and logistics customers can also use the SmartWay Online Database to search for your company by the name you submit in the Tool, your SCAC number or your Motor Carrier Number. Therefore, it is critical that you identify your company and composite fleet(s) in the Tool as you would have them appear on the SmartWay website and within other SmartWay Tools.

The screenshot shows the 'SmartWay: Composite Fleet Characterization' window with the 'Identify Composite Fleets' tab selected. The window contains a table for defining composite fleets, a 'Delete Checked Rows' button, an 'Add Another Composite Fleet' button, and a row of navigation buttons at the bottom.

Delete	Company Name	Composite Fleet Identifier	Composite Fleet Name
<input type="checkbox"/>	1 Multi-Modal 1, Inc.	Intermodal	Multi-Modal 1, Inc.: Intermodal
<input type="checkbox"/>	2 Multi-Modal 1, Inc.	Truckload	Multi-Modal 1, Inc.: Truckload

Buttons at the bottom: BACK, NEXT, ZOOM IN, PRINT, HOME, VALIDATE SCREEN, ADD/VIEW COMMENTS, HELP, Screen Demo.

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Figure 36: Identifying Composite Fleets

You may add more fleets by selecting **Add Another Composite Fleet**. To proceed to the next screen, select the **Allocate Component Fleets** tab or select **NEXT**.

Allocate Composite Fleets

Proceed to the **Allocate Component Fleets** screen (**Figure 37**) to see a list of all of the component fleets you defined under Step 3 (**Define Your Component Fleets**). All of the miles and ton-miles associated with each of these fleets must be assigned across one or more of the composite fleets you defined on the previous screen. You must allocate component fleet activity based on the percentage of total miles and total ton-miles attributable to each composite fleet. The total miles and ton-miles listed for each component fleet is automatically calculated from Step 5 where you entered the activity data for your

component fleets. (Note that Total Miles refers to truckload miles for the Truck Mode, and railcar-miles for the Rail mode.)

SmartWay: Composite Fleet Characterization

Identify Composite Fleets | **Allocate Component Fleets** | Composite Fleet Details

For each component fleet listed below, follow steps 1 - 3. Component fleets are organized around your internal management of the company. As you assign each component fleet, its status will change from "Not Assigned" to "Allocated." Repeat the steps for each component fleet until they have all been allocated. To view a summary of the allocation percentages for all component fleets, select the "Show Allocations" button. When you are done, please proceed to the final step of entering your Composite Fleet Details.

Component Fleets

- Multi-Modal 1, Inc.: Intermodal Division [Truck1] - Allocated
- Multi-Modal 1, Inc.: Truckload Division [Truck2] - Allocated
- Multi-Modal 1, Inc.: Rail Division [Rail1] - Allocated
- Multi-Modal 1, Inc.: Barge Division [Barge1] - Allocated**
- Multi-Modal 1, Inc.: Logistics Division [Logistics1] - Allocated

1. Select a fleet from the list. Note that the header below will change to indicate the selected component fleet. The Total Miles and Ton-Miles values will also change to reflect the miles and ton-miles for the selected component fleet.

2. For each composite fleet in the bottom section of the screen, enter the appropriate percentages for miles and ton-miles. (The miles and ton-miles associated with the selected component fleet will be calculated automatically, reflecting the percentage allocation entered.)

3. Continue allocating the component fleet until you have accounted for 100% of its miles and ton-miles.

Show Allocations

Multi-Modal 1, Inc.: Barge Division [Barge1]

Composite Fleets		Total Miles*		Ton-Miles	
1	Multi-Modal 1, Inc.: Intermodal	32 %	851,330	45 %	48,864,358
2	Multi-Modal 1, Inc.: Truckload	68 %	1,809,075	55 %	59,723,105

* Miles refers to truckload-miles and/or railcar-miles, depending upon modes utilized.

Totals: 100 % 2,660,405 100 % 108,587,463

BACK NEXT ZOOM IN PRINT HOME VALIDATE SCREEN ADD/VIEW COMMENTS HELP Screen Demo

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Figure 37: Allocating Component Fleets

Note that the percentage allocations must sum to 100 for each component fleet. In addition, if you enter a non-zero percentage for a particular total miles assignment, and zero percent for the corresponding ton-mile assignment (or vice versa), the Tool will display an error and you will not be allowed to proceed until reconciling the discrepancy.

The **Show Allocations** button located below the component fleet list allows you to view a summary of your composite fleet percentage allocations across all of your different component fleets, in order to confirm the accuracy of your assignments. An example is provided in **Figure 41**.

The **Validate Screen** button will validate the information you enter on this screen. The ratio of total allocated ton-miles to total miles is checked for each composite fleet. If any of these ratios differ from industry average payload standards, you will receive a warning message. These warning messages are intended to flag possible data entry errors; however these warning messages will not prevent you from submitting your completed Multi-modal Carrier Tool to EPA.³

³ Validation warnings are issued for low payloads if the average payload for a composite fleet is < 14.5 tons (based on the out of range warning for Class 8b TL/Dry Vans – see Truck Tool Technical Documentation for details). Warnings are issued at the high

Please refer to **Appendix A** for a description of the procedure used to calculate the gram per mile and gram per ton-mile performance metrics for composite fleets.

