

Supporting Statement for
EPA Information Collection Request Number 2265.03
“Information Collection Activities Associated with the
SmartWay Transport Partnership”

July 2017

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1 Identification of the Information Collection

1(a) Title of the Information Collection

This Information Collection Request (ICR) is entitled “Information Collection Activities Associated with SmartWay Transport Partnership,” EPA ICR number 2265.03, OMB Control Number 2060-0663.

1(b) Short Characterization/Abstract

The U.S. Environmental Protection Agency (“EPA”) created the SmartWay Transport Partnership (“SmartWay”) to help businesses and individuals protect the environment, improve air quality, and maximize the energy efficiency of their transportation and logistics management choices. SmartWay is a voluntary program that focuses on increasing efficiency and lowering greenhouse gases and air pollution generated by goods movement. EPA encourages businesses that transport and move goods to adopt energy-efficient strategies and technologies that reduce fuel use, air pollution, and energy costs.

EPA administers a streamlined reporting process for organizations that join SmartWay and has created incentives for improvement (e.g., SmartWay Excellence Awards Program and SmartWay Affiliate Challenge). EPA also makes reporting tools and other resources available on the Internet to help SmartWay partners evaluate and track their environmental performance and the value of investing in transportation management year-over-year improvements.

This ICR examines the information collected under SmartWay from organizations active in the transportation sector. Sections 1 through 5 of this supporting statement describe the collections (in terms of the need and utility of the data collected). These sections also outline respondent and Agency activities. In Section 6, EPA estimates the annual hour and cost burden to respondents and the Agency as a result of the data collections.

SMARTWAY TRANSPORT PARTNERSHIP AND THE TRANSPORTATION SECTOR

SmartWay consists of the following participant groups:

- **Carrier partners** are businesses that provide freight transport services, and that own and/or operate vehicles used in goods movement and related transportation-based assets. These businesses include freight carriers (large trucking, small business truck owners, railroad, inland marine and air carriers), commercial manufacturing and retail companies, logistics service providers and similar organizations. SmartWay may in the future expand to another type of freight mode, such as ocean-going vessels (OGV).

SmartWay partners commit to improve their fuel efficiency and environmental

performance when they join the partnership. Carriers that join SmartWay agree to annually measure their performance using a Microsoft Excel-based reporting tool (“reporting tool”) provided by EPA. This reporting tool may be downloaded from the EPA’s SmartWay website.

- **Shipper and Logistics partners** consist of manufacturers, retailers, logistics companies, and freight forwarders that hire or contract with transportation providers (e.g., carriers) to move goods. SmartWay shipper and logistics companies agree to annually assess the proportion of goods dispatched with SmartWay carriers. They report their freight transportation activity using a reporting tool similar to that used by carriers and EPA calculates their composite carbon footprint. Shippers and logistics companies agree to ship an increasing percentage of their goods with SmartWay carriers, and to lower carbon emissions from their facility transportation operations when they join SmartWay.
- **Affiliates** are both private and non-profit organizations and companies, including trade associations, state and local governments, leasing companies, retail truck equipment dealers, and other groups that encourage the transportation sector to integrate pollution controls and energy-saving strategies into their business operations.

This ICR covers the following reporting activities associated with partner participation in the SmartWay program:

SmartWay Partnership Annual Agreement

- An organization joins SmartWay when its submitted reporting tool is reviewed and approved. This reporting tool has an embedded SmartWay Partnership Annual Agreement (“Annual Agreement”) that states the general terms under which the partner agrees to participate. It also includes what EPA commits to do in return for the organization’s participation.

For example, partners commit to measure and report to EPA on an annual basis the environmental performance of their fleet(s) or business units using the EPA’s reporting tool; have their performance results posted on the EPA SmartWay website and in the database and submit supporting documentation for any data used to complete their tools upon request by EPA.

- In return, EPA agrees to do the following:
 - 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.
 - Provide companies with industry-wide performance benchmark data as this data becomes available to EPA.

- Assist partners in achieving emission and fuel usage reduction goals (subject to Federal Government Appropriations).
- Treat individual corporate data as sensitive business information.

Partners must check a box at the bottom of the Annual Agreement indicating that they understand and agree to program participation terms before they can move into the reporting tool to enter their data.

SmartWay Annual Reporting Tool

- Upon joining SmartWay, carriers, shippers, and logistics management companies agree to annually measure emissions generated by their freight transportation-related activities. To do so, partners collect data on their freight management business, such as transportation mode, fleet size, equipment type, fuel use, number of miles traveled, payload and related factors. They then input this information into the reporting tool and submit it electronically to the EPA. EPA reviews, approves, and uploads the completed reporting tool into its Customer Relationship Management (CRM) partner account database (“Partner database”).

EPA’s partner reporting tools use the keyed-in freight data to calculate emission outputs--carbon dioxide (CO₂), oxides of nitrogen (NO_x), and particulate matter (PM). The-outputs in the reporting tool enable partners to conduct analyses that help them optimize the efficiencies of their transportation management activities. These outputs are in reports, embedded in the tool and can be used to benchmark and continuously improve partner sustainability performance year-over-year.

After initially submitting data in the reporting tool when they first join, partners are asked to annually update their transportation management activities using the reporting tool. These annual updates help partners to track fuel economy improvements and monitor the effectiveness of their actions to improve their freight efficiency and reduce emissions year after year. EPA uses these annual updates to monitor the progress of the SmartWay program.

SmartWay Affiliate Agreement

- SmartWay affiliates are organizations that encourage their members or customers to participate in SmartWay. Affiliates also commit to highlight SmartWay within the freight transportation industry. To become an affiliate, the organization must complete and submit an affiliate agreement to the EPA.
- In return, EPA agrees to do the following:
 - Educate SmartWay partners about the affiliates’ involvement;
 - Publicize affiliates’ participation through SmartWay events, the website, and listing in educational and promotional materials. EPA will obtain written consent from an Affiliate before publishing its name in a context

beyond increasing public awareness of its participation as described above.

- o Provide marketing materials to affiliates to assist them in promoting SmartWay;
- o Allow affiliates to use the SmartWay Transport name in their activities related to promoting the SmartWay Transport Program provided the name is never used to imply EPA endorsement of affiliates, their products or services.
- o Provide EPA representatives as requested and as available to speak about SmartWay at affiliate meetings, workshops and conferences;
- o Provide technical assistance as needed to help affiliates achieve program goals.

SmartWay Excellence Awards

- Partners may be considered for a SmartWay Excellence Award and gain public recognition for their environmental performance. Emissions data may be used by partners to demonstrate their progress in reducing fuel use and air emissions. As part of the award process, a subset of partners (shippers, logistics providers and multimodal carriers) may also provide greater detail on specific actions/strategies they have taken to lessen the environmental impacts of their transportation-related business activities.

SmartWay Affiliate Challenge

Affiliates may be considered for public recognition for conducting exceptional outreach, educational, and policy activities to reduce air pollution and improve efficiency in the freight sector.

SmartWay Affiliate Challenge honorees have done outstanding work reaching out to inform and educate their members, communities, local businesses, truck drivers and other stakeholders about the benefits of being engaged in the SmartWay program. They also inform them about the steps they can take to reduce freight emissions and other environmental impacts of their freight transportation-related activities.

Program Evaluation

- Through workshops, webinars, conferences, and other interactive venues, SmartWay provides opportunities for partners, other industry representatives, and consumers to provide input on their experience with SmartWay.

SmartWay Tractor and Trailer Program

- EPA-designated SmartWay tractors and trailers are a newer generation of long-haul rigs equipped with clean, fuel-saving features that meet voluntary equipment specifications. EPA-designated SmartWay tractors and new and retrofitted trailers can achieve fuel savings of 10 to 20 percent and lower greenhouse gas emissions, as compared to non-SmartWay-designated trucks. These SmartWay-designated vehicles also can reduce oxides of nitrogen, particulate matter, and other air pollutants. SmartWay-designated tractor and

trailer owners need not be registered SmartWay partners.

- For-hire carriers, owner-operators, manufacturers and retailers with private fleets that own, lease and/or operate EPA-designated SmartWay tractors or trailers are eligible to label the exterior of their EPA-designated SmartWay tractors or trailers with the SmartWay logo. Both SmartWay partners and other private or for-hire fleets may submit an application to EPA to obtain the digital files of the EPA-designated SmartWay logo for eligible tractors and trailers.
- Original Equipment Manufacturers (OEMs) that produce tractors and trailers that meet the EPA-designated SmartWay specifications may complete and submit a SmartWay license agreement in order to access and use the SmartWay designated logo for promotional purposes.
- EPA may re-evaluate designation requirements over time to reflect changes in the fleet mix.

2 Need for and Use of the Collection

2(a) Need/Authority for the Collection

The EPA's Office of Transportation and Air Quality (OTAQ) established SmartWay under directives outlined in Subtitle D of the Energy Policy Act of 2005 which calls on EPA to assess the energy and air quality impacts of activities within the freight industry. These activities include long-duration truck idling, the development and promotion of strategies to reduce idling, fuel consumption, and associated negative air quality effects. SmartWay's objectives also are consistent with the Clean Air Act, the Federal Technology Transfer Act, and other laws that authorize and support research, training, and air pollutant control activities.

SmartWay is a key program in the Agency's strategic approach to reducing climate emissions. SmartWay supports and complements the Agency's climate policy goals. SmartWay also supports OTAQ's mission to protect the environment from freight transportation-based activities through the advancement of air pollution control equipment and technologies, clean fuels, and innovative mobility and logistics management strategies.

Information collected through SmartWay assists OTAQ in evaluating the challenges the freight industry is managing as the industry seeks to conserve fuel, reduce idling activity, lower CO₂ outputs, and improve its overall economic and environmental performance (through the application of technology-based controls, efficient logistics management strategies and related approaches). SmartWay also provides opportunities for EPA and industry to cooperate and collectively execute strategies that can help improve the transportation industry's financial and environmental performance, both in the short term and the long term.

Data gathered through SmartWay contribute to OTAQ's goals to reduce transportation-based emissions, improve transportation efficiencies, and protect human health and the environment. SmartWay program data also is critical to monitoring and measuring the success of SmartWay as a public/private partnership, both in terms of collaboration and as a tool for reducing fuel consumption and air pollutants, including CO₂,

NO_x, and PM.

2(b) Practical Utility/Users of the Data

SmartWay Partnership Reporting Tools

Information collected through the SmartWay program has a broad range of practical and useful applications. The annual reporting tool is needed to secure basic contact information and to ensure an organization's commitment to SmartWay's energy and environmental goals. Data submitted through the reporting tool assist partners in quantitatively assessing the fuel consumed and air pollutant emissions generated by their transportation and freight activities. Outputs from the reporting tools' data reports help organizations establish benchmarks, identify strategies, and set future goals for conserving fuel and reducing greenhouse gas, oxides of nitrogen and particulate matter emissions.

By allowing carriers to compare their efficiency and environmental performance in the online Carrier Performance Ranking spreadsheet with competing carriers, SmartWay drives continued improvements across industry. Superior performance in various partner categories is also recognized through the SmartWay Excellence Awards.

Completing and submitting an updated annual reporting tool helps partners monitor their progress, determine if their goals are being met, and adjust their goals if necessary. These updates also can provide partners with valuable information on the environmental and economic benefits of applying the options available for modifying their freight transport methods (e.g. purchase idle reduction equipment, modify pickup and delivery schedules, adopt intermodal options, etc.).

OTAQ uses outputs from the SmartWay reporting tools and its partner database to evaluate progress toward its goals for reducing transportation-based emissions. Information uploaded from the SmartWay reporting tools into the partner database also is used to select potential candidates for a SmartWay Excellence Award. The data are considered by EPA as part of its Excellence Awards program in conjunction with other information that a subset of partners (shippers, logistics providers and multimodal carriers) may also provide additional qualitative information to demonstrate the freight industry leadership progress they are making to meet the environmental commitments they made when joining SmartWay.

EPA also uses data from the tools to improve the SmartWay tools over time, making them more user-friendly and responsive to needs and changes in the industry; to generate aggregate partner information charts and graphics used in EPA's "Trends, Indicators and Partner Statistics" website, a resource for industry, government and academia; to generate the performance ranges EPA uses in ranking carrier partners; and, to calculate program forecasts and trend lines, for estimating future year benefits.

SmartWay Affiliate Agreement

The affiliate agreement is used to help EPA encourage those supporters who do not

qualify as SmartWay partners (e.g., non-profit organizations, associations, tractor/trailer dealerships) to advocate SmartWay's goals for better freight transportation with their membership. This affiliate agreement is a one-time submittal. Once the association has submitted the affiliate agreement, and EPA approves them into the program as an affiliate, the affiliate does not need to submit another affiliate agreement.

