

# Self-Audit Checklist



**DUNCAN**  
AVIATION

Due to the overwhelming amount of incoming vendor audit forms being processed by Duncan Aviation, we have produced a generic audit form that will be returned in place of the form supplied by you. This will help us provide you with a quicker response to your inquiries. If you have any questions, please feel free to contact us at (402) 475-2611.

Thank you.

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## General:

### Company:

Address: 15745 South Airport Road  
Duncan Aviation  
Battle Creek Airport  
Battle Creek, MI 49015

Phone: (269) 969-8400  
FAX: (269) 969-8432  
Internet: <http://www.DuncanAviation.aero>

### Nomenclature:

Repair Station Number: EBVR450D  
Federal Tax I.D. Number: 47-0461109  
Dun & Bradstreet Number: 62-613-6238  
FAA AMPP Number: B-CE-00006-S  
Number of Employees: 625+  
Employees Worldwide: 2100+  
Appr. Facility Size: 370,000 Sq. Ft.  
Security System: ID Badges  
Fire Protection System: Sprinklers  
Company Established: 1956

## Key Management Positions:

Chairman:  
President:  
Exec. Vice President/COO & Accountable Manager  
Vice President, Completions & Modifications:  
Director of Aircraft Maintenance  
Manager, Regulatory Compliance:  
Chief Inspector:

Todd Duncan  
Aaron Hilkemann  
Tom Burt  
Andy Richards  
Kasey Harwick  
Mike Mertens  
Pete Mills\*

*\*Reports to the Manager, Regulatory Compliance, but can directly contact the Chairman with airworthiness issues.*

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### 1. Quality Control System\*

*\*Our Quality Assurance/Control program conforms to 14 CFR Part 145.*

Yes                      No                      N/A

- |    |                                                                                                          |                              |
|----|----------------------------------------------------------------------------------------------------------|------------------------------|
| A. | Is there an established Quality Control Program?                                                         | <u>          ✓          </u> |
| B. | Is the complete Quality Program described in a current Quality Manual?                                   | <u>          ✓          </u> |
| C. | Does the manual contain all information required by 14 CFR Part 145.209 and 145.211?                     | <u>          ✓          </u> |
| D. | Is the manual readily available to all employees?                                                        | <u>          ✓          </u> |
| E. | Is there an internal audit and surveillance program?                                                     | <u>          ✓          </u> |
| F. | Does the internal audit program ensure compliance with customer specifications?                          | <u>          ✓          </u> |
| G. | Does the audit program ensure appropriate corrective action?                                             | <u>          ✓          </u> |
| H. | Are files of audit findings and corrective actions maintained for at least three years?                  | <u>          ✓          </u> |
| I. | Is there a list of subcontracted maintenance actions and approved vendors for those functions?           | <u>          ✓          </u> |
| J. | Is there a procedure for reporting defects or un-airworthy parts or conditions to customers and the FAA? | <u>          ✓          </u> |

### 2. Inspection

- |    |                                                                                                                     |                                                              |
|----|---------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------|
| A. | Is there proper separation of maintenance and inspection responsibilities?                                          | <u>          ✓          </u>                                 |
| B. | Are personnel authorized to inspect the work fully qualified by virtue of training and experience?                  | <u>          ✓          </u>                                 |
| C. | Is there a list of inspections they are authorized to perform?                                                      | <u>          ✓          </u>                                 |
| D. | Is there a roster of:<br>1. Supervisory and management personnel?<br>2. Inspection and Return to Service personnel? | <u>          ✓          </u><br><u>          ✓          </u> |
| E. | Is there an employment summary on file for all personnel listed on the roster?                                      | <u>          ✓          </u>                                 |
| F. | Is there a documented inspection stamp control policy?                                                              | <u>          ✓          </u>                                 |
| G. | Is there a receiving inspection procedure?                                                                          | <u>          ✓          </u>                                 |
| H. | Is there a procedure to control customer supplied parts?                                                            | <u>          ✓          </u>                                 |
| I. | Is there a procedure to maintain traceability and certification on all parts, raw materials, and hardware?          | <u>          ✓          </u>                                 |

### 3. Technical Data

- |    |                                                                                                              |                              |
|----|--------------------------------------------------------------------------------------------------------------|------------------------------|
| A. | Is the appropriate, current technical data readily available to personnel that need it?                      | <u>          ✓          </u> |
| B. | Is there a procedure to control revisions and ensure technical data is current?                              | <u>          ✓          </u> |
| C. | Are records of manual revisions on hand?                                                                     | <u>          ✓          </u> |
| D. | Is there a system in place to control working copies of manuals to ensure they are revised with the masters? | <u>          ✓          </u> |
| E. | Is technical data stored in a manner to protect it from dirt and damage?                                     | <u>          ✓          </u> |

