



## INSTRUCTION BOOKLET

### GENERAL INFORMATION, INSTRUCTIONS, AND DEFINITIONS FOR COMMISSION QUESTIONNAIRES

#### **Sugar from Mexico** **Investigation Nos. 701-TA-513 and 731-TA-1249 (Preliminary)**

*Further information.--If you have any questions concerning the enclosed questionnaire(s) or other matters related to this proceeding, you may contact the following members of the Commission's staff (Fax 202-205-3205):*

*Amy Sherman, investigator (202-205-3289; Email [amy.sherman@usitc.gov](mailto:amy.sherman@usitc.gov))  
regarding general questions and trade and related information;*

*Charles Yost, auditor (202-205-3432; Email [charles.yost@usitc.gov](mailto:charles.yost@usitc.gov))  
regarding financial information; and*

*James Fetzer, economist (202-708-5403); Email [james.fetzer@usitc.gov](mailto:james.fetzer@usitc.gov))  
regarding pricing, market, and related information.*

## **GENERAL INFORMATION**

**Background.**--This proceeding was instituted in response to a petition filed on March 28, 2014 by the American Sugar Coalition (“ASC”). The ASC members are: American Sugar Cane League, Thibodaux, LA; American Sugarbeet Growers Association, Washington, DC; American Sugar Refining, Inc., West Palm Beach, FL; Florida Sugar Cane League, Washington, DC; Hawaiian Commercial and Sugar Company, Puunene, HI; Rio Grande Valley Sugar Growers, Inc., Santa Rosa, TX; Sugar Cane Growers Cooperative of Florida, Belle Glade, FL; and United States Beet Sugar Association, Washington, DC. Countervailing and antidumping duties may be assessed on the subject imports as a result of this proceeding if the Commission makes an affirmative determination of injury, threat, or material retardation, and if the U.S. Department of Commerce makes an affirmative determination of subsidization and/or dumping.

Questionnaires and other information pertinent to this proceeding are available at [http://www.usitc.gov/trade\\_remedy/731\\_ad\\_701\\_cvd/investigations/2014/sugar/prelimphase.htm](http://www.usitc.gov/trade_remedy/731_ad_701_cvd/investigations/2014/sugar/prelimphase.htm). Please direct questions regarding the questionnaire and correspondence to Amy Sherman ([amy.sherman@usitc.gov](mailto:amy.sherman@usitc.gov), 202-205-3289) at the U.S. International Trade Commission, 500 E Street, SW, Washington, D.C. 20436. Correspondence may be sent to the above address or via FAX to 202-205-3205. Hearing-impaired individuals can obtain information regarding this proceeding via the Commission’s TDD terminal (202-205-1810).

**Due date of questionnaire(s).**--Please submit the completed questionnaire(s) to the United States International Trade Commission so as to be received by no later than **Friday, April 11, 2014**. Because Commission staff might contact you with questions during the course of the proceeding, save the final version of the document(s) and retain all files and worksheets associated with the completed questionnaire(s). Please also retain a copy of the final document that you submit.

**Service of questionnaire response(s).**--In the event that your firm is a party to this proceeding, you are required to serve a copy of the questionnaire(s), once completed, on parties to the proceeding that are subject to administrative protective order (see 19 CFR § 207.7). A list of such parties is maintained by the Commission’s Secretary and may be obtained by calling 202-205-1803. A certificate of service must accompany the copy of the completed questionnaire(s) you submit (see 19 CFR § 207.7).

**Confidentiality.**--The commercial and financial data furnished in response to the enclosed questionnaire(s) that reveal the individual operations of your firm will be treated as confidential by the Commission to the extent that such data are not otherwise available to the public and will not be disclosed except as may be required by law (see 19 U.S.C. § 1677f). Such confidential information will not be published in a manner that will reveal the individual operations of your firm; however, general characterizations of numerical business proprietary information (such as discussion of trends) will be treated as confidential business information only at the request of the submitter for good cause shown.