Annual SmartWay Excellence Awards and Affiliate Challenge

The SmartWay Excellence awards program and the Affiliate Challenge provide EPA important opportunities to publicly recognize the collective efforts of industry and individual organizations to conserve energy, improve air quality and raise awareness about the program. This recognition serves as a meaningful incentive, encouraging continuous improvement among existing partners and affiliates, highlighting their success within industry among peers, raising the bar on sustainability and helping to strengthen and build the partnership.

Program Evaluation

Periodic feedback and evaluation on the effectiveness of the SmartWay program and recognition of SmartWay as a brand from program partners, and other representatives active in the transportation sector will enable EPA to make program changes as may be warranted. This feedback and evaluation also enables EPA to ensure the value, usefulness, and effectiveness of the program.

SmartWay Tractor and Trailer Program

Companies that own or lease tractors or trailers designated under the SmartWay Verification Program report the number of EPA-designated SmartWay tractors and/or trailers in their fleets to SmartWay as they apply to obtain the SmartWay tractor and/or trailer logos. SmartWay uses this information to evaluate progress toward its air quality goals for reducing transportation-based emissions.

Original Equipment Manufacturers that produce tractors and trailers that meet the EPA SmartWay designated specifications may complete and submit a SmartWay license agreement in order to access and use the SmartWay designated logo for promotional purposes. One way EPA protects the SmartWay brand is via authorization of the license agreements for manufacturers.

3 Non-duplications, Consultations, and Other Collection Criteria

3(a) Non-duplication

The information collected under this ICR is not collected by any other EPA office or any other federal agency. Therefore, no potential for duplication with other federal collections exists.

3(b) Public Notice Required Prior to ICR Submission to OMB

In compliance with the 1995 Paperwork Reduction Act (PRA), any agency developing

a non-rule related ICR must solicit public comments for a 60-day period prior to submitting the ICR to OMB. These comments, which are used partly to determine realistic burden estimates for respondents, must be considered when completing the final Supporting Statement that is submitted to OMB.

The announcement of a public comment period for this renewal ICR was made in the Federal Register on _____ 2017 under Docket ID Number **EPA-HQ-OAR-2007-0482**.

3(c) Consultations

Because EPA works closely with its SmartWay partners, the Agency already has a basis for determining the time needed to carry out its information collection. Therefore, EPA relied primarily on the expertise of Agency staff in developing the ICR's hour and cost assumptions for this renewal.

In addition, the Agency accessed its partner database and associated documentation to estimate the number of respondents and activities. The Agency's data sources are kept up to date based on partner submittals (e.g., partner annual reporting tool submittals) and equipment logo applications.

3(d) Effects of Less Frequent Collection

SmartWay Partnership Annual Agreement and Reporting Tool

The annual agreement is part of the reporting tool. Less frequent data collection would reduce the value of the data in informing freight transportation industry decisions, decrease program effectiveness and hamper EPA's ability to track emission benefits.

A company submits the annual reporting tool upon joining SmartWay and annually thereafter, for as long as an organization remains a SmartWay partner. First-year system outputs are used by partners as a baseline to establish energy and emission reduction goals in the future.

Submitting annual reporting tool updates are necessary for SmartWay partners to determine the effectiveness of their actions to reduce emissions and energy use year-over-year. Likewise, for EPA, collecting and storing the reporting tool data annually ensures that the Agency is able to establish quantitative information on the Program's progress in reaching SmartWay's freight transportation emissions and fuel reduction goals.

Submitting a reporting tool to EPA less frequently than annually would prevent EPA and its SmartWay partners from tracking and assessing the progress of partners and the program as a whole. It also would make it difficult for partners to modify their strategies to reduce energy use and emissions, as needed, to meet their goals. Annual reporting tool updates are necessary for EPA and its SmartWay partners to effectively work toward their shared energy and environmental goals. It would also require significant changes to the program's reporting tools and structure.

The updated data also are important to EPA when assessing partner performance as part of the SmartWay Excellence Awards program. The Excellence Awards are an important

improvement incentive and encourages partners to implement effective emission-reduction strategies that help conserve energy, reduce greenhouse gas emissions, and improve air quality. This recognition is given on an annual basis.

SmartWay Affiliate Agreement

The affiliate agreement is used to help EPA allow SmartWay supporters who do not qualify as SmartWay partners (e.g., non-profit organizations, associations and tractor/trailer dealerships) to act as an advocate for SmartWay to their membership. This is a one-time submittal. Once the organization has submitted the affiliate agreement, and EPA approves them into the program as an affiliate, the affiliate will not have to complete another affiliate agreement. Submitting the one-time affiliate agreement is necessary for EPA and its affiliates to effectively work toward their shared energy and environmental goals.

Program Evaluation

Providing sufficient opportunities for SmartWay partners and transportation industry professionals to provide input to EPA on the effectiveness of SmartWay is necessary to monitor and implement program changes, as needed, in a timely manner.

SmartWay Tractor and Trailer Program

Companies in good standing that purchase or lease EPA-designated SmartWay tractors and/or trailers can submit an application to apply the SmartWay logo to the exterior of their EPA-designated SmartWay equipment. Submitting the application is necessary for EPA to protect the SmartWay brand and respondents to effectively work toward their shared energy and environmental goals.

3(e) General Guidelines

Information collections performed under this clearance will follow all of OMB's General Guidelines regarding federal data collection.

3(f) Confidentiality

Participation in SmartWay is voluntary and may be terminated by participants or EPA at any time. Partners voluntarily provide company-specific data to EPA. Such data may contain trade-secret, commercial or financial information. Accordingly, EPA manages SmartWay partner company-specific data and information in accordance with EPA's provisions on confidentiality. 40 CFR Part 2, Subpart B establishes EPA's general policy on the public disclosure of information and procedures for handling confidential business information (CBI) claims.

3(g) Sensitive Questions

No questions of a sensitive nature are asked of SmartWay participants ("respondent(s)").

4 The Respondents and the Information Requested

4(a) Respondents and NAICS Codes

Table 4.1 lists selected North American Industrial Classification System (NAICS) codes and the primary industry sectors associated with those codes. These industry sectors may be affected by SmartWay-related information collections covered under this ICR.

Table 4.1
List of NAICS Codes for SmartWay Partners

NAICS Code	Industry
421	Wholesale Trade, Durable Goods
422	Wholesale Trade, Nondurable Goods
4211	Motor Vehicle and Motor Vehicle Part and Supplies
42111	Automobile and Other Motor Vehicle Wholesalers
42112	Motor Vehicle Supplies and New Part Wholesalers
423	Wholesale Trade, Nondurable Goods
44-45	Retail Trade
48-49	Transportation and Warehousing
481	Air Transportation
4811	Scheduled Air Transportation
481112	Scheduled Freight Air Transportation
4812	Nonscheduled Air Transportation
48121	Nonscheduled Air Transportation
481212	Nonscheduled Chartered Freight Air Transportation
481219	Other Nonscheduled Air Transportation
482	Rail Transportation
4821	Rail Transportation
48211	Rail Transportation
482111	Line-Haul Railroads
482112	Short-Line Railroads
483	Water Transportation
4831	Deep Sea, Coastal and Great Lakes Water Transportation
48311	Deep Sea, Coastal and Great Lakes Water Transportation
483111	Deep Sea Freight Transportation
483113	Coastal and Great Lakes Freight Transportation
4832	Inland Water Transportation
48321	Inland Water Transportation
483211	Inland Water Freight Transportation
484	Truck Transportation
4841	General Freight Trucking
48411	General Freight Trucking, Local
48412	General Freight Trucking, Long-Distance
484121	General Freight Trucking, Long-Distance, Truckload
484122	General Freight Trucking, Long-Distance, LTL
4842	Specialized Freight Trucking
488	Support Activities for Transportation
4881	Support Activities for Air Transportation
48811	Airport Operations
488119	Other Airport Operations
48819	Other Support Activities for Air Transportation
4882	Support Activities for Rail Transportation

48821	Support Activities for Rail Transportation
4883	Support Activities for Water Transportation
48831	Port and Harbor Operations
48832	Marine Cargo Handling
48833	Navigational Services to Shipping
48839	Other Support Activities for Water Transportation
4884	Support Activities for Road Transportation
4885	Freight Transportation Arrangement
48851	Freight Transportation Arrangement
4889	Other Support Activities for Transportation
48899	Other Support Activities for Transportation
488991	Packing and Crating
488999	All Other Support Activities for Transportation
4931	Warehousing and Storage Facilities
49311	General Warehousing and Storage Facilities
49312	Refrigerated Warehousing and Storage Facilities
49319	Other Warehousing and Storage Facilities

4(b) Information Requested

Respondents commit to conserve-fuel and reduce emissions when they join SmartWay. The following describes the information that they submit as part of their participation with SmartWay:

4(b)(i) Data Items

SmartWay Annual Reporting Tool

A respondent company completes a reporting tool for its transportation mode (e.g., carrier, multi-modal, shipper) when it joins SmartWay. The partnership annual agreement is embedded in the reporting tool. On average, EPA estimates that .66 hours are needed to thoroughly review, comprehend and agree to the terms in the agreement. This estimate is included in the burden hours for the tool.

The partnership annual agreement includes the following information:

- The importance of an accurate and true reporting tool submission,
 - Terms of the company’s commitment,
 - Terms of EPA’s commitment,
 - General terms of the SmartWay partnership, and
 - A statement confirming an understanding of the annual agreement.
- The SmartWay annual reporting tool is a Microsoft Excel-based spreadsheet that enables SmartWay partners to quantify the environmental performance of their freight transportation-based operations in reports generated by the tool. SmartWay partners download the reporting tool from the SmartWay website (www.epa.gov/smartway) and enter their freight transportation data when they join SmartWay. They submit updated reporting tools annually thereafter. SmartWay provides tailored carrier and shipper reporting tools for different modes of moving goods. Available reporting tools include truck, rail, inland marine (barge), air, multi-modal, and logistics.

On average, EPA estimates that SmartWay partners will take 5.82 hours to gather, input, and review the data needed to successfully complete and submit the reporting tool the first time.

Thereafter, annual reporting tool updates will take 2.66 hours to complete. These estimates include the time needed to review system outputs prior to sending them to EPA.

For carrier partners the reporting tool requires the following information:

- Contact information, including a responsible primary contact for the company, an alternate contact, an executive contact; street and electronic addresses and phone numbers, and
- Information about the company, including data about its existing transportation equipment, such as the number of trucks employed; gallons of fuel used and miles traveled annually; average payload; pollution control equipment deployed and idling activity.

For shipper and logistics partners, the reporting tool requires the following information:

- Contact information, including a responsible primary contact for the company, an alternate contact, an executive contact; street and electronic addresses, and phone numbers, and
- Information about the company's transportation activities, including carriers hired to transport goods; mode/s used to transport goods; and freight facility operations.

Annual SmartWay Excellence Awards and SmartWay Affiliate Challenge

- The Annual SmartWay Excellence Awards and SmartWay Affiliate Challenge recognize outstanding achievements by partners in the program. Data from the reporting tools uploaded and summarized in the partner database provide the basis for an award. A subset of partners (shippers, logistics providers and multimodal carriers) also have the option of providing additional qualitative information, as listed below, to be considered for an award. On average, EPA estimates that partners that choose to provide this information take an estimated 3.25 hours to do so. Affiliates who choose to participate in the challenge take an estimated 2.75 to read and complete the paperwork and submit to EPA.

Additional information that may be provided by a Partner includes:

- Efforts undertaken to educate its staff, customers, stakeholders and the public about its participation in SmartWay, and
- Other activities supporting its participation as a SmartWay partner (e.g., a shipper may offer special assistance or incentives that help and/or encourage carriers to join SmartWay).

Information that may be provided by an affiliate highlights their success within industry

peer organizations, raising the bar on sustainability and helping to strengthen and build the partnership.

SmartWay Affiliate Agreement

- An organization that wishes to support SmartWay as an affiliate completes the SmartWay affiliate agreement when it joins SmartWay. The affiliate agreement is in Adobe Acrobat format and is submitted electronically, or by fax. (See Appendix A for a copy of the affiliate agreement).

A completed affiliate agreement lists the commitments that both EPA and the joining organization assume by working together through the SmartWay partnership. On average, EPA estimates that 0.82 hours are needed to thoroughly review, comprehend and submit the affiliate agreement. This could include some legal review.

