

# AVS

# USERS GUIDE

APPLICANT/VIOLATOR SYSTEM USERS GUIDE

Maintenance Access

Including Instruction for State & Federal Regulatory  
Authorities

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## **Introduction**

This Users Guide is the instructional companion to the Applicant/Violator System (AVS). It is not intended, nor expected, to replace formal training in the use of the computer system. This edition is designed to assist all users. However, some features are accessible only by specifically-certified Federal and State regulators.

State and Federal agencies use AVS for a variety of purposes connected to coal mining and reclamation. However, its primary function is well-established as a tool used in the implementation of certain application, permitting, violation, and enforcement provisions of the Surface Mining Control and Reclamation Act of 1977, as amended, and its counterpart State laws. The efficiency and effectiveness of AVS operation continues to rely on accurate and complete data and OSM will continue to monitor AVS data for quality assurance.

If you discover the instructions supplied in this guide do not function as described, please contact the AVS Office at 1.800.643.9748 or [avshelp@osmre.gov](mailto:avshelp@osmre.gov) to report the problem.

### **How Do I Access the AVS?**

1. Go to your Internet home page.\*
2. Type in the web search box, <https://avss.osmre.gov> and press <Enter>.
3. Click on <Access AVS>.
4. Click on <Login as Guest> or type in your user name and password.
5. Click on <Login> or press <Enter>.

\*The AVS is optimized for Google Chrome but will work with other browsers, the AVS website is also compatible with most standard tablets

### **How Do I Log Out of the AVS?**

1. When logged into the AVS, click on <Logout> at the top right-hand corner of the screen.

### **How Is the AVS Organized?**

Data in the AVS is organized by Modules.

After the login screens, you will see six rectangular boxes across the top of the screen. These are the AVS Modules, the architecture for access to system operations. The Modules are HOME, ENTITY, APPLICATION, PERMIT, VIOLATION, and REPORTS. Each Module box is a button and each Module button has its own drop-down menu of shortcuts to certain functions. To view data, enter and update data, create records, generate reports, perform evaluations, and request narratives, use the drop-down menu designed for each Module.

In each Module there are Tabs that facilitate viewing options in AVS. The tabs retrieve the details associated with the subject of any search you perform such as addresses, relationships, application detail and so on.

### **How Do I Print From AVS?**

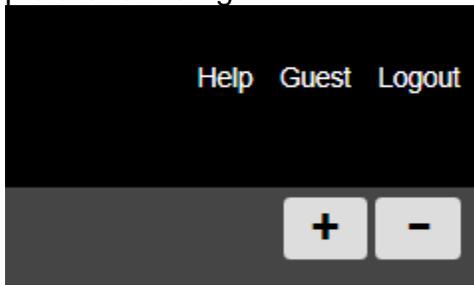
To print from AVS in any module you can right click the screen and drop down to the option that says "Print...". For evaluation reports there is a print button on the upper left of the screen that will allow users to print.

### **What Are The Special Features In AVS?**

There are special features in the ENTITY, APPLICATION, PERMIT and VIOLATION and REPORTS modules. Following are descriptions of these special features.

## Zoom

The AVS has an in system zoom function in the top right corner that can make the system text appear larger or smaller. Simply click the “+” button to zoom in and the “-“ to zoom out. See picture to the right.



## Search

Once you select a Module you are in the search mode. A cursor is positioned inside the search textbox. After you input a search parameter in the search box, press <Enter> or click on <Search> for AVS to produce the results of your search.

## Wildcard Search

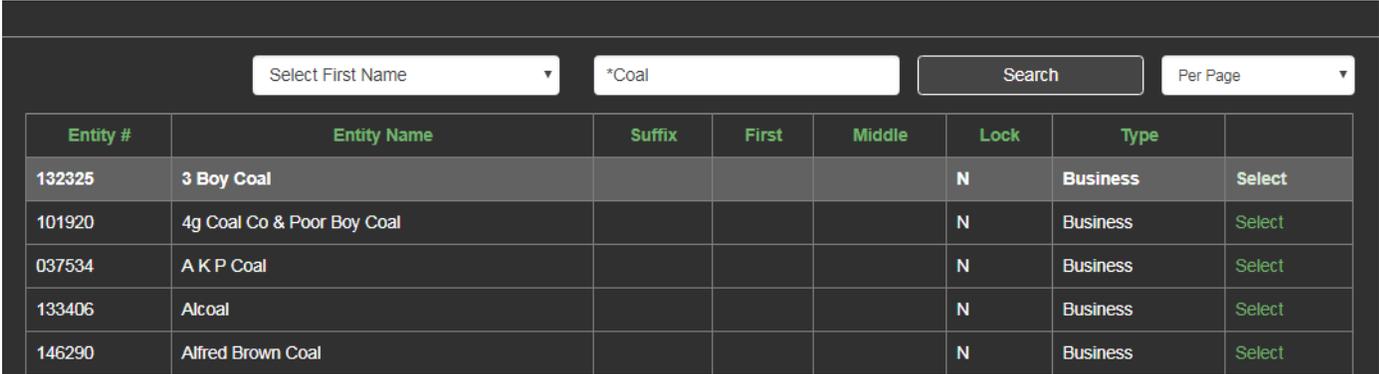
In order to perform a wildcard search, use the asterisk (\*) symbol and at least three letters or numbers. When placed at the end of a word the AVS will return results that begin with the search phrase before the asterisk. For example Coal\* returns entity names where coal is the first word:

Entity #	Entity Name	Suffix	First	Middle	Lock	Type	
249188	Coal & Metals Technologies Corp				Y	Business	Select
092086	Coal & Mineral Sales Inc				N	Business	Select
137398	Coal & Minerals Recovery Inc				N	Business	Select
257917	Coal Acquisition LLC				N	Business	Select
257809	Coal Acquisitions Intermediate Holdco1 LLC				N	Business	Select

When using asterisks around a word or phrase the AVS search will return all records where that phrase appears in the entity name. For example \*Coal\* returns all entities that contain the word coal, regardless of where it appears in the entity name:

Entity #	Entity Name	Suffix	First	Middle	Lock	Type	
119272	#22 Coal Co				N	Business	Select
059364	1 Coal Co Inc				N	Business	Select
095136	1 Lump Coal Co Inc				N	Business	Select
128599	16 Tons Coal Company Incorporated				N	Business	Select

When using asterisks at the beginning of a word or phrase, the AVS search will return all records where that word or phrase appears at the end of the entity name:



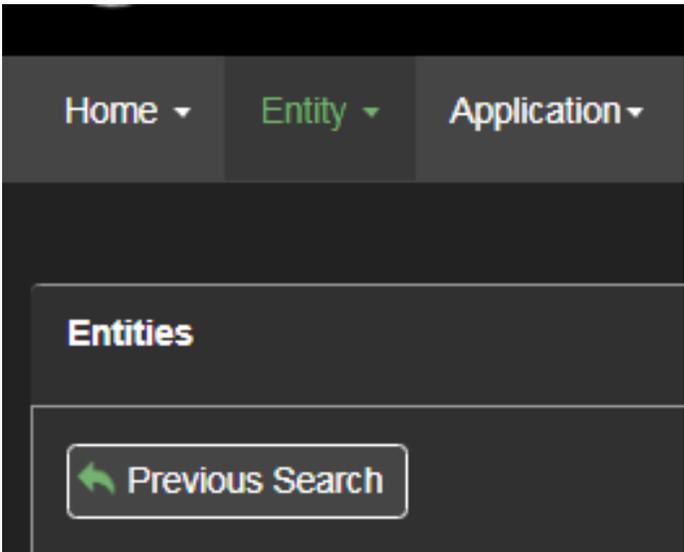
The screenshot shows a search interface with a dropdown menu set to 'Select First Name', a search bar containing '\*Coal', a 'Search' button, and a 'Per Page' dropdown. Below is a table with the following data:

Entity #	Entity Name	Suffix	First	Middle	Lock	Type	
132325	3 Boy Coal				N	Business	Select
101920	4g Coal Co & Poor Boy Coal				N	Business	Select
037534	A K P Coal				N	Business	Select
133406	Alcoal				N	Business	Select
146290	Alfred Brown Coal				N	Business	Select

Wild card searches can be used in any module, but in the Application, Permit, and Violation module a user must select the search category from the drop down list before using the wildcard search feature.

**Previous Search Button**

The previous search button is located in the upper left portion of the system, underneath the module navigation tabs. When you have already entered more than one a search in the Entity, Application, Permit, or Violation module, you can use the previous search button go from your current search to the most recent previous search. The system will pull the results of whatever was typed into the search bar in your previous search, if you searched for a general term like “Johnson” the system will pull all the records associated with that search, if it was a specific entity or permit number it will pull only that record.



**Records count**

Position your mouse anywhere on a screen with retrieved records and a count of the records

returned will pop up from either your search parameter or the results from a selected tab. See the screen shot located at the bottom of this page.

**Page numbers**

If the search result finds more than 10 possible matches to your search parameter, page numbers will be displayed in the bottom left-hand corner of the display table. The system default is 10 records per page/screen. Click on a page number to view the possible matches to your search. See the screenshot below.

Select First Name ▼

Entity Name/Number

Search

Per Page ▼

Entity #	Entity Name	Suffix	First	Middle	Lock	Type	Select
249188	Coal & Metals Technologies Corp				Y	Business	Select
092086	Coal & Mineral Sales Inc				N	Business	Select
137398	Coal & Minerals Recovery Inc				N	Business	Select
257917	Coal Acquisition LLC				N	Business	Select
257809	Coal Acquisitions Intermediate Holdco1 LLC				N	Business	Select
257808	Coal Acquisitions Sub 2 LLC				Y	Business	Select
257810	Coal Acquisitions Sub 3 LLC				N	Business	Select
257811	Coal Acquisitions Sub 4 LLC				N	Business	Select
257812	Coal Acquisitions Sub 5 LLC				N	Business	Select
249443	Coal Acres Holdings LLC				Y	Business	Select