### 4. Shelf Life Program

- |    |                                                                                                |                              |
|----|------------------------------------------------------------------------------------------------|------------------------------|
| A. | Is there a documented shelf life program?                                                      | <u>          ✓          </u> |
| B. | Does the program list parts and materials that have shelf life limits?                         | <u>          ✓          </u> |
| C. | Is there a person, by title, responsible for the shelf life program?                           | <u>          ✓          </u> |
| D. | Does each shelf life item have the shelf life expiration limit displayed?                      | <u>          ✓          </u> |
| E. | Is there an adequate system to ensure no item will be issued or used past its expiration date? | <u>          ✓          </u> |

**5. Measurement and Test Equipment**

Yes      No      N/A

- |    |                                                                                                                                     |          |  |  |
|----|-------------------------------------------------------------------------------------------------------------------------------------|----------|--|--|
| A. | Is there a person, by title, responsible for the tool calibration program?                                                          | <u>✓</u> |  |  |
| B. | Are calibrated tools and equipment clearly marked to show the calibration status?                                                   | <u>✓</u> |  |  |
| C. | Are standards used to perform calibrations traceable to NIST?                                                                       | <u>✓</u> |  |  |
| D. | Is there a system to identify each tool in the program, its calibration frequency, and calibration due date?                        | <u>✓</u> |  |  |
| E. | Is there a procedure for controlling and/or preventing out-of-service and due-for-calibration tools and equipment from being used?? | <u>✓</u> |  |  |
| F. | Is there a procedure to control the calibration of personal tools?                                                                  | <u>✓</u> |  |  |
| G. | Do calibration records:                                                                                                             |          |  |  |
| 1. | Show date calibrated?                                                                                                               | <u>✓</u> |  |  |
| 2. | Identify individual or vendor who performed the calibration?                                                                        | <u>✓</u> |  |  |
| 3. | Show next calibration due date?                                                                                                     | <u>✓</u> |  |  |
| 4. | Contain a calibration certificate for each item calibrated by an outside source?                                                    | <u>✓</u> |  |  |
| 5. | Record details of adjustments or repairs?                                                                                           | <u>✓</u> |  |  |
| 6. | Show the P/N and S/N of the standard(s) used to perform the calibration?                                                            | <u>✓</u> |  |  |

**6. Training**

- |    |                                                                                                                                          |          |  |  |
|----|------------------------------------------------------------------------------------------------------------------------------------------|----------|--|--|
| A. | Is there a documented training program?                                                                                                  | <u>✓</u> |  |  |
| B. | Does it include all mechanics, inspectors and technical supervisors?                                                                     | <u>✓</u> |  |  |
| C. | Is formal and OJT training documented?                                                                                                   | <u>✓</u> |  |  |
| D. | Are training records for mechanics, inspectors, and technical supervisors retained for two years after an individual leaves the company? | <u>✓</u> |  |  |
| E. | Do training records include both initial and recurrent training?                                                                         | <u>✓</u> |  |  |
| F. | Are all "hazmat employees" trained as required by Title 49 CFR, Part 172, Subpart H?                                                     | <u>✓</u> |  |  |

**7. Housing and Facilities**

- |    |                                                                                                                      |          |  |  |
|----|----------------------------------------------------------------------------------------------------------------------|----------|--|--|
| A. | Is the facility of adequate size to house all necessary tooling, equipment, material, and parts to perform the work? | <u>✓</u> |  |  |
| B. | Does the housing adequately protect parts, materials, and customer units from damage, theft, and contamination?      | <u>✓</u> |  |  |
| C. | Is the environment appropriate to protect workers so the quality of workmanship is not impaired?                     | <u>✓</u> |  |  |
| D. | Are storage areas separate from work areas?                                                                          | <u>✓</u> |  |  |
| E. | Is the work area, including supervisors' offices, clean?                                                             | <u>✓</u> |  |  |
| F. | Are ventilation, lighting, temperature, and humidity control adequate throughout the facility?                       | <u>✓</u> |  |  |

**8. Safety / Security/ Fire Protection**

- |    |                                                                                |          |  |  |
|----|--------------------------------------------------------------------------------|----------|--|--|
| A. | Is there adequate security for customer parts in Duncan Aviation's possession? | <u>✓</u> |  |  |
| B. | Is the security reviewed periodically by management or an outside vendor?      | <u>✓</u> |  |  |
| C. | Are fire protection devices inspected periodically?                            | <u>✓</u> |  |  |
| D. | Are fire stations identified and extinguishers in serviceable condition?       | <u>✓</u> |  |  |
| E. | Are fire lanes, doors, and fire extinguishers clear of obstructions?           | <u>✓</u> |  |  |
| F. | Are safety guards in place on power equipment?                                 | <u>✓</u> |  |  |
| G. | Are shop operations conducted in a safe manner and environment?                | <u>✓</u> |  |  |

