AVISTRATA
AVIATION BUSINESS PLATFORM

Life of a finding

From an internal audit to a corrective action that is checked, and the safety risk behind it, in Avistrata

For quality managers, auditors, safety officers, accountable executives and the people who own corrective actions · Avistrata 2.2

A quality system is judged by what happens after a finding: whether the cause was understood, whether the fix was done on time, whether someone other than the owner checked that it worked, and whether the record shows all of it. Safety management asks the same of a hazard: who assessed it, what controls are in place, and who accepted what is left. This brief follows one audit finding through Avistrata's Quality workspace, and the safety risk it raised through the SMS, screen by screen. The audit, the finding, the actions, the hazard, the supplier list and the stock record are connected, so the evidence an inspector asks for is already there.

> **The sample.** In Avistrata's demo organization, the quality manager, Rachel Adams, runs the quarterly internal audit of stores and receiving. Five of the six checklist questions conform. The sixth turns up an ELT battery with no release certificate on an issuable shelf: it came in with the old stock list and was never moved to quarantine. The finding goes to the stores lead, David Cho, who finds the root cause, contains it and fixes it; the effectiveness check is due in 60 days. Rachel enters the safety side in the risk register, where it is assessed and accepted. **Every person, company, tail number and figure in this brief is fictional.** The screenshots are real Avistrata screens showing this sample data, taken on 28 October 2026.

1 · Set up	2 · Audit	3 · Find	4 · Cause	5 · Act	6 · Check	7 · Assess risk	8 · Show it
Roles, due dates, checklists	Plan, check, record evidence	Level, reference, owner	5 whys, human factors	Containment, corrective, preventive	Effectiveness, by someone else	Hazard, controls, acceptance	Dashboards, packets, auditors

When	What happens in the sample
28 October	Audit QA-2026-001, "Stores and receiving, Q4", against the repair station manual, chapter 4. Six questions; one finding raised from the storage question.
28 October	Finding F-2026-001, Level 2, owner David Cho. The plan is due 11 November and the finding must close by 27 November.
28 October	David records the root cause (5 whys) and three actions. Rachel accepts the plan. The battery goes to quarantine the same day.
28 October	The corrective and preventive actions are recorded as done. With every action done, the finding moves to "Check effectiveness", due 27 December.
28 October	Hazard SR-2026-001 goes into the SMS risk register: High 12 before the controls, Low 4 after, accepted by the safety officer.

1 Setting up Quality

Everything sits in the **Quality** workspace: Overview, Safety (SMS), Audits, Findings, Rosters, Suppliers, Checklists, Read & sign and Settings. People get their quality roles in Settings: **Auditor**, **Quality manager** and **Document controller**. Organization admins hold every role, and anyone can own a finding or an action. Who may do what is enforced by the database, not just hidden on the screen.

Due dates and escalation

Settings sets how long each level of finding has: by default a **Level 1** (safety or compliance, immediate) finding must close in 7 days, a **Level 2** in 30 and an **Observation** in 90; the plan is due in 14 days and the effectiveness check comes 60 days after the actions are done. It also sets who findings escalate to and after how many days overdue (7 by default), and the audit intervals for suppliers by risk tier.