222 Total Records

1	2	3	4	5	6	7	8	9	10	...
---	---	---	---	---	---	---	---	---	----	-----

Source	
Judy.Thurston	Delete

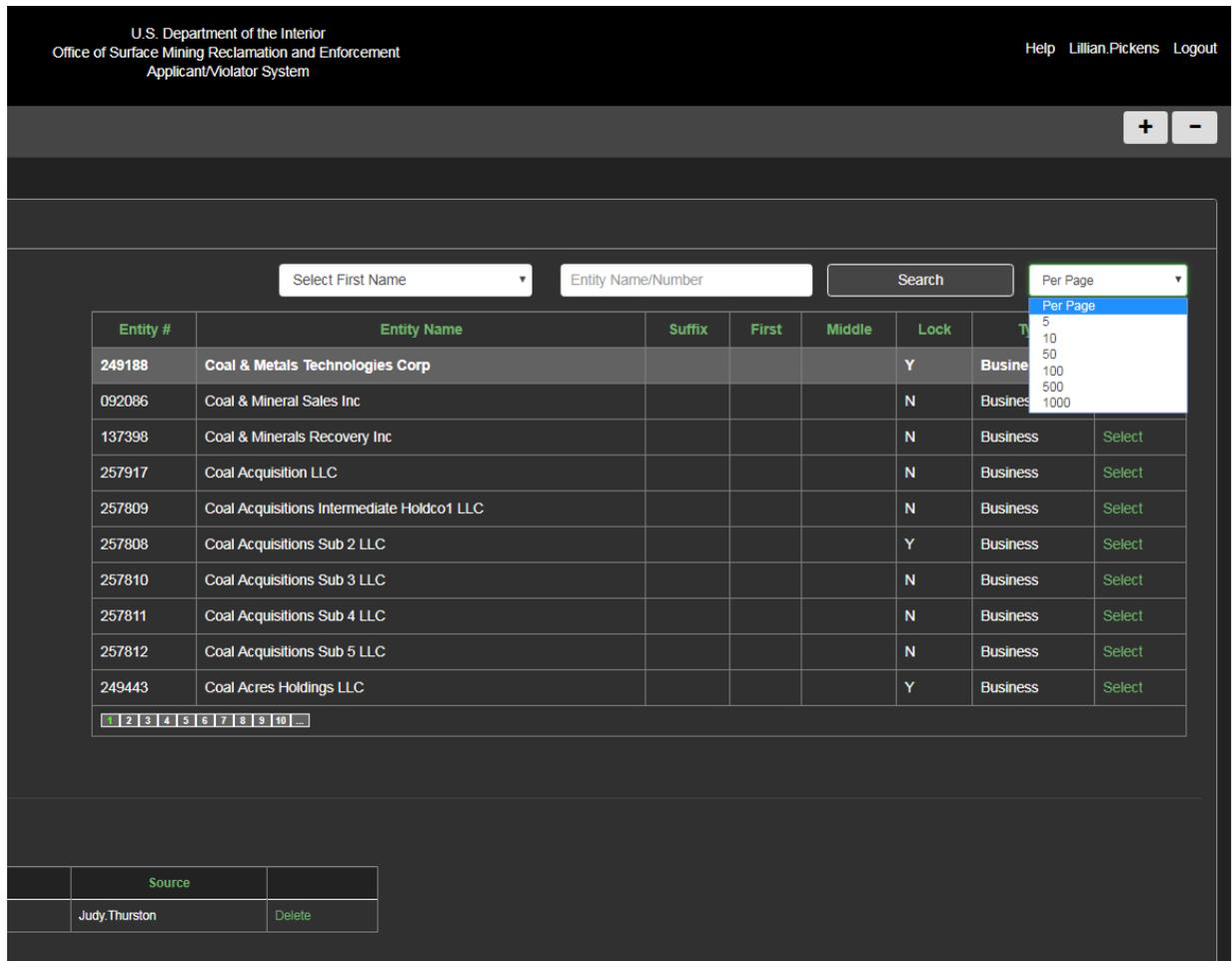
**Help Feature**

Located in the upper right corner of the system, clicking the word “Help” allows users to access the User’s Guide in the system side by side with the AVS. The User’s Guide will default to the information most relevant to the module the user is in, but you can use the table of contents to navigate to the information you are seeking. If the User’s Guide does not answer your question call the AVS Office at 800-643-9748.

## Per Page

The Per Page box is located next to the search button. The Per Page drop down allows you to select the number of records displayed in the results of your search.

From the drop-down window you can choose 5, 10, 50, 100, 500, or 1000 results, depending on the nature and scope of your search. The default is 10 records per page/screen. If your search results indicate more than 10 records, change the number of records displayed to your desired number. For example, if the search returns 32 records, then select 50 records from the Per Page drop down to be displayed. All 32 records will be displayed on the same page. Drag the scroll bar up and down to select the desired record. See screenshot below.



The screenshot shows the AVS interface with the following elements:

- Header: U.S. Department of the Interior, Office of Surface Mining Reclamation and Enforcement, Applicant/VIOLATOR System. User: Lillian.Pickens. Logout.
- Search area: Select First Name, Entity Name/Number, Search button, and Per Page dropdown menu (showing options: 5, 10, 50, 100, 500, 1000).
- Table with columns: Entity #, Entity Name, Suffix, First, Middle, Lock, Type, and Action.
- Table content:

Entity #	Entity Name	Suffix	First	Middle	Lock	Type	Action
249188	Coal & Metals Technologies Corp				Y	Business	
092086	Coal & Mineral Sales Inc				N	Business	
137398	Coal & Minerals Recovery Inc				N	Business	Select
257917	Coal Acquisition LLC				N	Business	Select
257809	Coal Acquisitions Intermediate Holdco1 LLC				N	Business	Select
257808	Coal Acquisitions Sub 2 LLC				Y	Business	Select
257810	Coal Acquisitions Sub 3 LLC				N	Business	Select
257811	Coal Acquisitions Sub 4 LLC				N	Business	Select
257812	Coal Acquisitions Sub 5 LLC				N	Business	Select
249443	Coal Acres Holdings LLC				Y	Business	Select

Page navigation: 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | ...

Footer: Source, Judy.Thurston, Delete

## Sort

The AVS can sort data in a column. To sort data in a column, click on the header of the column (for example, parent entity column or sub-entity column under the relationship tab in the entity detail screen). The system will display the data in the column alphabetically or numerically depending on the type of data in the column. You can reverse the sort by clicking on the header again. Your last sort of the data will remain in view until you perform another sort, select another Module, or exit from AVS.

## AVS Data Entry Standards

Following are data entry standards for initial data entry and maintenance. These standards assure consistency for efficient and effective outcomes of AVS operation.

### Case sensitivity

The data fields that use alphabetical characters are not case sensitive, users should always enter data exactly how they wish for it to appear in the system.

### Interpreting Business-to-Business Relationships

If Company A owns Company B, then Company A should be reflected as the “Parent Entity” and Company B should be reflected as the “Related Entity”.

If you search for a business entity in AVS and view the Relationships, you might see the business entity you selected for viewing displayed as both a “Parent Entity” and “Related Entity”. That is because when a user selects a business entity to view relationships, the system is designed to display on one screen all the business entities that own the selected entity **AND** all the business entities that your selected entity owns.

See the screenshot below. If you view relationships for International Resources LLC, the company is shown as both a “Parent Entity” and a “Related Entity”. The entry displayed here is accurate. It reflects International Resources LLC as a “Parent Entity” because it owns two companies, Hampden Coal Co LLC & Chafin Branch Coal Co LLC. It also reflects that International Resources LLC as a “Related Entity” because it is owned by International Resources Holdings II LLC.

	Entity #	Parent Entity	Relationship	Entity #	Related Entity
■	247080	International Resources LLC	Owner	247079	Hampden Coal Co LLC
■	248850	International Resources Holdings II LLC	Member	247080	International Resources LLC
■	247080	International Resources LLC	Owner	247085	Chafin Branch Coal Co LLC

### Interpreting Relationships Between Businesses and Individuals

Individuals who own, manage, serve as president, director, CEO, secretary, treasurer, etc., of a business entity are **ALWAYS** reflected as the “Related Entity” and the business entity should be reflected as the “Parent Entity”. Even when individuals own percentages of a business, they are reflected as the “Related Entity”. See the screenshot below.

	Entity #	Parent Entity	Relationship	Entity #	Related Entity	First	% Own	Begin	End	Hold
Edit	■	249892	Triple G Coal Company Incorporated	Owner	046487	Asbury	Edward	100.00	1/11/2010	None
Edit	■	249892	Triple G Coal Company Incorporated	President	046487	Asbury	Edward	0.00	1/11/2010	None
Edit	■	249892	Triple G Coal Company Incorporated	Director	046487	Asbury	Edward	0.00	1/11/2010	None
Edit	■	249892	Triple G Coal Company Incorporated	Treasurer	150287	Johnson	Dick	0.00	1/11/2010	None

## Sole proprietorships

Home ▾ Entity ▾ Application ▾ Permit ▾ Violation ▾ Reports ▾ + -

---

**Entities**

007155  Per ▾

**Entity Number:** 007155  
**Last Name:** David B Braswell  
**\* First Name:**  
**Middle Name:**  
**Alias:**  
**Tax ID:** 240046342  
**Memo:**  
**Created:** 8/13/1986  
**Updated:** 3/15/1993  
**Source:** Migration  
**Entity Type:** Business  
**Locked:** N

Entity #	Entity Name	Suffix	First	Middle	Lock	Type	
007155	David B Braswell				N	Business	Select

Addresses
Relationships
Applications
Permits
Comments

		Entity #	Parent Entity	Relationship	Entity #	Related Entity	First	% Own	Begin	End	Hold	Hold Source	Create	Update
Edit	<input type="checkbox"/>	007155	David B Braswell	Owner	014399	Braswell	David	0.00	5/31/1984		None		3/15/1993	3/15/1993

In the case of a sole proprietorship, two entities are created. One entity is created as a business entity. A second entity is created for the individual entity owning the business entity. You would then create a relationship between the two to show the business entity is the “Parent Entity”, and the individual entity would be shown as the “Related Entity”. See the screenshot below for an example:

## Trusts

The name of the trust would be reflected as the "Parent Entity." The trustee would be reflected as the "Related Entity".

## Individual Name Changes

If an individual adopts a name change due to marriage or divorce or other circumstance, do not create a new entity. You must contact the AVS Office for assistance to reflect this type of name change.

## Company Name Changes and Mergers<sup>1</sup>

The procedural requirements to show a company name change or a merger are very similar. In both cases, you must update an Entity record and its Entity OFT record to show an antecedent company no longer exists. At the completion of either procedure, there should be clear evidence of an inactive Entity and its inactive Entity OFT in AVS. These actions contribute to preserving the historical integrity of surface coal mining information in AVS. Following are the specific standards concerning entity records, the entity record Memo field, Entity OFTs, and transferring permits in the recordkeeping for company name changes and mergers.

### Entity record

In the case of a name change of a **business**, you must create a new Entity record and an Entity OFT for the newly-formed business.

In the case of a merger, the merger may result in the need to create a new entity in AVS. The business entity resulting from a merger may be a new entity or it may be a surviving party to the merger that is already an entity in AVS. Conduct a thorough search to make sure a merger's survivor is not already an entity in AVS.

### Entity memo field

Use of the Entity Memo Field is critical when documenting name changes and mergers in the computer system. Anyone browsing AVS should be able to recognize from the status of company relationships that a business has ceased to exist. However, using the Memo Field makes it immediately evident from the entity record as to the status of an entity involved in a name change or merger.

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<sup>1</sup> Understanding all the steps involved to accurately reflect a name change/merger in AVS are very confusing for some users, even with our attempt at walking users through the process. If you need assistance reflecting a name change/merger in AVS, please do not hesitate to contact the AVS Office at 1.800.643.9748.

For name changes, indicate the entity's previous name in the Memo Field of the new entity and the new entity name in the Memo Field for the previous entity. Use the abbreviation "n/c" for "name change" in the Memo Field to indicate the company's new and previous names and the date the name change occurred. Below is an example of name change notation in the Memo field. The example is not intended to represent actual or accurate information in AVS.

Name Change: Previous Entity    Name Change: New Entity

For mergers, indicate in the Memo Field for each company dissolved as the result of a merger that it/they merged into a survivor or new entity and the effective date of the merger. It is important to note we have most often observed that the result of a merger shown in AVS, whether between two entities or among more than two, is a name change of the survivor entity. Below are examples of merger notation in the Memo Field. The examples are not intended to represent actual or accurate information in AVS.

Merger Example # 1

Merger Example # 2

New entity OFT for Name Changes and Mergers

You should end every relationship in a decedent company to show that it ceases to exist. The ending date for these relationships must be no later than the effective date of the name change

or merger. For the new entity, re-enter every active relationship that you ended out in the previous company, with a beginning date no earlier than the effective date of the name change or merger, for the new company. You must link the old company(ies) to the new company. Show the new company to be the parent entity of the old company(ies), and therefore, show the old company as a sub-entity of the new company. Use the relationship description “Name Change” or “Merger” whichever applies. The beginning date will be the effective date of the name change or merger. To save time you can use the “Ending Multiple Entities” technique detailed in the Entity Module Section of this guide. Below is an example of the Entity OFTs for the New Company and the Old Company as a result of a name change (or merger; See footnote). The example is not intended to represent accurate information in AVS.

New Company entity OFT

Parent Entity	Relationship	Related Entity	Begin
Peabody Coal Co	Name Change <sup>2</sup>	Peabody Coal	7/11/2005
Peabody Coal Co	President	John Doe	7/11/2005
Peabody Coal Co	Secretary	Sara Smith	7/11/2005

Old Company entity OFT

Parent Entity	Relationship	Related Entity	Begin
Peabody Coal Co	Name Change	Peabody Coal	7/11/2005
Peabody Coal Co	President	John Doe	7/11/1999      7/11/2005
Peabody Coal Co	Secretary	Sara Smith	7/11/1995      7/11/2005

**Transferring Permits following a company name change or merger.**

All active pending applications and issued permits in AVS, including permits solely in reclamation, must be transferred from the decedent business entity to the new business entity as well as from all parties to a merger that hold permits, to the newly-formed merged entity. You must use the function, New Application in Sequence in the Application Module

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<sup>2</sup> Or “Merger” as appropriate.