The screenshot shows an Excel spreadsheet titled 'Composite Fleet Allocation'. It features a SmartWay logo in cell A1 and a 'Return to Entry Form' button in cell B2. The spreadsheet is organized into two main sections: 'Total Miles Allocation' and 'Ton Miles Allocation'. Each section has a table with columns for 'Status', 'Total Miles', 'Intermodal', and 'Truckload'.

Total Miles Allocation				
Component Fleet	Status	Total Miles	Intermodal	Truckload
Multi-modal 1, Inc.: Intermodal Division [Truck1]	Allocated	100,001	100.00%	0.00%
Multi-modal 1, Inc.: Truckload Division [Truck2]	Allocated	50,001	84.00%	16.00%
Multi-modal 1, Inc.: Rail 1 [Rail1]	Allocated	0	100.00%	0.00%
Multi-modal 1, Inc.: Logistics 1 [Logistics1]	Allocated	49,481	35.00%	65.00%
Multi-modal 1, Inc.: Logistics 2 [Logistics2]	Allocated	26,041	52.00%	48.00%
Composite Fleet Allocation		225,524		

Ton Miles Allocation				
Component Fleet	Status	Ton Miles	Intermodal	Truckload
Multi-modal 1, Inc.: Intermodal Division [Truck1]	Allocated	1,900,019	100.00%	0.00%
Multi-modal 1, Inc.: Truckload Division [Truck2]	Allocated	100,002	79.00%	21.00%
Multi-modal 1, Inc.: Rail 1 [Rail1]	Allocated	2,313,212	100.00%	0.00%
Multi-modal 1, Inc.: Logistics 1 [Logistics1]	Allocated	1,000,001	30.00%	70.00%
Multi-modal 1, Inc.: Logistics 2 [Logistics2]	Allocated	500,001	50.00%	50.00%
		5,813,235		

Figure 38: Example Composite Fleet Allocation Summary

Select the **Return to Entry Form** button to leave the spreadsheet and return to the allocation screen shown in **Figure 37**.

Composite Fleet Details

First proceed by entering the SCAC and MCN values for each composite fleet if available (see **Figure 39**). Separate multiple values by a comma if necessary. These values are not mandatory but will assist Shippers and Logistics Companies in identifying your fleets. Next select the appropriate contact from the drop-down menu.

end if the average composite fleet payloads are > 60 tons. This value was chosen based on the distribution of payloads reported by Multi-modal Partners in 2012, with approximately two thirds of Partners having payloads less than this cutoff.

Once you have allocated all of your component fleets across the composite fleets, select the **HOME** button to return to the **Home** screen.

SmartWay: Composite Fleet Characterization

Identify Composite Fleets Allocate Component Fleets **Composite Fleet Details**

Please enter the following detail information for each of your Composite Fleets listed below. The SCAC and MCN information you enter here will be what the SmartWay partners will see when they are searching for SmartWay Multi-modal carriers. Please enter 'N/A' for SCAC and/or MCN if your composite fleet doesn't have these.

Composite Fleet Name	Type	SCAC(s)	MCN(s)	Fleet Contact
Multi-Modal 1, Inc.: Intermodal	Multi-modal	ABCD	123456	Glenn Johnson
Multi-Modal 1, Inc.: Truckload	Multi-modal	ADFJ,MSDS		Jack Shephard

BACK NEXT ZOOM IN PRINT HOME VALIDATE SCREEN ADD/VIEW COMMENTS HELP Screen Demo

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Figure 39: Example Composite Fleet Details Screen

Providing Additional Information

After completing Steps 1 – 6 on the [Home](#) screen, you may provide EPA with additional information regarding your company, potential use of the SmartWay Logo, and general feedback regarding the SmartWay program. This information is optional and is not required in order to submit your Multi-modal Carrier Tool data to EPA. Selecting the **Partner Profile / Logo Info / Suggestions** button on the [Home](#) screen will open the **Partner Information** form (see **Figure 40**).

The screenshot shows a web application window titled "SmartWay Additional Information". It has three tabs: "Partner Information" (selected), "Logo Qualification", and "Suggestions". The "Partner Information" tab contains the following text: "This page is optional. SmartWay will use the information you submit to create a SmartWay Partner profile page for your company on the SmartWay website. You do not need to complete every question. SmartWay will NOT edit for spelling or grammar so please make sure the text is exactly as you wish it to appear. If your company contains a public relations function, you may want them to review before submittal, however, keep your SmartWay due date in mind. SmartWay WILL review for appropriate content. Information provided should be informational in nature, and speak to the question." Below this text, the "Partner Name" is pre-filled as "Multi-Modal 1, Inc.". There are four text input fields: "Link to your company's environmental or SmartWay web page:" (with "http://" entered), "Executive Officer's quote on your SmartWay participation: (500 characters max)", "Description of your best investment in emissions or fuel saving technology: (3000 characters max)", and "Goal for SmartWay participation: (3000 characters max)". A note below the goal field states: "* The explanation field does not wrap in Office 2013 due to an Excel bug." The bottom of the form has a row of buttons: "NEXT", "ZOOM IN", "PRINT SCREEN", "HOME", "SAVE", "ADD COMMENTS", "HELP", and a "Screen Demo" button with a star icon. The page number "Page MM-16" is in the bottom right corner.

