

Request for Approval under the “Generic Clearance for the Collection of Routine Customer Feedback” (OMB Control Number 1513–0132)

TITLE OF INFORMATION COLLECTION:

Wine Pilot Form Usability Test Survey

PURPOSE:

The results of this usability testing survey will inform the development of and instructions for a simplified operations report and excise tax return for wine makers. Currently, under the Alcohol and Tobacco Tax and Trade Bureau (TTB) regulations, wine permit holders must file two forms, TTB F 5120.17, Report of Wine Premises Operations, and TTB 5000.24, Excise Tax Return, on annual, quarterly, or monthly/semimonthly filing frequencies, depending on the size of their operations. The new forms (one for all filers and one additional form for semimonthly filers) will combine those two existing forms, consolidate reporting requirements, and eliminate several sections from the operations report. This usability testing survey will solicit feedback on the functionality of the pilot forms, as well as feedback on how clear and useful their corresponding instructions and a “crosswalk” document that TTB has developed to compare the pilot forms to the current TTB forms.

DESCRIPTION OF RESPONDENTS:

Respondents will be current wine premises permit holders who use the Report of Wine Premises Operations (TTB F 5120.17, OMB No. 1513–0053) to report wine premises activity and the Excise Tax Return (TTB F 5000.24, OMB No. 1513–0083) to report wine excise tax liability.

TYPE OF COLLECTION: (Check one)

- ☐ Customer Comment Card/Complaint Form ☐ Customer Satisfaction Survey
☒ Usability Testing (e.g., Website or Software) ☐ Small Discussion Group
☐ Focus Group ☐ Other: _____.

CERTIFICATION:

I certify the following to be true:

1. The collection is voluntary.
2. The collection is low-burden for respondents and low-cost for the Federal Government.
3. The collection is non-controversial and does not raise issues of concern to other federal agencies.

4. The results are not intended to be disseminated to the public.
5. Information gathered will not be used for the purpose of substantially informing influential policy decisions.
6. The collection is targeted to the solicitation of opinions from respondents who have experience with the program or may have experience with the program in the future.

Name: _____

To assist review, please provide answers to the following questions:

Personally Identifiable Information:

1. Is personally identifiable information (PII) collected? ☒ Yes (on a voluntary basis) ☐ No
2. If Yes, will any information that is collected be included in records that are subject to the Privacy Act of 1974? ☒ Yes ☐ No ☐ N/A
3. If Yes, has an up-to-date System of Records Notice (SORN) been published? ☒ Yes (10/11/2022; 87 FR 61435) ☐ No ☐ N/A

Gifts or Payments:

Is an incentive (e.g., money or reimbursement of expenses, token of appreciation) provided to participants? ☐ Yes ☒ No

BURDEN HOURS:

Category of Respondent	No. of Respondents	Participation Time	Burden
Federal Government			n/a
State, Local & Tribal Government			
Private Sector	250	0.5 hours	125 hours
Totals	250	0.5 hours	125 hours

FEDERAL COST: The estimated annual cost to the Federal government is \$700.00.

If you are conducting a focus group, survey, or plan to employ statistical methods, please provide answers to the following questions:

SELECTION OF YOUR TARGETED RESPONDENTS:

1. Do you have a customer list or something similar that defines the universe of potential respondents and do you have a sampling plan for selecting from this universe? ☒ Yes ☐ No

If the answer is yes, please provide a description of both below (or attach the sampling plan). If the answer is no, please provide a description of how you plan to identify your potential group of respondents and how you will select them.

Alcohol industry associations have provided TTB with a list of contacts that are interested in providing feedback on the pilot wine forms, instructions, and crosswalk. We will contact these industry members via email with a link to the survey.

We will also solicit participation in the survey at wine the following industry conventions in early 2025:

Conference	Dates	Location	Description	Estimated Attendance	Format
2025 Unified Wine & Grape Symposium	1/28/25 - 1/30/25	Sacramento, CA	Largest wine and grape conference and trade show in the nation.	14,000	TTB will staff a booth and provide handout with QR code to survey as well as collect email addresses for wineries interested in participating in the survey.
Wine & Spirits Wholesales of America Access Live	2/4/25 - 2/5/25	Denver, CO	Two day conference with educational opportunities and trade show floor. The event brings together distributors, suppliers/producers, and retailers from the wine and spirits industries.	2,500	TTB will announce survey and encourage participation during live presentation and staff a booth and provide handout with QR code to survey as well as collect email addresses for wineries interested in participating in the survey.
Oregon Wine Symposium	2/3/25 - 2/4/25	Portland, OR	Northwest wine industry educational event and trade show	1,500	TTB will announce survey and encourage participation during live presentation and staff a booth and provide handout with QR code to survey as well as collect email addresses for wineries interested in participating in the survey.
CiderCon 2025	2/5/25 - 2/7/25	Chicago, IL	Largest gathering of the US cider industry. Three days of educational opportunities and trade show.	800	TTB will announce survey and encourage participation during live presentations and staff a booth and provide handout with QR code to survey as well as collect email addresses for wineries interested in participating in the survey.

Eastern Winery Exposition and Conference	3/25/25 - 3/27/25	Lancaster, PA	Largest wine event east of the Pacific states, designed to provide Eastern U.S. wineries, vineyards and suppliers with a professional meeting place, trade show, and Eastern-focused conference.	1,200	TTB will announce survey and encourage participation during live presentations and staff a booth and provide handout with QR code to survey as well as collect email addresses for wineries interested in participating in the survey.
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TTB will have a booth at these conferences where we will share fliers with QR code links to the survey as well as collect emails from interested participants. TTB will create an identical survey for each conference, so that we are able to segregate the responses by conference attendance. Since the conferences will attract different types of participants, it will be useful to know how each participant was recruited.

TTB will send reminder emails to the collected email addresses to take the survey twice: two and four weeks after the conference where the email address was collected.

The survey will be administered via Survey Monkey, an external website. The survey will be open for approximately three months to allow at least a month of availability to participants of each conference.

ADMINISTRATION OF THE INSTRUMENT

1. How will you collect the information? (Check all that apply)

☒ Web-based or other forms of Social Media

☐ Telephone

☐ In-person

☐ Mail

☐ Other, Explain:

_____.

2. Will interviewers or facilitators be used? ☐ Yes ☒ No

Please make sure that all instruments, instructions, and scripts are submitted with the request.

Instructions for completing Request for Approval under the “Generic Clearance for the Collection of Routine Customer Feedback”

TITLE OF INFORMATION COLLECTION: Provide the name of the collection that is the subject of the request. (e.g. Comment card for soliciting feedback on xxxx)

PURPOSE: Provide a brief description of the purpose of this collection and how it will be used. If this is part of a larger study or effort, please include this in your explanation.

DESCRIPTION OF RESPONDENTS: Provide a brief description of the targeted group or groups for this collection of information. These groups must have experience with the program.

TYPE OF COLLECTION: Check one box. If you are requesting approval of other instruments under the generic, you must complete a form for each instrument.

CERTIFICATION: Please read the certification carefully. If you incorrectly certify, the collection will be returned as improperly submitted or it will be disapproved.

Personally Identifiable Information: Provide answers to the questions. Note: Agencies should only collect PII to the extent necessary, and they should only retain PII for the period of time that is necessary to achieve a specific objective.

Gifts or Payments: If you answer yes to the question, please describe the incentive and provide a justification for the amount.

BURDEN HOURS:

Category of Respondents: Identify who you expect the respondents to be in terms of the following categories: (1) Individuals or Households; (2) Private Sector; (3) State, local, or tribal governments; or (4) Federal Government. Only one type of respondent can be selected per row.

No. of Respondents: Provide an estimate of the Number of respondents.

Participation Time: Provide an estimate of the amount of time required for a respondent to participate (e.g. fill out a survey or participate in a focus group)

Burden: Provide the Annual burden hours: Multiply the Number of responses and the participation time and divide by 60.

FEDERAL COST: Provide an estimate of the annual cost to the Federal government.

If you are conducting a focus group, survey, or plan to employ statistical methods, please provide answers to the following questions:

SELECTION OF YOUR TARGETED RESPONDENTS: Please provide a description of how you plan to identify your potential group of respondents and how you will select

them. If the answer is yes, to the first question, you may provide the sampling plan in an attachment.

ADMINISTRATION OF THE INSTRUMENT: Identify how the information will be collected. More than one box may be checked. Indicate whether there will be interviewers (e.g. for surveys) or facilitators (e.g., for focus groups) used.

Submit all instruments, instructions, and scripts are submitted with the request.