AVISTRATA
AVIATION BUSINESS PLATFORM

Compliance Programs: Step by Step

Drug and alcohol testing, CASS, the Pilot Records Database, special authorizations, hazardous materials, DOT registrations and export airworthiness approvals

November 10, 2026 · Avistrata 2.2

PREPARED FOR

Quality managers, the drug and alcohol program manager (DER), directors of operations and maintenance, dispatch, and production

Website: Quality → Certificates and Programs · Production → Exports · Flight Ops → Releases

FROM

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How to use this guide

One step per section: where to click and what the screen looks like. It follows the Demo organization's fictional sample data: **Demo Aviation (sample)**, a Part 135 operator with two aircraft, and its sample program documents (docs/sample-programs).

- Every page opens on **what needs doing**: what is late, due soon or missing, worked out from the records on the page. Work down that list.
- Click any row to open it; **+** buttons add. Dates that the rules set (30-day reports, 24-month training, monitoring intervals) are **worked out for you** and shown with how many days are left.
- These pages are on the **website**. A release refused by the special authorizations check is also refused on the phones.
- Screens are from Avistrata 2.2 with sample data. The organization, people, aircraft and documents are invented.

Set up — Step 1: roles
Drug and alcohol — Steps 2–4
CASS — Step 5
PRD — Step 6
Authorizations — Steps 7–8
Hazmat · DOT — Steps 9–10
Exports — Step 11

Who does what

Who	Does
Organization admin	Gives the quality roles (step 1). Admins can see and change everything on these pages.
Drug and alcohol program manager (DER)	The only role, besides admins, that can see the drug and alcohol pages and the drug and alcohol PRD reports. Makes the random draws and records the tests.
Quality manager	Keeps CASS, the PRD, special authorizations, hazmat and DOT registrations. Cannot see drug and alcohol records.
Dispatch / pilots	Tick the special authorizations a flight needs on the release; see the warnings (step 8).
8130-3 signatory, production or quality manager	Keep the exports in Production (step 11).
Everyone in the organization	Can read CASS, special authorizations, hazmat, DOT registrations and exports.

1 Give the roles ORGANIZATION ADMIN · ONCE

1. Open **Quality → Settings**. In the roles list, add the people who keep the programs as **Quality manager**.
2. Add your designated employer representative as **Drug and alcohol program manager (DER)**. Keep this to the people who need it: test records are confidential.
3. For exports, open **Production → Settings** and give **8130-3 signatory** or **Quality manager** there.

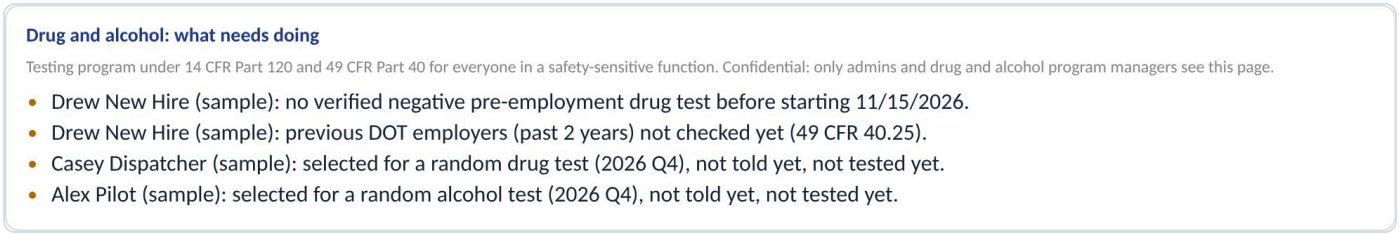
4. The new pages are in the Quality side menu: **Certificates** has Part 119 certificate, **Special authorizations** and **DOT registrations**; the new **Programs** group has **Drug and alcohol**, **Hazardous materials**, **CASS** and **Pilot Records Database**.

> **TIP** Someone without the DER role who opens Drug and alcohol sees only a short note saying the records are confidential. The database refuses the records too, not just the screen.