Figure 40: Partner Information Screen

Use this page to provide information you would like to share publicly. Information should be entered in the text boxes displayed. Use the scroll bar to the right to display additional questions. SmartWay will use this information to create a SmartWay Partner profile page for your company on the SmartWay website. You do not need to complete every question. SmartWay will NOT edit for spelling or grammar, so make sure the text is exactly as you wish it to appear. If your company contains public relations functions, you may want them to review this information before submittal, however, keep your SmartWay due date in mind. SmartWay WILL review this data for appropriate content. Information provided should be informational in nature, and speak to the question.

Figure 41 shows the **Logo Qualification** screen. The SmartWay Partner Logo is provided at the company level to Partners that meet SmartWay's Partner environmental performance thresholds. Tractor and Trailer Logos may be placed directly on your equipment to display your fleet's qualification. Use this screen to provide information regarding your qualification for, and planned use of, the Partner, Truck and Trailer Logos. Use the scroll bars to display more questions and input fields. Additional information on Logo qualification and use can be found by selecting the **SmartWay Partner Logo Information** button or the [View the SmartWay Designated Tractor specifications](#) and [View the SmartWay Designated Trailer specifications](#) links.

Figure 41: Logo Qualification Screen

Figure 42 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.

SmartWay Additional Information

Partner Information

Logo Qualification

Suggestions

OPTIONAL: Provide Feedback to SmartWay

This page is optional. SmartWay values your feedback and information you provide will be kept confidential within SmartWay and will be used to improve the program.

Partner Name: Multi-Modal 1, Inc.

Please answer Yes or No

Did you use the Quick Start User Guide?

Do you read the Tool Technical Documentation?

Do you regularly visit the SmartWay website?

Yes

☐

☐

☐

No

☐

☐

☐

On a scale of 1 to 10, 10 being the best:

How do you rate the SmartWay Tool?

How do you rate the SmartWay User Guide?

How do you rate the SmartWay Technical Document?

How do you rate the SmartWay Website?

How do you rate SmartWay support materials?

On a scale of 1 to 10, 10 meaning strongly agree:

I understand the goals of the SmartWay program

I understand how to participate in the program

I understand and know how to find information on the SmartWay website

I understand the SmartWay Tools

I understand the SmartWay emission factor ranking system

I understand the SmartWay Partnership logo guidelines

BACK

ZOOM IN

PRINT SCREEN

HOME

SAVE

ADD COMMENTS

HELP

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Figure 42: Suggestions Screen

Once you have completed these three screens, select the



button to return to the **Home** screen.

Viewing Year-to-Year Comparison

The **Year-to-Year Comparison Report** allows the user to compare the fleet characteristics and activity values, as well as CO₂ performance metrics for the current reporting year with the previous 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

Review Year-to-Year Comparison

under item #8 on the **Home** screen.

Figure 46 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 fleet(s). In order to load data for the previous year fleets, select the **Load Data from Previous Year...** button. A

screen will appear allowing you to specify the location of your prior year file, using the **Browse...** button as shown in **Figure 44**.

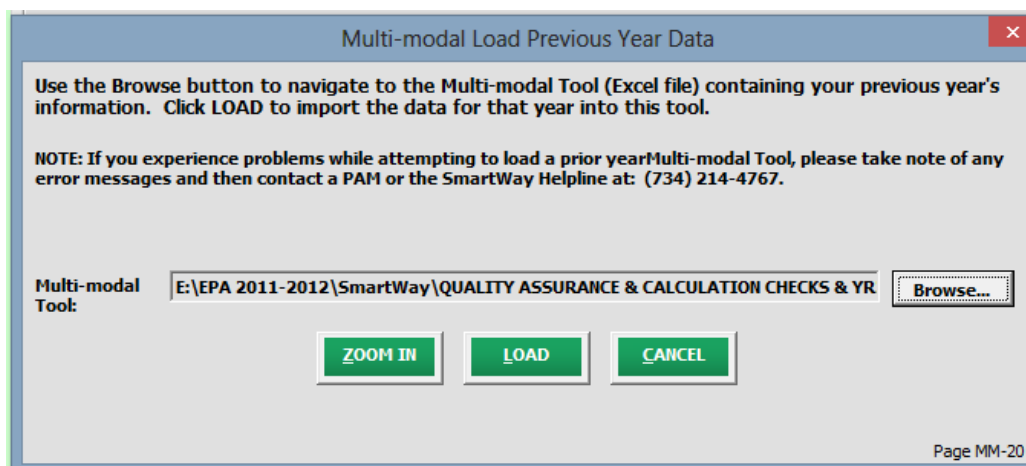


Figure 43. Load Previous Year Data for Year-to-Year Report

Once your prior year data loaded into the Multi-modal Carrier Tool, select the "RUN REPORT" button to view the line-item data entry comparisons. An example report is presented in **Figure 45**.