## Home Module

### What is the Home Module?

The Home Module is the first screen AVS retrieves after you complete your login to the computer system. There are two levels of access to AVS. Anyone can login as a Guest. Authorized State and OSM officials login using system identification and passwords which allow them rights to create, update and delete regulatory program data contained in the system.

### What can I do in the Home Module?

If you select "Login as Guest" to access AVS, you will be unable to view, enter, or retrieve, or interact with any data in the Home Module.

If you are a State regulatory authority or authorized OSM official with maintenance rights, the Home Page conveys particular information to the authorized Federal and State users. The Home Page displays requests from States to OSM's AVS Office for Evaluation Narratives and Expired Conditional Violations you created.

The screenshot shows the AVS Home Module interface. At the top, there is a navigation bar with tabs for Home, Entity, Application, Permit, Violation, and Reports. Below the navigation bar, the main content area displays a welcome message and two data tables.

**Welcome to the Applicant/Violator System**

**Narratives**

<a href="#">Go To Application</a>	Narrative Pending	1212 Seq. 0	lpickens@osmre.gov
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**Expired Conditional Violations**

<a href="#">GO TO VIOLATION</a>	8/1/2018 12:00:00 AM	JLB0000334-BR
---------------------------------	----------------------	---------------

These requests follow system evaluations of entities, applications, and permits. Once the AVS Office has completed an Evaluation Narrative, it replaces the <Narrative Pending> message with <View Report>. This is an indication to Federal and State users, that AVS has completed an Evaluation Narrative to assist them with determining permit eligibility. See the Screen Shot below for an example.

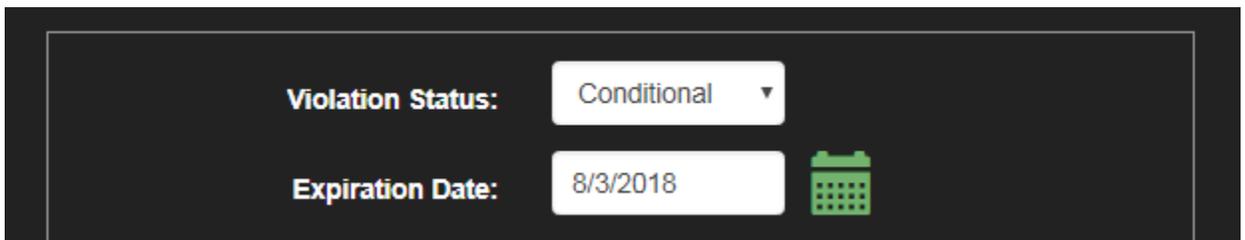
## How do I, an authorized State or OSM official, view an Evaluation Narrative from the Home Page?

1. Click on <View Report>. AVS opens a View Report screen.
2. Select <print> in the View Report screen to print the report.
3. Select the printer icon at the top of your web browser.
4. Select <cancel> in the View Report to view the report on the screen.
5. Close the View Report screen to return the Home Page. Use the Close icon is the red box with the white X in the top right corner of your web browser screen.

## How do I view and update an expired conditional violation?

For authorized state and federal users this information will appear in the Home module when logged into their accounts:

1. Click on the Home Module tab
2. Any conditional violations you entered that are past the expiration date entered when the status was changed to conditional will appear in the box titled “Expired Conditional Violations”. You will not see any violations that are expired that were entered by another AVS user from your state.
3. You can click the green “GO TO VIOLATION” hyperlink to see the violation in the violation module.
4. When on the violation record in the Violation Module, hover over the Violation Module tab and select “Update”
5. This will allow you to change the violation status to outstanding OR extend the conditional expiration date, whichever is appropriate based on the status of the violation



The image shows a screenshot of a web interface for updating a violation. It features two rows of input fields. The first row is labeled "Violation Status:" and contains a dropdown menu with "Conditional" selected. The second row is labeled "Expiration Date:" and contains a text input field with "8/3/2018" and a green calendar icon to its right.

6. When you have completed your action click the “Update” button at the bottom of the screen. If there are no errors you will receive a pop up that says “Update Complete”.
7. Click the OK button on the pop up and the “Back to Violation” button at the bottom of the screen to verify your update is complete.

**Are there other functions accessible by regulatory officials in the Home Module?**

For authorized State regulatory authority and certain OSM officials, in the Home Module you may:

- View your AVS user account information
- Change your password

To view your user information, click on the Home Module button. From the drop-down menu, click on <My Account>. If your displayed user information has changed, please contact the AVS Office at 800.643.9748 or avshelp@osmre.gov to update your user account information and credentials.

You can change your password at any time by going to “My Account” and entering your old password, new password, confirmation, and clicking the change password button. AVS passwords must:

- Contain at least 12 characters
- Contain at least one upper case letter
- Contain at least one numeric character
- Contain at least one special character.

**Change Your Password**

---

**Old Password:**

**New Password:**

**Re-enter Password:**

**Change Password**

## **Entity Module**

### **What Is the Entity Module?**

The Entity Module is the vehicle by which every Entity record in AVS is created and can be retrieved. Information for individuals and businesses is converted into records that then can be associated with other entities. Every individual and business associated with surface coal mining activities, through an approved program permit or outstanding violation since SMCRA's implementation is in AVS.

### **What can I do in the Entity Module?**

The opening screen in the Entity Module is the Entity Page. From the Entity Page, all users can retrieve and view entity records and use links to other Modules to view related records. Use the Entity Details tabs at the lower part of the screen to view the details of an Entity record such as addresses, relationships, and more.

State regulatory authorities and authorized Federal officials can also create, update, delete, and evaluate entities. Additional functions for States and Federal users include creating and maintaining Entity Organizational Family Trees (OFTs). The relationships between entities are what creates an OFT. Authorized users also can add/update/delete address information and add/update/delete relationship information.

### **What is an Entity?**

Every business and individual that has a unique record in AVS is referred to as an entity. Although "entity" is not a defined term in the Federal regulations, it best describes the conversion of information for individuals and businesses to data. There are only two types of entities in AVS – businesses and individuals.

## How to search for a business Entity

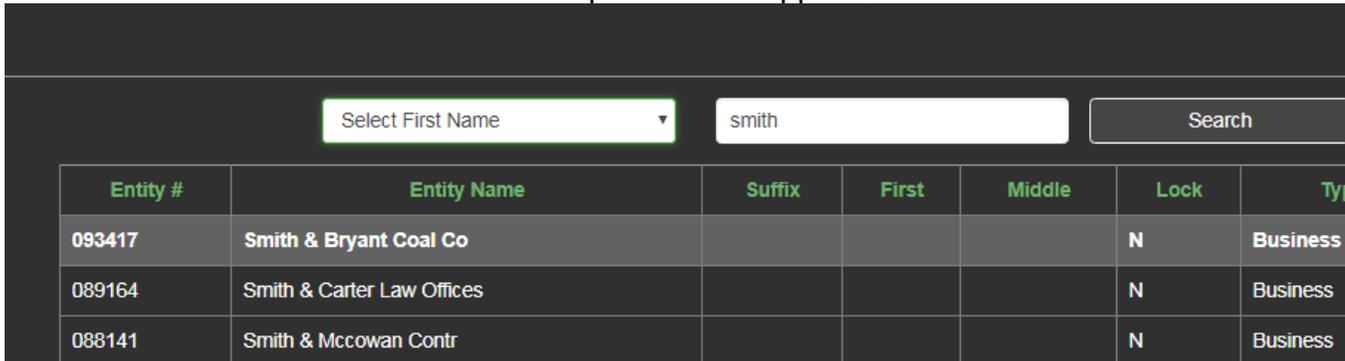
Search for a business entity by entering a known entity number or a business name. If you search by name, we recommend you enter only a partial name (“character string”) to maximize your search results, especially if you are unsure of the name itself or the spelling or format of the name.

1. Click on the Entity Module button to access the Entity Page. Enter your parameters in the search text box, press the <Enter> key or click on <Search>.
2. Your search results may show a single result or a list of potential matches. The first record displayed is the AVS default. It is the first record that appears to meet your search parameters.
3. Click on <Select> next to the record to choose the entity you wish to view. AVS will highlight the selected record in light gray and the entity record information is displayed on the left side of the screen. To view another record from the Search Results, click on <Select> next to the record you wish to view.
4. To begin a new search, click inside of the search text box to clear the previous parameters. Clicking on the Entity Module button will also clear the search text box.
5. Click on any Module button to perform a new task.

## How to search for an individual Entity

Search for an individual by entering the known entity number or by **last name**. If you search by last name, we recommend you only enter a partial name (“character string”) to maximize your search results, especially if you are unsure of the name itself or the spelling of the name.

1. Click on the Entity Module button to access the Entity Page. Enter your parameters in the search text box, press the <Enter> key or click on <Search>
2. Your search results may show a single result or a list of potential matches. The first record displayed is the AVS default. It is the first record that appears to meet your search parameters.
3. The AVS defaults to business entities first, then individuals. To aid in finding an individual use the “Select First Name” drop down that appears



The screenshot shows a search interface with a dropdown menu labeled "Select First Name" and a search text box containing "smith". A "Search" button is visible to the right. Below the search area is a table with the following data:

Entity #	Entity Name	Suffix	First	Middle	Lock	Type
093417	Smith & Bryant Coal Co				N	Business
089164	Smith & Carter Law Offices				N	Business
088141	Smith & Mccowan Contr				N	Business

4. Click on <Select> next to the record to choose the entity you wish to view. AVS will highlight the selected record in light gray and the entity record information is displayed on the left side of the screen. To view another record from the Search Results, click on <Select> next to the record you wish to view.
5. To begin a new search, click in the search text box to clear the previous parameters. Clicking on the Entity Module button also will clear the search text box.
6. Click on any Module button to begin another task.

## How to create an Entity

**IMPORTANT:** Before creating any entity, business or individual, always conduct an entity search to determine if the entity already exists in the AVS to avoid the creation of a duplicate entity. Instructions for conducting an entity search can be found directly above this section.

1. Hover over the Entity Module tab.
2. Click on <NEW> from the Entity Module button drop-down menu.
3. At the New Entity screen, select the entity type. Select either business or individual.
4. Enter the name in the applicable field(s) (business or individual) and enter all other data required or available in the appropriate fields.
  - If you are creating a business that is an AML Contractor please write “AML Contractor” in the memo field to distinguish from applicants/permittees
  - If entering an individual who has a suffix, select it from the suffix drop down on the right side of the screen.
5. If you are entering an address that is not in the United States use the “Foreign Nation” designation from the “State” dropdown and enter as much mailing information as possible in the “Street” section. When you have completed your data entry, click on <Verify>.