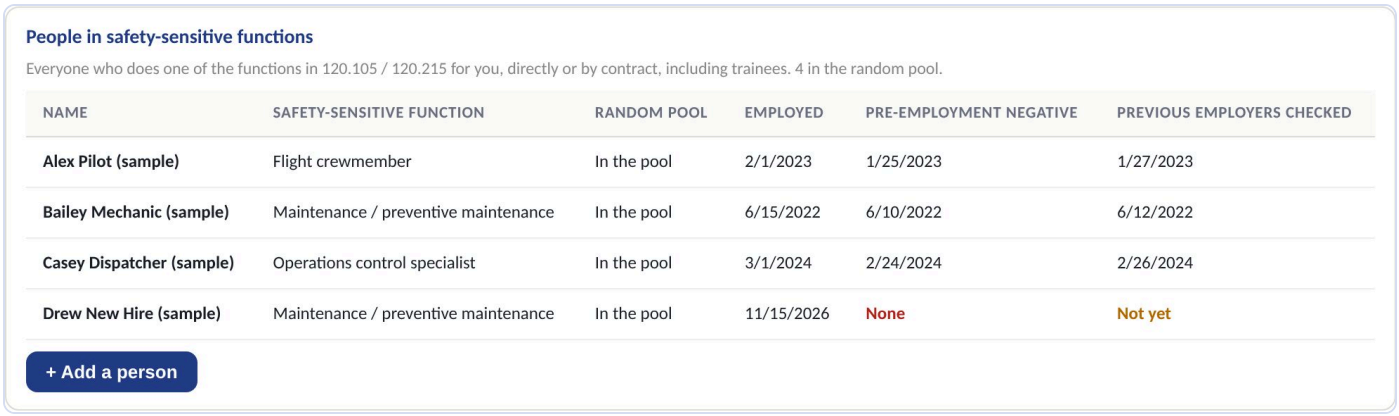
2 Drug and alcohol: the program and the people DER

Quality → Drug and alcohol. The testing program under 14 CFR Part 120 and 49 CFR Part 40.

1. **Program → Enter the program:** employer type, FAA registration / OpSpec A449, the DER, MRO, SAP, collection site and consortium, the random rates (2026 FAA minimums: **25% drug, 10% alcohol**) and how often you draw. Attach the program document.
2. **+ Add a person** for everyone in a safety-sensitive function (flight crew, maintenance, dispatch ...), employees and contractors. Pick them from Avistrata to fill the name and email.
3. Enter the date of their **verified negative pre-employment drug test** and when **previous DOT employers** were checked (49 CFR 40.25). Someone starting without them shows in red at the top.
4. When someone leaves, give the date they left instead of deleting them: the records must be kept.



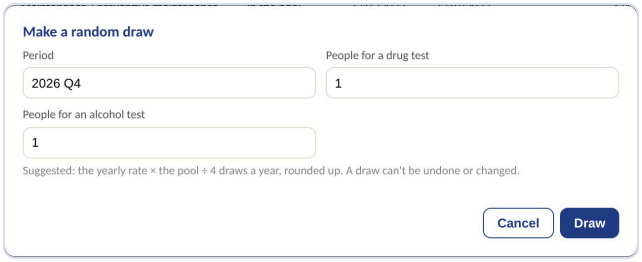
What needs doing: a new hire without a pre-employment result, previous employers not checked, and people drawn but not yet tested.



People in safety-sensitive functions and the random pool.

3 Make the random draw DER · EACH PERIOD

1. Under **Random draws**, click **Make a random draw**. The period and the numbers are suggested: the yearly rate × the pool ÷ draws per year, rounded up.
2. Click **Draw**. The database picks the people at random; nobody can choose who is picked, and a draw can't be changed afterwards. Drug and alcohol lists are drawn separately.
3. Tell each person only just before they go for the test. Open their row to record **when they were told**, then **+ Add the test** to link the result. If someone couldn't be tested (on leave, left), say why.



