Self-Audit Checklist

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.

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](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: 615+
- Employees Worldwide: 2400+
- Appr. Facility Size: 370,000 Sq. Ft.
- Security System: ID Badges
- Fire Protection System: Sprinklers
- Company Established: 1956

**Key Management Positions:**
- Chairman: Todd Duncan
- President: Aaron Hilkemann
- Exec. Vice President/COO & Accountable Manager: Andy Richards
- Director, Aircraft Modifications: Nate Darlington
- Director, Aircraft Maintenance: Travis Grimsley
- Manager, Regulatory Compliance: Mike Mertens
- Chief Inspector: Todd Wright*

*Reports to the Manager, Regulatory Compliance, but can directly contact the Chairman with airworthiness issues.
1. Quality Control System*

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

   A. Is there an established Quality Control Program?  
      ✔

   B. Is the complete Quality Program described in a current Quality Manual?  
      ✔

   C. Does the manual contain all information required by 14 CFR Part 145.209 and 145.211?  
      ✔

   D. Is the manual readily available to all employees?  
      ✔

   E. Does the Quality organization have clear authority to withhold items that do not meet acceptable quality standards?  
      ✔

   F. Is there an internal audit and surveillance program?  
      ✔

   G. Does the internal audit program ensure compliance with customer specifications?  
      ✔

   H. Does the audit program ensure appropriate corrective action?  
      ✔

   I. Are files of audit findings and corrective actions maintained for at least three years?  
      ✔

   J. Is there a list of subcontracted maintenance actions and approved vendors for those functions?  
      ✔

   K. Is there a procedure for reporting defects or un-airworthy parts or conditions to customers and the FAA?  
      ✔

2. Inspection

   A. Is there proper separation of maintenance and inspection responsibilities?  
      ✔

   B. Are personnel authorized to inspect the work fully qualified by virtue of training and experience?  
      ✔

   C. Is there a list of inspections they are authorized to perform?  
      ✔

   D. Is there a roster of:
      1. Supervisory and management personnel?  
         ✔
      2. Inspection and Return to Service personnel?  
         ✔

   E. Is there an employment summary on file for all personnel listed on the roster?  
      ✔

   F. Is there a documented inspection stamp control policy?  
      ✔

   G. Is there a receiving inspection procedure?  
      ✔

   H. Is there a procedure to control customer supplied parts?  
      ✔

   I. Is there a procedure to maintain traceability and certification on all parts, raw materials, and hardware?  
      ✔

3. Technical Data

   A. Is the appropriate, current technical data readily available to personnel that need it?  
      ✔

   B. Is there a procedure to control revisions and ensure technical data is current?  
      ✔

   C. Are records of manual revisions on hand?  
      ✔

   D. Is there a system in place to control working copies of manuals to ensure they are revised with the masters?  
      ✔

   E. Is technical data stored in a manner to protect it from dirt and damage?  
      ✔

4. Shelf Life Program

   A. Is there a documented shelf life program?  
      ✔

   B. Does the program list parts and materials that have shelf life limits?  
      ✔

   C. Is there a person, by title, responsible for the shelf life program?  
      ✔

   D. Does each shelf life item have the shelf life expiration limit displayed?  
      ✔

   E. Is there an adequate system to ensure no item will be issued or used past its expiration date?  
      ✔
### 5. Measurement and Test Equipment

<table>
<thead>
<tr>
<th></th>
<th></th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
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</thead>
<tbody>
<tr>
<td>A.</td>
<td>Is there a person, by title, responsible for the tool calibration program?</td>
<td>✓</td>
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<tr>
<td>B.</td>
<td>Are calibrated tools and equipment clearly marked to show the calibration status?</td>
<td>✓</td>
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<tr>
<td>C.</td>
<td>Are standards used to perform calibrations traceable to NIST?</td>
<td>✓</td>
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<tr>
<td>D.</td>
<td>Is there a system to identify each tool in the program, its calibration frequency, and calibration due date?</td>
<td>✓</td>
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<tr>
<td>E.</td>
<td>Is there a procedure for controlling and/or preventing out-of-service and due-for-calibration tools and equipment from being used?</td>
<td>✓</td>
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<tr>
<td>F.</td>
<td>Is there a procedure to control the calibration of personal tools?</td>
<td>✓</td>
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<tr>
<td>G.</td>
<td>Do calibration records:</td>
<td></td>
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<tr>
<td></td>
<td>1. Show date calibrated?</td>
<td>✓</td>
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<td></td>
<td>2. Identify individual or vendor who performed the calibration?</td>
<td>✓</td>
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<td>3. Show next calibration due date?</td>
<td>✓</td>
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<td></td>
<td>4. Contain a calibration certificate for each item calibrated by an outside source?</td>
<td>✓</td>
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<td></td>
<td>5. Record details of adjustments or repairs?</td>
<td>✓</td>
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<tr>
<td></td>
<td>6. Show the P/N and S/N of the standard(s) used to perform the calibration?</td>
<td>✓</td>
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</table>