Partner Evaluation

- SmartWay may request feedback on the program and the tools it provides, which would be expected to require no more than .25 hours of a respondent's time.

SmartWay Tractor and Trailer Program

- Any company*, individual* or SmartWay partner that wants to label the exterior of its tractors and/or trailers as "EPA-designated SmartWay Tractor" or "EPA-designated SmartWay trailer" will complete and submit the SmartWay Equipment Checklist that may be downloaded from the EPA's SmartWay website (See Exhibit 4 for a copy of the SmartWay Equipment Checklist.) Completion and submission of the Equipment Checklist signifies that a company owns or operates the respective tractor and/or trailer that meet the EPA-designated SmartWay specifications.

** Note: The EPA-designated SmartWay tractor and trailer logos are separate from and different than the SmartWay partner logo and can be applied for by any buyer of EPA-designated SmartWay equipment.*

- Data that the partner or EPA-designated equipment buyer submits in the SmartWay Equipment Checklist include:
 - Name of the truck and/or trailer manufacturer,
 - Name of the truck and/or trailer model/brand,
 - The model year of the truck and/or trailer,
 - Identification of SmartWay-verified technologies on the trucks (e.g., tires, idling control devices) and trailers (e.g., tires, aerodynamic equipment), and
 - The number of EPA-designated SmartWay trucks and/or trailers in use by the company fleet owner/operator/lessor.
- The company fleet owner/operator/lessor also completes and submits the Mark (i.e., logo) Signature Form (See Exhibit 6 for a copy of the Mark Signature

Form). This form is found on page 54 of the SmartWay Graphic Standards & Usage Guide.) Signing and submitting this form to EPA signifies understanding of the agreement to adhere to the SmartWay logo guidelines.

EPA estimates that it takes partners and company fleet owners/operators/lessors approximately 2.75 hours to compile and submit the SmartWay Equipment Checklist and Mark Signature Form.

- Any manufacturer that wishes to label the interior of tractors or trailers it produces as “SmartWay Designated” will complete and submit the SmartWay License Agreement that may be downloaded from the EPA’s SmartWay website (See Exhibit 8 for a copy of the SmartWay License Agreement.) Completion and submission of the License Agreement authorizes advertising and promotion of tractors or trailers that meet the EPA-designated SmartWay specifications by Original Equipment Manufacturers

EPA estimates that it takes manufacturers approximately .25 hours to read, complete and sign the SmartWay License Agreement. Additional time may be necessary to garner internal company approvals. This submittal is requested periodically (every 3 – 6 years).

4(b) (ii) Respondent Activities

SmartWay Partnership Annual Agreement and Reporting Tool

To register with SmartWay, respondents are asked to:

- Download the reporting tool,
- Review the embedded partnership annual agreement and agree to its terms,
- Complete the reporting tool, and
- Submit the completed reporting tool to EPA electronically.

SmartWay Annual Reporting Tool

Partners are asked to annually submit an updated reporting tool to the EPA. These activities involve the following:

- Gathering freight transportation data (fuel, miles and payload) needed for the reporting tool,
- Reviewing reporting tool reports and data, and
- Submitting a new or updated reporting tool and reviewing data outputs annually.

SmartWay Affiliate Agreement

To join the SmartWay Partnership as an affiliate, organizations are asked to complete and submit the affiliate agreement. This activity includes the following:

- Download the affiliate agreement
- Review its terms, and
- Submit the signed affiliate agreement to EPA electronically.

Annual SmartWay Excellence Award

In addition to reporting their environmental performance data via the reporting tool, a subset of partners (shippers, logistics providers and multimodal carriers) have the option to submit information on their specific projects/events to reduce fuel use, save energy, and publicly promote their participation in the SmartWay program. When a partner chooses to submit this information, it will:

- Gather and compile information (dates, participants, weight and/or emissions savings data) on its activities, including samples of promotional materials and in-house tools developed to highlight their involvement in SmartWay, and
- Send these materials to EPA, electronically.

Annual SmartWay Affiliate Challenge

Affiliates have the option to submit information on their specific projects and initiatives implemented to raise awareness about the mission and goals of SmartWay and sustainable freight transportation. When an affiliate chooses to participate in the Affiliate Challenge by submitting this information, it will:

- Gather and compile information (dates, participants, type of activity, results) including samples of promotional materials and in house resources developed to highlight their involvement in SmartWay, and
- Send these materials to EPA electronically.

Program Evaluation

EPA may seek feedback on the SmartWay program on a random and voluntary basis, and respondents may be asked to respond to a range of questions. These questions could include the usability of the reporting tool and the program's value to their organization, recognition of the SmartWay brand, understanding about the partnership, among others.

SmartWay Tractor and Trailer Program

Any company*, individual* or SmartWay partner's completion of the SmartWay Tractor and Trailer Program application includes the following steps:

- Review the EPA-designated SmartWay technical specifications to determine whether the tractor and/or trailer is eligible for the designation,
- Review the SmartWay Graphic Standards and Usage Guide that details specifics and guidelines for SmartWay logo use,
- If eligible:
 - Complete and submit the SmartWay Equipment Checklist which can be downloaded from the SmartWay website. Information to be provided includes:
 - Name of the truck and/or trailer manufacturer,
 - Truck and/or trailer model/brand,
 - Truck and/or trailer model year,
 - EPA-verified SmartWay technologies on trucks (tires, idling control devices),
 - Listed technologies and manufacturers are on the

- SmartWay website.
 - SmartWay-verified technologies on trailers (tires, aerodynamic equipment),
 - Listed technologies and manufacturers are on the SmartWay website.
 - Number of trucks and/or trailers.
- A SmartWay Equipment Checklist needs to be submitted for additional purchases of new trucks and/or trailers to be branded with the SmartWay-designated logos.

Manufacturers are requested to submit the SmartWay License Agreement every 3 – 6 years. The following information is requested:

- Company (licensee) Name
- Signatory Name (of licensee)
- Signatory Title
- Licensee company address
- Signatory phone number
- Signatory email address
- Date

5 Information Collection: Agency Activities, Collection Methodology, and Information Management

5(a) Agency Activities

EPA SmartWay managers, staff, and Partner Account Managers (PAMs) will perform certain activities associated with information collections described in this ICR. These activities serve to develop, evaluate and support the SmartWay program.

SmartWay Annual Agreement

The Agency will perform the following activities related to the partnership annual agreement:

- Promote company participation by posting partner names on the SmartWay website and in related educational, promotional, and media materials,
- Provide partners with their freight transportation performance ranking data as it becomes available and summarized by EPA,
- Assist partners in achieving freight transportation emissions and fuel usage reduction goals,
- Update and maintain SmartWay website, and
- Monitor the distribution and use of SmartWay logos.

SmartWay Annual Reporting Tool

The Agency will perform the following activities related to SmartWay partner-submitted reporting tools:

- Assign a Partner Account Manager (PAM). *A PAM is a technical expert that is responsible for reviewing and approving SmartWay partner tool*

submissions, offers suggestions to partners on efficiency strategies and improvements and engages non-SmartWay companies with SmartWay.

- Review, approve, and upload to the partner database new and updated partner freight transportation performance data submitted in the reporting tool,
- Send a welcome letter and registration certificate to the new partner,
- Request updates of data, strategies undertaken and substantiation of information annually,
- Review partner activities undertaken to promote SmartWay,
- Review partner's year-over-year progress in the database, and note any anomalies that would necessitate a call from the PAM to the partner,
- Update and maintain SmartWay Website Performance Carrier Ranking List.

Annual SmartWay Excellence Awards

The Agency will review environmental performance data and any additional information/data partners provide to highlight their progress and achievements in conserving fuel and reducing emissions related to freight transportation:

- Review and rank performance data that is submitted,
- Review and assess other partner information submitted for award consideration, and
- Summarize and evaluate partner accomplishments and achievements that warrant excellence recognition.

Annual SmartWay Affiliate Challenge

The Agency will review information affiliates provide that show how engaged they are with the SmartWay program. The information provided by affiliates will demonstrate the variety of innovative ways used to raise awareness about freight supply chain sustainability.

Program Evaluation

The Agency will review data and feedback from its partners, and industry representatives on the program and use it to adjust/change and improve the program.

SmartWay Tractor and Trailer Program

SmartWay will perform the following activities in support of the SmartWay Tractor and Trailer Program:

- Review the tractor and trailer logo requests from companies via checklist submissions,
- Answer questions of companies, individuals and partners, as appropriate, and
- Once approved, send the digital logo files to the EPA-designated SmartWay equipment buyer(s),
- Review and file the SmartWay License Agreement,
- Send the digital files of the SmartWay designated logo to the manufacturer.

5(b) Collection Methodology and Management

EPA will use a telephone system, computers, and applicable software to collect,

summarize and analyze information gathered under this ICR. Market research may also be undertaken **periodically** to gage **program effectiveness**. The reporting tools have embedded quality assurance controls based on EPA's statistical analyses of historical freight transportation data. These controls assist the Agency in managing the data and labor costs effectively.

Additionally, EPA will ensure the accuracy and completeness of collected information by reviewing each submittal. The Agency will upload the reviewed and approved data obtained into the partner database and will aggregate data obtained to monitor the progress of participants in reducing fuel consumption and freight transportation air pollutant emissions. These efforts will help to ensure the proper use and processing of the data being collected to enhance the value of the air quality /environmental information to EPA and the public.

5(c) Small Entity Flexibility

EPA expects that some independent truck owners, small fleet (20 and under trucks) operators and other small businesses will participate in SmartWay. EPA has designed its information collections to minimize respondent burden while obtaining sufficient and accurate freight transportation information. EPA has tailored its reporting tools to ensure that the burden on all businesses – including small businesses – is minimal.

Small entities, along with any respondent, can call the SmartWay Helpline, attend and/or download recorded SmartWay webinars, download instruction guides or use the SmartWay email box to access help and program information. Additionally, SmartWay works with affiliates such as state trucking associations to provide additional training and outreach.

5(d) Collection Schedule

The Agency collects environmental performance data from SmartWay partners annually via an Excel-based reporting tool. Additional information that is submitted for the purpose of being considered for an award is optional.

6 Estimating the Burden and Cost of the Collection

6(a) Estimating Respondent Burden

Exhibit 1 presents the annual respondent burden hours for information collection activities associated with SmartWay. Exhibit 1 also includes the total annual hours devoted by respondents to conduct all activities.

6(b) Estimating Respondent Costs

Exhibit 1 estimates respondent costs associated with each information collection activity. Exhibit 1 also presents the total annual respondent costs under all activities. Specific cost assumptions are discussed below.

6(b)(i) Estimating Labor Costs

The labor rates used to estimate costs to respondents are consistent with hourly national wage rates published by the U.S. Bureau of Labor Statistics publications on employment and earnings. EPA estimates a median hourly respondent labor cost. EPA also multiplied hourly wage rates by the standard government overhead factor of 1.6 to calculate overhead costs such as paid leave, health insurance, retirement savings, office space, computers, and other business expenses. This resulted in hourly respondent labor burden of \$95.98 for legal staff, \$89.07 for managerial staff, \$75.38 for technical staff, and \$30.65 for clerical and/or administrative staff.

6(b)(ii) Estimating Capital and Operations and Maintenance (O&M) Costs

In general, EPA is not expecting that respondents will need additional computers, software, or other capital investments to participate in the SmartWay Transport Partnership. Respondents should be able to use existing computer equipment and software to compile and submit the annual reporting tool and to submit other information as part of their SmartWay participation.

Operations and maintenance (O&M) costs are those costs associated with a paperwork requirement incurred continually over the life of the ICR. They are defined by the Paperwork Reduction Act of 1995 as the “recurring dollar amount of costs associated with O&M or purchasing service.”

This ICR no longer includes O&M postage costs for each submittal to EPA for the collection of optional items such as hard copies of materials submitted with the Smartway Excellence Award Application for consideration of a SmartWay Excellence Award. EPA previously estimated an average cost of \$15.00 per submittal. Now, all submittals are electronically provided for the SmartWay Excellence Awards. These costs no longer affect the respondent burden.

6(c) Estimating Agency Burden and Costs.

The data in Exhibit 2 shows that EPA estimates that each EPA federal burden hour for the information collection activities associated with SmartWay is conducted by an experienced technical staff person. EPA is also including overhead costs associated with employing an experienced technical staff person, such as paid leave, health insurance, retirement savings, office space, telephones, computers, and other business expenses.

EPA assumed that federal staff-level burden hours would be completed by an experienced technical staff person being paid at a GS-13, Step 3 federal government employee salary of \$97,990/year.¹ EPA then divided the annual 2013 GS-13, Step 3 salary rate by 2080 (the number of hours in a work year) and multiplied this number by the standard government overhead factor of 1.6. This calculation resulted in a federal cost of \$75.38/burden hour.