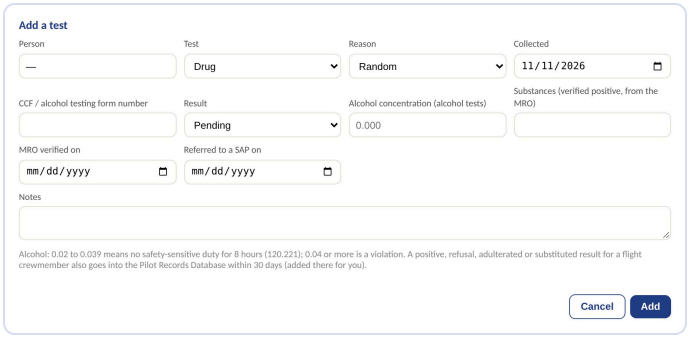
Make a random draw.



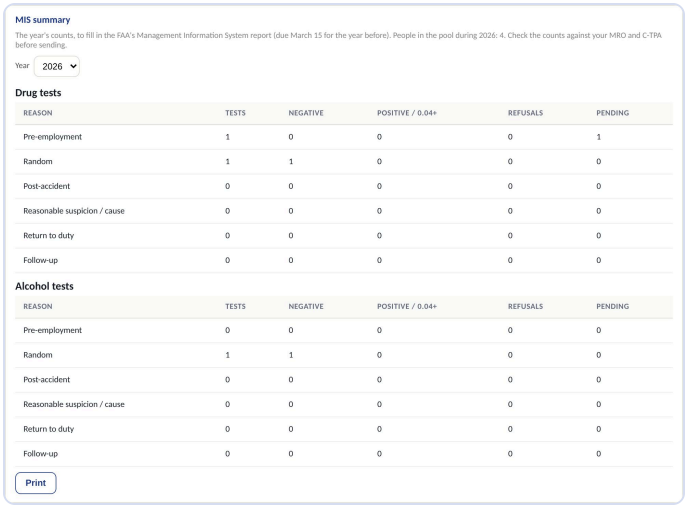
The draw and who still needs testing.

4 Record tests and print the MIS summary DER

1. **Tests → + Add a test:** the person, drug or alcohol, the reason (pre-employment, random, post-accident, reasonable suspicion, return to duty, follow-up), collected date, CCF number, result and MRO verification.
2. A positive, refusal, adulterated or substituted result (or alcohol 0.04 or more) shows at the top until a **SAP referral** is recorded. For a flight crewmember it also adds a **Pilot Records Database** report, due in 30 days (step 6).
3. **MIS summary:** pick the year for the counts by reason and result, and **Print**. The MIS report is due to the FAA by **March 15**; from January to March the page reminds you.
4. The page also tracks the random tests done this year against the minimum and warns when you are behind.



Add a test.