Report Year: 2013

	Field	Percent Difference	Delta	2012	2013
6	Composite Fleets:				
7	Number of fleets:	-100%	-3.00	3	6
8	Total Miles:	-960%	-65634976.00	6,834,218	72,469,194
9	Total Ton-Miles:	-4676%	-6057387932.00	129,539,533	6,186,927,465
10	Avg Payload:	-351%	-66.42	18.95	85.37
11	Avg CO2 g/m:	51%	831.00	1,640	809
12	Avg CO2 g/tm	88%	98.72	111.56	12.84
13	Avg Nox M1:	19%	2.77	14.65	11.88
14	Avg Nox M2:	81%	0.77	0.951	0.184
15	Avg PM2.5 M1:	13%	0.08	0.5950	0.5147
16	Avg PM2.5 M2:	84%	0.04	0.0480	0.0076
17	Avg PM10 M1:	12%	0.07	0.6050	0.5306
18	Avg PM10 M2:	84%	0.04	0.0481	0.0079
19	Truck Component Fleets:				
20	Number of fleets:	-100%	-1.00	1	2
21	Total Miles:	0%	-1423.00	1,098,583	1,100,006
22	Total Ton-Miles:	-65%	-8509271.00	13,140,844	21,650,115
23	Avg Payload:	-65%	-7.72	11.96	19.68
24	Avg CO2 g/m:	-12%	-201.00	1,724	1,925
25	Avg CO2 g/tm	32%	46.30	144.13	97.83
26	Avg Nox M1:	33%	5.85	17.62	11.77
27	Avg Nox M2:	60%	0.88	1.473	0.595
28	Avg PM2.5 M1:	0%		0.3676	0.3679
29	Avg PM2.5 M2:	39%	0.01	0.0307	0.0186
30	Avg PM10 M1:	0%		0.3791	0.3792

Figure 44. Example Year-to-Year Report

Comparisons are also shown for a number of activity parameters for the composite fleet and each component fleet including:

- Number of fleets
- Total miles
- Total ton-miles
- Average payload

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

- Average grams CO₂ per mile
- Average grams CO₂ per ton-mile
- Average grams NOx per mile (M1)
- Average grams NOx per ton-mile (M2)
- Average grams PM2.5 per mile (M1)
- Average grams PM2.5 per ton-mile (M2)

- Average grams PM10 per mile (M1)
- Average grams PM10 per ton-mile (M2)

Percentage changes are also indicated for each of these items, relative to the earlier year baseline values.

View Reports

Once you complete allocating component fleet activity across your composite fleets and return to the [Home](#) screen, you may select [Go To Reports Menu](#) which will take you to the following screen:

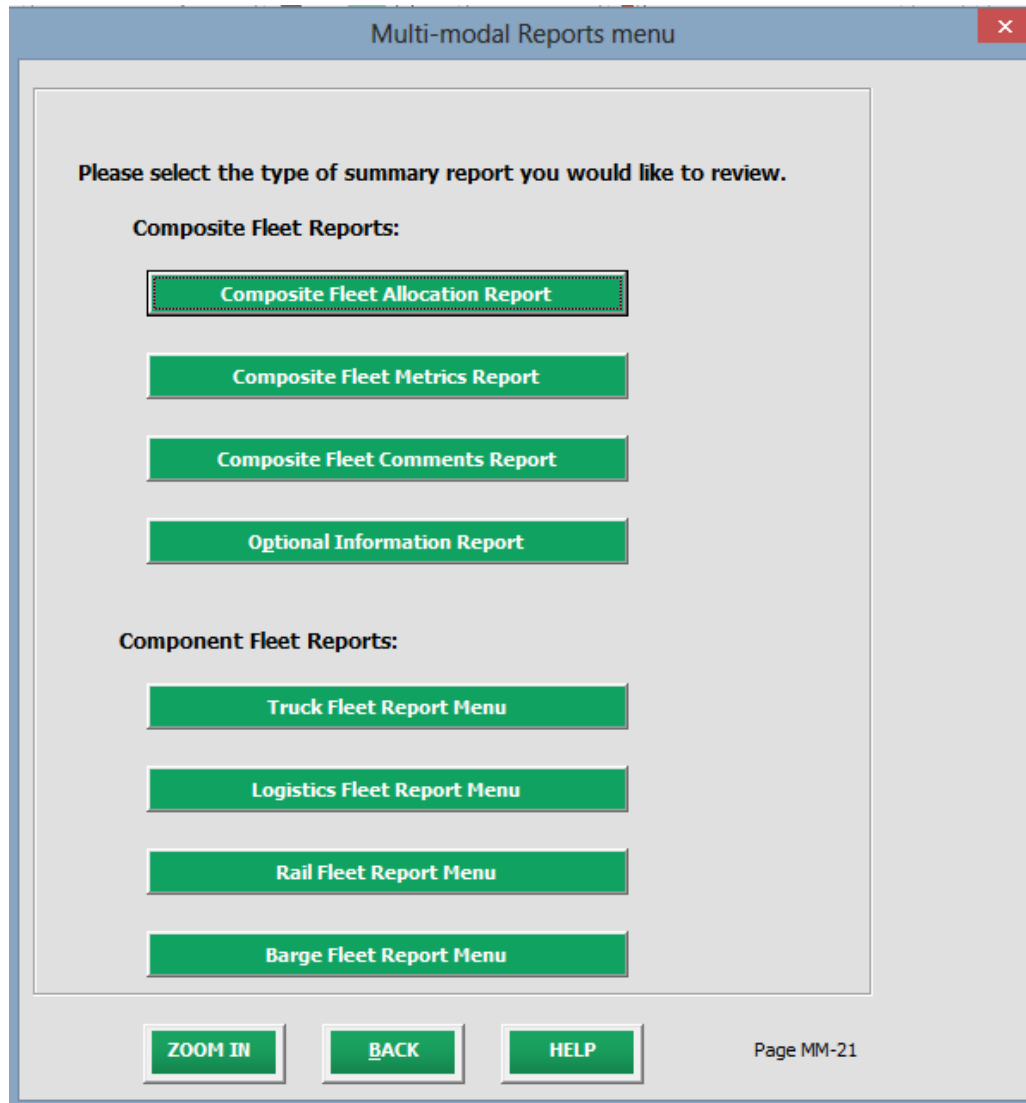


Figure 45: Multi-modal Reports Menu

Selecting any of the green buttons will display data for the selected fleet type (component by mode, or composite). You will then proceed to another screen where you can choose how to view the results. Selecting any of the summary report types will take you to a screen allowing you to preview and print your reports. **Figure 47** shows one of many sample reports that the Tool can generate for you, in this case summarizing the performance metrics for each composite fleet. Similar composite reports are available by carrier mode and Partner-level totals, as well as component fleet reports by mode type.