EPA also assumed that managerial oversight would be completed by a manager being paid at the GS-14, Step 3 federal government employee salary of \$90,343/year. EPA then

¹ January 2016 U.S. Office of Personnel Management, Salary Table 2013-GS, 2013 General Schedule, <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/pdf/2016/DET.pdf>.

divided the annual 2016 GS-14, Step 3 of \$115,793 salary rate by 2080 (the number of hours in a work year) and multiplied this number by the standard government overhead factor of 1.6. This calculation resulted in a federal cost of \$89.07/burden hour.

EPA also uses Senior Environmental Employees (SEEs) to support SmartWay. For the SEE employees, EPA used the average hourly rate for Level IV Technical Staff of \$15.61 multiplied by 1.43 benefits rate for \$22.32/burden hour. Labor rates for SEE employees are based on standard rates applied by Senior Service America, Inc., the administrator of a grant program that makes SEE employees available to the EPA.

These estimates are summarized in Exhibit 2.

6(d) Estimating the Respondent Universe and Total Burden and Costs

In this section, EPA describes its estimates of the number of respondents carrying out the information collections under SmartWay. In developing its estimates, EPA referred to its partner database to identify trends in the number of existing and new respondents. Based on this understanding, EPA has estimated the average number of respondents associated with each of the information collections under the program. These averages and an explanation of how they were derived follows for each collection activity.

Affiliates

Based on information drawn from the SmartWay Partner database, there are approximately 3,500 respondents participating in SmartWay. Of those 3,500 respondents, approximately 262 (7%) of them are affiliates.

These affiliates do not complete or submit an annual reporting tool. Affiliates join SmartWay to act as an advocate and highlight and support EPA's goals through marketing and communications activities. They typically do not engage in a significant amount of freight activity. Consequently, it is not necessary for them to complete or submit an annual SmartWay reporting tool. However, they must complete and submit an Affiliate Agreement to participate with SmartWay as an affiliate.

Based on historical program growth, EPA estimates that, on average, 429 respondent organizations will join SmartWay each year either as partners or affiliates. Based on the existing percentage of respondents that are Affiliates (i.e., 7%), EPA projects that 30 respondents will join annually as Affiliates ($429 \times 0.07 = 30$). EPA estimates that it will take, on average, 0.82 hours for each of these Affiliates to complete and submit an Affiliate Agreement.

These assumptions are reflected in Exhibit 1 and a copy of the SmartWay Affiliate Agreement is in Exhibit 4.

SmartWay Partnership Annual Agreement and Reporting Tool

EPA asks all organizations that join SmartWay, with the exception of affiliates, to

download the reporting tool which is available online, and to enter their freight transportation activity data into the reporting tool before submitting it to EPA. After that, Partners are asked to provide annual updates using the reporting tool.

Approximately 93% of SmartWay's respondents, or 3,255 partners, submit a completed reporting tool upon joining the program and annually thereafter. Based on historical program growth, EPA estimates that 429 organizations representing shipper, carrier (truck, rail), logistics management, and public and private affiliate groups will join SmartWay annually. Using historical trends, EPA estimates that approximately 418 of those organizations will register annually as SmartWay partners ($459 \times 0.93 = 427$). The other 7% –30 organizations– will join as affiliates.

EPA estimates that these 427 new partners will enter environmental performance data each year, taking 5.16 hours on average to do so. This work will entail the following:

- Reviewing the terms of the embedded annual agreement which may include legal review for some companies,
- Gathering information needed to provide relevant data into the reporting tool,
- Downloading the reporting tool from the SmartWay website and entering information and relevant data into the reporting tool,
- Reviewing the reporting tool and data outputs for inconsistencies and errors,
- Sending the completed reporting tool to the EPA via email.

These assumptions are reflected in Exhibit 1.

SmartWay Annual Reporting Tool Updates

Following the initial submittal of environmental performance data using the reporting tool, EPA asks that partners annually report their progress in meeting their environmental performance goals. In addition to the 3,500 existing partners that will provide annual reporting tool updates, new partners also will submit an annual reporting tool. Therefore, in addition to the 3,500 existing partners that provide updated environmental data via the reporting tool, another 427 new partners will submit a reporting tool for the first time during each year of the three-year period covered by this ICR.

EPA also reviewed the SmartWay program's retention rate among its existing partners. EPA found that about 75% of all SmartWay partners that initially submit a reporting tool maintain their status as SmartWay partners by annually submitting the reporting tool and annual agreement. Thus, of the 427 new SmartWay partners that submit a reporting tool for the first time, approximately 320 of them ($427 \times .75 = 320$) will submit a reporting tool update in years that follow.

To develop an average complete estimate of the number of annual respondent hours and cost burden associated with submitting the reporting tool on an annual basis, EPA factored in this retention rate. See the below Table 6.1 for an average of projected respondents submitting reporting tools over the three-year period covered by this ICR.

Table 6.1
Average Annual Respondent
SmartWay Partners

Year	Existing Respondents	New Respondents
1	3,500	427
2	3,820 (3,500 + 320)	427
3	4,140 (3,820 + 320)	427
Average Annual Respondents	3,820	427

Although the same basic actions that are involved in initially submitting the reporting tool are used in subsequent reporting years, EPA estimates that gathering, reviewing, and submitting an updated reporting tool will require an average of 2.66 hours. The reduction in this burden hour estimate (as compared to running the reporting tool for the first time) is based on the experience that SmartWay partners have acquired in managing their fleet, energy and environmental performance as well as in increased familiarity with the SmartWay reporting tool.

As a result, EPA estimates that on an average annual basis, 3,820 SmartWay partners will provide an updated reporting tool, taking 2.66 hours on average to do so.

These assumptions are reflected in Exhibit 1.

Annual SmartWay Excellence Awards

As a part of its annual SmartWay Excellence Awards program, EPA annually reviews the environmental data respondents submit to identify and recognize respondents that demonstrate a high level of leadership in reducing fuel consumption and lowering greenhouse gas and other air emissions. Selected shipper and logistics respondents have the option of providing EPA with other relevant information on actions that may not be captured in their performance data.

When a respondent voluntarily opts to submit this information, it will:

- Gather and compile information on its activities, including samples of promotional materials and in-house tools developed to highlight its involvement in SmartWay,
- If the supplemental information includes activities and/or projects carried out where weight and/or miles are taken out of their supply chain, respondents submit their methodology, calculations with summarized results and
- Send these materials to EPA, electronically.

Based on EPA’s experience in administering the SmartWay Excellence Awards program, it is estimated that 132 partners (about 3.5% of all partners) will provide this additional information for consideration on an annual basis during the three-year time period

covered by this ICR. On average, these partners will take 3.25 hours to gather and submit the award materials that they would like EPA to evaluate.

These assumptions are reflected in Exhibit 1 and copy of the SmartWay Excellence Award Semi-Finalist Application, Exhibit 3.

Annual SmartWay Affiliate Challenge

As a part of its annual SmartWay Affiliate Challenge, EPA encourages affiliates to submit an application detailing marketing and outreach activities performed from March 1 of the previous year to March 1 of the current year. Activities must fit into the following four broad categories: SmartWay promotional efforts, SmartWay enrollment efforts, promotion of efficient freight supply chain practices and collaboration efforts. EPA reviews the applications and evaluates them based on level of effort, innovation, scope and reach of activities, and results achieved. When an affiliate voluntarily opts to submit this information, it will:

- Gather and compile information on its activities, including samples of promotional materials and in-house tools developed to highlight its involvement in SmartWay.
- Send these materials to EPA, electronically.

Based on EPA's experience in administering the SmartWay Affiliate Challenge it is estimated that 24 affiliates (about 10% of all Affiliates) will provide this additional information for consideration on an annual basis during the three-year time period covered by this ICR. On average, these affiliates will take 2.50 hours to compile and submit the challenge recognition materials that they would like EPA to evaluate.

These assumptions are reflected in Exhibit 1 and a copy of the SmartWay Affiliate Challenge Application is in Exhibit 5.

Program Evaluation

Over the three-year period covered by this ICR, EPA expects that it will ask respondents for advice and suggestions on the effectiveness of SmartWay and how to improve the tools and incentives it provides the transportation sector. EPA will request this information no more than once a year from no more than 150 respondents and expects that it will require no more than 15 minutes of time from a respondent.

These assumptions are reflected in Exhibit 1.

SmartWay Tractor and Trailer Program

Approximately 170 SmartWay partners reported owning or operating tractors that meet the SmartWay designated specifications. This is an annual average of 22 SmartWay partners applying to participate since the SmartWay Tractor Program began in 2008.

Approximately 54 SmartWay partners reported owning or operating dry van trailers that meet the SmartWay designated specifications. This is an annual average of nine (9) partners applying to participate since trailers were included in the program in 2009.

Based on historical data, EPA estimates that, on average, 22 interested partners will apply to participate in the SmartWay Tractor and Trailer Program annually over the three-year period covered by this ICR. EPA estimates that it will take these partners approximately 2.75 hours each to gather the required data and to complete and submit the SmartWay Equipment Checklist and the Mark Signature form needed to participate in the SmartWay Tractor and Trailer program.

Based on current data, EPA estimates there will be 16 equipment manufacturers who will update their tractor or trailer license agreement. EPA estimates that it will take at least .50 hours each to complete the agreement and submit it to EPA.

These assumptions are reflected in Exhibit 1 and a copies of the U. S. EPA Designated SmartWay Tractor and Trailer Equipment Checklists are in Exhibit 6; copy of the US EPA Designated SmartWay Mark Licensing Agreement is in Exhibit 8.

6(e) Bottom Line Burden Hours and Cost Tables

6(e)(i) Respondent Tally

As shown in Table 6.2, EPA estimates the total annual hour and cost burden to respondents to be 13,202 hours and \$909,828.

**Table 6.2
Total Estimated Annual Respondent Burden and Cost Summary**

Information Collections	Number of Respondents (Average/Year)	Estimated Burden Hours per Respondent	Total Annual Burden Hours	Total Annual Labor	Total Annual Capital Cost	Total Annual O&M Cost	Total Annual Cost
Affiliate Agreement	30	.82	25	\$1,897	\$0	\$0	\$1,897
Initial Reporting Tool and Annual Agreement Submission	427	5.82	2,485	\$187,282	\$0	\$0	\$187,282
Annual Reporting Tool Updates	3,820	2.66	10,161	\$679,311	\$0	\$0	\$679,311
Excellence Awards & Recognition	132	3.25	429	\$31,765	\$0	\$0	\$31,765
Evaluation	150	.25	38	\$3,340	\$0	\$0	\$3,340
Affiliate Challenge	8	2.75	22	\$207.29	\$0	\$0	\$1,658
Tractor and Trailer Program	22	2.75	61	\$191.77	\$0	\$0	\$4,219
Tractor/Trailer License Agreement	16	.25	4	\$22.27	\$0	\$0	\$356
TOTAL	4,605	--	13,224	\$909,828	\$0	\$0	\$909,828

6(e)(ii) Agency Tally

In Table 6.3, EPA presents a summary of the total estimated annual Agency burden for the SmartWay program.

Table 6.3
Total Estimated Annual Agency Burden and Cost

Respondent Type	Annual Burden Hours	Total Annual Labor Costs	Total Annual Capital Cost	Total Annual O&M Cost	Total Annual Cost
Agency	4,910	\$194,921	\$0	\$350	\$195,271

6(f) Reasons for Change in Burden

Increase in respondent burden since the previous ICR was approved is approximately 1,720 hours:

- **Adjustment due to increased interest in SmartWay and thus, an increase in new annual respondents.**

The average annual number of burden hours for new reporting tools has increased by 328 hours (i.e., from 2,157 to 2,485 average annual burden hours.) This increase is due to the growth in the number of new respondents since the last ICR.

The average annual number of new respondents submitting a reporting tool for the first time is slightly increased from 418 to 427 respondents. This is based on historical trends.

Burden hour increase attributable to this change: Approximately 52 hours

- **Adjustment due to robust retention, and as a result, an increased number of existing respondent partners.**

The average number of burden hours for updated reporting tools has increased by 1,609 annual burden hours due to program growth (i.e., from 8,552 annual average burden hours to 8 annual 10,161 average burden hours.) This is due to Program growth.

The average annual number of respondents submitting an updated reporting tool has increased from an annual average of 3,215 respondents to an annual average of 3,820 respondents, since the last ICR.