**Verification.**--**The information submitted in the enclosed questionnaire(s) is subject to audit and verification by the Commission. To facilitate possible verification of data, please keep all of your files, worksheets, and supporting documents used in the preparation of the questionnaire response(s).**

## **GENERAL INFORMATION--Continued**

**Release of information.**--The information provided by your firm in response to the questionnaire(s), as well as any other business proprietary information submitted by your firm to the Commission in connection with this proceeding, may become subject to, and released under, the administrative protective order provisions of the Tariff Act of 1930 (19 U.S.C. § 1677f) and section 207.7 of the Commission's Rules of Practice and Procedure (19 CFR § 207.7). This means that certain lawyers and other authorized individuals may temporarily be given access to the information for use in connection with this proceeding or other import-injury proceedings conducted by the Commission on the same or similar merchandise; those individuals would be subject to severe penalties if the information were divulged to unauthorized individuals. In addition, if your firm is a U.S. producer, the information you provide on your production and imports of sugar and your responses to the questions in Part I of the producer questionnaire will be provided to the U.S. Department of Commerce, upon its request, for use in connection with (and only in connection with) its requirement pursuant to section 702(c)(4) and 732(c)(4) of the Act (19 U.S.C. § 1671a(c)(4) and 1673a(c)(4)) to make a determination concerning the extent of industry support for the petition requesting this proceeding. Any information provided to Commerce will be transmitted under the confidentiality and release guidelines set forth above. Your response to these questions constitutes your consent that such information be provided to Commerce under the conditions described above.

## **INSTRUCTIONS**

**Answer all questions.**--Do not leave any question or section blank unless a questionnaire expressly directs you to skip over certain questions or sections. If the answer to any question is zero or "none", enter the number zero or "none". **If information is not readily available from your records in exactly the form requested, furnish carefully prepared estimates.** Answers to questions and any necessary comments or explanations should be entered in the space provided or in a separate MS Word document submitted along with the questionnaire(s). If your firm is completing more than one questionnaire in connection with this proceeding (i.e., a producer, importer, and/or purchaser questionnaire), you need not respond to duplicated questions in the questionnaires.

**Consolidate all U.S. establishments.**--Report the requested data for your establishment(s) located in the United States. Firms operating more than one establishment should combine the data for all establishments into a single report.

**Electronic completion.**—**Please electronically enter your responses into the Commission provided MS Word document.** The MS Word versions of all the questionnaires in this proceeding are available online at the ITC web page or may be obtained directly from the Commission's Investigator, Amy Sherman (amy.sherman@usitc.gov, or 202-205-3289).

**Electronic submission.**-- Responding firms should submit their questionnaire responses electronically in MS Word format. The submission of questionnaire responses in the MS Word format allows the Commission to electronically extract data from questionnaires and thus, compile, assess, and analyze submitted data more efficiently and promptly. Furthermore, the electronic submission of questionnaires completed in MS Word facilitates the Commission's ability to produce

## **INSTRUCTIONS**—*Continued*

documents that comply with Section 508 of the Rehabilitation Act of 1973. There are three electronic submissions options detailed below.

### **OPTIONS FOR FILING**

This questionnaire is available as a “fillable” form in MS Word format on the Commission’s website at:

[http://www.usitc.gov/trade\\_remedy/731\\_ad\\_701\\_cvd/investigations/2014/sugar/prelimphase.htm](http://www.usitc.gov/trade_remedy/731_ad_701_cvd/investigations/2014/sugar/prelimphase.htm).

***Please do not attempt to modify the format or permissions of the questionnaire document.*** Please complete the questionnaire and submit it electronically using one of the methods noted below. If your firm is unable to complete the MS Word questionnaire or cannot use one of the electronic methods of submission, please contact the Commission for further instructions.

• **Upload via Secure Drop Box.**—Upload the completed questionnaire in MS Word format along with a scanned copy of the signed certification page (page 1) through the Commission’s secure upload facility:

**Web address:** <https://dropbox.usitc.gov/oinv/> **Pin:** SUGAR

• **E-mail.**—E-mail your questionnaire to the investigator identified on page 1 of the Instruction Booklet; include a scanned copy of the signed certification page (page 1). Type the following in the e-mail subject line: BPI Questionnaire, Inv. No. 513. *Please note that submitting your questionnaire by e-mail may subject your firm’s business proprietary information to transmission over an unsecure environment and to possible disclosure. If you choose this option, the Commission warns you that any risk involving possible disclosure of such information is assumed by the submitter and not by the Commission.*