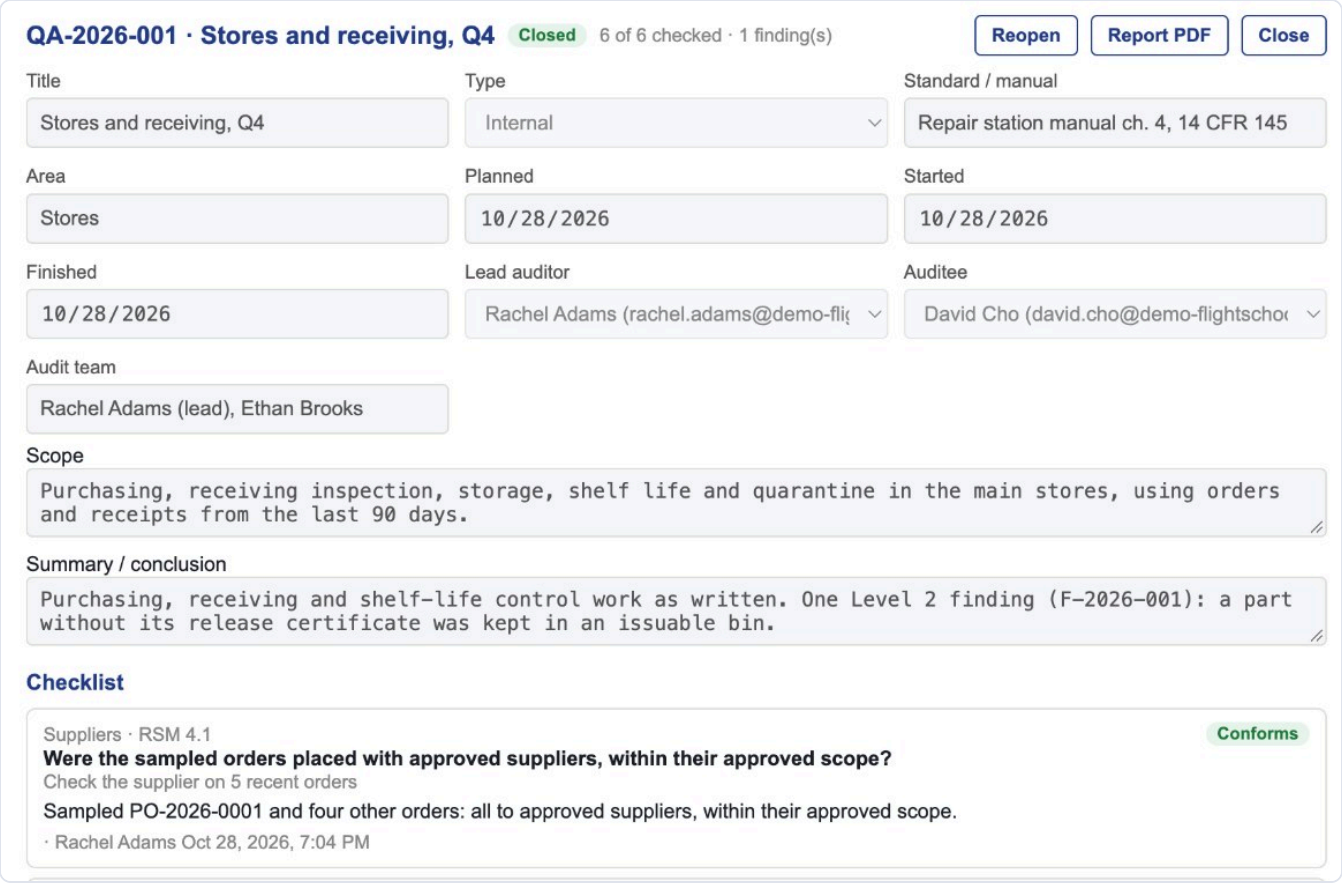
Checklists

A checklist is a reusable list of audit questions, each with a section, a reference and guidance for the auditor. They can be typed in or pasted many at once, one per line. Avistrata doesn't come with standard checklists; each organization builds them from its own manual and the rules it works to.

> **In the sample,** the checklist "Stores and receiving inspection" has six questions referenced to the repair station manual (RSM 4.1 to 4.7) and AC 20-62E: approved suppliers, release certificates on file, receiving inspection, segregation, shelf life and suspected unapproved parts.

2 The audit

+ Plan an audit sets the title, the type (internal, supplier, product, process, regulatory, customer or other), the standard or manual, the area, the planned date, the lead auditor, the auditee, the checklist and the scope. Audits are numbered QA-2026-001 and so on, and run Planned, In progress, Reporting, Closed (or Cancelled). The Overview counts audits open or due in the next 60 days.

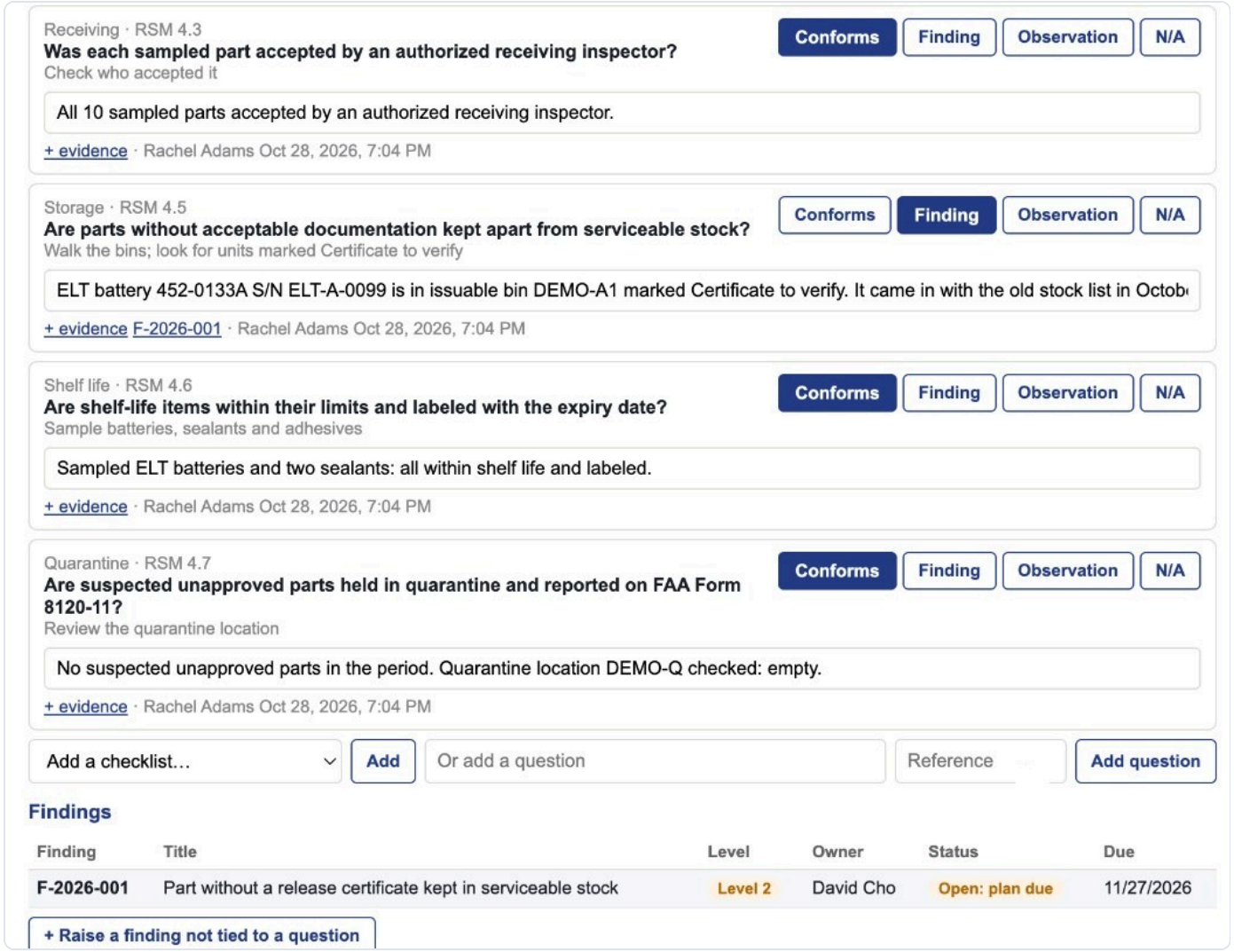


QA-2026-001, closed: all six questions checked, one finding raised, and the auditor's conclusion.