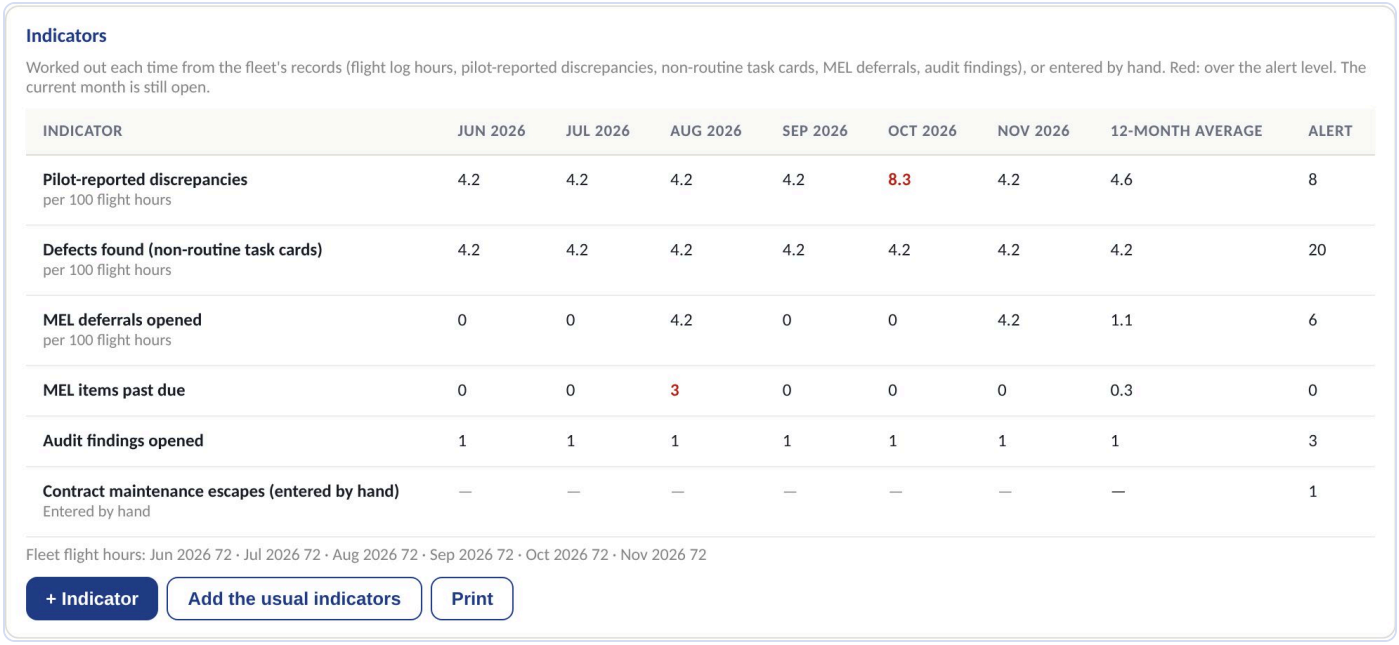


MIS summary for the year.

5 CASS: watch, analyze, correct, follow up QUALITY MANAGER · MONTHLY

Quality → CASS. The continuing analysis and surveillance system for 121.373 / 135.431.

1. **Program → Enter the program:** the rule, the owner, the manual reference and how often you review (monthly by default). Attach the program document.
2. **Add the usual indicators** adds five that Avistrata works out from your own records each month: pilot-reported discrepancies, defects found on non-routine task cards and MEL deferrals (each per 100 flight hours), MEL items past due, and audit findings. Give each an **alert level**.
3. Add your own with **+ Indicator → Entered by hand** (for example contract maintenance escapes) and type the monthly values in it.
4. A value over its alert level shows in **red**, and at the top until a corrective action is linked to it. Record each **review**: who took part, what the data showed, what was decided.
5. **+ Corrective action:** owner and due date. When it's done, a follow-up date is set (60 days) to check that it worked; close it as effective or not effective.



Indicators

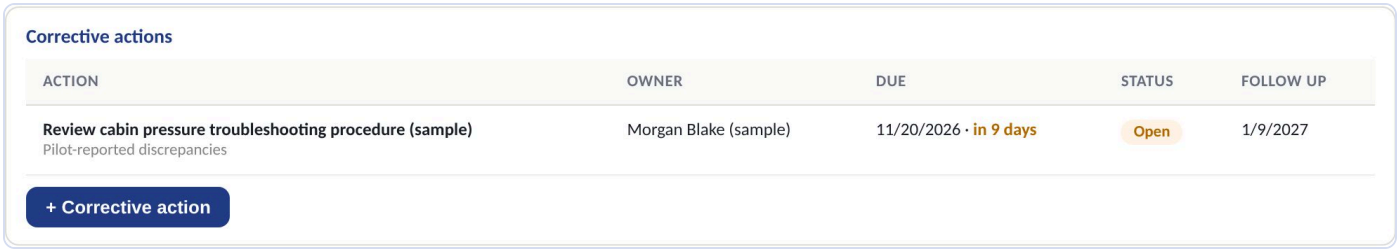
Worked out each time from the fleet's records (flight log hours, pilot-reported discrepancies, non-routine task cards, MEL deferrals, audit findings), or entered by hand. Red: over the alert level. The current month is still open.