• **Compact disc (CD).**—Copy your MS Word questionnaire onto a CD. Also please include a signed certification page (page 1), and mail to the U.S. International Trade Commission, 500 E. Street, SW, Washington, DC 20024. *It is strongly recommended that you use an **overnight mail service**. U.S. mail sent to government offices undergoes additional processing which not only results in substantial delays in delivery but may also damage CDs.*

Note: If you are a party to the proceeding, and service of the questionnaire is required, such service should be made in paper form

## **DEFINITIONS**

**Sugar**-- raw and refined cane and beet sugar, in dry and liquid forms, including colored sugar, flavored sugar and blends of sugar with other sweeteners containing over 65 percent by dry weight of sugar described in additional U.S. note 2 to chapter 17 of the Harmonized Tariff Schedule of the United States (HTS), liquid sugar, and invert syrup produced from sugar cane or sugarbeets, as classifiable in the following provisions of the HTS: 1701.12.10, 1701.12.50, 1701.13.05, 1701.13.10, 1701.13.20, 1701.13.50, 1701.14.05, 1701.14.10, 1701.14.20, 1701.14.50, 1701.91.05, 1701.91.10, 1701.91.30, 1701.91.42, 1701.91.44, 1701.91.48, 1701.99.05, 1701.99.10, 1701.99.50, 1702.90.05, 1702.90.10, 1702.90.20, 1702.90.35, 1702.90.40, 2106.90.42, 2106.90.44, and 2106.90.46.

**Raw sugar**--Any sugar not suitable for human consumption without further refinement, regardless of polarity.

**Refined sugar**--Centrifugal, crystalline sugar (including "high-polarity" sugar from raw cane mills, and "soft" or "brown" sugars) which is not to be further refined or improved in quality.

**Liquid sugar**--A direct-consumption sugar which is not principally of crystalline structure and which contains, or which is to be used for the production of, any sugars principally not of crystalline structure which contain soluble non-sugar solids (excluding any foreign substances that may have been added or developed in the product) equal to 6 percent or less of the total soluble solids. Liquid sugar is exclusive of cane syrup and edible molasses.

**Raw value**--Any quantity of sugar means its equivalent in terms of raw sugar testing 96 sugar degrees, as determined by a polarimetric test performed under procedures recognized by the International Commission for Uniform Methods of Sugar Analysis (ICUMSA). Direct-consumption sugar derived from sugar beets and testing 92 or more sugar degrees by the polariscope shall be translated into terms of raw value by multiplying the actual number of pounds of such sugar by 1.07. Sugar derived from sugarcane and testing 92 sugar degrees or more by the polariscope shall be translated into terms of raw value in the following manner: raw value =  $\{[(\text{actual degree of polarization} - 92) \times 0.0175] + 0.93\} \times \text{actual weight}$ . For sugar testing less than 92 sugar degrees by the polariscope, derive raw value by dividing the number of pounds of the "total sugar content" (i.e., the sum of the sucrose and invert sugars) thereof by 0.972.

**Crop year**--For the purposes of this questionnaire crop year means the U.S. processing year, the 12-month period that begins on October 1 of any year and ends on September 30 of the following year.

**Firm**--An individual proprietorship, partnership, joint venture, association, corporation (including any subsidiary corporation), business trust, cooperative, trustee in bankruptcy, or receiver under decree of any court.

**Related firm**--A firm that your firm solely or jointly owned, managed, or otherwise controlled; a firm that solely or jointly owned, managed, or otherwise controlled your firm; and/or a firm that was solely or jointly owned, managed, or otherwise controlled by a firm that also solely or jointly owned, managed, or otherwise controlled your firm.

## **DEFINITIONS--Continued**

**Establishment**.--Each facility of a firm involved in the production, importation, and/or purchase of sugar (as defined above), including auxiliary facilities operated in conjunction with (whether or not physically separate from) such facilities.

**United States**.--For purposes of this proceeding, the 50 States, Puerto Rico, the U.S. Virgin Islands, and the District of Columbia.

**Importer**.--Any person or firm engaged, either directly or through a parent company or subsidiary, in importing sugar (as defined above) into the United States from a foreign manufacturer or through its selling agent.