The screenshot shows a form for creating a new entity. The form is set against a dark background with white text and input fields. The fields are as follows:

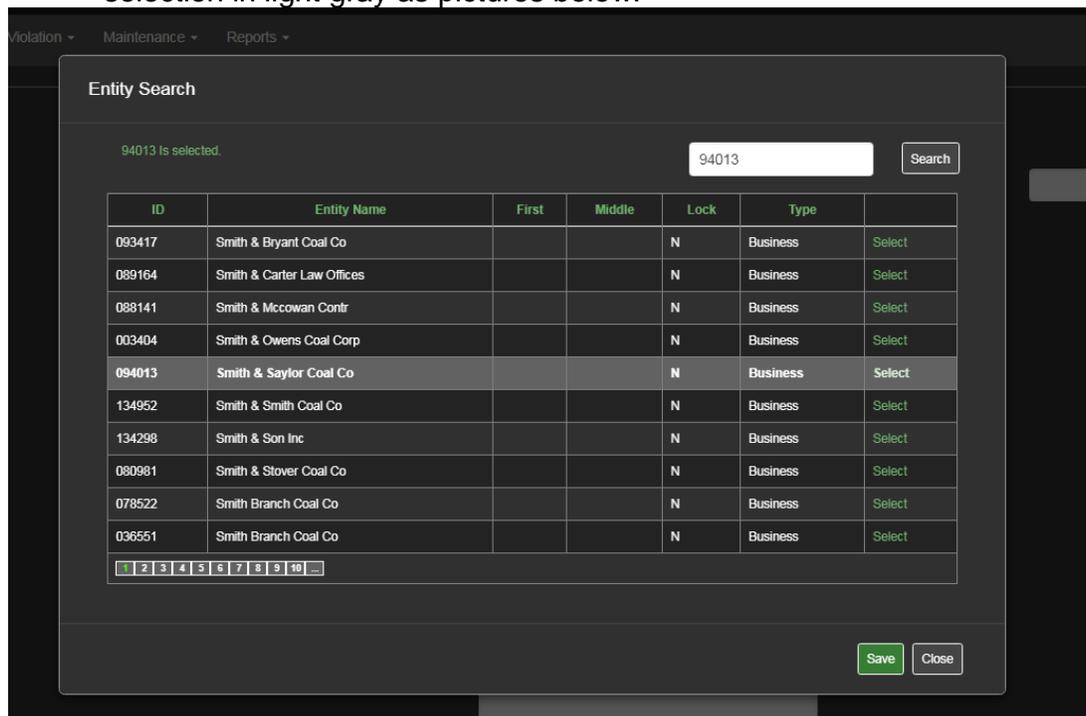
- Entity Type:** A dropdown menu with "Individual" selected.
- Entity/Last Name:** A text input field.
- Suffix:** A dropdown menu.
- Tax ID:** A text input field.
- First Name:** A text input field.
- Middle Name:** A text input field.
- Entity Autofill:** A button.
- Street:** A text input field.
- City:** A text input field.
- State:** A dropdown menu with "AA|Armed Forces Americas" selected.
- Zip:** A text input field.
- Phone:** A text input field.
- Memo:** A large text area for notes.
- Buttons:** "Verify" (green) and "Cancel" (grey) buttons at the bottom.

6. The next screen will display the data you entered. It may also display a list at the bottom of the screen of retrieved entities that appear to match some or all of the data you entered. If this displays, continue with Step 8. If a list is not displayed, proceed to Step 9.
7. Review the entities on the list. These are entities with similar names or the same Tax ID number. Confirm that the entity you are about to create is not already an entity in AVS. If there is a possibility that you are creating a duplicate entity, click on <Cancel> and research the entity that already exists in the system or contact the AVS Office.
8. If you are certain you are not creating a duplicate entity, click inside the box provided to confirm your input and verify that this is not a duplicate entity.
9. Click on <Save>. The next screen will show that AVS has automatically assigned an entity number to the entity record information you entered.
10. Click on any Module button to begin a new task.

## How to import address information from another entity

This feature is particularly helpful for time saving when you are creating many new individuals and businesses that have the same business address. Instead of manually entering in the address information from each entity you can import it from another entity.

1. When creating a new entity select the gray “Entity Autofill” button
2. A pop up will appear. Search for the entity whose address information you want to use either by name or entity number.
3. Select the correct entity by pressing the green “Select” button, the system will highlight your selection in light gray as pictures below:



4. Click the green “Save” button. The address information from the entity you selected should auto-populate in the address fields.
5. Verify the important information is correct and proceed in entity creation as normal.

### How to update Entity information

1. Click on the Entity Module button to access the Entity Page.
2. Retrieve the entity record. Refer to the search procedures detailed in How to search for an Entity.
3. Click on <Update> from the drop-down menu in the Entity Module button.
4. Click on <Edit> next to the record.
5. Enter any updates or changes. When finished, click on <Update>.
6. AVS will display a Good Save message or an Error message. If you receive an error message repeat steps 2 – 4 to correct the error.
7. When you are finished, click on <Return to Entity Page> to return to the Entity Page entry screen or click on any Module button to begin a new task.

**If you do not have the user privileges to make the update you are seeking, contact the AVS Office at 800-643-9748 or [avshelp@osmre.gov](mailto:avshelp@osmre.gov)**

### How to delete an Entity

1. Click on the Entity Module button to access the Entity Page.
2. Retrieve the entity record, by pressing “Select”. Refer to the search procedures “How to search for an Entity” above.
3. Click on <Delete> from the drop-down menu in the Entity Module button.
4. Click on <Delete> next to the record. AVS will display the message, “Delete This?” If you are sure, click on <OK>. If AVS detects no problems with the entity deletion, AVS will display Good Delete.
5. When you are finished, click on <Return to Entity Page> to return to the Entity Page entry screen or click on any Module button to begin a new task.

**CRITICAL: You cannot delete an entity if it is associated with or linked to any other record in AVS. This includes business relationship (OFT), application, permit, or violation records.<sup>3</sup>**

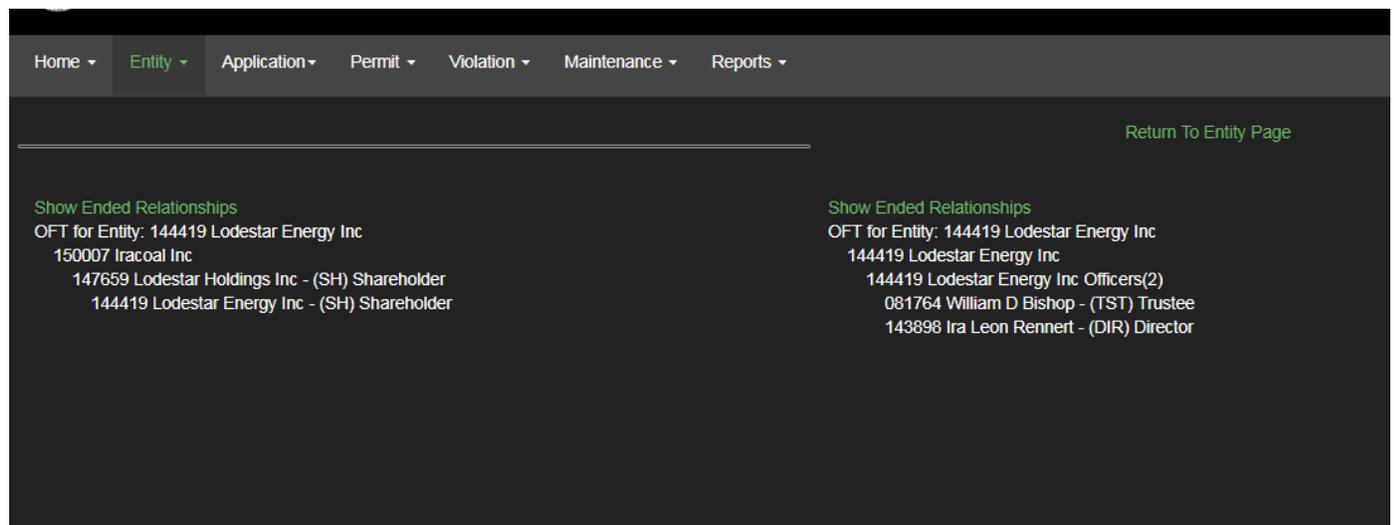
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<sup>3</sup> Please contact the AVS Office at 1.800.643.9748 if you need assistance deleting an entity.

## **How to view an Entity Organization Family Tree (OFT), including the ultimate parent Entity**

**Note:** You can view relationships in the Entity Module by using the “Relationships” tab in the entity module. However, this is a special feature added that gives you a better representation of relationships if you want to identify whether your entity has an ultimate parent entity.

1. Click on the Entity Module button to access the Entity Page.
2. Retrieve the entity record for which you wish to view the Entity OFT. Refer to the search procedures detailed in the How to search for an Entity section of this guide.
3. Hover over Entity Module and Click on <OFT> from the drop-down menu.
4. AVS will generate the Entity OFT for the entity you selected.
5. The Entity OFT displayed consists of two columns – parent entities in the left column and sub-entities in the right column. The entity at the top of the parent entities column is the ultimate parent entity.
6. Click on <Show Ended Relationships> to view relationships that have ended between parent entities and sub-entities.
7. When you are finished, click on <Return to Entity Page> to return to the Entity Page entry screen or click on any Module button to begin a new task.



### How to view Entity address information

1. Click on the [Entity Module button](#) to access the Entity Page.
2. Retrieve the entity record. Use the search procedures described in the How to search for an Entity section of this guide.
3. From the Entity Home Page, click on the [Addresses](#) Entity Detail tab to view the address information for the selected entity. The most recently added address will display at the top of the list if there are multiple entries.

### How to add Entity address information

1. Click on the [Entity Module button](#) to access the Entity Page.
2. Retrieve the entity record. Use the search procedures described in the How to search for an Entity section of this guide.
3. Click on <Add Addresses> located below the [Addresses](#) Entity Details tab.
4. Enter new address information for the entity in the fields provided.
5. When finished, click on <Save>.
6. AVS will return to the Entity Page and show the added address information.
7. Click on any Module button to begin a new task.

### **How to update Entity address information**

1. Click on the Entity Module button to access the Entity Page.
2. Retrieve the entity record. Use the search procedures detailed in How to search for an Entity.
3. Click on the Entity Details tab, Addresses, to retrieve the address information for the selected entity.
4. Click on <Edit> to the left of the address record you wish to update.
5. Enter any updates or changes. When finished, click on <Update>.
6. AVS will return to the Entity Page and show the updated address information for the selected entity.
7. Click on any Module button to begin a new task.

### **How to delete an Entity address record**

A user should only delete an address in AVS if it was created in error. Otherwise, if an entity has a change of address different than what is currently being displayed in AVS, users should add a new address for the entity

1. Click on the Entity Module button to access the Entity Page.
2. Retrieve the entity record. Refer to the search procedures detailed in How to search for an Entity.
3. Click on the Entity Details tab, Addresses, to display the address information for the selected entity.
4. Locate the address record you wish to delete. Click on <Delete> on the right side of the record.
5. To make sure you have selected the desired records, AVS asks, "Delete this Record?" If you are sure, click on <Yes>.
6. AVS will then return to the Entity Page and display the entity record. Under the Entity Details tab Addresses, the deleted information will be not be displayed.
7. Click on any Module button to begin a new task.

### How to view Entity relationship information

1. Click on the Entity Module button to access the Entity Page.
2. Retrieve the entity record. Refer to the search procedures described in the How to search for an Entity section of this guide.
3. Click on the Entity Details tab Relationships. The entity relationship information is then displayed for viewing. Every column in the relationships tab can be sorted by clicking on the column headings.
4. Click on any Module button to begin a new task.

### How to add Entity relationship information

**Suggestion:** To follow the steps below for creating a relationship in AVS, users must have the entity numbers of the relationships before the steps below will work. Using entity numbers instead of conducting searches within the process will make this task easier and quicker to perform. You are also encouraged to refer to the Data Entry Standards section of this guide before performing this task.

1. Click on the Entity Module button to access the Entity Page.
2. Retrieve the entity record for which you wish to add relationship information. Use the search procedures described in the How to search for an Entity section of this guide.
3. Once the entity record is displayed, click on the Entity Details tab Relationships.
4. Click on <Add Relationship>.
5. AVS will open a new screen, the New Relationship Page.

- There are two Boxes labeled “Search”. Whichever the user clicks first will auto-populate the “Working Entity”, the entity you have selected. If the entity you are working on is the Parent entity click the Parent Entity search box first, if the entity you are working on is the related entity click the search box by Related Entity first.
- A new pop up will appear. If an entity number auto-populates, simply click search. If the white search box is blank enter the entity name or number and click search.

006825 is selected.

6825

ID	Entity Name	Suffix	First	Middle	Lock	Type	
006825	Johnson & Associates Inc				N	1	Select

- First press the green “Select” button next to your desired entity’s name, boxed in green above. When you press select your record will be highlighted in light gray. If searching by an entity number there should be only one record in your list. If searching by name there may be multiple records returned. Be sure to select the correct entity.

