

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) 479-4180.

Duncan Aviation, Inc. is now under one FAA Single Certificate. Additional Fixed locations are listed in section A101 under the certificate: JGVR194F

Thank you.

General: Lincoln Headquarters

Company:

Address: 3701 Aviation Road
Duncan Aviation
Lincoln Airport (LNK)
Lincoln, NE 68524
OR
PO Box 81887
Lincoln, NE 68501
Phone: 402.475.2611
FAX: 402.475.5541
Internet: <http://www.DuncanAviation.aero>

Nomenclature:

Repair Station Number: **JGVR194F**
Federal Tax I.D. Number: 47-0461109
Dun & Bradstreet Number: 62-613-6238
FAA AMPP Number: B-CE-00006-S
Number of Employees: 2900+
Main Facility Size: 918,000 Sq. Ft. (LNK)
Security System: ID Badges
Fire Protection System: Sprinklers
Company Established: 1956

*See Page 2 for individual Additional Fixed Location Information (AFLs)

Key Management Positions:

Chairman:	Todd Duncan
CEO:	Jeff Lake
President & Accountable Manager:	Mike Minchow
Exec. Vice President(s) /COO(s):	Kasey Harwick, Andy Richards
Vice President - Customer Service & AFLs:	Chad Doehring
Vice President – Part Sales & Component Services:	Mark Cote
Vice President(s) - Aircraft Services:	Travis Grimsley, Cobi Lane, Jeremy Rangel
Vice President(s) - Aircraft Modifications:	Nate Darlington, Phil Suglia
Manager, Regulatory Compliance	Mike Mertens
Chief Inspectors*:	Alex Jozsa, Daryl Braunsroth, Jeff King, Todd Wright, David Anderson, Philip Mazeika

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

Additional Fixed Location Information (AFLs):

Facility	Address	City	State	Postal Code	Facility Size Sq. Ft.
Avionics Shop	3410 West Mathis Street	Lincoln	NE	68524	36,712
Engine Shop West & DMS Bldg. 1020	5000 NW 44th Street, Suites A, B, C, D	Lincoln	NE	68524	82,944
North Goodyear Hangar	3621 NW 36th Street, Bldg. 1020	Lincoln	NE	68524	33,600
Omaha AFL	4521 NW 34th Street, Bldg. 956	Lincoln	NE	68524	104,000
Long Island AFL	3859 Doolittle Plaza Eppley Airfield	Omaha	NE	68110	500
White Plains AFL	9100 Republic Airport, Hangar 5, Suite 5	Farmingdale	NY	11735	450
Oxford AFL	2 Hangar Road	White Plains	NY	10604	200
Bedford AFL	1 Juliano Drive, Suite 2	Oxford	CT	06478	575
Teterboro AFL	380 Hanscom Drive, Suites W113A and W114B	Bedford	CT	01730	1,010
