

DEPARTMENT OF THE TREASURY

ALCOHOL AND TOBACCO TAX AND TRADE BUREAU

Supporting Statement -- Information Collection Request

OMB Control Number 1513-0002

Personnel Questionnaire -- Alcohol and Tobacco Products

Changes Since Last Approval

Changes made to the Supporting Statement since this information collection's last approval:

- In Question 8, TTB is updating the Federal Register publication information for the 60-day notice requesting public comments on this information collection.
- In Questions 12, 13, and 14, TTB is revising, respectively, the estimated respondent burden and labor costs, the estimated respondent non-labor costs, and the estimated costs to the Federal Government for this information collection.
- In Question 15, TTB is explaining the burden adjustments associated with this information collection.

A. Justification

1. What are the circumstances that make this collection of information necessary, and what legal or administrative requirements necessitate the collection? Also align the information collection to TTB's Line of Business/Sub-function and IT Investment, if one is used.

The Alcohol and Tobacco Tax and Trade Bureau (TTB) administers the Federal Alcohol Administration Act (FAA Act, 27 U.S.C. 201 *et seq.*), as well as chapter 51 (distilled spirits, wine, and beer), chapter 52 (tobacco products, processed tobacco, and cigarette papers and tubes), and sections 4181–4182 (firearms and ammunition excise taxes) of the Internal Revenue Code of 1986, as amended, (IRC, 26 U.S.C.). TTB administers those statutes pursuant to section 1111(d) of the Homeland Security Act of 2002, as codified at 6 U.S.C. 531(d). The Secretary of the Treasury (the Secretary) also has delegated certain FAA Act and IRC administrative and enforcement authorities, including those related to the issuance of alcohol and tobacco permits to TTB through Treasury Order 120-01.

The IRC, at 26 U.S.C. 5171, 5181, 5271, 5356, 5401, 5502, 5511, and 5712 requires all persons who desire to engage in certain alcohol and tobacco activities to apply for and obtain a permit or registration from, or file a notice with, the Secretary before beginning their operations.¹ Those IRC sections also authorize the Secretary to issue regulations regarding

¹ In the IRC, codified in title 26 U.S.C., section 5171 concerns distilled spirits plant (DSP) permits; section 5281 concerns alcohol fuel plant permits; section 5271 concerns tax-free, specially denatured, and completely denatured spirits procurement and use permits; section 5356 concerns wine-related permits; section 5401 concerns brewers notices; section 5502 concerns vinegar plant permits; section 5511 concerns volatile fruit-flavor concentrate plant permits; and section 5712 concerns permits to operate as a tobacco products or processed tobacco manufacturer, importer, or export warehouse proprietor. The FAA Act at 27 U.S.C. 204 requires persons to obtain a "basic permit"

such applications and notices as are necessary to protect the revenue and ensure lawful operations. The FAA Act at 27 U.S.C. 204 also requires persons wishing to engage certain alcohol beverage activities to obtain a permit from the Secretary as prescribed by regulation. Additionally, IRC sections 5171, 5271, and 5712 and FAA Act section 204 specifically deny permits to applicants, including company officers, directors, and principle investors, who the Secretary finds are not likely to lawfully operate or who have certain criminal convictions.

Under its delegated IRC and FAA Act authorities, TTB has issued regulations in 27 CFR chapter I related to the filing of new and amended alcohol and tobacco industry permits, registrations, and notices. Those regulations require prospective and existing industry members to submit the appropriate application or notice to TTB before they commence operations or when they join, take over, or alter operations at an existing regulated entity. The information collections associated with those applications and notices are approved separately under various OMB control numbers.

Those TTB regulations also authorize the collection of supplemental information from such applicants, including company officers, directors, and principle investors, so that TTB can determine if they meet the statutory and regulatory qualifications for the required permits, registrations, or notices (hereafter collectively referred to as “permits”). The supplemental information required by TTB may include an applicant’s identity and their arrest, criminal, and business history. Applicants provide such information to TTB using form TTB F 5000.9, Personnel Questionnaire—Alcohol and Tobacco Products, or its electronic equivalent in TTB’s Permits Online (PONL) system, as approved under this OMB control number.