The first result recorded starts the audit. It can't be closed while a question is still unchecked, or while a Finding or Observation result has no finding raised from it. Reopening a closed audit takes a quality manager and a reason, and the reason is kept. **Report PDF** produces the audit report. Closing a supplier audit sets that supplier's last review date.

2 The audit CHECKLIST

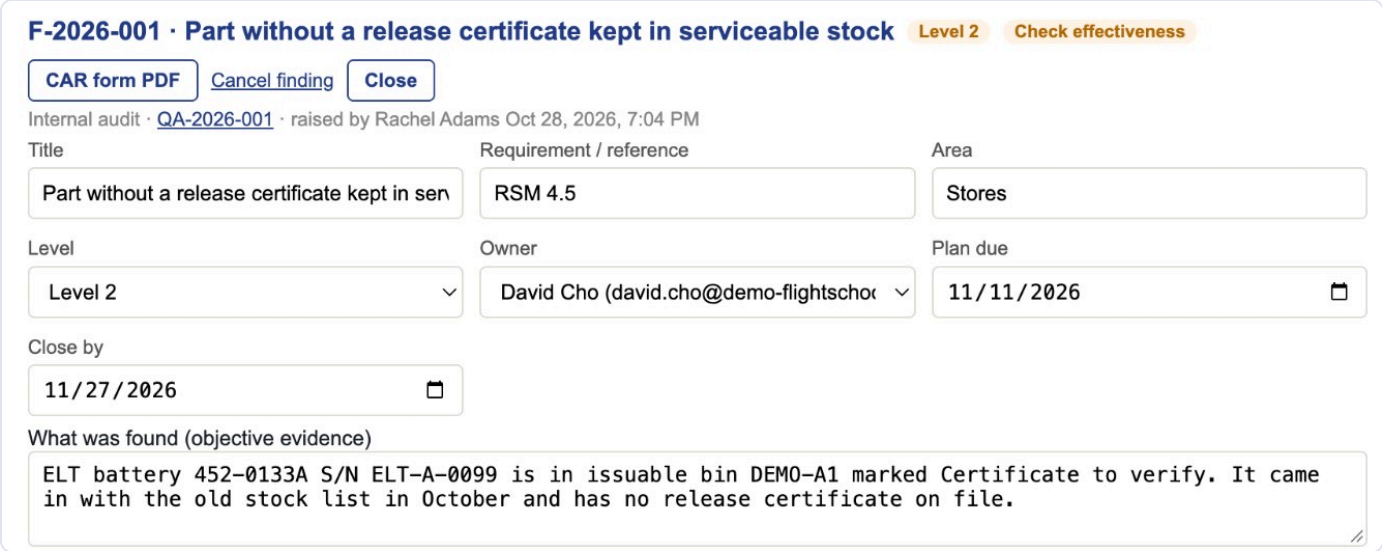
Each question takes a result (Conforms, Finding, Observation or N/A), a note of what was sampled and any evidence files. Who recorded it and when is shown under each one.



The storage question is the one that didn't conform. "Raise finding" on that question opened F-2026-001 with the reference, area, auditee and evidence already filled in.

3 The finding

A finding can be raised from a checklist question, from an audit without a question, or straight from the Findings tab. Each has a level, a source (internal audit, external audit, FAA or other authority, customer, occurrence, supplier or other), the requirement it breaks, the area, the owner and what was found, with evidence files. Findings are numbered F-2026-001 and so on. The owner is told it is theirs, and the plan and close-by dates follow the level.