Morristown AFL	485 Industrial Ave., Building H-5, Suites 131, 137A, and 228	Teterboro	NJ	07608	2,000
Atlanta AFL	1 Airport Road, Suite 208	Morristown	NJ	07960	525
Austin AFL	3955 Aero Drive, Building 8R-7, Suite A	Atlanta	GA	30336	1,100
San Antonio AFL	4309 Emma Browning Avenue, Hangar 6	Austin	TX	78719	400
Dallas AFL	9023 Wetmore Road, Suites 105 & 106	San Antonio	TX	78216	490
Fort Worth AFL	8611 Lemmon Avenue, Building M, Suite 2	Dallas	TX	75209	2,400
Houston Hobby AFL	4200 N. Main St., #140	Fort Worth	TX	76106	1,900
Houston Bush AFL	9011 Randolph Street, Suite B	Houston	TX	77061	17,900
Denver AFL	17755 John F. Kennedy Blvd, Suite 120	Houston	TX	77032	200
Englewood AFL	12850 East Control Tower Road	Englewood	CO	80112	5,470
Fort Lauderdale AFL	13400 East Control Tower Road, Hangar 63-2	Englewood	CO	80112	10,000
Kansas City AFL	2900 NW 59th Street	Ft. Lauderdale	FL	33309	27,000
Las Vegas AFL	701 Northwest Lou Holland Drive, Hangar 6A	Kansas City	MO	64116	9,700
Manassas AFL	255 East Tropicana Avenue, Suite 128	Las Vegas	NV	89169	1,500
Nashville AFL	10500 Wakeman Drive	Manassas	VA	20110	570
Portland AFL	603 Hangar Lane, Hangar 18A	Nashville	TN	37217	1,419
Sacramento AFL	7777 NE Airport Way	Portland	OR	97218	1,800
Hayward AFL	10440 Truemper Way	Mather	CA	95655	1,800
Van Nuys AFL	2051 1 SkyWest Drive, Suite 120	Hayward	CA	94541	250
Scottsdale AFL	7943 Woodley Avenue	Van Nuys	CA	91406	3,800
Seattle AFL	15290 North 78th Way, Suite D100	Scottsdale	AZ	85260	1,156
St Louis AFL	8014 E McClain Drive, Suite 135 (Battery Shop)	Seattle	WA	98108	3,600
St. Paul AFL	7023 Perimeter Road South, Suite 110	Chesterfield	MO	63005	1,800
Provo Main Facility	18152 Edison Avenue, Hangar 2, Suite 170	St. Paul	MN	55107	2,700
Kalamazoo Facility	525 Eaton Street	Provo	UT	84601	313,000
Battle Creek Main Facility	262 South 3800 West	Kalamazoo	MI	49002	60,000
Battle Creek Hangar H	5605 Portage Road, AZO Facility	Battle Creek	MI	49015	477,000
Battle Creek Hangar J	15745 South Airport Road, Main Facility	Battle Creek	MI	49015	106,984
Battle Creek Hangar K	15829 South Airport Road, Hangar H, Annex, Bldg. 4	Battle Creek	MI	49015	8,700
	16023 South Airport Road, Hangar J	Battle Creek	MI	49015	31,900
	16101 South Airport Road, Hangar K	Battle Creek	MI	49015	

