

**AUDIT PLAN**  
**AUDIT NUMBER: HQ-92-04**  
**AUDIT OF ENERGY INFORMATION ADMINISTRATION (EIA)**  
**(EI-523)**

An audit of EIA will be conducted the week of September 14-18, 1992 in the EIA office at 1701 H St. NW, room 807. The team may also conduct appropriate portions of the audit at EIA's contractor office (Z, Inc) in Silver Spring, MD.

The audit will be conducted by:

R. Dennis Brown	CER Corp., Arlington, VA	Audit Team Leader
Donald C. Hendrix	CER Corp., Arlington, VA	ATL-in-training
F. Hugh Lentz	CER Corp., Arlington, VA	Auditor
Robert L. Howard	Weston, Washington, DC	Auditor
Michael D. Collins	TRW, Vienna, VA	Technical Specialist
Robert W. Clark	DOE/OCRWM, Washington, DC	Audit Manager

Observers from the State of Nevada, the NRC, and other interested parties will be invited to participate.

**AUDIT SCOPE**

The audit scope will include the OCRWM quality effecting EIA support activities being performed up to the time of the audit.

**TASKS:** Quality effecting tasks provided by EIA in support of OCRWM to be evaluated are:

- Data Collection System - RW-859 Nuclear Fuel Data Survey
- Automated Data Model - International Nuclear Model (INM)

**REQUIREMENTS/CRITERIA:**

The implementation of the following criteria as contained in ASME NQA-1-89 and DOE/RW-214, Rev. 4, will be evaluated during the audit:

- 1 - Organization
- 2 - Quality Assurance Program
- 4 - Procurement Document Control
- 5 - Instructions, Procedures, and Drawings
- 6 - Document Control
- 7 - Control of Purchased Items and Services
- 16 - Corrective Action
- 17 - Quality Assurance Records
- 18 - Audits
- 19 - Computer Software

**GOVERNING DOCUMENTS**

Audit checklists will reflect requirements and commitments delineated in:

- DOE/RW-0214, Rev. 4, Quality Assurance Requirements Document (QARD),
- Energy Information Administration Quality Assurance Program Description (QAPD) for the Office of Civilian Radioactive Waste Management (OCRWM) Program Funded Projects,
- The Energy Information Administration Standards Manual,
- Federal Information Processing Standards (FIPS 38),
- Guidelines for Documentation of Computer Programs and Automated Data Systems.

## CHECKLISTS

The audit will be conducted using formal checklists.

## TECHNICAL AREAS

Auditors will review and evaluate activities to determine adequacy in the following areas:

1. Qualifications of technical personnel.
2. Personnel understanding of procedural requirements as they pertain to the development, review and approval of technical documents.
3. The processes used to:
  - Collect, verify, correct, analyze and report data and maintain the computer program for the "Data Collection System - RW-859 Nuclear Fuel Data Survey"
  - Develop, operate and maintain the computer program and report data for the "Automated Data Model - International Nuclear Model (INM)"

## PRELIMINARY AUDIT SCHEDULE

Audit Team Briefing	September 11th	1:30 pm
Preaudit Meeting	September 14th	9:00 am
Conduct of Audit	September 14th	9:30 am - 4:00 pm
	September 15th-17th	8:30 am - 4:00 pm
Postaudit Meeting	September 18th	9:00 am
Daily Audit Team Caucus	4:00 pm	
Daily Summary to EIA Management	8:30 am	

Prepared by: R. Dennis Brown Date: 8/28/92  
R. Dennis Brown, CER Corporation  
Audit Team Leader

Approved by: Donald G. Horton Date: 9/11/92  
Donald G. Horton, Director  
Office of Quality Assurance