INDICATOR	JUN 2026	JUL 2026	AUG 2026	SEP 2026	OCT 2026	NOV 2026	12-MONTH AVERAGE	ALERT
Pilot-reported discrepancies per 100 flight hours	4.2	4.2	4.2	4.2	8.3	4.2	4.6	8
Defects found (non-routine task cards) per 100 flight hours	4.2	4.2	4.2	4.2	4.2	4.2	4.2	20
MEL deferrals opened per 100 flight hours	0	0	4.2	0	0	4.2	1.1	6
MEL items past due	0	0	3	0	0	0	0.3	0
Audit findings opened	1	1	1	1	1	1	1	3
Contract maintenance escapes (entered by hand) Entered by hand	—	—	—	—	—	—	—	1

Fleet flight hours: Jun 2026 72 · Jul 2026 72 · Aug 2026 72 · Sep 2026 72 · Oct 2026 72 · Nov 2026 72

+ Indicator | Add the usual indicators | Print

The last six months per indicator, the 12-month average and the alert level; fleet flight hours underneath.



Corrective actions

ACTION	OWNER	DUE	STATUS	FOLLOW UP
Review cabin pressure troubleshooting procedure (sample) Pilot-reported discrepancies	Morgan Blake (sample)	11/20/2026 · in 9 days	Open	1/9/2027

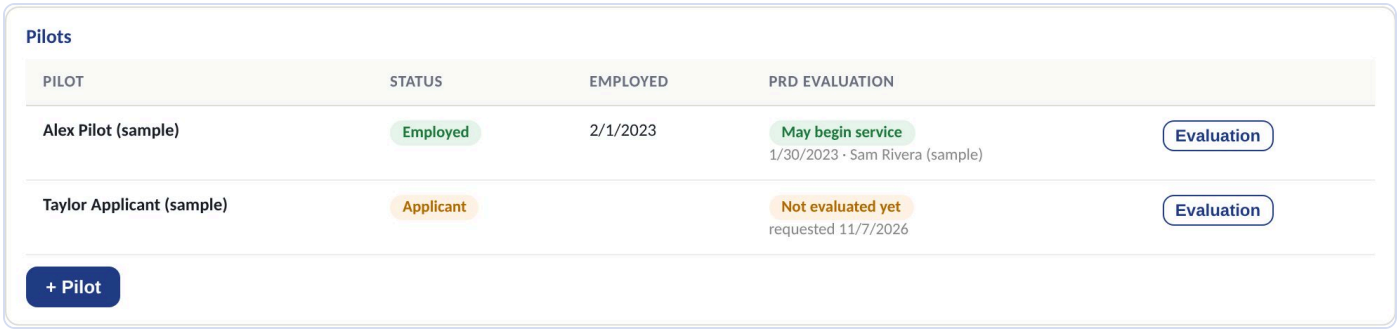
+ Corrective action

Corrective actions with their follow-up dates.

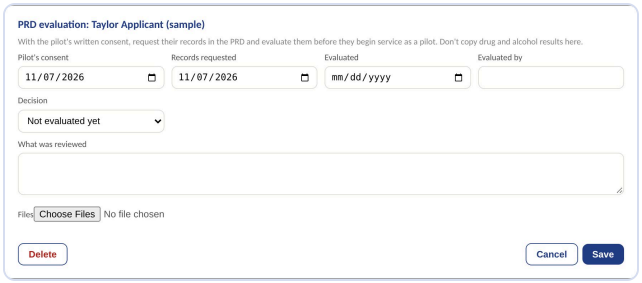
6 Pilot Records Database QUALITY MANAGER · DER

Quality → Pilot Records Database. The PRD itself is on the FAA's website; this page keeps track of what was done there and when (14 CFR Part 111).

1. **Settings:** who you report as, the PRD administrator and the responsible person.
2. **+ Pilot** for each applicant. Click **Start the evaluation**: the pilot's consent, records requested, evaluated (when and by whom) and the decision. A first day of service can't be entered until the decision is **May begin service**.
3. **Records to report:** add training, disciplinary and separation records; the due date is worked out (30 days, 10 for a correction). Mark each one reported with its reference. Marking a pilot separated adds the separation report.
4. Drug and alcohol reports come from step 4 and only the DER sees them.