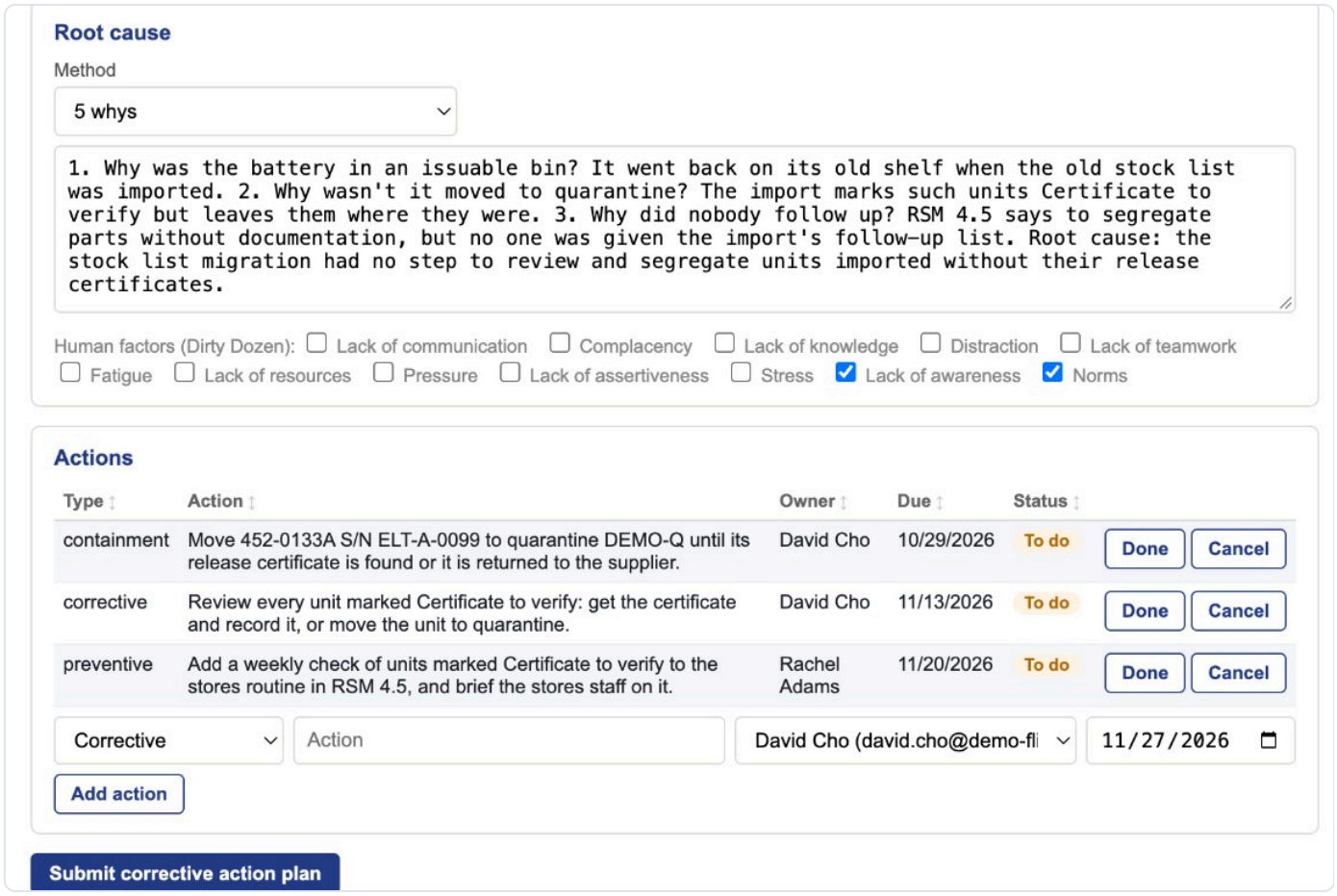


F-2026-001: a Level 2 finding against RSM 4.5, owned by the stores lead, with the objective evidence from the audit. The status now reads "Check effectiveness".

A finding moves through **Open: plan due**, **Plan to review**, **Actions in work**, **Check effectiveness** and **Closed** (or Cancelled). The Findings list filters open, mine and closed findings, can be searched and exports to CSV. **CAR form PDF** prints the finding as a corrective action request.

4 Root cause and the plan

The owner records the root cause with a method (5 whys, fishbone, a Dirty Dozen review or other), ticks any of the twelve Dirty Dozen human factors that played a part, and adds the actions: **containment** (now), **corrective** and **preventive**, each with an owner and a due date.

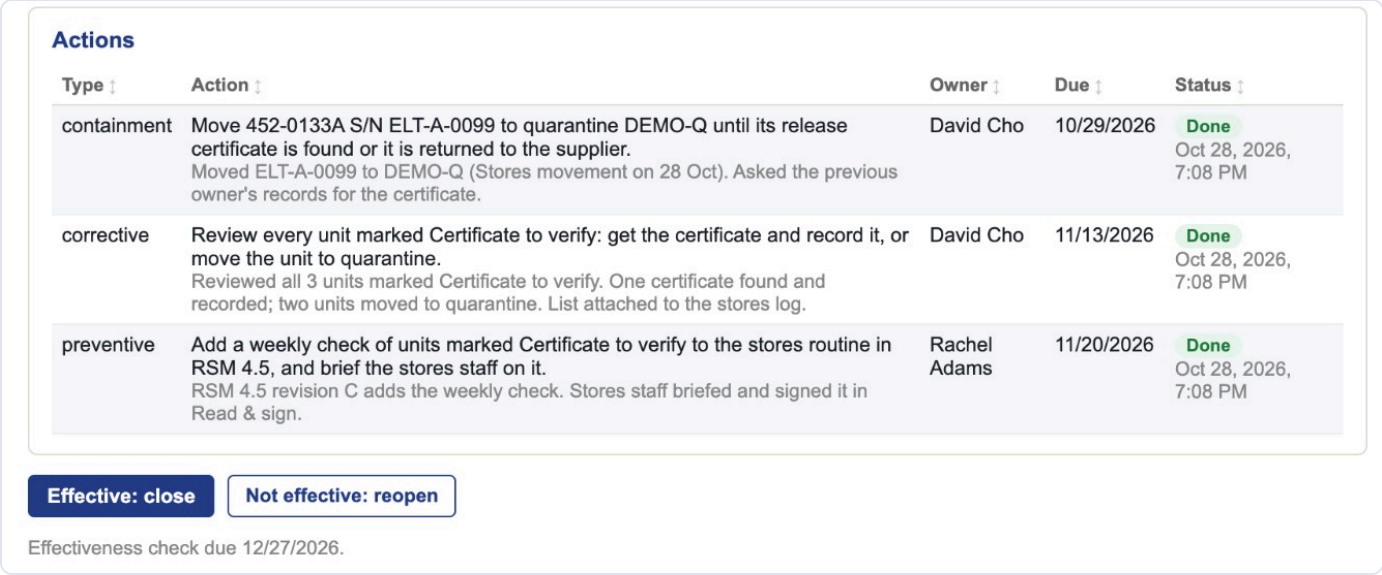


David's plan: three whys down to the root cause (the stock list migration had no step to segregate units imported without certificates), lack of awareness and norms as the human factors, and three actions.

Submit corrective action plan is refused until there is a root cause (except for an observation) and at least one corrective or preventive action. The quality manager then accepts the plan or sends it back with a note saying what it needs.

5 Doing the work

Each action owner presses **Done** and records what was done and where the evidence is, with files if needed. When the last action is done, the finding moves to **Check effectiveness** by itself and the check date is set.



All three actions done, each with what was done. The finding now waits for its effectiveness check on 27 December.

In the sample, the containment was also done in Stores: the battery was moved to the quarantine location DEMO-Q, with the finding number as the reason. Stores would have refused to issue it anyway, because it has no release certificate (see *Life of a part number*); the finding is about the manual's requirement to keep it apart.

Reminders and escalation

A daily run reminds owners three days before each due date, on the day, and weekly while it is overdue. On weekdays when something is due, quality managers get a digest of what is overdue and due this week. A finding overdue by more than the set number of days is escalated once to the "escalate to" address, or to the organization admins. If someone leaves, their open findings and actions move to the first quality manager, and the hand-over is written to each finding's history.

