

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:

Main Address: 3701 Aviation Road
Lincoln Airport
Lincoln, NE 68524

See page 2 for individual satellite information

Federal Tax I.D. Number: 47-0461109

Dun & Bradstreet Number: 62-613-6238

FAA AMPP Number: B-CE-00006-S

Employees Worldwide: 2100+

Company Established: 1956

Phone: (402) 475-2611

FAX: (402) 475-5541

Internet: <http://www.DuncanAviation.aero>

Key Management Positions:

Chairman:

Todd Duncan

President:

Aaron Hilkemann

Vice President, Avionics, Accessories & Satellites:

Mark Cote

Accountable Manager

Matt Nelson

Manager, Regulatory Compliance:

Mike Mertens

Chief Inspector:

Jeff King*

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

Facility	Address	Repair Station #	Phone	Facility Size (Sq. Ft.)
Atlanta	3955 Aero Drive, Bldg 8R-7, Ste A Atlanta, Georgia 30336	DWUR777K	404.227.9766	1100
Austin	4309 Emma Browning Avenue Hgr 6 Austin, TX 78719	JQ0R194F	512.530.7050	400
Bedford	380 Hanscom Dr. Ste W115 & W226 Bedford, MA 07130	JQ05194F	781.778.7128	740
Bridgeport	900 Great Meadow Road Stratford, Connecticut 06615	JGV3194F	203.386.0111	500
Cincinnati (Avionics)	358 Wilmer Avenue, Hangar C, Ste 121 Cincinnati, OH 45226	JGV9194F	513.873.7523	550
Dallas	8611 Lemmon Ave, Bldg R, Ste 101 Dallas, Texas 75209	JGV0194F	214.352.3468	500
Denver	7375 South Peoria St. Hgr 9 Englewood, Colorado 80112	JG7D076J	303.649.1790	2880
Ft. Lauderdale	2900 NW 59th St Ft. Lauderdale, Florida 33309	RQ4R501M	954.771.6007	27,000
Houston	8915 Randolph Houston Texas 77061	GF2R844K	713.644.0352	2600
Kansas City	701 Northwest Lou Holland Dr. Hgr 6A Kansas City, Missouri 64116	JQ02194F	816.421.1836	2075
Las Vegas	255 East Tropicana Ave, Ste 128 Las Vegas, Nevada 89169	JG0R164N	702.262.6142	1500
Portland	7777 NE Airport Way Portland, Oregon, 97218	JQ04194F	503.287.7777	1800
Sacramento	10510 Superfortress Ave. Ste D Mather, California 95655	JQ0D194F	916.231.0943	2035
Scottsdale	15290 North 78th Way, Ste D100 Scottsdale, Arizona 85280	JGV5194F	480.922.3575	1065
Seattle	7023 Perimeter Road South, Ste 110 Seattle, Washington 98108	JG7R076J	206.764.3962	3000
St. Louis	18152 Edison Avenue, Hgr 2 Ste 109/110 Chesterfield, Missouri 63005	JQ03194F	636.536.7090	1300
St. Paul	525 Eaton St. St. Paul, Minnesota 55107	DXSR467X	651.209.8430	2700
Teterboro	101 Charles A. Lindbergh Dr., Ste 306/307 Teterboro, New Jersey 07608	XJRR155L	201.288.1550	1600
Van Nuys	7943 Woodley Ave Van Nuys, California 91406	YX2R335L	818.902.9961	3800

1. Quality Control System*		Yes	No	N/A
<i>*Our Quality Assurance/Control program conforms to 14 CFR Part 145.</i>				
A.	Is there an established Quality Control Program?	<input checked="" type="checkbox"/>		
B.	Is the complete Quality Program described in a current Quality Manual?	<input checked="" type="checkbox"/>		
C.	Does the manual contain all information required by 14 CFR Part 145.209 and 145.211?	<input checked="" type="checkbox"/>		
D.	Is the manual readily available to all employees?	<input checked="" type="checkbox"/>		
E.	Is there an internal audit and surveillance program?	<input checked="" type="checkbox"/>		
F.	Does the internal audit program ensure compliance with customer specifications?	<input checked="" type="checkbox"/>		
G.	Does the audit program ensure appropriate corrective action?	<input checked="" type="checkbox"/>		
H.	Are files of audit findings and corrective actions maintained for at least three years?	<input checked="" type="checkbox"/>		
I.	Is there a list of subcontracted maintenance actions and approved vendors for those functions?	<input checked="" type="checkbox"/>		
J.	Is there a procedure for reporting defects or un-airworthy parts or conditions to customers and the FAA?	<input checked="" type="checkbox"/>		
2. Inspection				
A.	Is there proper separation of maintenance and inspection responsibilities?	<input checked="" type="checkbox"/>		
B.	Are personnel authorized to inspect the work fully qualified by virtue of training and experience?	<input checked="" type="checkbox"/>		
C.	Is there a list of inspections they are authorized to perform?	<input checked="" type="checkbox"/>		
D.	Is there a roster of:			
	1. Supervisory and management personnel?	<input checked="" type="checkbox"/>		
	2. Inspection and Return to Service personnel?	<input checked="" type="checkbox"/>		
E.	Is there an employment summary on file for all personnel listed on the roster?	<input checked="" type="checkbox"/>		
F.	Is there a documented inspection stamp control policy?	<input checked="" type="checkbox"/>		
G.	Is there a receiving inspection procedure?	<input checked="" type="checkbox"/>		
H.	Is there a procedure to control customer supplied parts?	<input checked="" type="checkbox"/>		
I.	Is there a procedure to maintain traceability and certification on all parts, raw materials, and hardware?	<input checked="" type="checkbox"/>		
3. Technical Data				
A.	Is the appropriate, current technical data readily available to personnel that need it?	<input checked="" type="checkbox"/>		
B.	Is there a procedure to control revisions and ensure technical data is current?	<input checked="" type="checkbox"/>		
C.	Are records of manual revisions on hand?	<input checked="" type="checkbox"/>		
D.	Is there a system in place to control working copies of manuals to ensure they are revised with the masters?	<input checked="" type="checkbox"/>		
E.	Is technical data stored in a manner to protect it from dirt and damage?	<input checked="" type="checkbox"/>		
4. Shelf Life Program				
A.	Is there a documented shelf life program?	<input checked="" type="checkbox"/>		
B.	Does the program list parts and materials that have shelf life limits?	<input checked="" type="checkbox"/>		
C.	Is there a person, by title, responsible for the shelf life program?	<input checked="" type="checkbox"/>		
D.	Does each shelf life item have the shelf life expiration limit displayed?	<input checked="" type="checkbox"/>		
E.	Is there an adequate system to ensure no item will be issued or used past its expiration date?	<input checked="" type="checkbox"/>		

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
- Other international CAA Certificates as applicable



Jeff King, Chief Inspector, Components/Satellites
July 31, 2018