



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

### **Ball Bearings from China Investigation No. 731-TA-989 (Final)**

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

***Fred Ruggles, investigator (202-205-3187; E-mail fruggles@USITC.GOV) regarding general questions and trade and related information;***

***Justin Jee, auditor (202-205-3186; E-mail jjee@USITC.GOV) regarding financial information; and***

***Josh Levy, economist (202-205-3236; E-mail jlevy@USITC.GOV) regarding pricing, market, and related information.***

## GENERAL INFORMATION, INSTRUCTIONS, AND DEFINITIONS

### GENERAL INFORMATION

***Background.***--This investigation was instituted in response to a petition filed on February 13, 2002 by the American Bearing Manufacturers Association, Washington, DC. Antidumping duties may be assessed on the subject imports as a result of this investigation 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 dumping.

Additional questionnaires will be supplied promptly upon request, or photocopies of the enclosed questionnaire(s) may be used. Address all correspondence to the United States International Trade Commission, Washington, DC 20436. Hearing-impaired individuals can obtain information regarding this investigation via the Commission's TDD terminal (202-205-1810).

***Due date of questionnaire(s).***--Return the completed questionnaire(s) to the United States International Trade Commission by no later than January 13, 2003. Although the enclosed postpaid envelope may be used to return the completed questionnaire, use of an overnight mail service may be necessary to ensure that your response actually reaches the Commission by January 13, 2003. If you do not use the enclosed envelope, please make sure the completed questionnaire is sent to the attention of Fred Ruggles. **Return only one copy of the completed questionnaire(s), but please keep a copy for your records so that you can refer to it if the Commission staff contacts you with any questions during the course of the investigation.**

***Service of questionnaire response(s).***--In the event that your firm is a party to this investigation, 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, nonnumerical 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 your workpapers and supporting documents used in the preparation of the questionnaire response(s).

## GENERAL INFORMATION, INSTRUCTIONS, AND DEFINITIONS--Continued

### 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 the investigation, 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 solely in connection with this investigation; those individuals would be subject to severe penalties if the information were divulged to unauthorized individuals.

### 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 "none," write "none." **If information is not readily available from your records in exactly the form requested, furnish carefully prepared estimates--designated as such by the letter "E"--and explain the basis of your estimates.** Answers to questions and any necessary comments or explanations should be supplied in the space provided or on separate sheets attached to the appropriate page of the questionnaire(s). If your firm is completing more than one questionnaire in connection with this investigation (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.**

**GENERAL INFORMATION, INSTRUCTIONS, AND DEFINITIONS--Continued**

**DEFINITIONS**

***Ball bearings and parts thereof.***-- The subject merchandise includes all antifriction bearings that employ balls as the rolling element (whether ground or unground) and parts thereof, and certain other imported goods containing such bearings, as described herein. Imports of these products are classified under the following categories: antifriction balls, ball bearings with integral shafts and parts thereof, ball bearings (including thrust, angular contact, and radial ball bearings) and parts thereof, and housed or mounted ball bearing units and parts thereof.

Size or precision grade of a bearing does not influence whether the bearing is covered by the petition. The petition covers all the subject bearings and parts thereof (inner ring, outer ring, cage, balls, seals, shields, etc.) outlined above with certain limitations. With regard to finished parts, all such parts are included in the scope of the petition. For unfinished parts, such parts are included if (1) they have been heat-treated prior to importation, or (2) heat treatment is not required to be performed on the part. Thus, the only unfinished parts that are not covered by the petition are those that will be subject to heat treatment after importation. The ultimate application of a bearing also does not influence whether the bearing is covered by the petition. Bearings designed for highly specialized applications are included. Any of the subject bearings, regardless of whether they may ultimately be utilized in parts of aircraft, automobiles, or other machines or equipment, are within the scope of the petition.

Imports of the subject merchandise are classified under the following Harmonized Tariff Schedules of the United States ("HTS") subheadings:

3926.90.45, 4016.93.00, 4016.93.10, 4016.93.50, 6909.19.50, 8431.20.00, 8431.39.00, 8482.10.10, 8482.10.50, 8482.80.00, 8482.91.00, 8482.99.05, 8482.99.25, 8482.99.35, 8482.99.65, 8483.20.40, 8483.20.80, 8483.30.40, 8483.30.80, 8483.50.90, 8483.90.20, 8483.90.30, 8483.90.70, 8708.50.50, 8708.60.50, 8708.60.80, 8708.70.60, 8708.93.30, 8708.93.60, 8708.93.75, 8708.99.06, 8708.99.31, 8708.99.40, 8708.99.49, 8708.99.58, 8708.99.80, 8803.10.00, 8803.20.00, 8803.30.00, 8803.90.30, and 8803.90.90.

The HTS item numbers are provided for convenience and customs purposes. They are not intended to determine which of the products are subject to the petition. The written description remains dispositive.

***Ball bearing balls.***-- Spherical rolling elements for use in ball bearings, including ground and unground balls. All FINISHED balls are included in the scope of the investigation; however, UNFINISHED balls are included only if they are heat treated, or if heat treatment is not required to be performed on the ball. Thus, the only unfinished balls that are not covered are so-called GREEN balls—that is, balls that will be subject to heat treatment after importation into the United States.

## **GENERAL INFORMATION, INSTRUCTIONS, AND DEFINITIONS--Continued**

### **DEFINITIONS--Continued**

***Ball bearing parts.***-- Parts (except ball bearing balls) used in the production of ball bearings, including unassembled ball bearings, inner and outer rings or races, cages or separators, seals, and shields, housings, parts for housings, etc. All FINISHED parts are included in the scope of the investigation; however, UNFINISHED parts are included only if they have been heat treated, or if heat treatment is not required to be performed on the part. Thus, the only unfinished parts that are not covered are so-called GREEN parts—that is, parts that will be subject to heat treatment after importation into the United States.

***Complete ball bearings.***-- Antifriction bearings that employ balls as the rolling element (whether ground or unground, mounted or unmounted), including ball bearings with integral shafts; other ball bearings (including thrust, linear, angular contact, and radial ball bearings); ball bearing-type pillow blocks; ball bearing-type flange take-up, cartridge, and hanger units; and wheel hub units incorporating balls as the rolling element.

***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.

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

***United States.***--For purposes of this investigation, 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 ball bearings and parts thereof (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).

## **GENERAL INFORMATION, INSTRUCTIONS, AND DEFINITIONS--Continued**

### **DEFINITIONS--Continued**

**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 ball bearings and parts thereof (as defined above) from another firm that produces, imports, or otherwise distributes ball bearings and parts thereof.

**Purchases.**--Purchases from all sources, NOT including direct imports from foreign producers (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 U.S. 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), f.o.b. your U.S. producing establishment(s) (for PRODUCER QUESTIONNAIRES) or U.S. point of shipment (for IMPORTER QUESTIONNAIRES). 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.

## **GENERAL INFORMATION, INSTRUCTIONS, AND DEFINITIONS--Continued**

### **DEFINITIONS--Continued**

***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.

***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.

**GENERAL INFORMATION, INSTRUCTIONS, AND DEFINITIONS--Continued**

**DEFINITIONS--Continued**

***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.