9. Press the larger green select button below your record to confirm your selection. Your selection should appear next to either Parent Entity or Related Entity as appropriate.
10. Repeat steps 6 through 9 for whichever relationship (Parent or Related) that you did not initially enter.
11. Choose the relationship type from the dropdown.
  - If no relations option fits your needs the AVS Office recommends “Corporate Officer” and entering in the actual title in the “Extended Description” box.
  - If you select one of the ownership relationships (Owner, Shareholder, Member, Partner) a box to enter the ownership percentage will appear. You can enter ownership up to two decimal points.
  - Controller is an available relationship description code that may be used to reflect a relationship. This term has sometimes caused confusion among users. Using the relationship code “Controller” as an Entity relationship description means a position analogous to a Chief Financial Officer. If an entity relationship meets the regulatory definition of control or controller at 30 CFR 701.5 where a regulatory finding of control has been made of all or any aspect of the mining operation, the entity relationship will display a “FAD” code under the Hold Column of the relationship which indicates a regulatory authority has made a finding of control.
12. Enter the begin date of relationship.
13. Click <Save>. If you have entered the information correctly, AVS will display Good Save in the pop window.
14. If you need to create more relationships for this entity, click one or both of the “Clear” buttons in the New Relationship pop up. This will clear out the previously searched entities and allow you to search for new entities.
15. When finished click on <Close Window>.
16. Click on any Module button to begin a new task.

**How to update Entity relationship information**

1. Click on the Entity Module button to access the Entity Page.
2. Retrieve the entity record. Refer to the search procedures detailed in the How to search for an Entity section of this guide.
3. Click on the Entity Details tab Relationships to view the relationship information.
4. Click on the green <Edit> button to the left of the record you wish to update.
5. Perform the relationship updates.
6. When you have finished your updates, click on <Update>.
7. AVS will then return to the Entity Page for the selected entity showing the updated relationship information.
8. Click on any Module button to begin a new task.

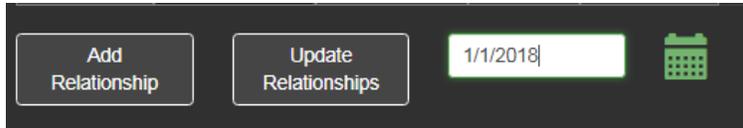
**How to end multiple Entity relationships at once**

This feature is best used for situations like mergers or name changes when all entities must be ended on the same day. It can also be useful if an individual needs to be ended from all their business relationships on the same day such as retirement. In this case go to the individual’s entity record.

1. Click on the Entity Module button to access the Entity Page.
2. Retrieve the entity record. Refer to the search procedures detailed in the How to search for an Entity section of this guide.
3. Click on the Entity Details tab Relationships to view the relationship information.
4. Check the small boxes to the right of the edit button for every entity you wish to end on the same day

Edit	<input checked="" type="checkbox"/>	006825
Edit	<input checked="" type="checkbox"/>	006825
Edit	<input type="checkbox"/>	006825
Edit	<input checked="" type="checkbox"/>	006825

5. Once your entities are all selected, use the calendar icon or type the end date into the white box above all the relationships.



6. Click the Update Relationships button. If there are no errors a pop up notification “Relationships Updated Successfully” will appear. If there is an error there will be a pop up indicating that the update failed.

### **How to delete Entity relationship information**

1. Click on the Entity Module button to access the Entity Page.
2. Retrieve the entity record. Refer to the search procedures detailed in the How to search for an Entity section of this guide.
3. Click on the Entity Details tab Relationships.
4. Click on <Delete> at the right side of the relationship you wish to delete.
5. AVS will ask, “Delete this record?”
6. Make sure it is the relationship you wish to delete; then, click on <Yes>.
7. AVS will return to the Entity Page to show the deleted relationship is no longer displayed for the selected entity.
8. Click on any Module button to begin a new task.

### **How to view an Application record from the Entity Page**

Application records can be retrieved and viewed from the Entity Page for a summary of information.

1. Click on the Entity Module button to access the Entity Page.
2. Retrieve the entity record. Refer to the search procedures detailed in the How to search for an Entity section of this guide.
3. Click on the Entity Details Tab, Applications. An application record will be displayed only if your selected entity is in the application record as an applicant, an operator, an auger operator, a contractor, or a controller.
4. Click on <Select> next to the application record which you wish to view.
5. The selected application record is displayed.
6. Click on any Module button to perform another task.

### **How to view a Permit record from the Entity Page**

Like application records, permit records also can be retrieved and viewed from the Entity Page.

1. Click on the Entity Module button to access the Entity Page.
2. Retrieve the entity record. Refer to the search procedures detailed in the How to search for an Entity section of this guide.
3. Click on the Entity Details tab, Permits. A permit record will be displayed only if your selected entity is shown in the permit record as the permittee, an operator, an auger operator, a contractor, or a controller.
4. Click on <Select> next to the application record you wish to view.
5. The selected application record is retrieved for viewing.
6. Click on any Module button or tab key to perform another task.

### **How to view a comment in an Entity record**

1. Click on the Entity Module button to access the Entity Page.
2. Retrieve the entity record. Refer to the search procedures detailed in How to search for an Entity.
3. Click on the Entity Details tab, Comments.
4. If there is an entry in the comment field for the selected entity, it will be displayed.
5. Click on any Module button or tab key to perform another task.

### **How to add a comment in an Entity record**

1. Click on the Entity Module button to access the Entity Page.
2. Retrieve the entity record. Refer to the search procedures detailed in How to search for an Entity.
3. Click on the Entity Details tab, Comments.
4. Beneath Comments, click on <Add Comments>.
5. Enter the comment information for the entity.
6. Click on <Save>. The added comment is saved.
7. Click on any Module button or tab key to perform another task.

### **How to update a comment in an Entity record**

1. Click on the Entity Module button to access the Entity Page.
2. Retrieve the entity record. Refer to the search procedures detailed in How to search for an Entity.
3. Click on the Entity Details tab, Comments.
4. Click on <Edit> next to the comment record. Edit the comment information.
5. Click on <Update>. The updated comment is saved.
6. Click on any Module button to perform another task.

### **How to delete an Entity comment**

1. Click on the Entity Module button to access the Entity Page.
2. Retrieve the entity record. Refer to the search procedures detailed in How to search for an Entity.
3. Click on the Entity Details tab, Comments.
4. Click on <Delete> next to the comment record.
5. AVS will ask, "Delete this?"
6. Make sure it is the comment information you wish to delete, and Click on <OK>. The comment is deleted.
7. Click on any Module button to perform another task.

## How to evaluate an Entity

All users are able to evaluate an entity. Evaluating an entity will show you all violations linked to that entity and its related entities which can be very useful. However, it **does not** constitute a 510 (C) check which must be completed in the **Application Module** to account for permit specific relationships.

1. Click on the Entity Module button to access the Entity Page.
2. Retrieve the entity record you wish to evaluate. Use the search procedures described in the How to Search for an Entity section of this Guide.
3. Click on <Evaluate> from the Entity Module button drop-down menu.
4. AVS opens a new screen with the results of the evaluation, an Entity Evaluation Report. AVS will either display a message of no violations or generate a list of violations associated with the entity. AVS will also display an Evaluation OFT.<sup>4</sup>
5. If the entity is associated with violations, you can view the Violation OFT<sup>5</sup> associated with each violation by clicking on any violation number in the list of violations. Violation numbers are underlined in the 2<sup>nd</sup> column. An asterisk (\*) beside an entity listed in the Violation OFT denotes how the violation is being linked to the permit you are evaluating.
6. When you are finished viewing, click on the red box with the white "X" in the far right corner of your web browser screen. This takes you back to the Evaluation Report.
7. To print the Evaluation Report, click on <Print Report> at the top left side of screen.
8. Close the evaluation screen. The icon to close the screen is the red box with the white X in the upper right corner of your web browser screen.
9. Click on any Module button to perform another task.

The following Entity Page procedures concern Evaluation Narratives.

**IMPORTANT:** The ability to use AVS to request, retrieve, or print an Evaluation Narrative is restricted to a limited number of authorized State and Federal officials.

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<sup>4</sup> An Evaluation OFT is a display of all the relationships being evaluated during the process.

<sup>5</sup> A Violation OFT is a listing of entities associated with a violation.

## How to request an Entity Evaluation Narrative report

### What is an Evaluation Narrative?

An Evaluation Narrative is a post-system evaluation performed by OSM's AVS Office at the request of a State or Federal regulatory authority. It is derived from researching the effects of payment plans, settlement agreements, reclamation agreements and bankruptcy on the AVS evaluation results. The Evaluation Narrative is used by State regulatory authorities and AML contracting officers to assist in their determination of permit and AML contractor eligibility.

1. Click on the Entity Module button to access the Entity Page.
2. Retrieve the entity record in which you wish to evaluate using the search procedures described in the How to Search for an Entity section of this Guide.
3. Click on <Evaluate> from the drop-down menu in the Entity Module button. An evaluation report will appear.
4. Click on <Request Narrative> located in the bottom left corner of the evaluation screen.
5. AVS acknowledges your request with the message, Pending Narrative, in the upper right of the Entity Page.
6. To confirm that that your request is received, go to the Home Module's Home Page to view your request as a Narrative Pending.
7. The AVS Office will prepare the Evaluation Narrative report in response to your request and post it on AVS generally within the same day of your request.

## How to retrieve an Entity Evaluation Narrative report

Following is how to retrieve and print an Evaluation Narrative from the Entity Page.

1. Click on the Entity Module button to access the Entity Page.
2. Retrieve the entity record in which you wish to evaluate using the search procedures described in the How to Search for an Entity section of this Guide.
3. From the Entity Module button, hover on <Evaluate> drop-down menu.
4. Click on <Report>.
5. Click on <Select> next to the correct record to view the Evaluation Narrative.<sup>6</sup>
6. Click on <Print> next to the correct record to print the Evaluation Narrative. **NOTE:** The Evaluation Narrative will not print if the AVS Office has not completed the Evaluation Narrative report.
7. AVS will not display or print an Evaluation Narrative if the AVS Office has not completed the Evaluation Narrative report.
8. Click on any Module button to perform another task.

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<sup>6</sup> If you need assistance in interpreting the results of an evaluation or evaluation narrative, please contact the AVS Office at 1.800.643.9748 or avshelp@osmre.gov.