Pilots and their PRD evaluation.



The evaluation.

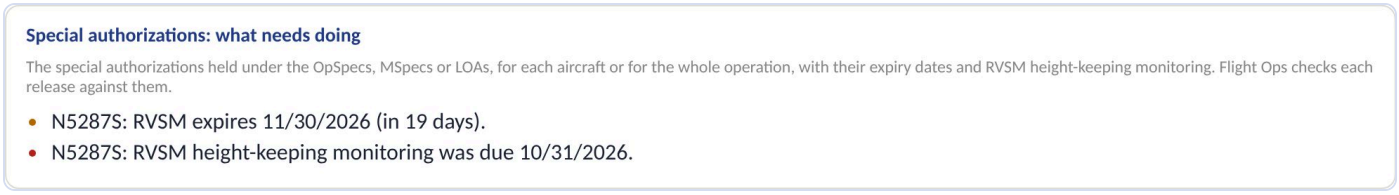


Records to report, with the days left.

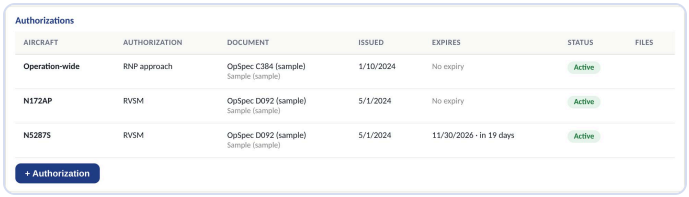
7 Special authorizations and RVSM monitoring QUALITY MANAGER

Quality → Special authorizations. RVSM, RNP 10 / 4 / 2 / 1, RNP approach, RNP AR, NAT HLA, ETOPS, data link and CAT II / III, held for an aircraft or for the whole operation.

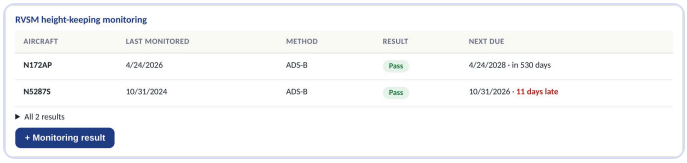
1. **+ Authorization:** the aircraft (or "the whole operation"), the authorization, the OpSpec / MSpec / LOA, issued and expiry dates, status, and the document. For ETOPS give the authorized diversion time.
2. **RVSM monitoring → + Monitoring result:** the date, method (ADS-B or a monitoring unit) and result. The next due date is worked out from the setting.
3. **Release check → Change:** warn (the default), block or off; the RVSM monitoring interval (set it to your program's requirement, default 24 months) and how many days ahead to warn about an expiry.



An RVSM authorization expiring and monitoring overdue on N5287S.



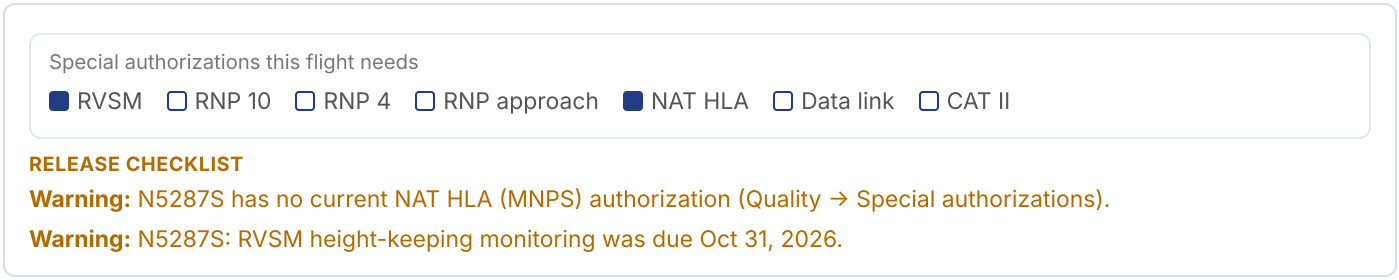
Authorizations.