6 Checking that it worked

When the check is due, an auditor or quality manager closes the finding with **Effective: close**, or reopens it with **Not effective: reopen**. The database refuses the check if it is done by the finding's owner: someone other than the owner has to confirm that the fix worked. A reopened finding goes back to Open and shows how many times it has been reopened.

▼ History (10)

Oct 28, 2026, 7:04 PM	raised	Level 2 - owner david.cho@demo-flightschool.example	Rachel Adams
Oct 28, 2026, 7:06 PM	action added	Containment: Move 452-0133A S/N ELT-A-0099 to quarantine DEMO-Q until its release certificate is found or it is returned to the supplier.	David Cho
Oct 28, 2026, 7:07 PM	action added	Corrective: Review every unit marked Certificate to verify: get the certificate and record it, or move the unit to quarantine.	David Cho
Oct 28, 2026, 7:07 PM	action added	Preventive: Add a weekly check of units marked Certificate to verify to the stores routine in RSM 4.5, and brief the stores staff on it.	David Cho
Oct 28, 2026, 7:08 PM	plan submitted	Root cause: 1. Why was the battery in an issuable bin? It went back on its old shelf when the old stock list was imported. 2. Why wasn't it moved to quarantine? The import marks such units Certificate to verify but leaves them where they were. 3. Why did nobody follow up? RSM 4.5 says to segregate parts without documentation, but no one was given the import's follow-up list. Root cause: the stock list migration had no step to review and segregate units imported without their release certificates.	David Cho
Oct 28, 2026, 7:08 PM	plan accepted		Rachel Adams
Oct 28, 2026, 7:08 PM	action done	Move 452-0133A S/N ELT-A-0099 to quarantine DEMO-Q until its release certificate is found or it is returned to the supplier. - Moved ELT-A-0099 to DEMO-Q (Stores movement on 28 Oct). Asked the previous owner's records for the certificate.	David Cho
Oct 28, 2026, 7:08 PM	action done	Review every unit marked Certificate to verify: get the certificate and record it, or move the unit to quarantine. - Reviewed all 3 units marked Certificate to verify. One certificate found and recorded; two units moved to quarantine. List attached to the stores log.	David Cho
Oct 28, 2026, 7:08 PM	action done	Add a weekly check of units marked Certificate to verify to the stores routine in RSM 4.5, and brief the stores staff on it. - RSM 4.5 revision C adds the weekly check. Stores staff briefed and signed it in Read & sign.	Rachel Adams
Oct 28, 2026, 7:08 PM	implemented	All actions done; effectiveness check due 2026-12-27	David Cho

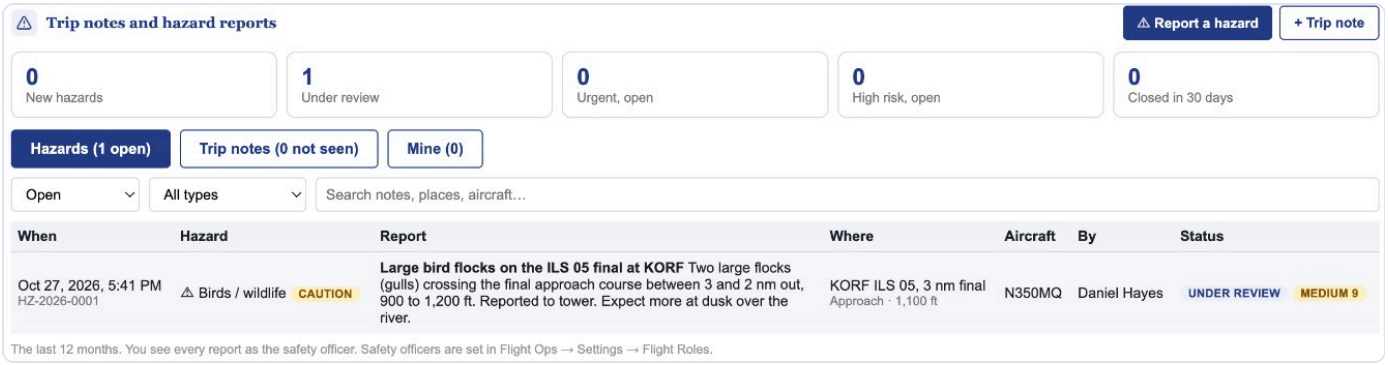
The finding's history: raised, actions added, plan submitted with the root cause, plan accepted, each action done and the move to the effectiveness check. The history can't be edited or deleted.

7 The safety side

The **Safety (SMS)** tab is built around 14 CFR Part 5: Dashboard, Risk register, Investigations, Changes, Performance, Management reviews, Policy & bulletins and Settings.