**9. Material Control, Purchasing, Shipping & Receiving**

Yes No N/A

- |    |                                                                                                                                                                        |          |  |  |
|----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|--|--|
| A. | Are parts and materials properly identified and stored?                                                                                                                | <u>✓</u> |  |  |
| B. | Are damaged materials or materials whose qualities are questionable properly identified and segregated to preclude their inadvertent use?                              | <u>✓</u> |  |  |
| C. | Are parts and components adequately protected against the environment and damage?                                                                                      | <u>✓</u> |  |  |
| D. | Are flammable, toxic, or volatile materials properly identified and stored?                                                                                            | <u>✓</u> |  |  |
| E. | Are sensitive parts and components (oxygen parts, O-rings, electrostatic sensitive devices, etc.) packaged, identified and stored to prevent damage and contamination? | <u>✓</u> |  |  |
| F. | Are materials clearly identified with appropriate information to show traceability to the original manufacturing source?                                               | <u>✓</u> |  |  |
| G. | Are records of inspection and testing maintained?                                                                                                                      | <u>✓</u> |  |  |
| H. | Is there a visual inspection of all parts/components being shipped?                                                                                                    | <u>✓</u> |  |  |
| I. | Are components shipped in appropriate shipping containers?                                                                                                             | <u>✓</u> |  |  |
| J. | Is shipping documentation verified to be correct?                                                                                                                      | <u>✓</u> |  |  |

**10. Work Processing**

- |    |                                                                                                                     |          |  |  |
|----|---------------------------------------------------------------------------------------------------------------------|----------|--|--|
| A. | Is adequate tooling and test equipment available to perform the work?                                               | <u>✓</u> |  |  |
| B. | If the equipment used differs from the OEM specified equipment:                                                     |          |  |  |
| 1. | Is it properly certified as equivalent?                                                                             | <u>✓</u> |  |  |
| 2. | Are there operating and maintenance manuals?                                                                        | <u>✓</u> |  |  |
| 3. | Is maintenance and servicing performed per the manual?                                                              | <u>✓</u> |  |  |
| 4. | Is maintenance and servicing recorded?                                                                              | <u>✓</u> |  |  |
| 5. | Is the equipment included in the calibration program?                                                               | <u>✓</u> |  |  |
| 6. | Has the equipment been accepted by the FAA?                                                                         | <u>✓</u> |  |  |
| C. | Are mechanics, inspectors and supervisors properly trained, authorized, and certificated for the work they perform? | <u>✓</u> |  |  |
| D. | Are adequate tool and current manuals available to the mechanics?                                                   | <u>✓</u> |  |  |
| E. | Are customers' parts properly identified throughout the maintenance actions and while in storage?                   | <u>✓</u> |  |  |
| F. | Is there a work turnover procedure in place?                                                                        | <u>✓</u> |  |  |
| G. | Are controls maintained throughout the maintenance process to ensure conformity with applicable standards?          | <u>✓</u> |  |  |
| H. | Are serviceable components segregated from unserviceable?                                                           | <u>✓</u> |  |  |
| I. | Are smoking, eating, and drinking forbidden in the work areas, as appropriate?                                      | <u>✓</u> |  |  |
| J. | Are fluid dispensing cans and servicing units properly identified?                                                  | <u>✓</u> |  |  |
| K. | Are work records complete, in order, and legible?                                                                   | <u>✓</u> |  |  |
| L. | Are all test and inspection records in the work package?                                                            | <u>✓</u> |  |  |
| M. | Does the record keeping system and retention time meet the FAA requirement of two years?                            | <u>✓</u> |  |  |
| N. | Do the maintenance release documents meet customer and FAA requirements?                                            | <u>✓</u> |  |  |

**11. Scrapped Parts**

- |    |                                                                                                                                   |          |  |  |
|----|-----------------------------------------------------------------------------------------------------------------------------------|----------|--|--|
| A. | Is there a documented procedure in place to ensure scrapped parts are either returned to the customer or mutilated beyond repair? | <u>✓</u> |  |  |
| B. | Is there a person, by title, responsible for the scrapped parts program?                                                          | <u>✓</u> |  |  |
| C. | Is a record of scrapped life limited parts retained for at least two (2) years?                                                   | <u>✓</u> |  |  |
| D. | Does the record show the P/N and S/N of the part and the date scrapped?                                                           | <u>✓</u> |  |  |

Documents listed below are available at <http://www.duncanaviation.aero/resources/certificates>.

- FAA Air Agency Certificate
- Repair Station Operations Specifications
- Anti-Drug Plan Approval, Page A449 of Ops Specs replaces Plan Identification #B-CE-00006-S
- EASA Certificate
- Other International CAA Certificates

*Pete Mills*

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Pete Mills, Chief Inspector, BTL  
Sept 6, 2017