**Imports**.--Those products identified for Customs purposes as imports for consumption for which your firm was the importer of record (i.e., was responsible for paying any import duty) or consignee (i.e., to which the merchandise was first delivered).

**Import quantities**.--Quantities reported should be net of returns.

**Import values**.--Values reported should be landed, duty-paid values at the U.S. port of entry, including ocean freight and insurance costs, brokerage charges, and import duties (i.e., all charges except inland freight in the United States).

**Purchaser**.--Any person or firm engaged, either directly or through a parent company or subsidiary, in purchasing sugar (as defined above) from another firm that produces, imports, or otherwise distributes sugar.

**Purchases**.--Purchases from all sources, NOT including direct imports from foreign sources located outside of the United States (which should be reported in an importer questionnaire).

**Purchase quantities**.--Quantities reported should be net of returns.

**Purchase values**.--Values reported should be net values (i.e., gross purchase values less all discounts, allowances, rebates, and the value of returned goods), delivered to your U.S. receiving point.

**Shipments**.--Shipments of products produced in or imported by your establishment(s). Include shipments to the contracting firm of product produced by your firm under a toll agreement.

**Shipment quantities**.—Quantities reported should be net of returns.

**Shipment values**.—Values reported should be net values (i.e., gross sales values less all discounts, allowances, rebates, prepaid freight, and the value of returned goods) in U.S. dollars, f.o.b. your point of shipment in Mexico.

**Shipment quantities**.--Quantities reported should be net of returns.

## **DEFINITIONS--Continued**

**Shipment values.**--Values reported should be net values (i.e., gross sales values less all discounts, allowances, rebates, prepaid freight, and the value of returned goods), f.o.b. your U.S. point of shipment. The value of domestic shipments to the contracting firm under a toll agreement is the conversion fee (including profit).

### **Types of shipments:**

**U.S. shipments.**--Commercial shipments, internal consumption, and transfers to related firms within the United States.

**Commercial shipments.**--Shipments, other than internal consumption and transfers to related firms, within the United States.

**Internal consumption.**--Product consumed internally by your firm.

**Transfers to related firms.**--Shipments made to related domestic firms.

**Export shipments.**--Shipments to destinations outside the United States, including shipments to related firms.

**Inventories.**--Finished goods inventory, not raw materials or work-in-progress.

### **The following definitions apply only to the PRODUCER QUESTIONNAIRE.**

**Average production capacity.**--The level of production that your establishment(s) could reasonably have expected to attain during the specified periods. Assume normal operating conditions (i.e., using equipment and machinery in place and ready to operate; normal operating levels (hours per week/weeks per year) and time for downtime, maintenance, repair, and cleanup; and a typical or representative product mix).

**Toll agreement.**--Agreement between two firms whereby the first firm furnishes the raw materials and the second firm uses the raw materials to produce a product that it then returns to the first firm with a charge for processing costs, overhead, etc.

**Production.**--All production in your U.S. establishment(s), including production consumed internally within your firm and production for another firm under a toll agreement.

**PRWs.**--Production and related workers, including working supervisors and all nonsupervisory workers (including group leaders and trainees) engaged in fabricating, processing, assembling, inspecting, receiving, storage, handling, packing, warehousing, shipping, trucking, hauling, maintenance, repair, janitorial and guard services, product development, auxiliary production for plant's own use (e.g., power plant), recordkeeping, and other services closely associated with the above production operations.

**DEFINITIONS--Continued**

**Average number employed**--Add the number of employees, both full-time and part-time, for the 12 pay periods ending closest to the 15th of the month and divide that total by 12. **For the October-December periods, calculate similarly and divide by 3.**

**Hours worked**--Include time paid for sick leave, holidays, and vacation time. Include overtime hours actually worked; do not convert overtime pay to its equivalent in straight-time hours.

**Wages paid**--Total wages paid before deductions of any kind (e.g., withholding taxes, old-age and unemployment insurance, group insurance, union dues, bonds, etc.). Include wages paid directly by your firm for overtime, holidays, vacations, and sick leave.

**Fiscal year**--The 12-month period between settlement of your firm's financial accounts.

**Purchases other than direct imports**--Purchases from U.S. producers, U.S. importers, and other U.S. sources.