Hazard reports

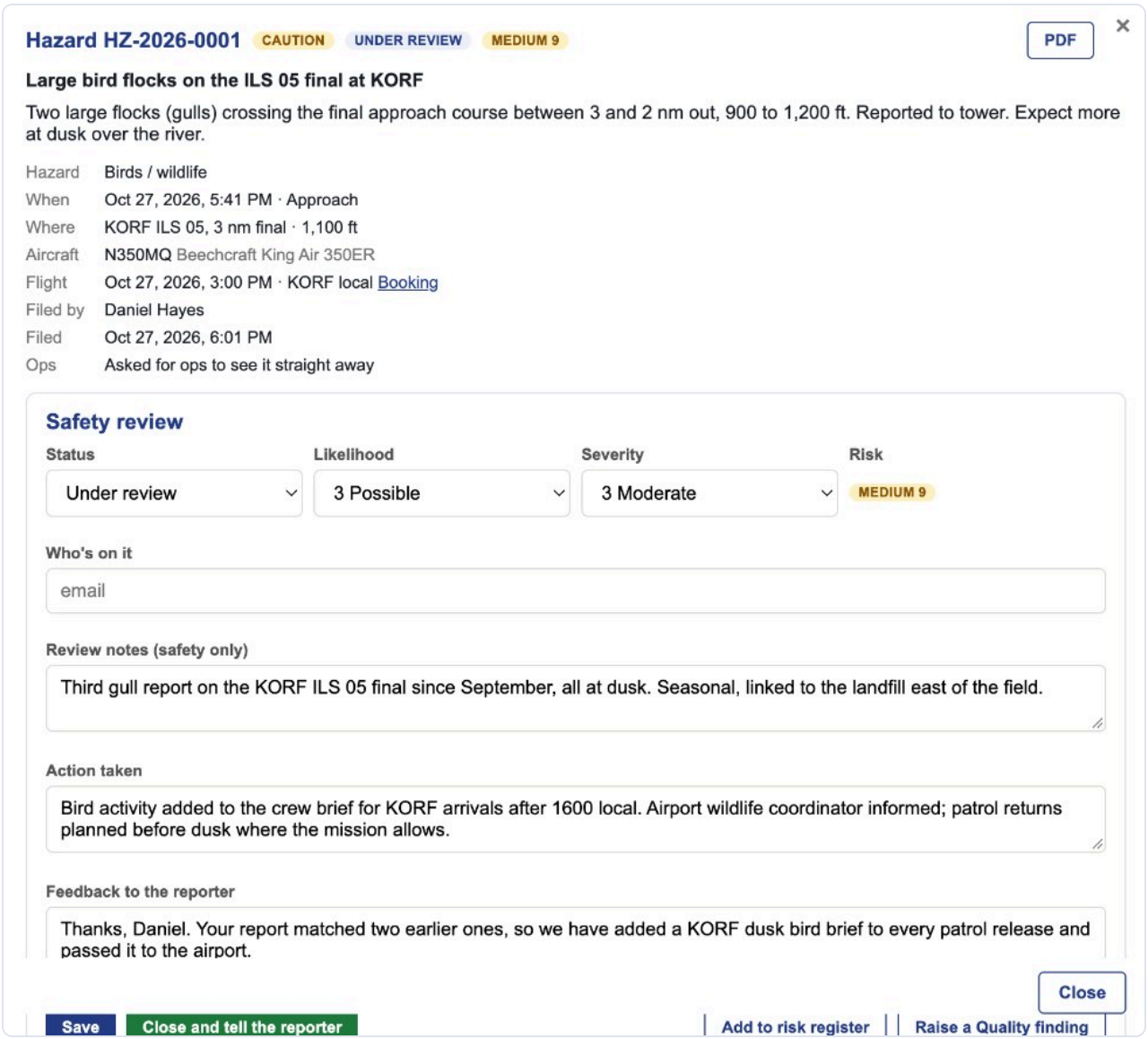
Anyone can report a hazard from My Flights, from the flight check-in or from the SMS tab, online or offline: the kind of hazard, how urgent it is, the phase of flight, where, the altitude and photos. It can be filed confidentially, so that only the safety officer sees who filed it and on which flight, and an urgent report goes straight to the ops desk. Reports are numbered HZ-2026-0001 and so on.



Hazard reports in Flight Ops → Trip Reports, as the safety officer sees them.

7 The safety side REVIEW

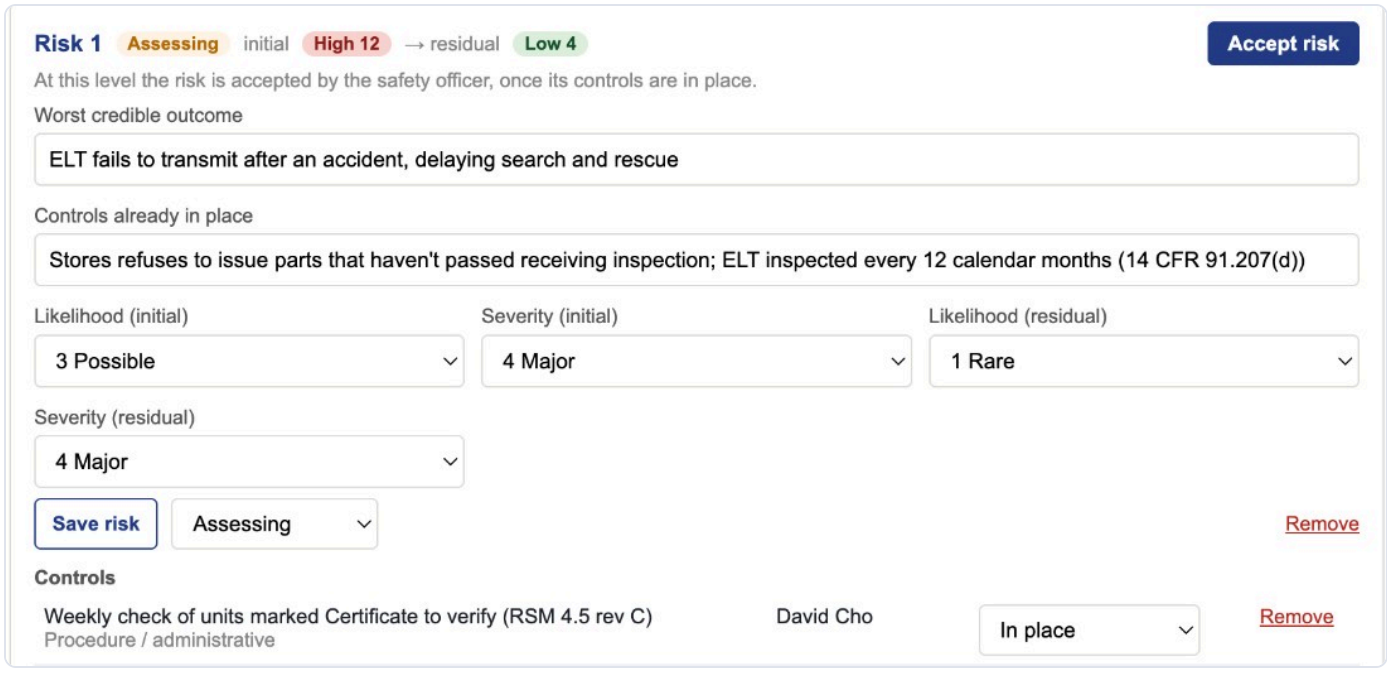
The safety officer reviews each report: status, likelihood and severity, who is on it, review notes, the action taken and the feedback to the reporter. From the report they can **close it and tell the reporter**, **add it to the risk register** or **raise a Quality finding** from it (for a confidential report, the name and flight are left off the finding).