(Note that reports for air component fleets will be available in the future.) These reports will prove useful for your company's evaluation and improvement efforts.


			
Composite Fleet Metrics Report		Report Year: 2013	May 27, 2014
By Composite Fleet		Company: Multi-Modal 1, Inc.	
CO2	Based on Annual Miles		
	Grams per Mile (Statute)	Grams per Ton-Mile (Statute)	Total Emissions
	Multi-Modal 1, Inc.: Intermodal	811	12
Multi-Modal 1, Inc.: Truckload	809	11	42,723
NOx	Based on Annual Miles		
	Grams per Mile (Statute)	Grams per Ton-Mile (Statute)	Total Emissions
	Multi-Modal 1, Inc.: Intermodal	11.9	0.2
Multi-Modal 1, Inc.: Truckload	11.9	0.2	618.06
PM2.5	Based on Annual Miles		
	Grams per Mile (Statute)	Grams per Ton-Mile (Statute)	Total Emissions
	Multi-Modal 1, Inc.: Intermodal	0.51	0.007
Multi-Modal 1, Inc.: Truckload	0.51	0.007	27.0736

Figure 46: Example of Completed Composite Fleet Performance Metrics Report

Submitting Data to SmartWay

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

Select the **Generate File to Send to EPA** button, which will open the following screen.

SmartWay® **Report Year 2013** **Multi-modal**
United States Version: 2.0.13
Released on: 06/06/2014

By checking the box below, I declare that the information submitted via this Tool is, to the best of my knowledge, accurate. I understand that any person who, in the course of negotiating or performing under this Agreement, makes, presents or submits a false or misleading statement to the government, or any person who makes a material omission in the course of negotiating or performing under this Agreement, may be subject to liability under all applicable civil and criminal statutes including 18 U.S.C. 1001 (criminal liability for false statements), 31 U.S.C. 3801 - 3812 (civil liability for false statements) and 31 U.S.C. 3729-33 (The False Claims Act).

☐ I understand and agree to the terms of this agreement.


ZOOM IN **CANCEL** **PRINT SCREEN**

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Figure 47: 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 so, you must then enter your Annual Submission ID, which has been sent to you by your SmartWay PAM via email. If you cannot locate your submission ID you can select the link “Email me my SmartWay ID” to have your ID sent to you.

Create submission file for EPA



**Report Year
2013**

Multi-modal
 United States Version: 2.0.13
 Released on: 06/06/2014

By checking the box below, I declare that the information submitted via this Tool is, to the best of my knowledge, accurate. I understand that any person who, in the course of negotiating or performing under this Agreement, makes, presents or submits a false or misleading statement to the government, or any person who makes a material omission in the course of negotiating or performing under this Agreement, may be subject to liability under all applicable civil and criminal statutes including 18 U.S.C. 1001 (criminal liability for false statements), 31 U.S.C. 3801 - 3812 (civil liability for false statements) and 31 U.S.C. 3729-33 (The False Claims Act).

☒ I understand and agree to the terms of this agreement.

Please answer the question that appears below. Depending on your answer(s), additional questions may appear that also requires an answer. Your answers will allow EPA to better process your submission.

	Yes	No
Are you an existing Partner in SmartWay?	<input checked="" type="radio"/>	<input type="radio"/>
Did you submit data last year?	<input checked="" type="radio"/>	<input type="radio"/>

Please enter your SmartWay ID that your PAM sent you in an email. If you do not have your SmartWay ID and you were either the designated Working Contact or Executive Contact in last year's submission, you can use the link below to have your SmartWay ID emailed to you.

If you can't find your SmartWay ID, you can use the link below to have your SmartWay ID emailed to you providing that you are either the Working Contact or Executive Contact on record and that your email address hasn't changed. If you were designated as either the Working Contact or Executive Contact in last year's submission, you are probably a contact on record.

[Email me my SmartWay ID](#)

You are now ready to create your submission file. Please select the NEXT button below.

[ZOOM IN](#)
[NEXT](#)
[CANCEL](#)
[PRINT SCREEN](#)

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Figure 48: Completed Submission File Screen

When ready, select **NEXT** to create a file with the following naming convention:

Multi-modal_PartnerName_ Year_ V0.xml

For example, Multi-modal_ABCompany_ 2013 _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 file, and the following screen will appear.