The TTB regulations in 27 CFR chapter I that authorize an appropriate TTB officer to require a permit applicant to submit supplemental information, including a Personnel Questionnaire, are found in:

1.24	1.25	1.42	18.21	18.27	19.92
19.126	19.673	19.675	19.676	19.683	20.42
20.56	22.42	22.57	24.109	24.120	25.61
25.62	25.71	40.73	40.74	40.497	40.498
41.197	41.198	41.237	41.238	44.91	44.92.

This information collection is aligned with Line of Business/Sub-function: Law Enforcement / Substance Control.

2. *How, by whom, and for what purpose is this information used?*

When required by TTB, permit applicants complete a Personnel Questionnaire in order to provide TTB with uniform information regarding their identity and their arrest, criminal, and business history. TTB personnel use the collected information to determine if applicants, including company officers, directors, and principal investors, meet the statutory and regulatory qualifications to hold a Federal alcohol or tobacco permit. The collected information assists TTB in preventing prohibited or unqualified persons from entering the

to import or wholesale distilled spirits, wine, or malt beverages; produce, rectify, or blend distilled spirits or wine; or bottle or bottle and warehouse distilled spirits.

alcohol and tobacco industries, which is necessary to protect the revenue and ensure lawful operation of alcohol and tobacco businesses.

3. To what extent does this collection of information involve the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology? What consideration is given to use information technology to reduce burden?

Respondents may electronically complete and submit this information collection using the Personnel Questionnaire portion of TTB's web-based Permits Online (PONL) system, or they may electronically complete and print TTB F 5000.9 for paper submission to TTB. Both collection instruments are available on the Bureau's website at <https://www.ttb.gov>.

4. What efforts are used to identify duplication? Can similar information already available be used or modified for use for the purposes described in Item 2 above?

TTB's Personnel Questionnaire collects information regarding a permit applicant's identity and their arrest, criminal, and business history, which is pertinent and specific to each individual respondent. Such information is not available to TTB elsewhere.

5. If this collection of information impacts small businesses or other small entities, what methods are used to minimize burden?

TTB uses the information collected via Personnel Questionnaires to determine if a permit applicant meets the statutory and regulatory qualifications to hold a Federal alcohol or tobacco permit. This allows TTB to prevent unqualified persons, including those with certain criminal convictions, from entering the alcohol and tobacco industries. While many of the respondents to this information collection are proprietors of or are involved with small businesses, the IRC eligibility requirements for alcohol and tobacco industry permits and the FAA Act eligibility requirements for alcohol beverage industry permits are statutory and cannot be waived because the respondent's business is small.

6. What consequences to Federal program or policy activities and what, if any, technical or legal obstacles to reducing burden will occur if this collection is not conducted or is conducted less frequently?

If TTB did not collect the personal identity and the arrest, criminal, and business history information provided by respondents via the Personnel Questionnaire, statutorily unqualified persons could enter the alcohol and tobacco industries. If TTB could not identify such applicants, it would be less able to protect the revenue and ensure lawful operation of alcohol and tobacco businesses. Also, because respondents complete a Personnel Questionnaire only when seeking a new or amended alcohol or tobacco permit, this collection cannot be conducted less frequently.

7. Are there any special circumstances associated with this information collection that would require it to be conducted in a manner inconsistent with OMB guidelines? (See 5 CFR 1320.5(d)(2).)

There are no special circumstances associated with this information collection that would require it to be inconsistent with OMB guidelines.

8. *What effort was made to notify the general public about this collection of information? Summarize the public comments that were received and describe the action taken by the agency in response to those comments.*

To solicit comments from the public, TTB published a “60-day” comment request notice for this information collection in the Federal Register on February 12, 2026, at 91 FR 6726. TTB received no comments on this information collection in response.