1. Quality Control System*

Yes

No

N/A

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

- | | | |
|----|---|----------|
| 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. | Does the Quality organization have clear authority to withhold items that do not meet acceptable quality standards? | <u>✓</u> |
| F. | Is there an internal audit and surveillance program? | <u>✓</u> |
| G. | Does the internal audit program ensure compliance with customer specifications? | <u>✓</u> |
| H. | Does the audit program ensure appropriate corrective action? | <u>✓</u> |
| I. | Are files of audit findings and corrective actions maintained for at least three years? | <u>✓</u> |
| J. | Is there a list of subcontracted maintenance actions and approved vendors for those functions? | <u>✓</u> |
| K. | 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? | |
| | 1. Supervisory and management personnel? | <u>✓</u> |
| | 2. Inspection and Return to Service personnel? | <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> |

		Yes	No	N/A
5. Measurement and Test Equipment				
A.	Is there a person, by title, responsible for the tool calibration program?	✓		
B.	Are calibrated tools and equipment clearly marked to show the calibration status?	✓		
C.	Are standards used to perform calibrations traceable to NIST?	✓		
D.	Is there a system to identify each tool in the program, its calibration frequency, and calibration due date?	✓		
E.	Is there a procedure for controlling and/or preventing out-of-service and due-for-calibration tools and equipment from being used??	✓		
F.	Is there a procedure to control the calibration of personal tools?	✓		
G.	Do calibration records:			
1.	Show date calibrated?	✓		
2.	Identify individual or vendor who performed the calibration?	✓		
3.	Show next calibration due date?	✓		
4.	Contain a calibration certificate for each item calibrated by an outside source?	✓		
5.	Record details of adjustments or repairs?	✓		
6.	Show the P/N and S/N of the standard(s) used to perform the calibration?	✓		
6. Training				
A.	Is there a documented training program?	✓		
B.	Does it include all mechanics, inspectors and technical supervisors?	✓		
C.	Is formal and OJT training documented?	✓		
D.	Are training records for mechanics, inspectors, and technical supervisors retained for two years after an individual leaves the company?	✓		
E.	Do training records include both initial and recurrent training?	✓		
F.	Are all "hazmat employees" trained as required by Title 49 CFR, Part 172, Subpart H?	✓		
7. Housing and Facilities				
A.	Is the facility of adequate size to house all necessary tooling, equipment, material, and parts to perform the work?	✓		
B.	Does the housing adequately protect parts, materials, and customer units from damage, theft, and contamination?	✓		
C.	Is the environment appropriate to protect workers so the quality of workmanship is not impaired?	✓		
D.	Are storage areas separate from work areas?	✓		
E.	Is the work area, including supervisors' offices, clean?	✓		
F.	Are ventilation, lighting, temperature, and humidity control adequate throughout the facility?	✓		
8. Safety / Security/ Fire Protection				
A.	Is there adequate security for customer parts in Duncan Aviation's possession?	✓		
B.	Is the security reviewed periodically by management or an outside vendor?	✓		
C.	Are fire protection devices inspected periodically?	✓		
D.	Are fire stations identified and extinguishers in serviceable condition?	✓		
E.	Are fire lanes, doors, and fire extinguishers clear of obstructions?	✓		
F.	Are safety guards in place on power equipment?	✓		
G.	Are shop operations conducted in a safe manner and environment?	✓		
H.	Has a Fatigue Management program been implemented?	✓		

9. Material Control, Purchasing, Shipping & Receiving		Yes	No	N/A
A.	Are parts and materials properly identified and stored?	✓		
B.	Are damaged materials or materials whose qualities are questionable properly identified and segregated to preclude their inadvertent use?	✓		
C.	Are parts and components adequately protected against the environment and damage?	✓		
D.	Are flammable, toxic, or volatile materials properly identified and stored?	✓		
E.	Are sensitive parts and components (oxygen parts, O-rings, electrostatic sensitive devices, etc.) packaged, identified and stored to prevent damage and contamination?	✓		
F.	Are materials clearly identified with appropriate information to show traceability to the original manufacturing source?	✓		
G.	Are records of inspection and testing maintained?	✓		
H.	Is there a visual inspection of all parts/components being shipped?	✓		
I.	Are components shipped in appropriate shipping containers?	✓		
J.	Is shipping documentation verified to be correct?	✓		
10. Work Processing				
A.	Is adequate tooling and test equipment available to perform the work?	✓		
B.	If the equipment used differs from the OEM specified equipment:			
1.	Is it properly certified as equivalent?	✓		
2.	Are there operating and maintenance manuals?	✓		
3.	Is maintenance and servicing performed per the manual?	✓		
4.	Is maintenance and servicing recorded?	✓		
5.	Is the equipment included in the calibration program?	✓		
6.	Has the equipment been accepted by the FAA?	✓		
C.	Are mechanics, inspectors and supervisors properly trained, authorized, and certificated for the work they perform?	✓		
D.	Are adequate tool and current manuals available to the mechanics?	✓		
E.	Are customers' parts properly identified throughout the maintenance actions and while in storage?	✓		
F.	Is there a work turnover procedure in place?	✓		
G.	Are controls maintained throughout the maintenance process to ensure conformity with applicable standards?	✓		
H.	Are serviceable components segregated from unserviceable?	✓		
I.	Are smoking, eating, and drinking forbidden in the work areas, as appropriate?	✓		
J.	Are fluid dispensing cans and servicing units properly identified?	✓		
K.	Are work records complete, in order, and legible?	✓		
L.	Are all test and inspection records in the work package?	✓		
M.	Does the record keeping system and retention time meet the FAA requirement of two years?	✓		
N.	Do the maintenance release documents meet customer and FAA requirements?	✓		
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?	✓		
B.	Is there a person, by title, responsible for the scrapped parts program?	✓		
C.	Is a record of scrapped life limited parts retained for at least two (2) years?	✓		
D.	Does the record show the P/N and S/N of the part and the date scrapped?	✓		

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



Mike Brown, Enterprise Manager, Safety Management Systems
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