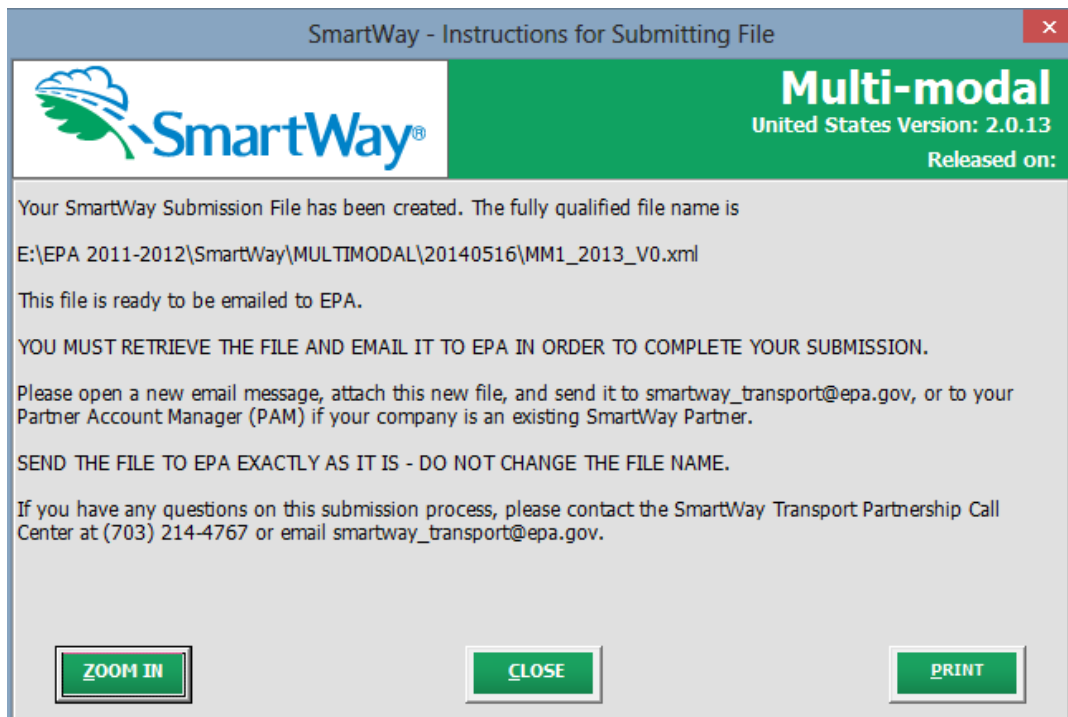


Figure 49: Instructions for Submitting xml File to EPA

Follow these instructions for submitting your .xml file to SmartWay. Note that the .xml file is approximately 10 times smaller than the .xls files the tool generated in the past. Upon selecting **CLOSE**, a screen will appear that allows you to close the Multi-modal Carrier Tool or return to the **Home** screen.

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

NOTE: DO NOT CHANGE THE NAME OF THE XML FILE.

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 rather than from a drive, or when multiple Excel files are open simultaneously. If you encounter an error during use of the Tool, please 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 (XP, Vista, or Windows 7 operating systems; Excel Office 2007, 2010, or 2013.)

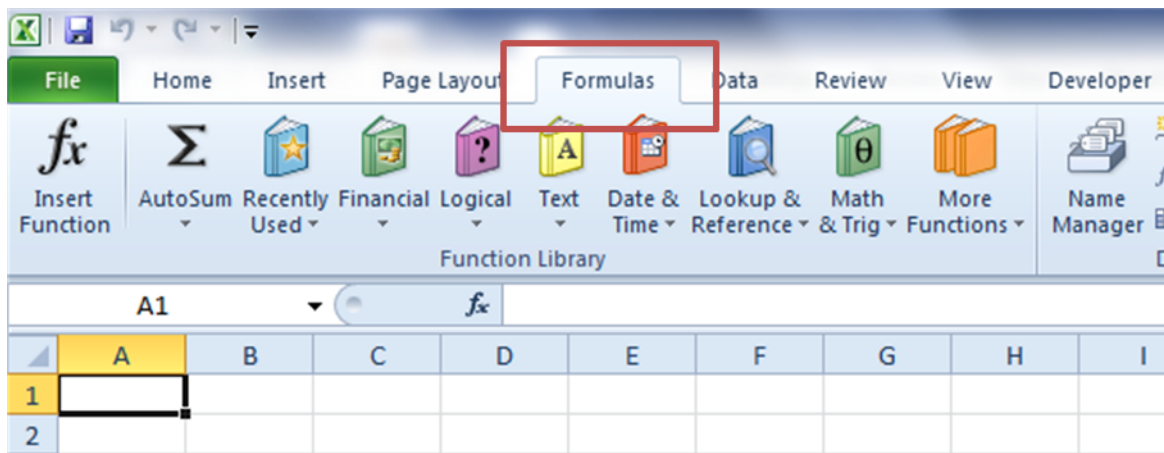
If you continue to encounter problems, please make a screen capture of the error message, and save the data at that point. (You can make a screen capture by pressing Alt-Prt Scr, and then pasting the image into a document such as MS Word.) Then send the screenshot, along with the saved data to your Partner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