Burden hour increase attributable to this change: Approximately 1,609 hours

- **Adjustment due to a projected increase in respondent interest in the SmartWay tools.**

The number of projected annual SmartWay Excellence Awards applicants has increased based on the increased number of SmartWay partners. Last ICR average annual number of Award applicants was 109 for this ICR, our projected average annual number is 132.

Burden hour increase attributable to this change: Approximately 66 hours.

The Operation and Maintenance costs for SmartWay Excellence Awards applicants has decreased from \$1,980 to \$0.00. Decrease in dollars is a result of a change in policy for submitting Awards materials electronically, rather than by mail. (132 applicants, \$15 each)

Burden costs decrease attributable to this change: Approximately \$1,980.

Program change associated with the SmartWay Affiliate Program

The average annual costs for the new Affiliate Challenge will increase from 0 hours on the last ICR to 22 hours for this ICR with an average annual number of respondents estimated to be 8.

Burden costs increase attributable to this change: Approximately 22 hours and \$1,658 in costs.

Program Change associated with the SmartWay Tractor and Trailer Program.

EPA has added information collection requirements with the SmartWay Tractor and Trailer Program, to collect updated licensing agreements from Original Equipment Manufacturers (OEMs). The average annual number of respondents is estimated to be 16.

Burden hour increase attributable to this change: Approximately 4 hours with an estimated burden cost of \$356.

EPA believes the burden in this ICR renewal is justified in light of the many benefits to participants, the public, and the environment.

6(g) Burden Statement

EPA estimates that the reporting burden per SmartWay respondent will be approximately 2.65 hours per year. EPA notes that this is an average across all SmartWay partners, regardless of whether they are SmartWay affiliates or SmartWay partners. It is also an average for all respondents, regardless of how they have participated with SmartWay (i.e., whether they have previously completed partner agreements, submitted additional information

for program evaluation, or submitted an application for Excellence Award consideration.).

Burden means the total time, effort, or financial resources expended by a person to generate, maintain, retain, disclose or provide information to or for a federal agency. This includes the time needed to: review instructions; develop, acquire, install, and utilize technology and systems for the purposes of collecting, validating, and verifying information; adjust the existing ways to comply with previously applicable instructions; search data sources; complete and review the collection of information; transmit or otherwise disclose the information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

To comment on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including the use of automated collection techniques, EPA has established a public docket for this ICR under Docket ID Number EPA-HQ-OAR-2007-0482, which is available for online viewing at www.regulations.gov, or in person viewing at the Air Docket in the EPA Docket Center (EPA/DC), WJC West, Room 3334, 1301 Constitution Avenue, NW, Washington, D.C. The EPA Docket Center Public Reading Room is open from 8:30 a.m. to 4:30 p.m., Monday through Friday, excluding legal holidays. The telephone number for the Reading Room is (202) 566-1744, and the telephone number for the Air Docket is (202) 566-1742. An electronic version of the public docket is available at www.regulations.gov. This site can be used to submit or view public comments, access the index listing of the contents of the public docket, and to access those documents in the public docket that are available electronically. When in the system, select "search," then key in the Docket ID Number identified above. Also, you can send comments to the Office of Information and Regulatory Affairs, Office of Management and Budget, 725 17th Street, NW, Washington, D.C. 20503, Attention: Desk Officer for EPA. Please include the EPA Docket ID Number EPA-HQ-OAR-2007-0482 and OMB Control Number 2060-0663 in any correspondence.

Exhibit 1
Estimated Annual Respondent Burden and Cost
US EPA SmartWay Program

Information Collection Activity	Hours and Costs per Respondent								Total Respondents
	2016 Legal \$95.98/hr	2016 Manager \$89.07/hr	2016 Technical \$75.38/hr	2016 Clerical \$30.65/hr	Response Hours/Year	Labor Cost/ Year	Capitol Startup Costs	O&M Costs	
Affiliate Agreement									
Review Affiliate Agreement	0.25	0.25	0.16	0	0.66	\$58.32	0	\$0.00	30
Return Affiliate Agreement to EPA	0	0	0	0.16	0.16	\$4.90	0	\$0.00	30
Subtotal	0.25	0.25	0.16	0.16	0.82	\$63.23	\$0.00	\$0.00	30
Affiliate Challenge									
Gather and compile activity information	0	0	2.50	0	2.50	\$188.44	\$0.00	\$0.00	8
Send information and any samples to EPA	0	0	0.25	0	0.25	\$18.84	\$0.00	\$0.00	8
Subtotal	0	0	2.75	0	2.75	\$207.29	\$0.00	\$0.00	8
New/Initial SmartWay Reporting Tool									
Review Partnership Annual Agreement	0.25	0.25	0.16	0	0.66	\$58.32	0	\$0.00	427
Gather data & info for reporting tool	0	0.5	2	0	2.5	\$195.29	0	\$0.00	427
Input data into reporting tool	0	0	1	0.5	1.5	\$90.70	0	\$0.00	427
Review reporting tool	0	0.5	0.5	0	1	\$82.22	0	\$0.00	427
Send completed reporting tool to EPA	0	0	0.16	0	0.16	\$12.06	0	\$0.00	427
Subtotal	0.25	1.25	3.82	0.5	5.82	\$438.60	\$0.00	\$0.00	427
Update/Annual SmartWay Reporting Tool									
Gather Data & Info to Update reporting tool	0	0	1	0	1	\$75.38	0	\$0.00	3,820
Input data into reporting tool	0	0	0	0.5	0.5	\$15.33	0	\$0.00	3,820
Review reporting tool	0	0.5	0.5	0	1	\$82.22	0	\$0.00	3,820
Send reporting tool to EPA	0	0	0	0.16	0.16	\$4.90	0	\$0.00	3,820
Subtotal	0	0.5	1.5	0.66	2.66	\$177.83	\$0.00	\$0.00	3,820
SmartWay Excellence Awards									
Gather information for EPA consideration	0	0	2	0	2	\$150.75	0	\$0.00	132
Review and Send Information to EPA	0	0.5	0.5	0.25	1.25	\$89.89	0	\$0.00	132
Subtotal	0	0.5	2.5	0.25	3.25	\$240.64	\$0.00	\$0.00	132
Awareness Assessment									
Complete and submit online assessment	0	0.25	0	0	0.25	\$22.27	0	\$0.00	150
Subtotal	0	0.25	0	0	0.25	\$22.27	\$0.00	\$0.00	150
SmartWay Tractor & Trailer Program									
Buyers complete the Equipment Checklist	0	0.5	1.75	0.5	2.75	\$191.77	0	\$0.00	22
OEMs updating License Agreement	0	0.25	0	0	0.25	\$22.27	0	\$0.00	16
Subtotal	0	0.75	1.75	0.5	3.00	\$214.04	\$0.00	\$0.00	38
Totals	0.5	3.5	12.48	2.07	18.55	\$ 1,364	0	0	4,600

**Estimated Annual Agency Burden and Cost
US EPA SmartWay Program
Information Collection Activity**

	Hours and Costs per Respondent						Total Hours and Cost			
	2016 Manager \$89.07/hr	2016 Technical \$75.38/hr	2016 SEE \$22.32/hr	Agency Hours/ Year	Labor Costs/ Year	Annual Capitol Startup Costs	Annual O&M Costs	Number of Respond. Activities	Total Agency Hours/ Year	Total Cost/ Year
Partnership and Affiliate Agreements										
Review & process submitted Affiliate Agreements	0.03	0.00	0.08	0.11	4.46	0.00	0.00	457	50.27	\$2,037
Send a Letter Welcoming Partner to SmartWay Program	0.00	0.00	0.08	0.08	1.79	0.00	0.50	457	36.56	\$816
Update EPA/SmartWay Website-Affiliates	0.00	0.00	0.08	0.08	1.79	0.00	0.00	457	36.56	\$816
Subtotal	0.03	0.00	0.24	0.27	8.03	0.00	228.50	457	123.39	\$3,669
New SmartWay Reporting Tools										
Review and Evaluate Reporting Tools	0.08	0.25	1.50	1.83	59.45	0.00	0.00	427	781.41	\$25,387
Update SmartWay partner database with Reporting Tool Data	0.00	0.00	0.50	0.50	11.16	0.00	0.00	427	213.50	\$4,766
Update EPA/SmartWay Website	0.00	0.00	0.00	0.00	0.00	0.00	0.00	427	0.00	\$0
Subtotal	0.08	0.25	2.00	2.33	70.61	0.00	0.00	427	994.91	\$30,152
Update SmartWay Carbon Tracking System										
Review and Evaluate Updated Reporting Tools	0.08	0.08	0.50	0.66	24.32	0.00	0.00	3820	2521.20	\$92,891
Update SmartWay Partner Acct Mgmt D-base with Updated Reporting Tools	0.00	0.08	0.08	0.16	7.82	0.00	0.00	3820	611.20	\$29,857
Subtotal	0.08	0.16	0.58	0.82	32.13	0.00	0.00	3820	3132.40	\$122,748
SmartWay Excellence Awards										
Develop Awards Criteria	0.08	0.50	0.00	0.58	44.81	0.00	0.00	132	76.56	\$5,915
Review Database for Environmental Data	0.00	0.50	1.00	1.50	60.01	0.00	0.00	132	198.00	\$7,921
Receive and review other information submitted	0.00	1.00	0.50	1.50	86.54	0.00	0.00	132	198.00	\$11,423
Notify partners that will receive award	0.00	0.08	0.16	0.24	9.60	0.00	0.50	132	31.68	\$1,333
Subtotal	0.08	2.08	1.66	3.82	200.96	0.00	66.00	132	504.24	\$26,593
SmartWay Affiliate Challenge										
Develop Challenge criteria	0.08	0.00	0.00	0.08	7.13	0.00	0.00	8	0.64	\$57
Receive and review other information submitted	1.00	0.00	0.00	1.00	89.07	0.00	0.00	8	8.00	\$713
Notify affiliates who will be recognized		0.00	0.25	0.25	5.58	0.00	0.50	8	2.00	\$49
Subtotal	1.08	0.00	0.25	1.33	101.78	0.00	0.50	8	10.64	\$818
Awareness Assessment										
Review assessment, research focus and questions	0.08	0.50	0.00	0.58	44.81	0.00	0.00	132	76.56	\$5,915
Process assessment and present results to internal audiences	0.00	0.25	0.00	0.25	18.84	0.00	0.00	132	33.00	\$2,487
Subtotal	0.08	0.75	0.00	0.83	63.66	0.00	0.00	132	109.56	\$8,403
SmartWay Tractor-Trailer										
Review Partner application submission	0.00	1.00	0.10	1.10	77.61	0.00	0.00	22	24.20	\$1,707
Send logo graphic files to Partner	0.00	0.50	0.00	0.50	37.69	0.00	0.00	22	11.00	\$829
Review and file license agreement	0.00	0.25	0.00	0.25	18.84	0.00	0.00	16	4.00	\$302
Send logo digital graphic files to partners	0.00	0.25	0.00	0.25	18.84	0.00	0.00	16	4.00	\$302
Subtotal	0.00	2.00	0.10	2.10	152.99	0.00	54.60	76	35.20	\$2,536.55
Totals	1	5	5	12	\$ 630	-	\$ 350	5,052	4,910	\$194,921

Exhibit 3 SmartWay Excellence Award Semi-Finalist Application



2016 SmartWay Excellence Award Semi-Finalist Application

OMB No: 2060-0663, Expiration Date: 07/31/2017

Company Name: _____

Congratulations! Your company has been selected as a SmartWay Excellence Award *semi-finalist* and is invited to submit an application for award consideration. Eligible partners are *Award semi-finalists* because they meet the specified SmartWay Excellence Award performance criteria and are Partners in good standing, including on-time Partner Tool submission in the current and prior calendar year. SmartWay shippers, logistics and multi-modal companies that demonstrate top environmental performance are invited to submit supplemental qualitative documentation which demonstrates leadership efforts important to the Partnership. These efforts are in support of and complementary to SmartWay environmental goals such as effective collaboration, advanced technology and operational practices, a robust system to validate and report their SmartWay data, communications and public outreach.