A pilot's bird-strike report under review: risk Medium 9, the action taken and the feedback that goes back to the reporter.

7 The safety side RISK

The **risk register** holds each hazard with its area, source (a hazard report, an audit finding, an investigation, a management of change, a FRAT, an indicator trend, a management review or other) and owner. Each risk records the worst credible outcome, the controls already in place, and the likelihood and severity before and after the new controls on a 5 × 5 scale. Scores of 1–4 are low, 5–9 medium, 10–16 high and 17–25 extreme.



SR-2026-001, entered from the audit finding: an ELT that might not transmit after an accident. High 12 before the new controls, Low 4 after, with both controls in place.

Controls are typed (eliminate, substitute, engineering, procedure, training or protective equipment), owned and tracked from Planned to Verified effective. **Accept risk** follows the levels in SMS Settings: by default the safety officer accepts a low risk, a director, chief pilot or quality manager a medium one, and the accountable executive a high one. An extreme risk can't be accepted.

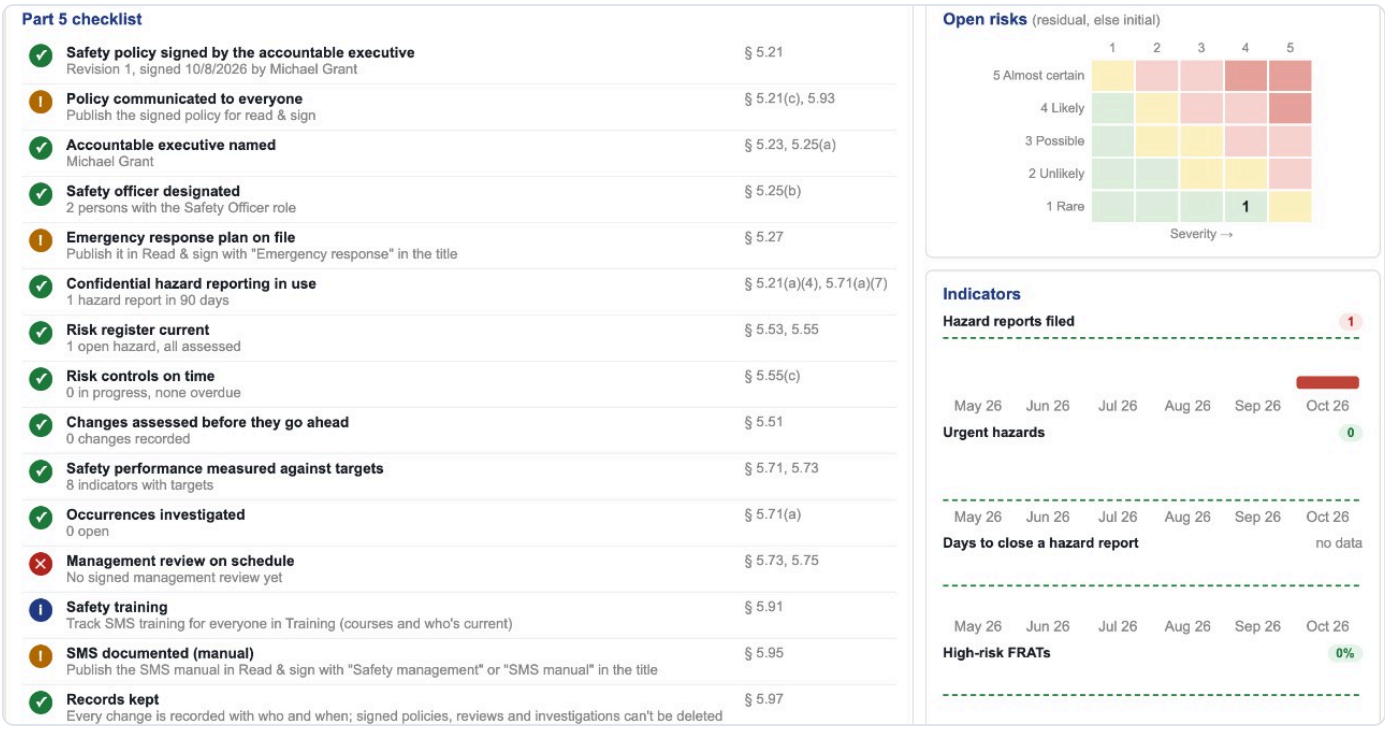


The register: the hazard, its source, owner, current risk and acceptance, and controls in place.

8 Showing it

The SMS dashboard

The Dashboard shows a live checklist of the main Part 5 elements, each with its section, the open risks on the 5 × 5 matrix and the safety performance indicators against their targets. The checklist is a guide to the main Part 5 elements, not a compliance determination.



The demo organization's Part 5 checklist: the policy is signed and the risk register is current; the management review isn't done yet, and the policy, emergency response plan and SMS manual still need to be published for everyone to read and sign.