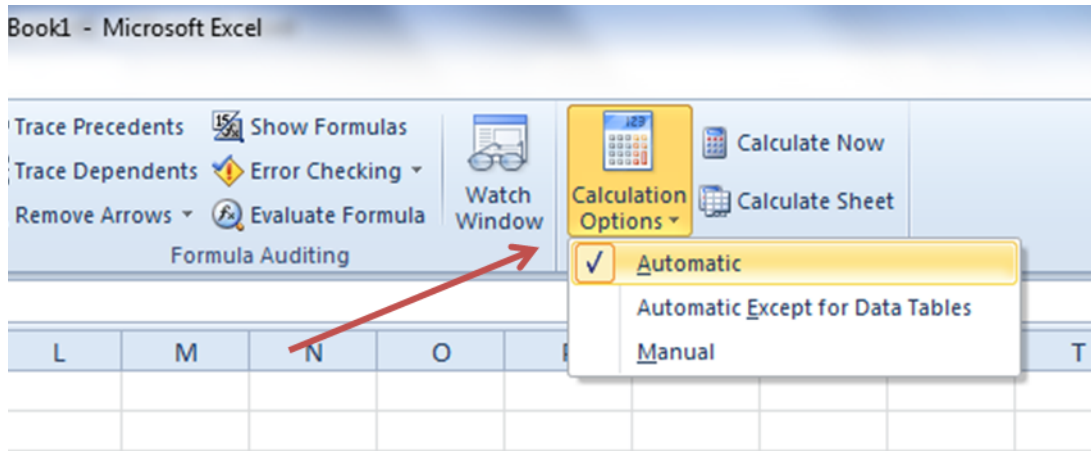
Proper Calculation Setting

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

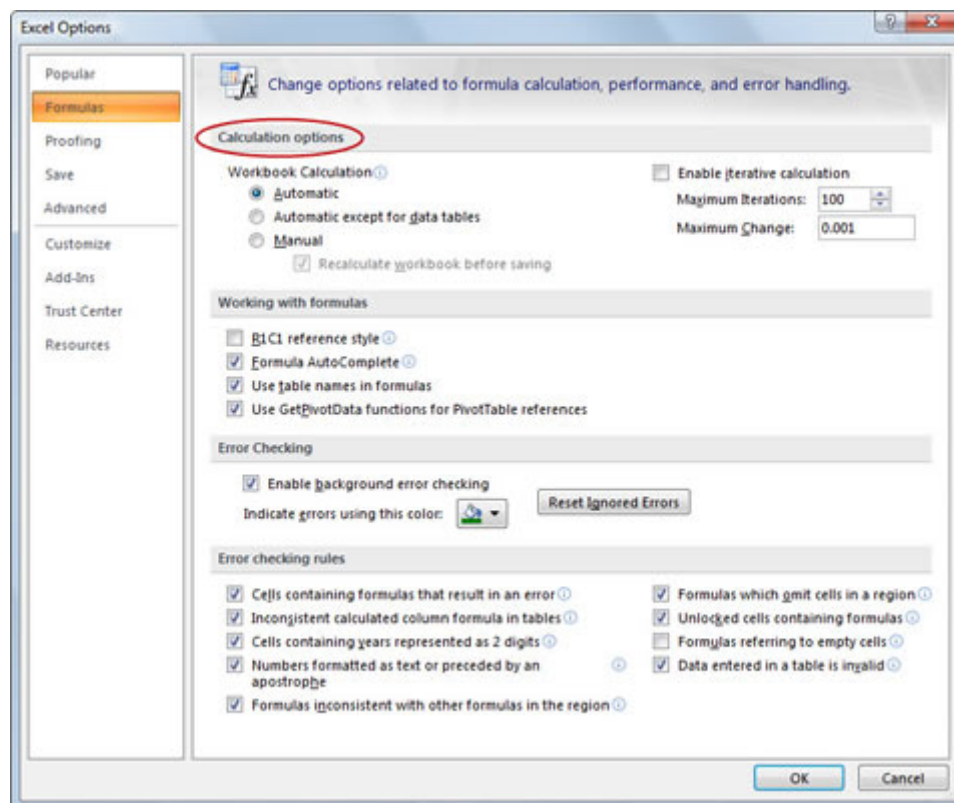
Choose the “Formulas” tab. Select the “Calculation Options” button in the “Calculation” section to view the drop-down list of options. Choose “Automatic” from the list of options to switch to automatic calculation.





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.



Appendix A – Calculating Composite Fleet Performance Metrics

The Multi-modal Carrier Tool calculates gram per mile and gram per ton-mile performance metrics for composite fleets using the carrier-specific performance metrics associated with the associated component fleets. The percentage distributions provided for miles and for ton-miles are used as weighting factors in developing these composite values.

The following example illustrates how the composite metrics are calculated for CO₂ grams per mile.

- 1) Three Component Fleets are defined: Logistics 1, Truck 1, and Logistics 2
- 2) Three Composite Fleets are defined: Composite 1, Composite 2, Composite 3
- 3) Component fleet activity is allocated across the composite fleets as summarized below:

Total Miles Allocation					
Component Fleets	Total Miles	Composite 1	Composite 2	Composite 3	Total
Logistics 1	6,679,941	30%	50%	20%	100%
Truck 1	1,234,567	50%	50%	0%	100%
Logistics 2	1,000,000	35%	12%	53%	100%
Total	8,914,508				

- 4) The mileage associated with each component/composite fleet combination is calculated by multiplying the total miles in the table above by the associated fraction, with the results summarized as follows:

Miles	Logistics 1	Truck 1	Logistics 2	Total
Composite 1	2,003,982	617,284	350,000	2,971,266
Composite 2	3,339,971	617,284	120,000	4,077,254
Composite 3	1,335,988	0	530,000	1,865,988
Total	6,679,941	1,234,567	1,000,000	8,914,508