RVSM height-keeping monitoring per aircraft.

8 The release check in Flight Ops DISPATCH · PILOTS

1. On a flight release, tick **Special authorizations this flight needs**. ETOPS comes from the release's ETOPS box, and RVSM is added when the route has a cruise level from FL290 to FL410 (for example N0420F350).
2. The release checklist shows a **Warning** for anything the aircraft doesn't hold, RVSM monitoring overdue, an authorization expiring soon, or dangerous goods aboard under a will-not-carry hazmat program.
3. With the check set to **block**, those lines are release blockers instead: the release can't be signed until they are fixed, on the website and the phones.



The release form and checklist (illustration with the sample aircraft).

9 Hazardous materials QUALITY MANAGER

Quality → Hazardous materials.

1. **Program:** will-carry or will-not-carry, the manual and approved training program, recurrent interval (at most 24 months) and the emergency contact.
2. **+ Training record** per person and job function: initial or recurrent, completed date, provider and the test certificate. The **recurrent due month** is worked out; training done in the month before or after it keeps the anniversary month, so "late" starts after the end of the month after it.
3. **+ Incident or discrepancy:** what happened, the phone notice and the written report (due 30 days after an incident), and the date it was reported to the FAA (undeclared hazmat found).



The latest training per person and job function, with the due month and status.

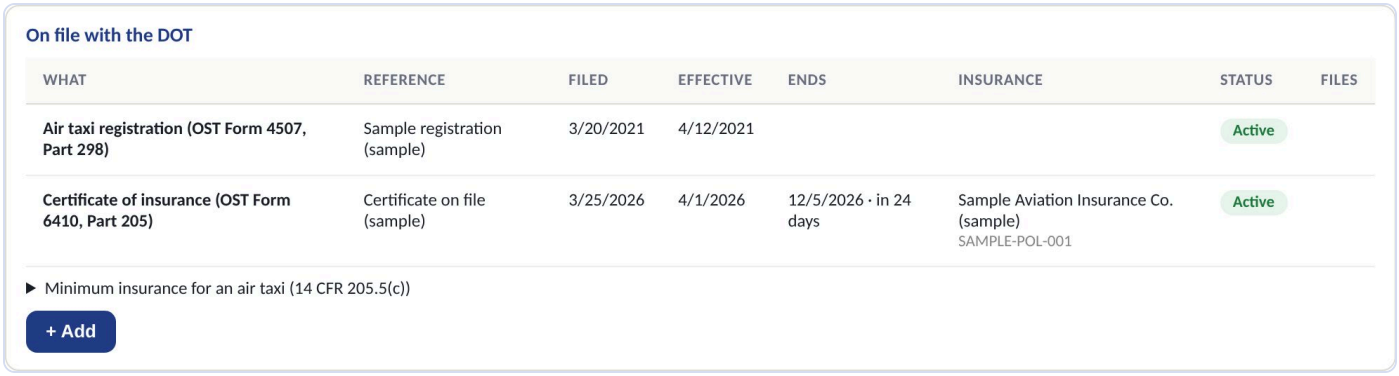


Incidents and discrepancies.

10 DOT registrations QUALITY MANAGER

Quality → DOT registrations. The DOT's economic authority, separate from the FAA certificate.

1. **+ Add** what is on file: the air taxi registration (OST Form 4507), the certificate of insurance (OST Form 6410) with insurer, policy, limits and end date, and any broker or public charter filings. Attach the filed copy.
2. **+ Filing** for each change: an amended OST Form 4507 within 30 days of a change, insurance endorsements, the renewal certificate before the policy ends, a public charter prospectus. The due date is worked out from the event date; mark it filed with the reference.
3. The page warns when the insurance ends within 30 days and nothing has been filed.



On file with the DOT; the minimum insurance for an air taxi opens underneath.



