

## Documentation and Sources

This file provides documentation for the data contained in the Microsoft Excel file “CVD Firm.xls.” This database provides *firm-specific* detail for each countervailing (CVD) case since 1980. It details the CVD rate decision by the International Trade Administration (ITA) of the U.S. Department of Commerce (USDOC) in both the preliminary and final stages of a case, as well as a breakdown of the contribution of various types of subsidy programs by the foreign government to the final CVD rate. It was primarily collected by Anson Soderbery under the direction of Prof. Bruce Blonigen.

The primary source for information in these files is *Federal Register* notices of the U.S. International Trade Commission (USITC) and the ITA for each case. We also thank Chad Bown and the World Bank for their CVD case-level data available at the Global Antidumping Database webpage: [http://people.brandeis.edu/~cbown/global\\_ad/](http://people.brandeis.edu/~cbown/global_ad/), which we used to identify all relevant CVD cases, decisions, and dates.

We have put in a CASE\_ID variable that exactly corresponds to that in the *case-specific* US CVD file at the Global Antidumping Database – “CVD-USA-v1.0-1.xls” – so that researchers can merge the firm-specific data to the case-specific data.

The work for this database was funded by the National Science Foundation under grant numbers 9810706 and 0416854.

Please refer to this database as the “U.S. Firm-Specific Countervailing Duty Database” for any projects and papers using these data. Although we have used considerable care in compiling this database, we cannot guarantee the complete accuracy of the data. I would appreciate notification of any errors or omissions at [bruceb@uoregon.edu](mailto:bruceb@uoregon.edu).

### **VARIABLE DESCRIPTIONS**

#### **1) case\_ita**

The case number assigned by the ITA. “NA” means “not applicable” when the case ends before the ITA begins its part of the investigation.

#### **2) case\_itc**

The case number assigned by the USITC. While this database lists these case numbers as a 6 digit number to aid sorting of the database by this variable, the USITC usually reports numbers in the following form: 701-TA-XXX. For example, “701286” in the database is connected with USITC case 701-TA-286. These numbers are sequential in the order that the cases were initiated beginning with 303-TA-XXX cases, except in USITC cases coded as simply “Country Name – X” (where X represents a number). These cases were initiated against countries that were not members of the WTO at the inception of their case. Therefore, no injury determination by the USITC was required in order to enact the subsidy determined by the ITA. “NA” means “not applicable” when the case ends before the ITA begins its part of the investigation.

### **3) CASE\_ID**

The identical case identifier as used by Bown's case-specific database, "CVD-USA-v1.0-1.xls" and subsequent updates.

### **4) init\_date\_ita**

The date that the case was initiated by the ITA.

### **5) final\_decision**

The final determination in the case culminating from decisions by both the International Trade Administration and the International Trade Commission. A=Affirmative, N=negative, T=Terminated, S=Suspension agreement, P= Partial affirmative for a subset of products, and D=Dismissed because it was determined that the petitioners did not have "standing".

### **6) country**

The investigated country from which the investigated products are imported.

### **7) product**

Product description. These product descriptions are shortened for convenience and not official. The USITC reports connected with each case (for those cases that reach at least the preliminary USITC decision stage) have more complete product descriptions.

### **8) ita\_stage**

Indicates the stage of the investigation. P= ITA's preliminary determination. F= ITA's final decision. If these are the only stages listed in a particular investigation, it is implied that the ITC has determined "injury" in the case, and the final duty listed was the duty attributed to the firms and country listed. AF= amendment to final.

### **9) ita\_decision**

Indicates the decision made in the corresponding case. A=Affirmative, N=Negative, S=Suspension agreement, T=Terminated, W=Withdrawn. Cases with a positive CVD, but "negative" decision are ones where the CVD was at or below the *de minimus* level and, thus, the final applied CVD is zero.

### **10) firm\_name**

Name of firm for which the ITA has determined a firm-specific CVD.

## **11) CVD**

The final duty attributed by the ITA. These are the *ad valorem* “cash deposit or bond” rates determined by the ITA as necessary to counteract subsidies over the Period of Investigation. The actual subsidy rate for a certain firm or country may be greater than or equal to this rate due to changes in programs. In a handful of cases the cash deposit rate is not available or did not provide the specific subsidies determined to contribute to this rate. In this scenario, we list the “subsidy” rate in the case. These cases are noted in either notes 1 or 2 columns.

## **12) pl\_prod**

The *ad valorem* percentage-point portion of the duty attributable to preferential loans, or loan guarantees, used for production.

## **13) pl\_export**

The *ad valorem* percentage-point portion of the duty attributable to preferential loans, or loan guarantees, contingent on export performance.

## **14) te\_prod**

The *ad valorem* percentage-point portion of the duty attributable to tax exemptions for production. Including programs such as regional tax incentives, but not the waving of import duties on goods used in production.

## **15) te\_export**

The *ad valorem* percentage-point portion of the duty attributable to tax exemptions contingent on export performance.

## **16) ar\_exc**

The *ad valorem* percentage-point portion of the duty attributable to special arrangements for foreign exchange transactions.

## **17) p\_inputs**

The *ad valorem* percentage-point portion of the duty attributable to the preferential provision of inputs, including forgiveness of import duties, the provision of goods used in production, and special programs or grants providing inputs such as worker training and research and development.

### **18) buy\_back**

The *ad valorem* percentage-point portion of the duty attributable to any type of guarantee made on production. For example, a guarantee to cover the difference of world and home market prices for exports and guarantees of income for production.

### **19) infusions**

The *ad valorem* percentage-point portion of the duty attributable to cash and equity infusions.

### **20) o\_prod**

The *ad valorem* percentage-point portion of the duty attributable to other production subsidies that do not fit into the aforementioned groups. For the most part made up of preferential grants for production.

### **21) o\_export**

The *ad valorem* percentage-point portion of the duty attributable to other subsidies contingent on export performance that do not fit into the aforementioned groups. For the most part made up of preferential grants for exports.

**ADDITIONAL NOTES applicable to variables 12-21 described above:** “NA” indicates “Not applicable”, most typically because the case was terminated, suspended, or withdrawn before CVDs were announced.

### **22) dn\_sum**

Stands for cases that “Do not sum. This means that the individual subsidies as reported by the ITA do not add up to the final duty attributed by the ITA.

### **23) FA**

This variable indicates whether “Facts available” was used by the ITA or not in its CVD determination. This practice is a set of procedures used by the ITA when a firm or country is deemed “nonrespondent” or is unable to provide at least some of the requested information. This variable is binary where a “1” indicates the ITA’s use of “Facts available.” “NA” indicates “Not applicable”, most typically because the case was terminated, suspended, or withdrawn before CVDs were announced.

**24) adv\_FA**

This variable indicates when the ITA uses “Adverse facts available” wherein a nonrespondent firm or country is attributed the highest duty rates for all countervailable programs in any previous investigation against the country. The variable takes the value of “1” when the ITA uses “Adverse facts available.” “NA” indicates “Not applicable”, most typically because the case was terminated, suspended, or withdrawn before CVDs were announced.

**25) partial\_FA**

This variable indicates when ITA uses “Partial facts available occurs when there is a deficient response by a firm or country for part of the requested information. Takes on the value of “1” when adverse facts available procedures are used for part of the case. “NA” indicates “Not applicable”, most typically because the case was terminated, suspended, or withdrawn before CVDs were announced.

**26) notes\_1**

Primary notes of interest in the case.

**27) notes\_2**

Additional notes of interest in the case.