- 5) The corresponding composite-based mileage fractions are as follows:

Miles	Logistics 1	Truck 1	Logistics 2	Total
Composite 1	67%	21%	12%	100%
Composite 2	82%	15%	3%	100%
Composite 3	72%	0%	28%	100%

- 6) The CO₂ grams per mile values calculated for each component fleet are as follows:

- Logistics 1: 2,261 g/mi
- Truck 1: 1,649 g/mi
- Logistics 2: 1,163 g/mi

7) Using the composite-based mileage distributions and component fleet grams per mile values, the grams per mile value for Composite Fleet 1 is calculated as follows:

$$\text{Composite 1 g/mi} = (0.67 \times 2,261 + 0.21 \times 1,649 + 0.12 \times 1,163) = 2,001 \text{ g/mi}$$

Gram per mile values for Composite Fleets 2 and 3 are calculated in a similar fashion, as are the corresponding gram per ton-mile values. Values for NO_x and PM are calculated in an identical fashion.

Note: Class 2 and 3 Rail component fleets do not report railcar miles. Accordingly, grams per mile values cannot be calculated directly from their fleet inputs and must be estimated. In order for the Multi-modal Carrier Tool to calculate gram per mile values for composite fleets containing Class 2 or 3 component rail fleets, SmartWay assumes these fleets have gram per mile emission rates equal to those assumed for modal average rail carriers.

Emission factors for all rail fleets within the Multi-modal Carrier Tool are reported in grams per truck-equivalent mile to facilitate compositing with truck fleets. Therefore the grams per railcar-mile values for Rail Carriers are converted to grams per truck-equivalent mile, using the fleet average rail car volume value of 6,091 cubic feet and the average truck trailer volume of 3,180 cubic feet, resulting in the following modal average gram per mile factors used for all rail fleets:

$$\text{CO}_2 \text{ g/mi} = 1,072$$

$$\text{NO}_x \text{ g/mi} = 18.6$$

$$\text{PM}_{10} \text{ g/mi} = 0.52$$

$$\text{PM}_{2.5} \text{ g/mi} = 0.50$$

Please see the Rail Tool Technical Documentation for details.

Appendix B – Worksheets

List of Worksheets

[WORKSHEET #1: COMPANY AND CONTACT INFORMATION](#) **ERROR! BOOKMARK NOT DEFINED.**

[WORKSHEET #2: COMPONENT FLEET CHARACTERIZATION](#)..... **ERROR! BOOKMARK NOT DEFINED.**

[WORKSHEET #3A: IDENTIFY COMPOSITE FLEETS AND COMPOSITE FLEET DETAILS](#) **ERROR!**
BOOKMARK NOT DEFINED.

[WORKSHEET #3B: ALLOCATE COMPONENT FLEETS](#) **ERROR! BOOKMARK NOT DEFINED.**

WORKSHEET #1: COMPANY AND CONTACT INFORMATION

#1. Enter your Contact Information:

General Company Contact Information

Company Name								
Headquarters Mailing Address								
City		State/Province		Zip		Country		
Main Phone Number		Toll-free Number		Cell number		Web Address		

Working Contact Information

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

Executive Contact Information

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

Other Contact Information

Other Contact Name							
Other Contact Mailing Address							
City		State/Province		Zip		Country	
Other Contact Phone Number				Email Address			
Contact's role in program							

WORKSHEET #2: COMPONENT FLEET CHARACTERIZATION

Complete this worksheet for each component truck and/or logistic fleet you will be submitting in the Multi-modal Carrier Tool.⁴

#2: Define your Fleets

Partner Name and Fleet Identifier

NAICS: _____ SCAC: _____ MCN: _____ DOT#: _____

FLEET TYPE: _____ 95% Control* _____

Fleet Contact: _____

Operation Category Percentages:

Truckload _____ LTL _____ Drayage _____ Package Delivery _____ Expedited _____

Body Type Percentages:

Dry Van _____ Reefer _____ Flatbed _____ Tanker _____ Chassis _____ Heavy Bulk _____
Auto Carrier _____ Moving _____ Utility _____ Special Hauler _____

Business Unit Focus Percentages (Logistics Only):

Logistics Provider _____ Freight Forwarder _____ Freight Broker _____ Truck Carrier _____
Rail Freight Broker _____

* Applicable for Truck fleets, not Logistics fleets

⁴ Component Rail fleets only require Partner Name, Fleet Identifier, NAICS code, Rail Class (1,2,or 3), and Fleet Contact.

WORKSHEET #3A: IDENTIFY COMPOSITE FLEETS AND COMPOSITE FLEET DETAILS

Complete the following for each composite fleet you will be submitting in the Multi-modal Carrier Tool.

#3A: Define Your Composite Fleets

Company Name / Component Fleet Identifier

SCAC: _____

Motor Carrier Number: _____

Fleet Contact: _____

WORKSHEET #3B: ALLOCATE COMPONENT FLEETS

Complete the following table for each component fleet you will be assigning to the composite fleets listed in Worksheet 3A.

#3B: Allocate Your Component Fleets

List each composite fleet identified in Worksheet 3A. Add lines to the table below or copy the table multiple times if necessary.

“% Miles” and “% Ton-Miles” columns must each sum to exactly 100% for each component fleet.

	Composite Fleet Name	% Miles	% Ton-Miles
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			
15			
16			
17			
18			
19			
20			