Eight indicators are set up the first time a manager opens the SMS, such as hazard reports filed, days to close a hazard report, high-risk FRATs, overdue risk controls, overdue audit findings and open high or extreme risks. **Management reviews** take a snapshot of the indicators and risks and are signed by the accountable executive. **Policy & bulletins** drafts and signs the safety policy, publishes it for everyone to read and sign, and publishes safety bulletins. Investigations and management of change have their own tabs.

8 Showing it SUPPLIERS

The **supplier scorecard** scores each supplier out of 100 over the last 12 months: receiving inspection 60 (less 15 for each suspected unapproved part), on-time delivery 25 and supplier findings 15. A score of 85 or more is low risk, 70 to 84 medium and under 70 high; a disapproved supplier, a suspected unapproved part or an open Level 1 finding also makes a supplier high risk. The tier sets the audit interval, and **Plan audit** creates the supplier audit.



Tidewater Aviation Parts scores 100 from the two batteries in *Life of a part number*: accepted at inspection and on time. Piedmont Fasteners is conditional until its audit, now planned for December.

Rosters

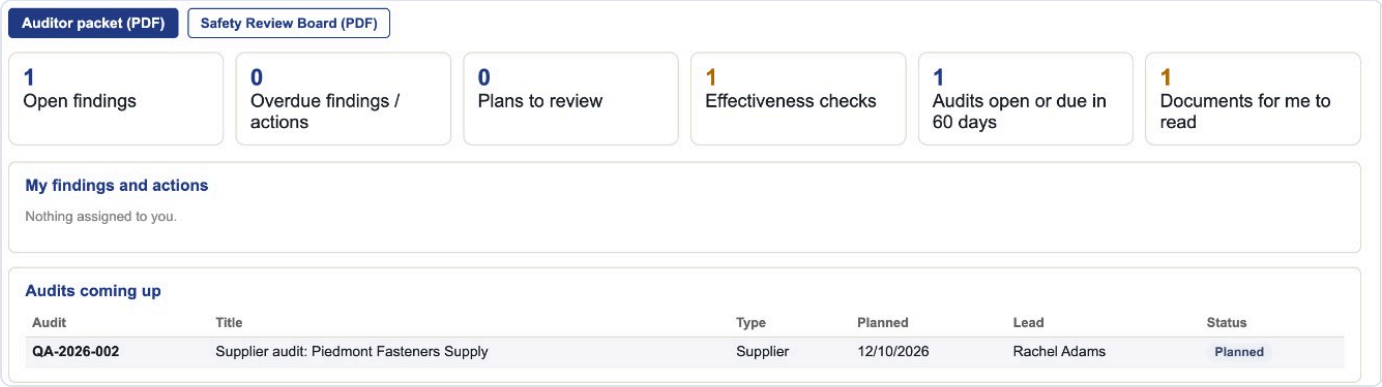
Auditors and quality managers upload compliance rosters (drug and alcohol testing, badge and access, vendor lists, training rosters) as Excel or CSV files. Each row is matched to a person by email, employee code or name; the roster shows who should be on it and isn't, and the rows that matched nobody.

Read & sign

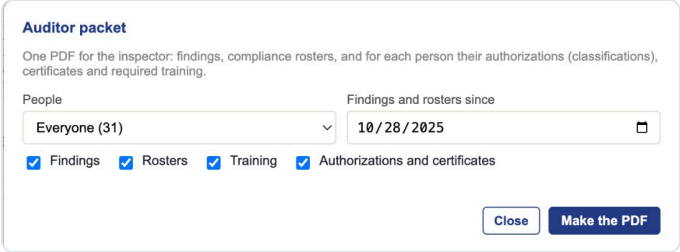
Documents are published to everyone, to groups or to people, who have to open them before they can sign. The library reminds whoever hasn't signed, adds new people, supersedes a revision with a new one and prints the signed record.

8 Showing it TO AN INSPECTOR

The Quality **Overview** shows open and overdue findings, plans to review, effectiveness checks due, audits open or due in 60 days, documents waiting to be read, the signed-in person's own findings and actions, and the audits coming up.



The demo organization's Overview: one open finding waiting for its effectiveness check, and the supplier audit coming up.



The auditor packet: findings, rosters, training and each person's authorizations and certificates in one PDF.

Packets and access

Auditor packet (PDF) gives an inspector the findings table, the rosters with who is missing from each, and for each person their authorizations, certificates (marking expired ones) and training (marking overdue). **Safety Review Board (PDF)** summarizes a month of quality, safety, indicators, suppliers and rosters, with space for the board's decisions and actions.

For aircraft records, an inspector can be given time-limited, read-only access (Users → Change History): work orders and task cards, discrepancies, maintenance due, MEL, ADs, change history and files, signed in with a one-time email code, with everything they open logged and access revocable at any time.

Who uses what

Role	Where	What they get
Quality manager	Overview, Findings, Settings	Plans to accept, checks due, a weekday digest and escalation
Auditor	Audits, Checklists	A checklist with results and evidence, and findings raised from the question
Finding or action owner	Overview, the finding	Their own actions with due dates and reminders
Safety officer	Safety (SMS), Trip Reports	Hazard reports to review, the register and the Part 5 dashboard
Accountable executive	SMS: reviews, policy	High risks to accept, the policy and management reviews to sign
Everyone	My Flights, Read & sign	Hazard reporting, confidentially if they choose, and documents to sign

Getting started

1. Give people their quality roles, and check the due dates and escalation in Quality → Settings.
2. Build a checklist from your manual and plan the year's audits.
3. Run one audit, raise a finding from a question and take it through to the effectiveness check.
4. Open the SMS: name the accountable executive and safety officers, set the acceptance levels, sign the safety policy and publish it.
5. Upload your rosters and publish the documents people must read and sign.

Companion briefs: *Life of a part number* (Stores, purchasing and receiving) and *Life of a maintenance job* (from a squawk to a signed release). © 2026 Leesburg Aviation LLC. All rights reserved.