## **Application Module**

### **What is the Application Module?**

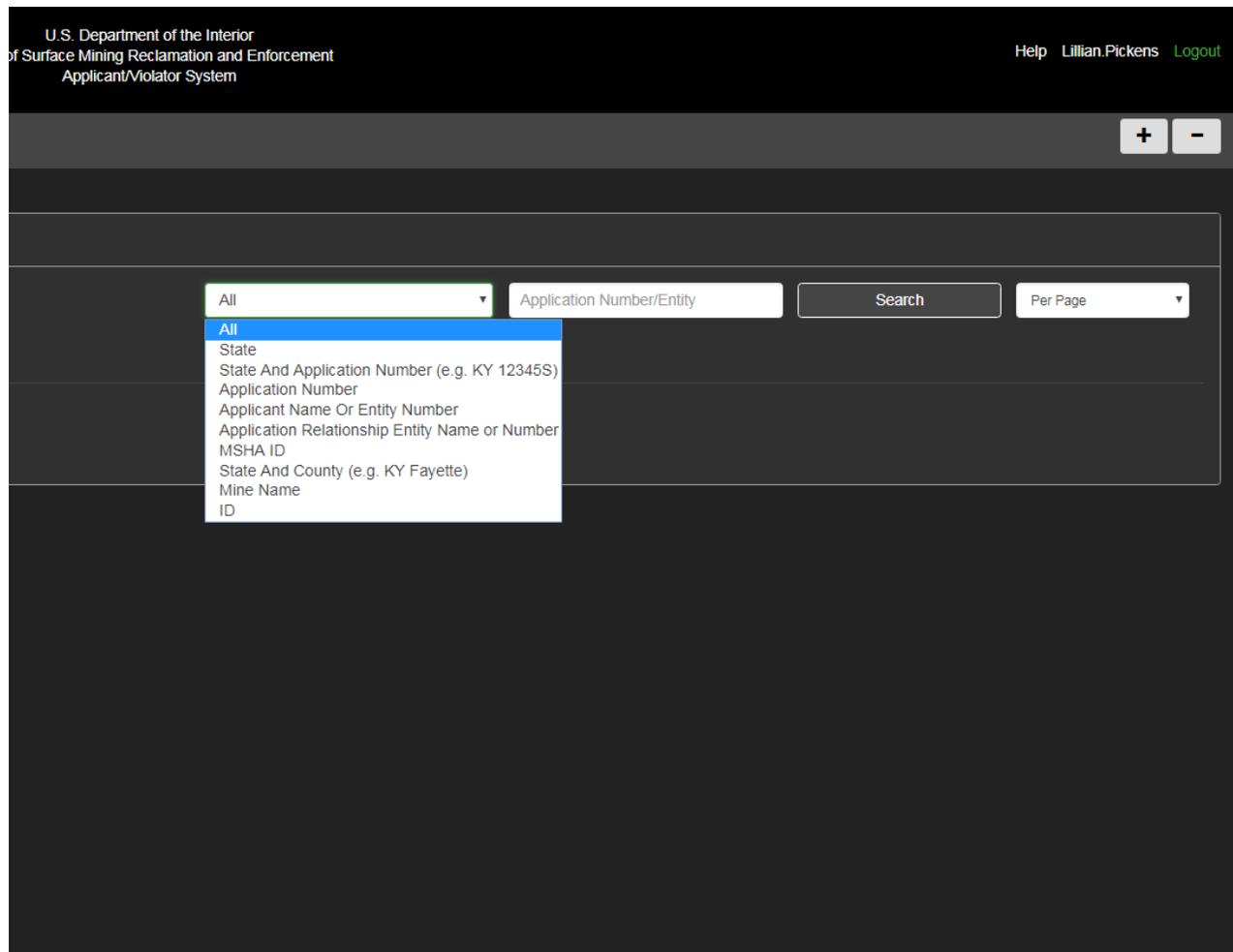
The Application Module is where records for new, revision, amendment, renewal and transfer applications for permits are created, updated, and from which permit records are created once an application is approved and a permit is granted. In AVS, the user is able to view the history of surface coal mining applications submitted under the Federal program and under States' permanent programs. In addition, there are records of certain interim program applications where the subsequent permit was responsible for unabated and uncorrected violations at the time application and permit data was initially collected for AVS operation in 1986-87.

### **What can I do in the Application Module?**

The opening screen in the Application Module is the Application Page. From the Application Page, all users can view all types of application records. Use the Application Details tabs to view details of an Application record. Only authorized State and Federal users can create, update, or delete application records, data in the records, permit-specific relationships, or application comments.

### **How to search for an Application record**

Users can search for an application record by State; by State and Application Number; by Application Number; by Applicant Name or Entity Number; Application Relationship Entity Name or Number; by MSHA ID; by State and County of mine; or by Mine Name. If you search by entity name, we recommend you enter only a partial name ("character string") to maximize your Search Results, especially if you are unsure of the name itself or the spelling of the entity name. See Screen Shot below that identifies all the options for searching for application records.



1. Click on the [Application Module button](#) to access the Application Page.
2. At the [Application Page](#), click on the box next to “Find By” and select a search option, enter your search parameters in the search text box. When you are finished, click on <Search> or press the <Enter> key. You can use (\*) for a wildcard search when a search option other than “All” is selected.
3. Depending on your search parameters, a list of applications may appear.
4. Click on <Select> next to the application record you wish to view. AVS will highlight the selected record in and the application record will be displayed on the left side of the screen. To view another record from the Search Results, click on <Select> next to the application you wish to view.
5. To begin a new search, click inside of the search text box to clear the previous parameters. Clicking on the Application Module button also will result in a blank search text box.

6. Click on any Module button to begin a new task.

### **How to create a new Application record**

1. Click on the Application Module button to access the Application Page.
2. Always search the Application Module for your application number before creating a new application to make sure you are not creating a duplicate.
3. Click on <new> in the Application Module button drop-down menu to create a record of an application for a new permit. **Do not use <new> to create any other type of application record except for an application for a brand new mining permit.** All applications transfers, renewals, revisions, etc. will be created in an existing sequence. See the “How To Create Amendment, Renewal, Revision, or Transfer Application” section of this guide.
4. The next screen asks for information from the hard-copy application. All fields notated with an asterisk, (\*), must be populated with data.
5. Enter the application number.
6. The State field is automatically filled based on your login ID.
7. In the Applicant field, click on <Search> and enter either the name or entity number of the applicant. Press <Enter> or click on <Search>.
8. From the Search Results, click on <Select> next to the entity for which you wish to create a record for a new application. The selected record will be highlighted.
9. Select the Mine Type from the dropdown. The mine type indicates what the future intention of the mining permit will be if approved. If the mine type is not reflected or the application proposed more than one type select “Other” and enter the type in the custom box that appears.

The screenshot shows a web-based application form with the following fields and options:

- \*Application Number: [Text Input]
- \*State: KY|KENTUCKY [Dropdown]
- \*Search Applicant: [Button]
- \*Status: Undergoing Review [Dropdown]
- \*Application Type: NEW [Text]
- \*Mine Type: [Dropdown Menu]
  - PRODUCING
    - Underground
    - Highwall
    - Surface
    - Refuse Reprocessing
    - Other
  - NON-PRODUCING
    - Prep plant
    - Haul Road
    - Refuse Disposal
    - Reclamation Only
    - Other
- Mine Name: [Text Input]
- Mine County: [Text Input]
- MSHA ID: [Text Input]
- Indian Lands: [Text Input]
- Acres: [Text Input]
- \*Search Entity: [Button]
- Begin Date: [Text Input] [Calendar Icon]

10. If there is no permit-specific relationship information for the new application record, click on <Save>. Note: Permit-specific relationships in AVS describe business and individual relationships to an application or permitted operation and do not extend to other operations of the same applicant/permittee. Permit-specific relationship information in an application or permit record is limited to that application or permit. Permit-specific relationships include operators, contractors, auger operators, and controllers.<sup>7</sup>
11. If there is permit-specific relationship information included in the new application, enter it into the application record.
12. Enter permit-specific relationship information using the Application Details tab, Entities. Click on the Entities tab. Search for the entity to attach to the application record as a permit-specific relationship. You may search by name or entity number.
13. From the Search Results, click on <Select> next to the entity that is the permit-specific relationship. The selected record is highlighted. Click on <Save>.
14. Enter the beginning date (MM/DD/YEAR) of the relationship.
15. Select the Relationship Type from the drop-down menu. After you have selected, click on <Save>.
16. In the next screen, AVS may produce a list of application records that appear to match the identification number of the new application. If this occurs, check the listed application records to be certain the application you wish to create does not already exist. If you think it maybe a duplicate, click on <GoTo> next to the application record and the system will take you back to the Application Details screen.

<sup>7</sup> Use of the relationship description Controller on an application/permit record meets the regulatory definition of *control or controller* at 30 CFR 701.5 where a regulatory authority has determined an entity controls all or any aspect of the mining operation.

17. If you determine the new record is not a duplicate or AVS does not produce a potential duplicate, click on <Continue>. After a final check, click on <Save>.
18. If AVS detects no problems with the new application record, it will produce the message, Good Save. Click on <Continue>.
19. The new application record you created will appear in the next screen.
20. Click on any Module button to begin a new task.

### **How to update an Application record**

Authorized users can update an application record only for a pending application. After a permit record has been created in AVS and you want to update information in the application record, you must contact the AVS Office.

1. Click on the Application Module button to access the Application Page.
2. Retrieve the application record. Use the search procedures detailed at pages 25 and 26 of this Guide, How to search for an Application record.
3. From the Application Module button drop-down menu, click on <Update>.
4. The next screen is the Application Update Page.
5. Make your changes or enter additional data. Click on <Save>.
6. Barring any detected problems, AVS will display the message, Good Save.
7. Click on <Continue>.
8. The next screen displays the application record with the updated information.
9. Click on any Module button to begin a new task.

### **How to delete an Application record**

1. Click on the Application Module button to access the Application Page.
2. Retrieve the application record. Use the search procedures detailed at pages 25 and 26 of this Guide, How to search for an Application record.
3. From the Application Module button drop-down menu, click on <Delete>.
4. The next screen is the Application Delete Page.
5. AVS will display, Confirm You Want To Delete This Application.
6. Click on <Delete> or <Cancel>.
7. If you click on <Delete> AVS will display, This application was deleted.
8. Click on any Module button to begin a new task.

### **How to view permit-specific relationships in an Application record**

Permit-specific relationships in AVS describe business and individual connections to an application or permitted operation and do not extend to other operations of the same applicant/permittee. Permit-specific relationship information in an application or permit record is limited to that application or permit. In AVS, permit-specific relationships are operators, contractors, auger operators, and controllers.<sup>8</sup>

1. Click on the Application Module button to access the Application Page.
2. Retrieve the application record. Use the search procedures detailed at pages 25 and 26 of this Guide, How to search for an Application record.
3. When you have retrieved the application record, click on the Application Details tab, <Entities>.
4. The permit-specific relationships attached to the application record will be displayed, if there are any.
5. Click on any Module button to begin a new task.

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<sup>8</sup> Use of the relationship description Controller on an application/permit record meets the regulatory definition of *control or controller* at 30 CFR 701.5 where a regulatory authority has determined an entity controls all or any aspect of the mining operation.

## How to add permit-specific relationships to an Application record

**IMPORTANT:** Operators may link the applicant or permittee to violations through their other operations. Operators should be evaluated in the entity module by State and Federal Regulators before being added to permits to verify compliance.

1. Click on the Application Module button to access the Application Page.
2. Retrieve the application record. Use the search procedures detailed at in the How to search for an Application Record section of this guide.
3. Click on the Application Details tab <Entities>.
4. Click on <Add New Relationship>.
5. In the Add New Relationship screen, click on <Search > in the Entity field. Enter the entity number or business name or individual name of the entity you wish to add as a permit-specific relationship. Press <Enter> or click on <Search>.
6. If you searched on a name, the Search Results may be a list of records. Click on <Select> next to the desired record. AVS will highlight the record. Click on <Save>.
7. The entity name and number you selected and saved will appear in the Entity field as the permit-specific relationship you wish to add to the application record.
8. Enter the Begin Date (MM/DD/YEAR) for the relationship.
9. Select the Relationship Type from its drop-down menu.
10. If AVS detects no problems, it will display Good Save at the top left corner of the screen. You can view the added permit-specific relationship by clicking on the Application Details tab <Entities.>
11. Click on any Module button to begin a new task.

### **How to update permit-specific relationships in an Application record**

1. Click on the Application Module button to access the Application Page.
2. Retrieve the application record. Use the search procedures detailed in the How to search for an Application Record section of this guide.
3. When you have retrieved the application, click on the Application Details tab, <Entities>.
4. Click on <Edit> next to the permit-specific relationship you wish to update.
5. After making your changes or adding data, click on <Update>. The next screen displays the updated permit-specific relationship in the application record.
6. Click on any Module button to begin a new task.

### **How to delete permit-specific relationship in an Application record**

**IMPORTANT:** Do not delete permit specific relationships unless they were made in error. To reflect that the relationship has ended, update the relationship to add an end date.

1. Click on the Application Module button to access the Application Page.
2. Retrieve the application record. Use the search procedures detailed in the How to search for an Application Record section of this guide.
3. When you have retrieved the application, click on the Application Details tab <Entities>.
4. Click on <Delete> next to the permit-specific relationship you wish to delete.
5. AVS will ask, "Delete This?"
6. If you are certain you wish to remove the permit-specific relationship, click on <Yes>.
7. The next screen shows the selected permit-specific relationship has been removed from the application record.
8. Click on any Module button to begin a new task.

