

modes of plant operation. Verify risk assessment performance for configuration changes involving structures, systems or components \* \* \*

b. *Risk Assessment Adequacy.* Verify the accuracy and completeness of the information considered in the risk assessment. Verify the appropriate use of the risk assessment tool, i.e., that the licensee uses it in a manner consistent with (1) its capabilities and limitations, (2) plant conditions and evolutions, (3) external events and containment status, and (4) licensee procedures. \* \* \*

c. *Risk Management.* Verify that the licensee recognizes, and/or enters as applicable, the appropriate licensee-established risk category or band according to risk assessment results and licensee procedures. Verify that normal work controls or risk management actions as required are promptly and effectively implemented commensurate with the risk band in effect and in accordance with licensee procedures. Verify that the key safety functions for the plant mode of operation are preserved. \* \* \* IP 71111.13, Appendix A, Risk Assessment Performance Verification Phase

"Determine if a Risk Assessment (RA) was required using the following criteria:

1. *When required.* RAs are required by (a)(4) prior to maintenance-related plant configuration changes and are normally performed for scheduled maintenance. However, emergent conditions, such as external events or SSC failures or degraded performance in service or during testing, may require actions prior to performing an RA, or could invalidate the existing RA. In this case, the RA should be performed (or reevaluated) to address the changed plant conditions. The industry guidance, revised Section 11 of NUMARC 93001, as endorsed by RG 1.182, states that if the plant configuration is restored prior to conducting or reevaluating the RA, the RA need not be conducted, or reevaluated if already performed. Nevertheless, to the extent practicable and commensurate with safety, the licensee should perform or reevaluate the RA before changing the plant configuration further, but in any case, promptly and to the extent practicable concurrently with, but without delaying, plant stabilization and restoration. Note that licensee deviation from work schedules and work plans, just as emergent work can, may invalidate risk assessments prepared for the maintenance period (e.g., the common 12-week rolling schedule).

2. *Operating Modes When RA Required.* RAs are required by (a)(4) for maintenance activities performed during all modes of plant operation and transitions between modes. For (a)(4) purposes, at power means normal steaming (Mode 1) and startup (Mode 2). Shutdown means hot standby (Mode 3 in a pressurized water reactor (PWR) only), hot shutdown (Mode 3 in a boiling water reactor, Mode 4-PWR), cold shutdown (Mode 5), and refueling (Mode 6). Plants without a shutdown probabilistic risk assessment (PRA) must still assess shutdown maintenance risk by some means, typically an expert panel using a qualitative (key safety function) or blended qualitative/quantitative approach. \* \* \*

#### *Supplemental IP 62709, "Configuration Risk Assessment and Risk Management Process" IP62709*

An appropriate assessment would include a review of the current configuration of the plant and the plant configuration expected during the planned maintenance activity. Assessing the current plant configuration as well expected changes to plant configuration due to the planned maintenance activities is intended to insure that the plant is not inadvertently placed in risk-significant configurations. \* \* \* Furthermore, assessing the degree of safety function degradation requires that there be an understanding of the impact of maintenance activities on the capability of the plant to prevent or mitigate accidents and transients, as well as the potential impact of external conditions (e.g., inclement weather, electrical grid instability, flooding or seismic events) on plant maintenance configurations. The assessments may range from deterministic judgments to the use of an on-line PSA tool. \* \* \* The process for performing these safety assessments should be scrutable and repeatable. Known limitations in the assessment process should be described in the licensee's Maintenance Rule program documentation. The licensee's process should be sufficiently robust and comprehensive to assess maintenance activities during power operating conditions and low power and shutdown conditions. The sophistication of the assessment(s) for evaluating the risk of a maintenance configuration should be commensurate with the complexity of the configuration.