Filings and their due dates.

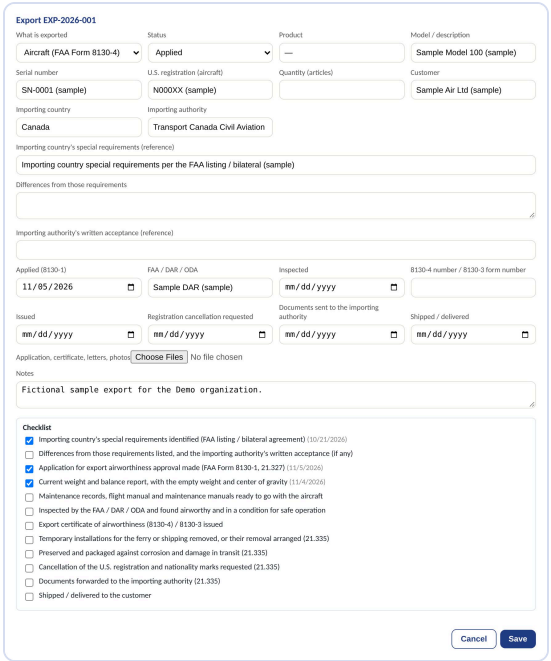
11 Export airworthiness approvals PRODUCTION · QUALITY

Production → Exports (in the Work group). 14 CFR Part 21 Subpart L: FAA Form 8130-4 for an aircraft, the 8130-3 for an engine, propeller or part.

1. **+ New export:** what is exported, the model, serial and U.S. registration (aircraft) or quantity (parts), the customer, the importing country and authority, and its special requirements.
2. List any **differences** from those requirements and the importing authority's written acceptance; differences without it show in red.
3. For an aircraft: the application (FAA Form 8130-1) and the FAA / DAR / ODA inspection. For a part: link the **8130-3** made in Production → Releases (a certificate of conformity can't be used for an export).
4. Tick the **checklist** as you go. Dates entered tick their steps and move the status on (applied, issued, exported). After the certificate: ask for the U.S. registration to be cancelled, send the documents to the importing authority, then ship.



Exports and their progress.



An aircraft export with its checklist.

12 Sample program documents FOR THE DEMO ORGANIZATION

Fictional sample documents to try the uploads, in docs/sample-programs. Each is marked SAMPLE and is not an approved program.

File	Where it goes
DEMO-Drug-and-Alcohol-Testing-Program-SAMPLE.pdf	Drug and alcohol → Program → Edit → Program document
DEMO-CASS-Program-SAMPLE.pdf	CASS → Program → Edit → Program document

DEMO-Pilot-Records-Database-Procedure-SAMPLE.pdf	Quality → Manuals
DEMO-RVSM-Program-SAMPLE.pdf	Special authorizations → an RVSM line → The authorization (PDF)
DEMO-Hazardous-Materials-Program-SAMPLE.pdf	Hazardous materials → Program → Edit → Program documents
DEMO-DOT-Economic-Authority-Procedure-SAMPLE.pdf	DOT registrations → the air taxi registration → Filed copy
DEMO-Export-Airworthiness-Procedure-SAMPLE.pdf	Production → Exports → an export → Application, certificate, letters, photos

Good to know. These pages keep your records and work out the deadlines; they don't replace your approved programs, your manuals, the FAA's Pilot Records Database or the DOT's filing systems. The deadlines and minimums shown summarize the rules as of November 2026; check the current rule text. Drug and alcohol records are confidential: only admins and the DER role can read them, and the files attached elsewhere in Avistrata are not restricted the same way, so keep test paperwork out of attachments.

Setting up your compliance programs?

Call us and we'll enter your programs, roles and first records with you.

***Avistrata* support**
703.520.5040
mrotracker.com

More detail: the in-app Help (the ? icon) and user guide 7, Safety and Quality. The organization, people, aircraft and documents shown are fictional samples. Screens may differ slightly in your version. © 2026 Leesburg Aviation LLC. All rights reserved.