## How to create an Amendment, Renewal, Revision, or Transfer Application record

1. Click on the Application Module button to access the Application Page.
2. Retrieve the application record for which you wish create an amendment, renewal, or transfer application record. Use the search procedures detailed in the How to search for an Application Record section of this guide.
3. After retrieving the application record, click on the Application Details tab, <Applications>.
4. Click on <New Application in Sequence>.
5. The next screen asks for information from the hard-copy application. All fields notated with an asterisk, (\*), are **required** fields and must be populated with data.
6. Enter the application number.
7. The State field is automatically filled based on your login id.
8. In the applicant field (the applicant for a transfer application is the entity that the application is transferred to), click on <Search> and enter either the name or entity number of the applicant. If you entered an entity number, press <Enter>. If you entered a name, click on <Search>.
9. If you searched by name, the Search Results may be list of applications that appear to meet your search parameters.
10. Click on <Select> next to the entity who is designated as your applicant. The selected record will be highlighted.
11. Once you have identified the applicant in the applicant field, click on <Save>.
12. Enter the application information into the data fields.
13. Enter the Application Status. Select from the drop-down window. Status choices are Undergoing Review, Deny, or Withdrawn. The default is Undergoing Review.
14. Select the Application Type from the drop-down window. Select among Amendment, Renewal, Revision, Transfer or Special.<sup>9</sup>
15. Attach any permit-specific relationship information into the amendment, renewal, or transfer application record. First, carry forward any permit-specific relationship

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<sup>9</sup> The Application Type Special is sometimes used to reflect a reclamation only permit, coal exploration permit, or to indicate a transfer of ownership or control where the permittee does not change new permit revisions, permit renewals, permit amendments and permit transfers. Sequence 0 is the first permit issuance, and sequences will be continually added for the life of the mine. Following are the steps to view Application history records.

information from the current application sequence that remains accurate. Second, use the Application Details tab, Entities, to enter any new or outdated permit-specific relationship information has not been carried forward.

16. Click on the Carry Forward box to show a check-mark if there are no changes in the permit-specific relationship information carried forward from the previous application sequence. Click on <Save>.
17. If there are changes in the permit-specific relationship information, use How to Add a Permit-Specific relationship to an Application record, or How to Update a Permit-Specific Relationship in an Application record at pages 29 and 30; whichever is applicable to show accurate information from the hard-copy amendment, renewal, or transfer application. Once you have added and/or updated permit-specific relationship information, click on <Save>.
18. In the next screen, AVS may produce a list of application records that appear to match the identification number of the amendment, renewal, or transfer application. If this occurs, again review the listed applications to make sure the application you wish to create does not already exist. If you think it maybe a duplicate, click on <GoTo> next to the application record and the system will take you back to the Application Detail tab screen for Applications. The record you created will not be saved.
19. If you determine the record you created is not a duplicate or AVS does not produce a potential duplicate, click on <Continue>. Then, click on <Save>.
20. If AVS detects no problems with the amendment, renewal, or transfer application record, it will produce a message, Good Save
21. The amendment, renewal, or transfer application record you created will be displayed in the Application Page screen.
22. Click on any Module button to begin a new task.

### **How to view Application history records**

One very significant benefit of the AVS concept is the retention of the history of permitting actions for all permanent program applications and permits. We devised a method of chronological application sequences to allow regulatory authorities and other interested users to view multiple applications submitted by the same surface coal mining operator. The most recent permitting action displays first when you search for an application, but last in the lower Applications Details tab. The application types included in the sequencing are New (always sequence 0), Renewals, Transfers, Revisions, Special, and Amendments.

1. Click on the Application Module button to access the Application Page.
2. Retrieve the application record. Use the search procedures detailed in the How to search for an Application Record section of this guide.
3. Click on the Application Details tab, <Applications>.
4. The next screen will display the application history records (all sequences) for the selected application record.
5. Click on <Select> next to any application record in the history of an application that you wish to view.
6. Click on any Module button to begin a new task.

### **How to view permit history records from the Application Page**

As with application history records in AVS, permit history provides regulatory authorities and other interested users with records that show the history of permitting actions on every permanent program permit and the status of the permit and performance bond. Go to the Permit Module for more details on permit records in AVS.

1. Click on the Application Module button to access the Application Page.
2. Retrieve the application record. Use the search procedures detailed in the How to search for an Application record section of this guide.
3. Click on the Application Details tab <Permits>.
4. The next screen will display the permit history records (all previous sequences) for the selected application record.
5. Click on <Select> next to any permit record in the history of an application that you wish to view.
6. Click on any Module button to begin a new task.

### **How to view application comments in an Application record**

1. Click on the Application Module button to access the Application Page.
2. Retrieve the application record. Use the search procedures detailed in the How to search for an Application Record section. Click on the Application Details tab <Comments>.
3. The next screen will display the comment field and any comments for the selected application record.
4. Click on any Module button to begin a new task.

### **How to add comments to an Application record**

1. Click on the Application Module button to access the Application Page.
2. Retrieve the application record. Use the search procedures detailed in the How to search for an Application Record section.
3. Click on the Application Details tab <Comments>.
4. Click on <Add Comments> next to the application record to which you wish to add a comment.
5. Enter the comment for the application and any required data. Click on <Save>.
6. The next screen will display the application record showing the added comment.
7. Click on any Module button to begin a new task.

### **How to update comments in an Application record**

1. Click on the Application Module button to access the Application Page.
2. Retrieve the application record. Use the search procedures detailed in the How to search for an Application Record section of this guide.
3. Click on the Application Details tab <Comments>.
4. Click on <Edit> next to the application record for which you wish to update the comment.
5. Update the comment field. Click on <Update>.
6. The next screen will display the application record with the updated comment.
7. Click on any Module button to begin a new task.

### **How to delete comments from an Application record**

1. Click on the Application Module button to access the Application Page.
2. Retrieve the application record. Use the search procedures detailed in the How to search for an Application Record section of this guide. Click on the Application Details tab <Comments>.
3. Click on <Delete> next to the application record from which you wish to delete a comment.
4. AVS will ask, "Delete This?"
5. Make sure it is the comment information you wish to delete. Click on <Save>.
6. The next screen displays the application record showing the comment removed.
7. Click on any Module button to begin a new task.

### **How to evaluate an Application record**

Evaluating an application record in AVS refers to the system operation that uses the records directly created in AVS and certain OSM data feeds to provide an output as to whether the application is associated with any unabated or uncorrected Federal or State violations.

1. Click on the Application Module button to access the Application Page.
2. Retrieve the application record. Use the search procedures detailed in the How to search for an Application Record section of this guide.
3. From the Application Module button drop-down menu, click on <Evaluate>.
4. AVS opens a new screen with the results of the evaluation, an Application Evaluation report. AVS will either display a message of no violations or generate a list violations associated with the applicant and application. AVS will also display an Evaluation OFT.<sup>10</sup>
5. If the applicant and application are associated with violations, you can view the Violation OFT<sup>11</sup> associated with each violation by clicking on any violation number in the list of violations. Violation numbers are underlined in the 2<sup>nd</sup> column. The system will open a new tab. An asterisk (\*) beside an entity listed in the Violation OFT denotes how the violation is being linked to the application you are evaluating. When you are finished viewing, close the tab.

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<sup>10</sup> An Evaluation OFT is a display of all the relationships being evaluated during the process.

<sup>11</sup> A Violation OFT is a listing of all relationships that are associated to a violation.

6. To go to any permit with a violation click the hyperlinked permit number.
7. To PRINT the Evaluation report, click on <Print Report> button at the top left side of screen.
8. Click on any Module button to begin a new task

**IMPORTANT:** The following procedures in the Application Module concern Evaluation Narratives. Although all users are able to evaluate an application, the ability to use AVS to request, retrieve, or print an Evaluation Narrative is restricted to a limited number of authorized State and Federal officials.

### **How to request an Application Evaluation Narrative Report**

#### What is an Evaluation Narrative?

An Evaluation Narrative, whether following an evaluation of an entity, application, applicant, permit, permittee, operator, or other entity, is a post-system review performed by OSM's AVS Office. It is derived from researching the effects of payment plans, settlement agreements, and reclamation agreements on the AVS evaluation results. The Evaluation Narrative is used by State regulatory authorities and AML contracting officers to assist in their determination of permit and AML contract eligibility.

1. Click on the Application Module button to access the Application Page.
2. Retrieve the application record you wish to evaluate by using the search procedures detailed in the How to search for an Application Record.
3. Click on <Evaluate> from the drop-down menu in the Application Module button. An evaluation report will appear.
4. Click on <Request Narrative> located in the bottom left corner of the evaluation screen.
5. AVS acknowledges your request with the message, Pending Narrative in the upper right of the Application Page.
6. To confirm that that your request is received, go to the Home Page to view your request as a Narrative Pending.
7. The AVS Office will prepare the Evaluation Narrative in response to your request within 2 business days.

## How to retrieve an Application Evaluation Narrative report

Following is one method to retrieve and print an Evaluation Narrative from the Application Module.

1. Click on the Application Module button to access the Application Page.
2. Retrieve the application record. Use the search procedures detailed in the How to search for an Application Record section.
3. Click on <Select> next to the correct application record if more than appears.
4. Click on the Application Module button.
5. From the drop-down menu, hover on <Evaluate>. Click on <Report>.
6. Click on <Print> next to the correct record to print the Evaluation Narrative. **NOTE:** The Evaluation Narrative will not print if the AVS Office has not completed the Evaluation Narrative report.
7. Click on any Module button to perform another task.

## How to create the Permit record from an Application record

After the 510 (c) check of evaluating the permit application, a permit may be issued. Once a permit is issued by a regulatory authority, the regulatory authority must create a permit record in AVS. A permit record is built from an existing application record.

1. Click on the Application Module button to access the Application Page.
2. Retrieve the application record. Use the search procedures detailed in the How to search for an Application Record section.
3. From the Application Module button drop-down menu, select < Issue Permit >.
4. AVS will open a new screen to enter information to create the permit record.
5. Enter the data for your issued permit. All required fields are notated with an asterisk (\*).
6. Issue Permit As is the data field that shows how the permit was issued. Choose either <Issued> or <Provisionally Issued>. Issued means the permit was fully issued. Provisionally Issued means the permit was granted but there are stipulations to the continued approval of the permit. The system default is <Issued>.
7. Enter the Permit Number.
8. Select the bond status. Choose among Active, Released<sup>12</sup>, Settle, or

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<sup>12</sup> By reflecting the bond status as Released, this indicates the bond has achieved Phase III bond release.

Forfeiture. The system default is Active.

