

Surface Transportation Board
Washington, D.C. 20423-0001

Office of Economics

August 5, 2021

Pedro Degiovanni
Department of Economics
Harvard University
7 Putnam St, Apt L3,
Somerville, MA 02143

Re: Waybill Request WB21-52

Dear Mr. Degiovanni:

The Surface Transportation Board (STB or Board) has approved your request to extend your access to the STB Carload Waybill Samples for the 1996-2018 confidential Carload Waybill Sample (CCWS) originally obtained in WB20-44. This data may only be used for the academic purpose detailed in your request and may not be used for any other purpose such as private, commercial consulting. ***This approval becomes effective when signed agreements from the individuals listed below are received by the STB:***

- a) *Pedro Degiovanni – Harvard University*
- b) *Ron Yang – Harvard University*

The expiration date for this agreement is August 31, 2022. Unless you seek and obtain a renewal from the STB, this agreement upon expiration obligates you to return or destroy all copies of the data (see item 5 of the agreement). Any request for renewal will need to provide a detailed explanation for why continued access to the data is necessary and demonstrate that you are continuing to actively use the data for the originally requested purpose

Several aspects of the CCWS limit the conclusions that may be drawn from analysis of the CCWS: 1) the CCWS is a sample, and 2) the CCWS is based on terminating shipments from relatively large carriers. Only those railroads with more than 4,500 annual terminating carloads are included in the sample. The limited sampling of small railroads may have a substantial effect on studies covering areas served predominately by non-sampled railroads. For additional information on the CCWS, see *Reference Guide* @ <https://prod.stb.gov/reports-data/waybill/> on the Board's website.

The rules for release of waybill data are codified at 49 C.F.R. § 1244.9. The CCWS contains confidential shipper and railroad data. As a result, the CCWS is commercially sensitive and has the potential to cause competitive harm to shippers and railroads if disclosed. Therefore, the following agreement must be signed, and a copy of the signature pages returned to the STB, before any waybill data can be used.

Waybill Agreement WB21-52

Your signature acknowledges your agreement to comply with the following:

1. You will use the CCWS data released to you solely for the purpose requested.
2. Absent permission from the STB, you shall make the information contained in the CCWS (including work product and analyses derived from the CCWS) available only to the individuals identified above. The STB may approve access for additional individuals within your entity working on the particular project or study requiring the waybill data. Each such additional individual must review and sign this agreement, and return a copy of the signature page to the STB.
3. You will not release any CCWS data (including work product and analyses derived from the CCWS) to anyone who has not signed this agreement and been approved for access by the STB until the STB has had the opportunity to review the materials proposed for disclosure to ensure confidentiality.
4. You acknowledge that, in addition to the restrictions described in paragraphs 1 and 2 above, you are bound by the STB's rules governing use and disclosure of CCWS data. These include the confidentiality provisions of 49 C.F.R. §§ 1244.9(f)(1)-(3), which require that "[a]ny shipper data obtained from the Waybill Sample shall not be publicly released unless the data are aggregated to include at least three shippers." In addition, you agree not to disclose CCWS data that permits identification of an individual railroad.
5. You will refer any requests for CCWS data in your possession (including work product and analyses derived from the CCWS) to the STB for processing and will inform the requesting party of such referral to the STB. If you are compelled by law or order of a governmental or judicial body to release CCWS data, you shall notify the Board in writing within three days of any determination that CCWS data must be released, and in no event later than five days before the CCWS data is scheduled to be released.
6. In order to retain access to the CCWS beyond the expiration date specified above, you must submit a written request for an annual extension of the agreement no later than thirty days prior to the expiration date and the renewal request must be approved by the Office of Economics. **If an annual agreement is not signed and approved, you must certify by no later than the expiration date that all CCWS data (including all work product and analyses derived from the CCWS) obtained under this agreement has been destroyed or returned to the STB.**
7. Failure to request an extension (if necessary), or destroy or return CCWS data when required, may prevent any future release of CCWS data to you. Violations

Waybill Agreement WB21-52

of this agreement may subject you to sanctions by the Board.

After all parties have signed and returned this agreement, the extension is granted.

Sincerely,

William Brennan

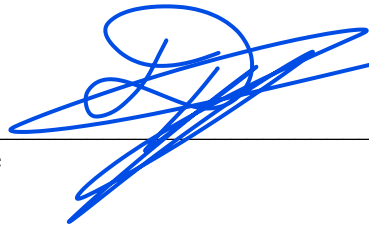
William Brennan, PhD
Chief Economist & Director,
Office of Economics

Waybill Agreement WB21-52

I have read and understand the conditions for release of the CCWS data. I agree to comply fully with these conditions and the provisions of this confidentiality agreement. No later than thirty days before the agreement expires, I will request an extension of this agreement, if necessary. If no extension is requested, I will return or destroy all CCWS data and certify that I have done so. I have the authority to sign this agreement.

By: Pedro Degiovanni

Signature

A handwritten signature in blue ink, consisting of a large, stylized 'P' followed by several horizontal strokes, written over a horizontal line.

Waybill Agreement WB21-52

I have read and understand the conditions for release of the CCWS data. I agree to comply fully with these conditions and the provisions of this confidentiality agreement. No later than thirty days before the agreement expires, I will request an extension of this agreement, if necessary. If no extension is requested, I will return or destroy all CCWS data and certify that I have done so. I have the authority to sign this agreement.

By: Ron Yang

Signature

A handwritten signature in black ink, appearing to be 'RJ' or similar, written over a horizontal line.

Waybill Extension Request (WB20-44)

Ron Yang and Pedro Degiovanni

August 3, 2021

Dear Director of the Office of Economics,

We would like to request an extension to our previous data agreement concerning the waybill dataset (Waybill Request WB20-44, approved October 28 2020).

Over the past year, we have made extensive use of the waybill dataset in our academic research project on the spill-over effects of infrastructure improvements and market power across transportation modes. The core question and scope of our project remains the same as our original application. The waybill dataset has been essential for the progress of our empirical research. However, the expected time to completion of our project exceeds the one year of our access.

If you have any additional questions, or if we can provide additional details helpful to your decision, please contact us at rnyang@g.harvard.edu or 815-823-4020.

Thank you.

Best,

Ron Yang

Pedro Degiovanni