IP 62709, 02.02 *Configuration Risk Assessments:* Determine if the licensee has adequately assessed the overall effect on the performance of safety functions when SSCs are removed from service for surveillance or maintenance activities. Obtain plant operating/maintenance records for at least two or three monthly periods of high maintenance activities during power operation with a particular focus on periods when trains of components were removed from service or when components of different trains were out of service simultaneously for surveillance or maintenance. In the case of plant shutdown conditions, select two or three weekly periods of plant outage surveillance or maintenance activities with a particular focus on periods of reduced reactor coolant system inventory, reduced shutdown cooling availability, or reduced electrical availability. Evaluate the results of the licensee's safety assessments of those time periods, and verify the licensee's safety assessments encompassed all the SSCs that have significant impact on public health and safety. If the licensee had not kept records of prior assessment results, \* \* \* consider performing independent assessments of current maintenance activities.

IP 62709, 02.03 *Risk Management:* Determine if a licensee is using a reasonable approach to manage risk of the planned configurations when SSCs are removed from service for surveillance or maintenance activities. On the basis of licensee's safety assessments of those selected maintenance configurations, either during power operation or shutdown conditions, verify that the

licensee has process controls in place that ensure risk management actions would be implemented for plant maintenance configurations with risk increases that exceed risk management thresholds."

[FR Doc. 02-19538 Filed 8-1-02; 8:45 am]

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## RAILROAD RETIREMENT BOARD

### Proposed Collection; Comment Request

**SUMMARY:** In accordance with the requirement of Section 3506(c)(2)(A) of the Paperwork Reduction Act of 1995 which provides opportunity for public comment on new or revised data collections, the Railroad Retirement Board (RRB) will publish periodic summaries of proposed data collections.

*Comments are invited on:* (a) Whether the proposed information collection is necessary for the proper performance of the functions of the agency, including whether the information has practical utility; (b) the accuracy of the RRB's estimate of the burden of the collection of the information; (c) ways to enhance the quality, utility, and clarity of the information to be collected; and (d) ways to minimize the burden related to the collection of information on respondents, including the use of automated collection techniques or other forms of information technology.

*Title and Purpose of information collection:* Request for Review of part B Medicare Claim; OMB 3220-0100. Under section 7(d) of the Railroad Retirement Act (RRA), the RRB administers the Medicare program for persons covered by the railroad retirement system.

The RRB utilizes Forms G-790 and G-791 to provide railroad retirement beneficiaries who are claimants for part B Medicare benefits with the means for requesting Palmetto GBA, the RRB's current Medicare carrier, to review claims determinations or to hold hearings on the review determinations. Completion is required to obtain a benefit. One response is requested of each respondent.

The RRB proposes non-burden impacting, editorial and formatting changes to G-790 and G-791 for clarification purposes. The carrier's name and address have been changed to reflect the new part B carrier. The RRB has deleted to reference to OMB from the Paperwork Reduction Act/Privacy Act notice as instructed by OMB staff. The completion time both the G-790 and G-791 is estimated at 15 minutes.

**FOR FURTHER INFORMATION CONTACT:** To request more information or to obtain a

copy of the information collection justification, forms, and/or supporting material, please call the RRB Clearance Officer at (312) 751-3363. Comments regarding the information collection should be addressed to Ronald J. Hodapp, Railroad Retirement Board, 844 N. Rust Street, Chicago, Illinois 60611-2092. Written comments should be received within 60 days of this notice.

**Chuck Mierzwa,**

*Clearance Officer.*

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**BILLING CODE 7905-01-M**

## SECURITIES AND EXCHANGE COMMISSION

### Proposed Collection; Comment Request

Upon Written Request, Copies Available From: Securities and Exchange Commission, Office of Filings and Information Services, Washington, DC 20549

Extension:

Rule 10b-17, SEC File No. 270-427, OMB Control No. 3235-0476

Notice is hereby given that pursuant to the Paperwork Reduction Act of 1995 (44 USC 3501 *et seq.*) the Securities and Exchange Commission ("Commission") is soliciting comments on the collection of information summarized below. The Commission plans to submit this existing collection of information to the Office of Management and Budget for extension and approval.

- Rule 10b-17, Untimely announcements of record dates (17 CFR 240.10b-17)

Rule 10b-17 requires any issuer of a class of securities publicly traded by the use of any means or instrumentality of interstate commerce or of the mails or of any facility of any national securities exchange to give notice of the following actions relating to such class of securities: (1) A dividend; (2) a stock split; or (3) a rights or other subscription offering. Notice shall be (1) given to the National Association of Securities Dealers, Inc.; (2) in accordance with the procedures of the national securities exchange upon which the securities are registered; or (3) may be waived by the Commission.