### 6. Training

<table>
<thead>
<tr>
<th></th>
<th></th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
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</thead>
<tbody>
<tr>
<td>A.</td>
<td>Is there a documented training program?</td>
<td>✓</td>
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<tr>
<td>B.</td>
<td>Does it include all mechanics, inspectors and technical supervisors?</td>
<td>✓</td>
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<tr>
<td>C.</td>
<td>Is formal and OJT training documented?</td>
<td>✓</td>
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<tr>
<td>D.</td>
<td>Are training records for mechanics, inspectors, and technical supervisors retained for two years after an individual leaves the company?</td>
<td>✓</td>
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<tr>
<td>E.</td>
<td>Do training records include both initial and recurrent training?</td>
<td>✓</td>
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<tr>
<td>F.</td>
<td>Are all “hazmat employees” trained as required by Title 49 CFR, Part 172, Subpart H?</td>
<td>✓</td>
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</table>

### 7. Housing and Facilities

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<tr>
<th></th>
<th></th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
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</thead>
<tbody>
<tr>
<td>A.</td>
<td>Is the facility of adequate size to house all necessary tooling, equipment, material, and parts to perform the work?</td>
<td>✓</td>
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<tr>
<td>B.</td>
<td>Does the housing adequately protect parts, materials, and customer units from damage, theft, and contamination?</td>
<td>✓</td>
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<tr>
<td>C.</td>
<td>Is the environment appropriate to protect workers so the quality of workmanship is not impaired?</td>
<td>✓</td>
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<tr>
<td>D.</td>
<td>Are storage areas separate from work areas?</td>
<td>✓</td>
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<tr>
<td>E.</td>
<td>Is the work area, including supervisors’ offices, clean?</td>
<td>✓</td>
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<td>F.</td>
<td>Are ventilation, lighting, temperature, and humidity control adequate throughout the facility?</td>
<td>✓</td>
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</table>

### 8. Safety / Security/ Fire Protection

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</thead>
<tbody>
<tr>
<td>A.</td>
<td>Is there adequate security for customer parts in Duncan Aviation’s possession?</td>
<td>✓</td>
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<tr>
<td>B.</td>
<td>Is the security reviewed periodically by management or an outside vendor?</td>
<td>✓</td>
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<tr>
<td>C.</td>
<td>Are fire protection devices inspected periodically?</td>
<td>✓</td>
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<tr>
<td>D.</td>
<td>Are fire stations identified and extinguishers in serviceable condition?</td>
<td>✓</td>
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<tr>
<td>E.</td>
<td>Are fire lanes, doors, and fire extinguishers clear of obstructions?</td>
<td>✓</td>
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<td>F.</td>
<td>Are safety guards in place on power equipment?</td>
<td>✓</td>
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<tr>
<td>G.</td>
<td>Are shop operations conducted in a safe manner and environment?</td>
<td>✓</td>
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<tr>
<td>H.</td>
<td>Has a Fatigue Management program been implemented?</td>
<td>✓</td>
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</tbody>
</table>
8. Quality System
A. Do you have a documented system for the quality assurance of your products?
   - Yes
   - No
   - N/A

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

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

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?
   - Yes
B. Is there a person, by title, responsible for the scrapped parts program?
   - Yes
C. Is a record of scrapped life limited parts retained for at least two (2) years?
   - Yes
D. Does the record show the P/N and S/N of the part and the date scrapped?
   - Yes
Documents listed below are available at [http://www.duncanaviation.aero/resources/certificates](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

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Todd Wright, Chief Inspector, BTL
January 06, 2020