9. *Was any payment or gift given to respondents, other than remuneration of contractors or grantees? If so, why?*

No payment or gift is associated with this information collection.

10. *What assurance of confidentiality was provided to respondents, and what was the basis for the assurance in statute, regulations, or agency policy?*

While the PONL system and TTB F 5000.9 contain a Privacy Act Statement, which includes information regarding the disclosure of the applicant’s Social Security number, no specific assurance of confidentiality is provided for this information collection. However, 5 U.S.C. 552 protects the confidentiality of proprietary information obtained by the Government from regulated businesses and individuals, while 26 U.S.C. 6103 prohibits disclosure of tax returns and related information unless disclosure is authorized by the IRC. TTB maintains the collected information in password-protected computer systems and in secure office space with controlled access.

11. *What is the justification for questions of a sensitive nature? If personally identifiable information (PII) is being collected in an electronic system, identify the Privacy Impact Assessment (PIA) that has been conducted for the information collected under this request and/or the Privacy Act System of Records notice (SORN) issued for the electronic system in which the PII is being stored.*

Sensitive Questions: Under the IRC and FAA Act, persons with certain criminal convictions cannot hold a Federal alcohol or tobacco industry permit. To enforce those statutory provisions, this information collection requires respondents to disclose their arrest and criminal history, if any.

Personally Identifiable Information: This collection requires information regarding the respondent’s identity and their arrest, criminal, and business history. TTB has completed a Privacy and Civil Liberties Impact Assessment (PCLIA) for this collection as part of the Permits Online (PONL) system as part of the Permit Online (PONL) system, and TTB has issued a Privacy Act System of Records notice (SORN) for that system under “Department of the Treasury, Alcohol and Tobacco Tax and Trade Bureau (TTB) .001–Regulatory Enforcement System of Records,” which was last published in the Federal Register on October 11, 2022, at 87 FR 61435. TTB’s PIAs are available on the TTB website at <https://www.ttb.gov/foia/privacy-impact-assessments>.

12. What is the estimated hour burden of this collection of information?

Respondent burden: Based on recent data, TTB estimates the annual burden for this information collection as follows:

OMB No. 1513-0002	Respondents (1 response/year)	Percentage of Responses	Time per Response	Total Burden Hours
PONL Personnel Questionnaire	7,400	88%	50 minutes	6,167
TTB F 5000.9	1,000	12%	60 minutes	1,000
TOTALS	8,400	100%	(avg. 51.19285 minutes)	7,167

Estimated Respondent Labor Costs: TTB estimates the annual per-respondent and total respondent labor costs for this information collection as follows:

NAICS 312000 – Beverage and Tobacco Product Manufacturing – Fully-loaded Labor Rate/Hour ² for All Management Occupations = \$87.57*					
Avg. Time / Response	Labor Cost / Response	Responses / Respondent	Labor Costs / Respondent	Total Responses	Total Labor Costs
51.19285 minutes	\$74.72	1	\$74.72	8,400	\$627,648.00

* All wages and costs rounded to nearest whole cent.

Record Retention: The TTB regulations require its permit holders to permanently maintain at their place of business a file containing their permit, registration, or notice and all related supporting information, including the information required under this collection. In addition, respondents must make that file available for inspection by any appropriate TTB officer upon request. See 27 CFR 1.25, 18.17, 19.81, 20.37, 22.36, 24.117, 25.64, 40.76, 40.501, 41.203, 41.243, and 44.93.

13. What is the estimated annual cost burden to respondents or record keepers resulting from this information collection request (excluding the value of the hour burden in Question 12 above)?

Because the collected personnel information is readily known to respondents, and because respondents submit such information only on an occasional basis, TTB believes that there are no annualized capital, start-up, operational, or maintenance costs to respondents for this information collection. As for mailing supply and postage costs, TTB estimates that each of the 1,000 respondents who submit paper copies of TTB F 5000.9 have no more than \$3.00 in such costs for their one annual response. As such, TTB estimates that the annual mailing supply and postage costs for this information collection total no more than \$3,000.