The information required by Rule 10b-17 is necessary for the execution of the Commission's mandate under the Exchange Act to prevent fraudulent, manipulative, and deceptive acts and practices by broker-dealers. The consequence of not requiring the information collection pursuant to Rule 10b-17 is that sellers who have received

distributions as recordholders may dispose of the cash or stock dividends or other rights received as recordholders without knowledge of possible claims of purchasers.

It is estimated that, on an annual basis, there are approximately 29,430 respondents and that each response takes about 10 minutes to complete, thus imposing approximately 4,905 burden hours annually (29,430 x 10 minutes). We believe that the average hourly cost to produce and file a response under the rule is about \$50. Therefore, the annual reporting cost burden for complying with this rule is about \$245,250 (4,905 x \$50).

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid control number. Written comments are invited on: (a) Whether the proposed collection of information is necessary for the proper performance of the functions of the agency, including whether the information will have practical utility; (b) the accuracy of the agency's estimate of the burden of the collection of information; (c) ways to enhance the quality, utility, and clarity of the information collected; and (d) ways to minimize the burden of the collection of information on respondents, including through the use of automated collection techniques or other forms of information technology. Consideration will be given to comments and suggestions submitted in writing within 60 days of this publication.

Please direct your written comments to Michael E. Bartell, Associate Executive Director, Office of Information Technology, Securities and Exchange Commission, 450 5th Street, NW., Washington, DC 20549.

Dated: July 26, 2002.

**Margaret H. McFarland,**

*Deputy Secretary.*

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## SECURITIES AND EXCHANGE COMMISSION

### Proposed Collection; Comment Request

Upon Written Request, Copies Available From: Securities and Exchange Commission, Office of Filings and Information Services, Washington, DC 20549

Extension:

Regulations 13D and 13G; Schedules 13D and 13G, SEC File No. 270-137, OMB Control No. 3235-0145

and

Form F-6 SEC File No. 270-270, OMB Control No. 3235-0292

Notice is hereby given that, pursuant to the Paperwork Reduction Act of 1995 (44 USC 3501 *et seq.*), the Securities and Exchange Commission ("Commission") is soliciting comments on the collections of information summarized below. The Commission plans to submit these existing collections of information to the office of Management and Budget for extension and approval.

Schedules 13D and 13G are filed pursuant to sections 13(d) and 13(g) of the Securities Exchange Act and Regulations 13D and 13G thereunder to report beneficial ownership of equity securities registered under section 12 of the Exchange Act. Regulations 13D and 13G are intended to provide investors and subject issuers with information about accumulations of securities that may have the potential to change or influence control of the issuer. Schedules 13D and 13G are used by persons including small entities to report their ownership of more than 5% of a class of equity securities registered under section 12. Schedule 13D takes approximately 43,500 total burden hours and is filed by 3,000 respondents. The filer prepares 25% of the 43,500 annual burden hours for a total reporting burden of 10,875 hours. Schedule 13G takes approximately 98,800 total burden hours and is filed by 9,500 respondents. The filer prepares 25% of the 98,800 annual burden hours for a total reporting burden of 24,700 hours. Therefore, the reporting burden for both Schedules is 35,575 hours and they are prepared by a total of 12,500 respondents.

The Commission under section 19 of the Securities Act of 1933 established Form F-6 for registration of American Depositary Receipts (ADRs) of foreign companies. Form F-6 requires disclosure of information regarding the terms of depository bank, fees charged, and a description of the ADRs. No special information regarding the foreign company is required to be prepared or disclosed, although the foreign company must be one, which periodically furnishes information to the Commission. Such information is available to the public for inspection. The information is needed to ensure that investors in ADRs have full disclosure of information concerning the deposit agreement and foreign company. Approximately 150 respondents file Form F-6 and it takes .9 hours to prepare for a total of 135 annual burden hours. It is estimated that 25% of the 135 total burden hours