The 2016 SmartWay Excellence Award criteria for shippers, logistics and multi-modal carrier partners are available at: <http://www3.epa.gov/smartway/about/documents/awards/420f16004.pdf>

Evaluation Criteria:

The *semi-finalist* application will be judged on a point system that evaluates leadership based on specific categories that demonstrate:

- clear, concise and complete responses to application questions
- real achievements and accomplishments, as well as internal or external activities and efforts that have already taken place
- evidence, proof or documentation which substantiates submissions
- quality and substance of summaries and descriptions

The following leadership categories: outreach and partner registration (partner enrollment), data validation and supply chain carbon accounting/ reporting are recognized by the U.S. Environmental Protection Agency (EPA) to require additional time, effort and resources for engagement or completion of certain activities and therefore will be granted greater weight. There is a total of 100 possible points for the Award Semi-Finalist application. Possible total credit for each question is presented below:

Question 1 (SmartWay Promotional, Educational Collaborative and Registration Efforts):	20 points
Question 2 (SmartWay in Your Community):	10 points
Question 3 (Using SmartWay Data for Carbon Reporting and Disclosure Initiatives):	20 points
Question 4 (Data Validation):	20 points
Question 5 (Freight Efficient Strategies):	10 points
Question 6 (Mode Optimization):	10 points
Question 7 (Comprehensive Reporting of MM and Logistics Business Operations or Services)	<u>10 points</u>
Total Points:	100 points

Application Instructions:

Please complete, sign and submit the application by the deadline of close of business on Friday, April 1, 2016.

Completed applications may be submitted via (order of preference indicated):

1. e-mail: turkington.marcia@epa.gov
2. fax: 734.214.4052, Attention: Marcia Turkington

Burden Statement: Public reporting burden for this collection of information is estimated to take a maximum of 25 hours to complete and submit the SmartWay Semi-Finalist Application Form. This is a one-time submittal. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency, (2822T) 1200 Pennsylvania Ave., NW, Washington, DC, 20460 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503. Include the OMB control number in any correspondence. Do not send the completed form or survey to this address.



2016 SmartWay Excellence Award Semi-Finalist Application

OMB No: 2060-0663, Expiration Date: 07/31/2017

Company Name: _____

SmartWay Partner Company Name: _____		
	SmartWay Primary Company Contact:	SmartWay Executive Company Contact:
Contact names:	_____	_____
Contact titles:	_____	_____
Contact emails:	_____	_____
Contact phone numbers:	_____	_____
Contact addresses:	_____	_____
I confirm that all information submitted on this application is accurate and valid. Actual or virtual signatures required: _____		

Detailed Application Instructions:

For all leadership categories on the following pages: Describe activities, efforts and/or accomplishments your company engaged in or achieved during 2014 and reported in the 2015 Partner tool. Limit responses to a maximum of 500 words. All responses must be addressed and submitted via this application. In addition to your response (as only a secondary means to support written/typed statements in this application), EPA prefers that you provide web links to sources that support and/or document your company's efforts wherever appropriate. When inclusion of web links is absolutely not possible, limited acceptance of digital attachments will be allowed. No hard copies of documentation will be accepted or considered.

Suggestions for Completing the SmartWay Excellence Award Semi-Finalist Application

- Read through the application in its entirety to determine:
 - If you have the information or knowledge required to complete the application.
 - The individual at your company best suited to assist you with responding to specific application questions.
- Identify the individual who completed the SmartWay Partner Tool at your company. This individual should be consulted as a resource or reference when completing the application.
- Determine if there are particular and/or appropriate staff at your company best suited to respond to a particular section of the application. Some suggestions regarding appropriate staff to consult are offered below:
 - Question 1: Marketing Director or Press Officer and Transportation Director or Fleet Manager
 - Question 2: Community Liaison Officer, Regional/Local Facility and Fleet Managers
 - Question 3: Sustainability Manager
 - Question 4, 5, 6 and 7: Staff responsible for completing your company's SmartWay Partner Tool
- Gather your data and examples first before beginning the narrative in response to each question.



2016 SmartWay Excellence Award Semi-Finalist Application

OMB No: 2060-0663, Expiration Date: 07/31/2017

Company Name: _____

Q1: SmartWay Promotional, Educational, Collaborative and Partner Registration Efforts

Beginning in the box below (page 3) and continuing in the box on page 4 if necessary, please describe any efforts made by your company to promote and/or publicly acknowledge the SmartWay Partnership program, your company's participation in the SmartWay Partnership, the SmartWay mission, goals and/or SmartWay program benefits. Web links to materials, resources, advertising, social media efforts, events, meeting agendas and webinars, etc. will be favorably considered. Examples of promotional efforts and activities include:

- *Internal company education efforts:* employee training, brochures, newsletter articles, intranet web pages, presentations, briefing slides, etc.
- *SmartWay brand (logo) depictions on:* advertising, website, letterhead, business cards, requests for quotes, invoices, email signature, trucks/trailers, etc.
- *Public Outreach that calls attention to the SmartWay program and/or your company's participation:* press releases, quote from company official(s), training, SmartWay video, events, etc.
- *Outreach:* Describe all activities that publicly support SmartWay goals to increase freight sustainability. Specific examples include (but are not limited to): customer and supplier meetings; carrier events; industry presentations; published literature; social media and web-based information where your organization highlighted the benefits of moving goods more efficiently by participating in SmartWay.

Using the box on page 4, also describe your company's collaborative effort(s) that helped to expand SmartWay partnership participation. List and identify all new partners, the specific company names that would include carriers (truck, barge, logistics, rail or multi-modal), suppliers, vendors, customers and colleagues, that your company has helped register (join or enroll) in the SmartWay Partnership during this past award cycle as a result of your company efforts.



OMB No: 2060-0663, Expiration Date: 07/31/2017

2016 SmartWay Excellence Award

Semi-Finalist Application

Company Name: _____

Q1: SmartWay Promotional, Educational and Collaborative Efforts, continued



2016 SmartWay Excellence Award Semi-Finalist Application

OMB No: 2060-0663, Expiration Date: 07/31/2017

Company Name: _____

Q2: *SmartWay in Your Community*

Many fuel-saving technologies and strategies for SmartWay shippers and carriers can improve a neighbors' experience of partners' facilities and operations. For example, idling can be reduced through use of onboard devices, shore power, appointment times, and gate/layout management; urban deliveries can be improved through use of dedicated low-emission vehicles and off-hours operations. Describe how your company has implemented such practices as part of your SmartWay activities. Partners are also using their freight supply chain as a platform for social responsibility efforts which benefit communities in need. For example, firms can use their transport networks and providers to deliver vital goods and materials after emergencies or crises. Please provide web links to sources that support and/or document your company's efforts.



2016 SmartWay Excellence Award Semi-Finalist Application

OMB No: 2060-0663, Expiration Date: 07/31/2017

Company Name: _____

Q3: Using SmartWay Data for Carbon Reporting and Disclosure Initiatives

Describe any freight supply chain carbon benchmarking and reporting using a standard method or protocol (such as Carbon Disclosure Project, Global Reporting Initiative, Green House Gas Protocol or other) that explicitly incorporates or is based on SmartWay elements, tools, data and/or results. Does your company credit SmartWay as a source of freight transportation (Scope 1 or 3) emissions data? If so, please provide a web link to the identified protocol (or digital copy) of the report submitted by your company where SmartWay is specifically cited or referenced. Please provide specific page numbers for all SmartWay references in reports cited.



2016 SmartWay Excellence Award Semi-Finalist Application

OMB No: 2060-0663, Expiration Date: 07/31/2017

Company Name: _____

Q4: Rigorous Data Validation

Describe your company policies, procedures and programs that reflect the effective use of tools and techniques to ensure that SmartWay-related data gathering, freight activity input (e.g., carrier names, miles, ton-miles, average payloads, fleet category and mode), reporting and data storage/security processes are consistent and reliable. Although a web link to your company policy (with date) is preferred, submission of a digital copy is also acceptable. Policy could include:

- Credible, verifiable data sources for key input parameters
- Internal quality assurance verification of SmartWay data
- Documentation of succession planning

Please explain the reasons behind your data availability selection(s) in your latest SmartWay Tools submission. (See SmartWay Tool "Activity Tab" for "data availability" options).



2016 SmartWay Excellence Award Semi-Finalist Application

OMB No: 2060-0668, Expiration Date: 07/31/2017

Company Name: _____

Q5: *Implementation of Freight Efficient Strategies in Your Business Operation*

Describe any innovative practices, policies, efforts and strategies your organization has made to help improve freight efficiency or mitigate environmental impacts and urban congestions throughout your supply chain and/or on behalf of a client for whom you provide transportation services.

For Shipper Partners Only: Indicate whether your company's most recently submitted SmartWay Shipper Tool included a completed "Shipper Strategies/Systems Activity" Optional Section. If yes, please summarize from the 2015 Shipper Tool in the space provided and describe the activities. EPA will check the submitted Shipper Tool and confirm that summary information in your tool with the assigned SmartWay Partner Account Manager for your company. If not, why not?

Yes, explain below

No, explain below



2016 SmartWay Excellence Award

Semi-Finalist Application

OMB No: 2060-0663, Expiration Date: 07/31/2017

Company Name: _____

Q6: Expanding Modal Shift in your Freight Operations

Shipper partners: Describe the practices, policies, efforts and strategies your organization has made to optimize modal choices for the purposes of reducing fuel use and emissions throughout your supply chain and/or on the behalf of a client for whom you provide transportation services. Please describe any progress in moving greater proportions of freight via other modes and quantify results where possible. Does your company's most recently submitted SmartWay Shipper Tool include a completed "Shipper Strategies/Modal Shift" Optional Section? If yes, please check box below. If so, your company's 2015 Shipper Tool should be consistent with the responses below. EPA will check the submitted Shipper Tool and confirm that summary information in your tool with the assigned SmartWay Partner Account Manager for your company.

Yes No. Please explain why your company doesn't include information in the Shipper Tool.

Logistics & Multi-modal partners: Describe the practices, policies efforts and commitments your organization has made to optimize modal choices, where possible, for the purposes of reducing fuel use and emissions on behalf of a client for whom you provide transportation services. Please describe any progress (or challenges) in moving greater proportions of freight via other modes and quantify results where possible.



2016 SmartWay Excellence Award Semi-Finalist Application

OMB No: 2060-0663, Expiration Date: 07/31/2017

Company Name: _____

Q7: Comprehensive Reporting of Business Operations

Logistics and Multi-modal partners only: SmartWay encourages partners to report ALL business operations that require goods movement services. Does your SmartWay Partner Tool capture or include freight movement from all of your company divisions? Specifically, did your company provide data for all of its business units (such as a subsidiary) or various modes (e.g. logistics, drayage, dedicated fleets, final delivery, barge, brokerage, etc.)? What are the names of these business units or services?

If yes, please elaborate below. If not, please explain.

Yes, elaborate below

No, explain below

Exhibit 4 SmartWay Affiliate Agreement

OMB No. 2060-0663
Approval Expires 02/31/2017



Affiliate Agreement

EPA's SmartWay Transport Partnership is a public/private collaboration that helps freight shippers, carriers, and logistics companies improve fuel efficiency, reduce emissions and save money. Affiliate organizations play a key role in supporting these objectives.

With this agreement, _____ joins EPA's SmartWay Transport Program as a SmartWay Transport Affiliate (please check Affiliate category).

- SMARTWAY NON PROFIT**
Trade and professional associations; membership, nongovernmental organizations; academic institutions and governmental agencies that educate their constituents about the SmartWay program.
- SMARTWAY TRACTOR/TRAILER DEALERSHIP**
Dealerships promote and sell SmartWay Designated tractors or trailers and SmartWay verified technologies.
- SMARTWAY LEASING COMPANY**
Lease SmartWay Designated vehicles, tractors or trailers. Promotes the sale or lease of SmartWay Designated vehicles, tractors or trailers to dealerships and/or multiple franchises.

If your organization does not meet one of the above Affiliate types, e-mail smartway_transport@epa.gov for information on joining the SmartWay community. Put "SmartWay Community" in the subject line.

Following are suggested activities to help Affiliates support and promote SmartWay goals:

- Provide a link to the SmartWay Transport website on the Affiliate's website.
- Inform and educate the Affiliate's members, constituents, or customers about the SmartWay Transport Program.
- Distribute, feature and promote educational materials about the SmartWay Transport Program.
- Register new Partners from the Affiliate's membership or constituents, or assist other Affiliates with SmartWay registration efforts.
- Publish articles or other informational materials.
- Identify and provide opportunities for EPA to communicate with the Affiliate's members.
- Train your sales staff on the benefits of SmartWay verified technologies.