² The Fully-loaded Labor Rate = Hourly wage rate + benefit costs, which, for the private sector, is calculated as hourly wage x 1.44. Per the most recent U.S. Department of Labor, Bureau of Labor Statistics, data for National Industry-Specific Occupational Employment and Wage Estimates for NAICS 312000—Beverage and Tobacco Product Manufacturing, the average fully-loaded labor rate per hour for all Management Occupations (11-0000) is \$87.57, based on an average hourly wage of \$60.81; see <https://data.bls.gov/oes/#/industry/312000>.

14. What is the annualized cost to the Federal Government?

TTB estimates the annual Federal Government costs for this collection as follows:

Overhead costs: TTB has determined that it has no overhead costs for this occasional information collection. In addition, TTB has no printing and distribution costs for this collection as its public-use forms are available on its website at <https://www.ttb.gov>.

Labor costs: Clerks process received mail and PONL submissions, complete data entry, and image submitted paper forms. Specialists review Personnel Questionnaires for errors, qualifications, and other factors. As such, TTB estimates its annual labor costs for this information collection as follows:

Labor Costs for Personnel at TTB's National Revenue Center in Cincinnati, Ohio, for OMB No. 1513-0002*					
Position	Fully-loaded Labor Rate/Hour ³	Processing Time per Response	Labor Costs per Response	Total Responses	Total TTB Labor Costs
GS-5, Step 5, Clerk	\$37.56	6 minutes	\$3.756	8,400	\$31,550.40
GS-11, Step 5, Specialist	\$68.85	24 minutes	\$27.54		\$231,336.00
Totals	(\$62.592)	30 minutes	\$31.296	8,400	\$262,886.40

* Fully-loaded labor rates and labor costs rounded to the nearest whole cent unless otherwise noted.

15. What is the reason for any program changes or adjustments reported?

There is no program change associated with this information collection at this time, and TTB is submitting it for extension purposes only. As for adjustments to this information collection, due to changes in agency estimates, TTB is decreasing the estimated number of annual respondents and responses, from 9,850 to 8,400, which results in a decrease of the estimated total annual burden hours for this information collection, from 8,375 hours to 7,167. The estimated number of annual responses per respondent remains one, as previously reported.

Form changes: In August 2025, on form TTB F 5000.9, TTB updated the mailing address for submission of the form. Also, in response to E.O. 14168, Defending Women from Gender Ideology Extremism and Restoring Biological Truth, TTB revised Item 13 on the form to request that the respondent identify their biological sex rather than their gender identity.⁴ These changes were de minimis and did not affect this collection's burden.

³ Federal Government Fully-loaded Labor Rate = Hourly wage rate x 1.63 to account for benefit costs. Per the most recent Office of Personnel Management (OPM) hourly wage data, the fully-loaded labor rates per hour for the Cincinnati, Ohio, wage area are: (1) For a GS-5, step 5, employee, \$37.56, based on hourly wage of \$23.04; and (2) for a GS-11, step 5, employee, \$68.85, based on hourly wage of \$42.24. See the OPM website at https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/pdf/2026/CIN_h.pdf.

⁴ See E.O. 14168 of January 20, 2025, published in the Federal Register on January 30, 2025, at 90 FR 8615. Section 3(e) of the E.O. specifically requires agency information collections (forms) to require that respondents identify their biological sex as male or female rather than their gender identify if such information is requested.

16. *Outline plans for tabulation and publication for collections of information whose results will be published.*

TTB will not publish the results of this information collection.

17. *If seeking approval to not display the expiration date for OMB approval of this information collection, what are the reasons that the display would be inappropriate?*

TTB will display the expiration date for OMB approval of this information collection on its collection instrument, form TTB F 5000.9, Personnel Questionnaire—Alcohol and Tobacco Products.

18. *What are the exceptions to the certification statement?*

(c) See item 5 above.

(f) This is not a recordkeeping requirement.

(i) No statistics are involved.

B. Collections of Information Employing Statistical Methods.

This information collection does not employ statistical methods.