In return, EPA agrees to:

- Educate SmartWay Transport Partners about the Affiliates' involvement.
- Publicize Affiliate's participation through SmartWay Transport Program events, the website, and listing in related educational, promotional and media materials. EPA will obtain written consent from an Affiliate before publishing its name in a context beyond increasing public awareness of its participation as described above.
- Provide Affiliate with materials to market the SmartWay Transport Program including program materials, posters, articles for journals, presentations and talking points.
- Allow Affiliate to use the SmartWay Transport name in the promotion of the SmartWay Transport Program and in the Affiliate's activities for participating in the SmartWay Transport Affiliate Program, provided the name is used consistently with this Agreement and is never used to imply EPA endorsement of Affiliate, its products or services.
- Make EPA representatives available to speak about the SmartWay Transport Program at Affiliate's events.
- Assist Affiliate by working to address challenges, create incentives, and provide technical assistance and support.

General Terms:

The Affiliate agrees that it will not claim or imply that its participation in the SmartWay Transport Affiliate Program constitutes EPA approval or endorsement of anything other than the Affiliate's commitment to the program. The Affiliate will not make statements or imply that EPA endorses the purchase or sale of the Affiliate's products and services or the views of the organization.

Affiliate agrees to indicate EPA's ownership of "SmartWay Transport®" by using the ® symbol when using the name and by including the following statement on the web site, report, or other material where the term is used: "SmartWay Transport® is a registered service mark of the U.S. Environmental Protection Agency". Affiliate also agrees to abide by the terms of this Agreement pertaining to the use of the SmartWay Transport name and acknowledges that EPA may terminate this Agreement if Affiliate uses the SmartWay Transport name inconsistently with these terms.

Either party can terminate the Agreement at any time without prior notification or penalties or any further obligation. EPA and the Affiliate agree not to comment publicly regarding the withdrawal of an Affiliate. Upon termination, Affiliate agrees to no longer use the SmartWay Transport name or any variation of the SmartWay Transport mark.

All commitments made by EPA are subject to the availability of appropriated funds. The Affiliate understands that it bears its own costs for participation in this program, that it participates without recourse to EPA, and agrees not to submit a claim for compensation to EPA or any other Federal agency on the basis of this agreement.

Nothing in this agreement exempts the Affiliate from EPA regulations or policies relating to competition for financial assistance or procurement contracts.

This Agreement does not direct or apply to any person outside Affiliate and EPA and therefore does not create any right or benefit, substantive or procedural, enforceable by law or equity against the Affiliate or EPA, their officers or employees, or any other person.

The parties enter into this Agreement voluntarily. Thus, except as explained in the preceding, EPA is not imposing any legally-binding obligations on Affiliate or any other entity through this Agreement, nor is Affiliate imposing any legally-binding obligations on the EPA or on any other entity through this Agreement.

Authorized Affiliate Official:

The undersigned, on behalf of _____ understands and agrees to the terms of the EPA SmartWay Transport Affiliate Program.

Signature

Title

Print Name

Date

Designated Affiliate Representative

Name _____ Title _____

Address _____ City _____

State _____ Zip _____

E-mail _____ Phone _____ Fax _____

Fax completed agreement to EPA SmartWay Transport Partnership (734) 214-4052

Exhibit 5 SmartWay Affiliate Challenge Application

OMB No: 2060-0663, Approval Expires 07/31/2017



2017 SmartWay Affiliate Challenge Application

Organization Name: _____

Thank you for participating in the SmartWay 2017 Affiliate Challenge. The Challenge provides EPA with the opportunity to publically acknowledge the important contributions of SmartWay Affiliates. To participate, you are asked to submit supplemental, qualitative documentation that demonstrates innovative and creative efforts that support the environmental goals of the SmartWay Partnership. These efforts include effective collaboration, communications and public outreach.

Evaluation Criteria:

The *Affiliate Challenge* application will be judged on a point system that evaluates innovative and creative activities based on specific categories that demonstrate:

- Clear, concise and complete responses to application requirements – does response answer the question?
- Real achievements and accomplishments
- Scope, innovation and intensity– how broad and innovative is the reach, substance and breadth of activities performed – how far did your organization stretch itself in setting goals and implementing action?
- Results – how effective were the activities and how impactful were the results?
- Documentation of activities and results
- Quality and substance of summaries and descriptions

There is a total of 55 possible points for the Affiliate Challenge application. Possible total credit for each question is presented below:

Question 1 (SmartWay Promotional Efforts)	25 points
Question 2 (SmartWay Enrollment Efforts)	15 points
Question 3 (Promotion of Efficient Freight Supply Chain Practices)	10 points
Question 4 (Collaboration)	5 points
Total Points:	55 points

Application Instructions:

Please complete, sign and submit the application by the deadline of close of business on Friday, March 17, 2017.

Completed applications may be submitted via:

1. e-mail: thornton.patrice@epa.gov
2. USPS Mail: US EPA, 2000 Traverwood, Ann Arbor, MI 48105. Attention: Patrice Thornton

Burden Statement: Public reporting burden for this collection of information is estimated to take a maximum of 2.90 hours to compile and submit the SmartWay Affiliate Challenge Application Form. This is a one-time submittal. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503. Include the OMB control number in any correspondence. Do not send the completed [form or survey] to this address.



2017 SmartWay Affiliate Challenge Application

Organization Name: _____

SmartWay Contact:

Contact name: _____

Contact title: _____

Contact email: _____

Contact phone number: _____

Detailed Application Instructions:

Describe activities, efforts and/or accomplishments your organization engaged in or achieved from March 1, 2016 to March 1, 2017. Limit responses to a maximum of 500 words. All responses must be addressed and submitted via this application. In addition to your response, EPA prefers that you provide web links to sources that support and/or document your company's efforts wherever appropriate. When inclusion of web links is absolutely not possible, please attach electronic/ digital documentation, including photos.



2017 SmartWay Affiliate Challenge Application

Organization Name: _____

Q1: SmartWay Promotional Efforts

Describe all efforts made by your organization to promote the SmartWay Partnership program, your organization's participation in the SmartWay Partnership, the SmartWay mission, goals and/or SmartWay program benefits.

Describe:

- How your organization promoted SmartWay initiatives to potential partners and affected industries.
- How your organization has promoted innovative fuel saving and emission reducing strategies, technologies and practices as part of your SmartWay activities.
- Ways your organization has helped to accelerate the availability, adoption and market penetration of SmartWay designated tractors or trailers and advanced fuel efficient technologies and operational practices in the freight supply chain.



2017 SmartWay Affiliate Challenge Application

Organization Name: _____

Q2: SmartWay Enrollment Efforts

Describe your company's effort(s) to expand SmartWay partnership participation amongst your members and other stakeholders, in order to improve freight efficiency more broadly. Indicate if you or someone from your organization assisted one of your members or customers in the completion of the SmartWay tracking and assessment tool. List and identify the specific company and or organization names that your organization has helped register (join or enroll) in the SmartWay Partnership during this application cycle.



2017 SmartWay Affiliate Challenge Application

Organization Name: _____

Q3: Promotion of Efficient Freight Supply Chain Practices

Describe your organization's efforts to promote more efficient freight supply chain practices. Include how your organization has helped to address air quality challenges while reducing freight emissions. Describe ways your organization is working toward achieving a sustainable freight future.



2017 SmartWay Affiliate Challenge Application

Organization Name: _____

Q4: Collaboration

List other groups, organizations, etc. that you collaborate with on SmartWay and sustainable freight supply chain issues. Describe your work with these organizations and any results of your efforts.



2017 SmartWay Affiliate Challenge Application

Organization Name: _____

Frequently Asked Questions:

Will there be opportunities for more than one organization to be recognized?

Yes, there may be multiple recipients.

When and how will nominees be notified of EPA's SmartWay Challenge decision?

EPA will contact all participants via e-mail regarding award decisions by March 31, 2017.

What will the recognition consist of?

- Awardees will be recognized on the SmartWay website in time for Earth Day, 2017.
- EPA will develop a press release template for Challenge participants to use in their own Earth Day activities.
- EPA will send a congratulatory letter to the organization's Board of Directors.
- EPA will publicize the Affiliate Challenge via the SmartWay E-Update, Web Banners and Social media channels.

Exhibit 6
SmartWay Tractor and Trailer Equipment Checklists



Tractor Equipment Check List

Company Name: _____

<input checked="" type="checkbox"/> Checklist for SmartWay Tractor		
Equipment	<input checked="" type="checkbox"/> Quantity	(Documentation for SmartWay PAM)
Base SmartWay Tractor *	<input type="checkbox"/>	_____ Manufacturer, Model, Model Year
Must be equipped with the following technology components:		
- 2013 or later model year certified engine		_____ Manufacturer, Model, Model Year
- Integrated sleeper cab w/ high roof fairing		
- Cab side extenders		
- Aero bumper		
- Aero mirrors		
- Fuel tank fairing		
- Low rolling resistance tires		
<i>* Note: Indicate only one tractor manufacturer and model per page. Use multiple pages if necessary.</i>		
Tractor Steer Tires (Indicate tire models)	<input type="checkbox"/>	_____ Manufacturer, Model
	<input type="checkbox"/>	_____ Manufacturer, Model
Tractor Drive Tires (Indicate tire models)	<input type="checkbox"/>	_____ Manufacturer, Model
	<input type="checkbox"/>	_____ Manufacturer, Model
Tractor aluminum wheels (optional)	<input type="checkbox"/>	_____ Manufacturer, Model
Select an idling control equipment or strategy:		
Idling Control Equipment (Check applicable option)		
Auxiliary Power Unit or Generator Set	<input type="checkbox"/>	_____ Manufacturer, Model
Fuel Operated Heater	<input type="checkbox"/>	_____ Manufacturer, Model
Battery Operated Air Conditioning and/or Heating System	<input type="checkbox"/>	_____ Manufacturer, Model
Thermal Storage System	<input type="checkbox"/>	_____ Manufacturer, Model
Double Drivers	<input type="checkbox"/>	Please attach copy of company policy
Driver Overnight hotel stay	<input type="checkbox"/>	Please attach copy of company policy
Connects to Electrified Parking Space (Truck Stop Electrification)	<input type="checkbox"/>	_____
Other strategy	<input type="checkbox"/>	Describe or indicate idle-control strategy

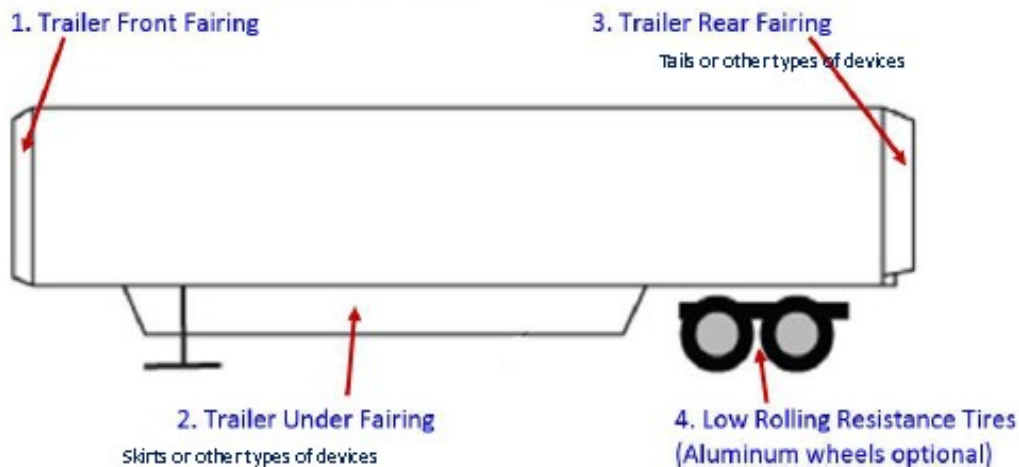


Trailer Equipment Check List

Company Name: _____

<input checked="" type="checkbox"/> Checklist for SmartWay Trailer Equipment <input checked="" type="checkbox"/> Quantity (Documentation for SmartWay PAM)	
Required	Base Trailer * (53 foot or longer) <input type="checkbox"/> _____ Manufacturer, Model, Model Year <small>* Note: Indicate only one trailer manufacturer and model per page. Use multiple pages if necessary.</small>
	Select which type of trailer you're trying to designate: Trailer Type: (Check One) <input type="checkbox"/> Dry Van <input type="checkbox"/> Refrigerated
	Designated Type: (Check One) <input type="checkbox"/> SmartWay Trailer (5% fuel savings or higher) <input type="checkbox"/> SmartWay Elite Trailer (9% fuel savings or higher)

The following types of technologies may be used for your trailer:



NOTE: Fleets are not required to have all four types of technologies to achieve the SmartWay Designation or the SmartWay Elite Designation.
Low rolling resistance new tires or retreads must be maintained on SmartWay Designated Trailers.



Trailer Equipment Check List

Company Name: _____

Indicate how fleet trailers are equipped in this section.

	<u>Tires</u>	Check all that apply	Verified % Fuel Savings (Circle One)	
Required	EPA Verified Device			
	Trailer Tires	<input type="checkbox"/>	1%	_____
	Retread Tires	<input type="checkbox"/>	1%	Manufacturer, Model
Optional	Trailer aluminum wheels (Optional)	<input type="checkbox"/>		_____
	Automatic Tire Inflation (Optional)	<input type="checkbox"/>		Manufacturer, Model
	<u>Aerodynamics</u>	Check all that apply	Verified % Fuel Savings (Circle One)	
Required	EPA Verified Device*			
	1. Trailer Front Fairing	<input type="checkbox"/>	1%	_____
	2. Trailer Under fairing	<input type="checkbox"/>	1%, 4%, or 5%	Manufacturer, Model
	3. Trailer Rear Fairing	<input type="checkbox"/>	1%, 4%, or 5%	Manufacturer, Model
	4. Other device type	<input type="checkbox"/>	1%, 4%, or 5%	Manufacturer, Model
	or			
	9% Elite Package	<input type="checkbox"/>	9%	_____
				Manufacturer Aero Package name

Optional: if you know the Elite Package sub-components (front fairing, under fairing, rear fairing, etc), please list the names/models in numbers 1-4 directly above.

Total Fuel Savings %: _____
(Tires + Aerodynamics)

NOTE: * Gap reducer technologies (e.g. nose fairing, front fairing, etc.) are not appropriate for reefer trailers.
Any Elite Packages that include a gap reducer is ineligible for reefer trailers.
Fleets may select individual devices that add to a designation threshold (i.e. 5% or 9%) or choose a single product from the 5% or 9% category.

**Exhibit 7
SmartWay Mark Signature Page**



**Mark Signature Page
Tractors & Trailers**

EPA's SmartWay Transport® Partnership is an innovative program that recognizes Partners for setting and achieving greenhouse gas (GHG) reduction goals in freight transport.

By signing this agreement, _____ signifies that it has read and will comply with
COMPANY OR ORGANIZATION NAME

the SmartWay® Graphic Standard and Usage Guide. I further certify that my organization has or plans to purchase:

_____ number(s) of U.S. EPA Designated SmartWay Tractors

_____ number(s) of U.S. EPA Designated SmartWay Trailers

as part of my fleet. I also commit to maintain the SmartWay Tractors and SmartWay Trailers per the manufacturer's recommendations or replace them as necessary.

Indicate needed logo:

SmartWay Tractor

SmartWay Trailer

Briefly state the SmartWay logo dimensions and placement on fleet vehicles.

SmartWay Tractor Logo Dimensions: _____

SmartWay Tractor Logo Placement: _____

SmartWay Trailer Logo Dimensions: _____

SmartWay Trailer Logo Placement: _____

Authorized Partner Official:

The undersigned, on behalf of _____, understands and agrees to the terms of the U.S. EPA SmartWay Graphic Standards and Usage Guide for use of the applicable SmartWay logo(s).

Signature: _____ Title: _____

Print name: _____ Date: _____

Key Partner/Organization Contact for SmartWay: (may be different from above individual)

Name: _____

Title: _____

Address: _____

City: _____ State: _____ Zip: _____

E-mail: _____ Phone: _____ Fax: _____

U.S. EPA Office of Transportation & Air Quality - smartway_transport@epa.gov - (734) 214-4767 phone - (734) 214-4052 fax - www.epa.gov/smartway

Exhibit 8
US EPA Designated SmartWay Mark License Agreement



US EPA Designated SmartWay Mark



Trademark License Agreement
For Use of U.S. ENVIRONMENTAL PROTECTION AGENCY SmartWay Mark by
(name of licensee or Original Equipment Manufacturer)

Whereas the United States Environmental Protection Agency ("EPA", "Agency" or "Licensor") is the owner of the U.S. ENVIRONMENTAL PROTECTION AGENCY SMARTWAY mark ("Mark"), which the Licensee will use to identify tractors or trailers that meet fuel efficiency and emissions standards established by the Agency; and

Whereas the _____
(name of licensee) ("name" or "Licensee")
intends to display the Mark in connection with its tractors or trailers that meet the requirements for displaying the Mark; and

Whereas Licensee also wishes to assist the Agency in its official recognition efforts by using the Mark in marketing and outreach efforts to help promote public knowledge and acceptance of the Mark.

Now, therefore, in consideration of the mutual promises herein contained, it is agreed that:

1. **Grant of License:** The Licensor hereby grants to the Licensee a non-exclusive, royalty-free right to use the Mark in the following manner:

Only on or in connection with the sale of tractors or trailers that meet the specifications established by Licensor which are attached to this agreement and entitled Technical Specifications & Requirements for Using US EPA's SmartWay Mark on Qualifying Tractors and Trailers.

2. **Quality Control:** The Licensor shall have the right, at all reasonable times, to inspect the Licensee's goods, services and promotional activities employing the Mark to ensure that such use is of proper quality and otherwise consistent with this Agreement. The Licensee agrees that it will display the Mark only in a manner that complies with the attached SmartWay Graphic Standards and Logo Usage Guide.

3. **Duration and Termination:** This Agreement shall terminate 3 years from the date of its signature by both parties. The Licensee, however, may renew this Agreement for an additional term of 2 years with the written consent of Licensor. Such consent shall be in the form of a properly executed Renewal Agreement signed by authorized signatories of the Parties.

Upon termination of this Agreement, all rights of the Licensee to use the Mark shall immediately terminate. In the event of a breach of any of the terms and conditions of this License by the Licensee, the Licensor shall give Licensee written notice of such breach. In the event Licensee does not cure such breach within thirty (30) days, Licensor may immediately terminate this License and shall notify the Licensee in writing of such termination.

4. **Assignments and Sub-Licenses:** This License is not assignable, and any attempt by the Licensee to assign any portion of the License or to grant a sub-license, except as provided for in this Agreement, shall be deemed a breach of this Agreement and shall be cause for termination.

5. **Validity and Ownership of Mark:** The Licensee is prohibited from challenging or contesting in any way the Licensor's ownership of the Mark with the U.S. Patent & Trademark

Office, or with any other trademark office, or the Licensor's exclusive worldwide ownership of the Mark.

6. Use of Mark:

Licensee shall abide by the following guidelines:

(A) The Licensee acknowledges that the Licensor considers the mark to be its official recognition mark, and holds it out to the public as such.

(B) The Licensee further agrees that the use of mark shall be done in such a way so that there does not exist any appearance of Government endorsement, authorization or affiliation of the Licensor with the Licensee, other than as such affiliation is specified herein between Licensor and Licensee.

7. Infringement: The Licensee is required to notify the Licensor of any potential infringement of the mark of which the Licensee is aware, or reasonably should be aware. The Licensor retains the right to determine what constitutes infringement and the course of action to be taken to address it.

The Licensee shall also notify the Licensor of any claims of which the Licensee is aware that the licensed Mark is infringing the name, logo or trademark of another.

8. Governing Law: This Agreement shall be interpreted and implemented in accordance with the laws applicable to the United States Government as interpreted by the U.S. District Court for the District of Columbia.

9. Foreign Trademarks and Service Marks: Licensee agrees to provide all lawful assistance, as reasonable and at Licensor's request and expense, to Licensor should Licensor decide to register the mark in foreign countries. Licensee shall comply with all applicable legal requirements governing trademark and service mark use, including but not limited to, registered user requirements. Licensee agrees that all use of the mark by Licensee shall inure to the benefit of the Licensor.

10. Indemnification: The Licensee agrees to indemnify and hold the Licensor harmless from any and all claims, damages and attorneys' fees arising from the use of the Mark by the Licensee and its operations under the Agreement, except to the extent that any such claims, damages or attorneys' fees arose in connection with any act or failure to act by the Agency. Although the Licensor is precluded from indemnifying the Licensee, per se, pursuant to the Anti-Deficiency Act, the Licensor warrants that it is the owner of the Mark that is the subject of this Agreement, and that it knows of no other entity with superior rights therein. Further, it agrees to cooperate with and assist the Licensee in the unlikely event that the Licensee's use of the Mark is challenged.

11. Prior Agreements: This Agreement sets forth and contains the entirety of representations, understandings and agreements of the parties hereto and merges all prior representations, understandings and agreements. This Agreement may be amended only through a written instrument executed by a duly authorized representative of each of the Parties hereto.

In witness whereof, the parties have caused this document to be duly executed as of the latter of the two dates below.

For the United States Environmental Protection Agency

Joann Jackson Stephens
SmartWay Brand Manager

Date

For the _____
Insert Manufacturer Company Name

Insert Name

Insert Title

Insert company address

Insert company phone number

Insert email address

Insert Date

Please fax, mail or e-mail a signed copy of this document to:

Joann Jackson-Stephens
U.S. EPA - SmartWay
2565 Plymouth Road
Ann Arbor, MI 48105
Phone: (734) 214-4767
Fax: (734) 214-4052
e-mail: jackson-stephens.joann@epa.gov

Specifications for SmartWay Designated Tractors and Trailers

- Visit: www.epa.gov/smartway for additional information about SmartWay.
- Visit: <https://www.epa.gov/verified-diesel-tech/smartway-designated-tractors-and-trailers> for additional information on SmartWay designated tractor / trailers.
- Contact Tech_Center@epa.gov regarding eligibility of tractors and/or trailers for SmartWay designation.

Verification Process for an Aerodynamic Device, Tire, or Idle Reduction Technology by EPA for SmartWay

- Visit <https://www.epa.gov/verified-diesel-tech/smartway-technology-trucks-and-school-buses> for additional information about the SmartWay technology verification.

Graphic Standards and Logo Usage Guidelines

U.S. EPA Designated SmartWay[®] Mark for Qualifying Tractors and Trailers

Promoting the Mark

The US EPA Designated SmartWay mark may be used in point-of-sale advertising (for on-site locations and web sites) and promotional material (e.g. print advertising) of original equipment manufacturers (OEM) of SmartWay qualified tractors and trailers. Media and other interested parties may also use the SmartWay mark for articles or other educational purposes. However, the mark may only be used in association with tractors and trailers that have met the SmartWay technical specifications.

Only manufacturers of heavy-duty tractors and trailers may use the SmartWay mark. Component manufacturers (such as tire or aerodynamic add-on manufacturers) may not apply the US EPA Designated SmartWay mark to their products, product packaging, on their sales web sites or in their point-of-sale advertising.

The US EPA Designated SmartWay mark may also be applied, by the original equipment manufacturer (OEM), to the interior of a qualified SmartWay tractor or a SmartWay trailer. However, it may not be applied to the windows of a tractor or in any place on a tractor's interior that is visible from the exterior.

Correct

Point of sale advertising (signs, banners)
Cab door interior
Cab dash
OEM sales web site

Incorrect

Cab window
Cab rear-view mirror
Cab windshield

The following communication guidelines will prevent misrepresentation and consumer confusion.

Correct

"Earned"
"Qualified"
"Meets SmartWay specifications"
"U.S. EPA Designated SmartWay"
"SmartWay designated mark or logo"

Incorrect

"Endorse"
"Endorsed"
"Rating"
"Rated"
"Certified"

EPA recommends using words in the "correct" column to describe tractors and trailers which meet the voluntary requirements for application of the SmartWay logo by OEMs. Text used in advertising, articles, brochures, publications, annual reports, web sites, or any other promotional material must never imply EPA endorsement of either the manufacturing company or sponsoring organization.

Graphics



The US EPA Designated SmartWay mark must be used its entirety and as shown. The only approved logo files to be used can be obtained by contacting EPA. No other graphical representation of the mark may be used.

The graphic may not be altered, cut apart, separated, or otherwise distorted in perspective or appearance. The aspect ratio (length and width dimensions) must remain proportional. The logo must never be reproduced smaller than 1.25" wide to ensure legibility.

Licensees, SmartWay Partners and other organizations are responsible for their own use of the US EPA Designated SmartWay mark, as well as use by their representatives, such as ad agencies and public relations firms.

Color Specifications

1. Spot Color - For spot color usage (often referred to as PMS or Pantone Matching System):
 - Prescribed green = 347
 - Prescribed blue = 3005
2. Four-Color Process - For four-color process printing, the build formulas detailed here for the prescribed green and blue must be used.

PRESCRIBED GREEN

Four-Color Process

C	100%
M	0%
Y	85%
K	5%

PRESCRIBED BLUE

Four-Color Process

C	100%
M	40%
Y	0%
K	0%

3. Black and White Version - The graphics in their entirety may also be reproduced in 100% black.