9. Enter the permit Issue Date.

10. Enter permit Expiration Date.

11. Click on <Save>.

12. The next screen displayed your newly-created permit record.

13. Click on any Module button to begin a new task.

## Permit Module

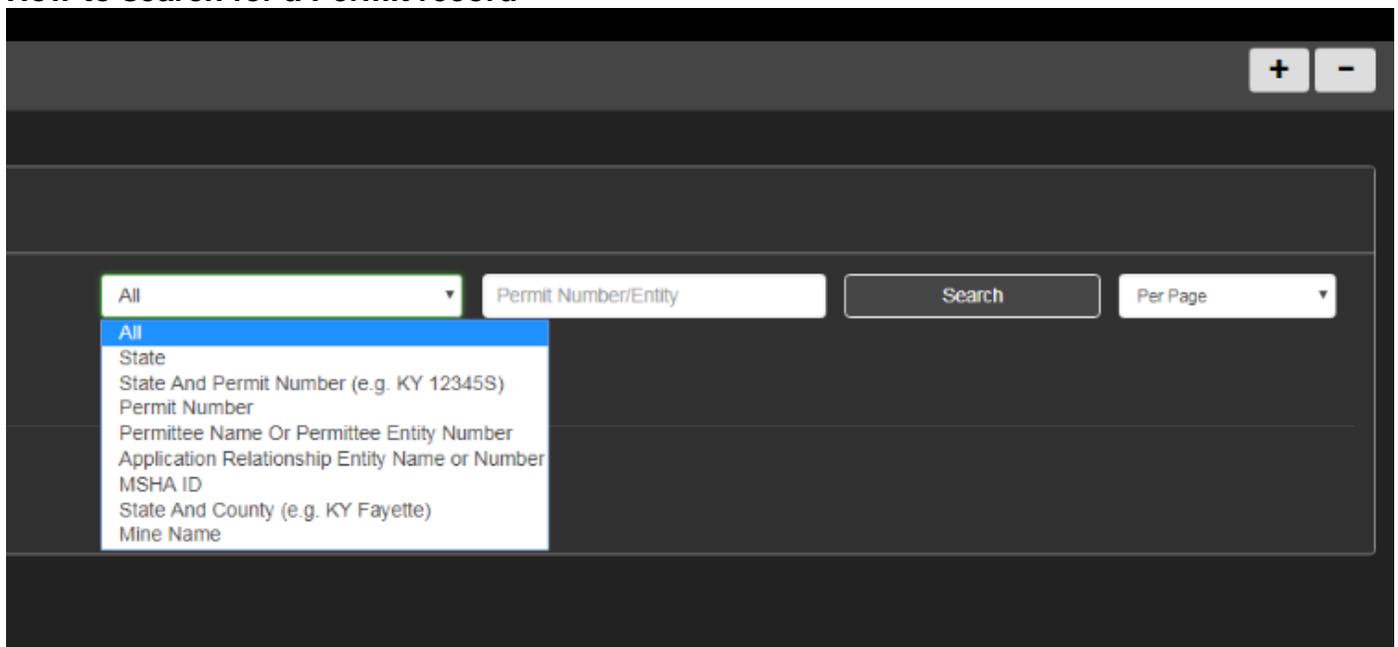
### **What is the Permit Module?**

The Permit Module is where records of issued permits are created and updated. In AVS, the Permit Module retains the history of surface coal mining permits granted since a State program's approval as well as records of certain interim program permits where there remained unabated and uncorrected violations cited on a permit at the time of initial information collection for AVS operation in 1986-87.

### **What can I do in the Permit Module?**

The opening screen in the Permit Module is the [Permit Page](#). From the Permit Page, all users can view permit records, including permit-specific relationships. Authorized State and Federal users can also update permit records, permit-specific relationships, and comments in the permit record.

### **How to search for a Permit record**



Users can search for a permit record by State; by State and Permit number; by Permit Number; by Permittee Name or Permittee Entity Number; by Application Relationship Entity Name or Number; by MSHA ID; by State and County; or by Mine Name. If you search by entity name, we recommend you enter only a partial name (“character string”) to maximize your Search Results, especially if you are unsure of the entity name itself or the spelling of the entity name. See Screen Shot below that identifies all the options for searching for permit records.

1. Click on the [Permit Module button](#) to access the Permit Page.
2. At the [Permit Page](#), click on the box next to “Find By” and select a search option, enter your search parameters in the search text box. You can use the Wildcard search function when any search option but “All” is selected. When you are finished, click on <Search> or press the <Enter> key.
3. Click on <Select> next to the permit record you wish to view. AVS will highlight the selected record and the permit record is displayed on the left side of the screen. To view another record from the Search Results, click on <Select> next to the permit you wish to view.
4. To begin a new search, click inside of the search text box to clear the previous parameters. Clicking on the Permit Module button also will result in a blank search text box.
5. Click on any Module button to begin a new task.

#### **How to create a new Permit record**

A permit record can only be created from an existing record for a pending application. The instructions on how to create a permit record is in the [Application Module](#) section called “How to create the Permit Record from an Application Record”.

#### **How to update a Permit record**

1. Click on the [Permit Module button](#) to access the Permit Page.
2. Retrieve the permit record for which you wish to update. Use the search procedures detailed in the How to search for a Permit record section of this guide.
3. From the Permit Module drop-down menu, click on <Update>.
4. Make changes or enter additional data. Click on <Save>.
5. Barring any detected problems, AVS will display [Permit Updated](#).
6. Click on <Continue>.
7. The next screen displays the permit record with the updated information.
8. Click on any Module button to begin a new task.
- 9.

#### **How to view permit-specific relationships in a Permit record**

Permit-specific relationships in AVS describe business and individual connections to an application or permitted operation and do not extend to other operations of the same applicant/permittee. Permit-specific relationship information in an application or permit record is

limited to that application or permit. In AVS, permit-specific relationships are operators, contractors, auger operators and controllers.<sup>13</sup>

1. Click on the Permit Module button to access the Permit Page.
2. Retrieve the permit record. Use the search procedures detailed at in the How to search for a Permit Record section of this guide.
3. When you have retrieved the permit record, click on the <Entities> tab at the bottom of the permit record.
4. The permit-specific relationships for the permit will be displayed if there are any.
5. Click on any Module button to begin a new task.

### **How to add permit-specific relationships to a Permit record**

**IMPORTANT:** Operators may link the applicant or permittee to violations through their other operations. Operators should be evaluated in the entity module by State and Federal Regulators before being added to permits to verify compliance.

1. Click on the Permit Module button to access the Permit Page.
2. Retrieve the permit record. Use the search procedures detailed in the How to search for a Permit Record section of this guide.
3. When you have retrieved the permit record, click on the <Entities> tab beneath the permit record.
4. Click on <Add New Relationship>.
5. Click on <Search> in the Entity field of the Add New Relationship screen, Enter the entity number or business name or individual name of the entity you wish to add as a permit-specific relationship. Press <Enter> or click on <Search>.
6. The Search Results may be a list of records. Click on <Select> next to the desired record. AVS will highlight the record. Click on <Save>.
7. The entity name and number you selected and saved will appear in the Entity field.
8. Enter the Begin Date (MM/DD/YEAR) for the relationship.
9. From the drop-down menu, select the Relationship Type. Choose from operator, auger

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<sup>13</sup> Use of the relationship description Controller on an application/permit record meets the regulatory definition of *control or controller* at 30 CFR 701.5 where a regulatory authority has determined an entity controls all or any aspect of the mining operation.

operator, contractor, or controller. Click on <Save>.

10. If AVS detects no problems, it will display Good Save. The added permit-specific relationship is shown when you click on the Entities tab.
11. Click on any Module button to begin a new task.

### **How to update permit-specific relationships in a Permit record**

1. Click on the Permit Module button to access the Permit Page.
2. Retrieve the permit record. Refer to the search procedures detailed in the How to search for a Permit Record section of this guide. When you have retrieved the permit, click on the <Entities> tab at the bottom of the permit record screen.
3. Click on <Edit> next to the permit-specific relationship you wish to update.
4. After making your changes or adding data, click on <Update>. The next screen displays your updated permit record.
5. Click on any Module button to begin a new task.

### **How to delete permit-specific relationships from a Permit record**

1. Click on the Permit Module button to access the Permit Page.
2. Retrieve the permit record. Refer to the search procedures detailed in the How to search for a Permit record section of this guide.
3. When you have retrieved the permit, click on the <Entities> tab in the lower half of the screen.
4. Click on <Delete> next to the permit-specific relationship you wish to delete.
5. AVS will ask, "Delete This?"
6. If you are certain you wish to remove the permit-specific relationship, click on <OK>.
7. The next screen shows the selected permit-specific relationship has been removed from the permit record.
8. Click on any Module button to begin a new task.

### **How to view Permit history records**

One very significant benefit of the parameters established for AVS operation is the retention of the history of permitting actions for all permanent program permits. The permits in AVS are those issued for surface coal mining operations since the approval of a permanent program for permitting actions including new permits, permit revisions, permit amendments, permit renewals, and permit transfers. All users may view Permit history records. Following are the

steps to view Permit history records.

1. Click on the Permit Module button to access the Permit Page.
2. Retrieve the permit record. Refer to the search procedures detailed in the How to search for a Permit Record section of this guide.
3. Click on the <Permits> tab in the lower half of the screen.
4. The next screen will display the permit history records for the permit.
5. Click on <Select> next to any permit record in the history of a permit that you wish to view.
6. Click on any Module button to begin a new task.

### **How to view application history records from the Permit Module**

Permit history provides regulatory authorities and other interested users with records that show the history of permitting actions on every permanent program permit and the status of the permit and performance bond.

1. Click on the Permit Module button to access the Permit Page.
2. Retrieve the permit record. Refer to the search procedures detailed in the How to search for a Permit record section of this guide.
3. Click on the <Applications> tab in the lower half of the screen.
4. The next screen will display the application history records (all previous sequences) for the selected permit record.
5. Click on <Select> next to any application record in the history of a permit that you wish to view.
6. Click on any Module button to begin a new task.

### **How to view comments in a Permit record**

1. Click on the Permit Module button to access the Permit Page.
2. Retrieve the permit record. Refer to the search procedures detailed in the How to search for a Permit Record section of this guide.
3. Click on the <Comments> tab in the lower half of the screen.
4. The next screen will display the comment field for the permit and any comments.
5. Click on any Module button to begin a new task.

### **How to add comments to a Permit record**

1. Click on the Permit Module button to access the Permit Page.
2. Retrieve the permit record. Refer to the search procedures detailed at in the How to search for a Permit Record section of this guide.
3. Click on the <Comments> tab in the lower half of the screen.
4. Click on <Add Comments> next to the permit record to which you wish to add a comment.
5. Enter the comment and any required data. Click on <Save>.
6. The next screen will display the permit record with the added comment.
7. Click on any Module button to begin a new task.

### **How to update comments in a Permit record**

1. Click on the Permit Module button to access the Permit Page.
2. Retrieve the permit record. Refer to the search procedures detailed at in the How to search for a Permit Record section of this guide.
3. Click on the <Comments> tab in the lower half of the screen.
4. Click on <Edit> next to the permit record to which you wish to add a comment.
5. After making changes, click on <Save>.
6. The next screen will display the permit record with the updated comment.
7. Click on any Module button to begin a new task.

### **How to delete comments from a Permit record**

1. Click on the Permit Module button to access the Permit Page.
2. Retrieve the permit record. Refer to the search procedures detailed in the How to search for a Permit Record section of this guide.
3. Click on the <Comments> tab in the lower half of the screen.
4. Click on <Delete> next to the permit record from which you wish to delete a comment.
5. AVS will ask, "Delete This?"
6. Make sure it the comment information you wish to delete. Click on <Save>.

7. The next screen will display the permit record showing the comment deleted.
8. Click on any Module button to begin a new task.

### **How to evaluate a Permit record**

Evaluating a permit record in AVS means the system programming will use the records created and certain OSM data feeds to provide an output as to whether the permit is associated with any unabated or uncorrected Federal or State violations. This does not constitute a 510 (c) check but may be used during permit mid-term reviews or for other purposes.

1. Click on the Permit Module button to access the Permit Page.
2. Retrieve the permit record. Refer to the search procedures detailed in the How to search for a Permit Record section of this guide.
3. From the Permit Module drop-down menu, click on <Evaluate>.
4. AVS opens a new screen with the results of the evaluation, a Permit Evaluation report. AVS will either display a message of no violations or generate a list violations associated with the permittee and permit. AVS will also display an Evaluation OFT.<sup>14</sup>
5. If the permittee and permit are associated with violations, you can view the Violation OFT<sup>15</sup> associated with each violation by clicking on any violation number in the list of violations. Violation numbers are underlined in the 2<sup>nd</sup> column. The system will open a new tab. An asterisk (\*) beside an entity listed in the Violation OFT denotes how the violation is being linked to the permit you are evaluating. When you are finished viewing the VOFT, close the tab.
6. In the evaluation report, the permits with violations are hyperlinked. You can view expanded permit information by clicking on the permit hyperlink.
7. To print the Evaluation report, click on <Print Report> at the top left side of screen.
8. Click on any Module button to begin a new task.

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<sup>14</sup> An Evaluation OFT is a display of all the relationships being evaluated during the process.

<sup>15</sup> A Violation OFT is a listing of all relationships that are associated to a violation.

## How to request a Permit Evaluation Narrative report

### What is an Evaluation Narrative?

An Evaluation Narrative, whether following an evaluation of an entity, application, applicant, permit, permittee, operator, or other entity, is a post-system evaluation performed by OSM's AVS Office. It is derived from researching the effects of payment plans, settlement agreements, and reclamation agreements on the AVS evaluation results. **IMPORTANT:** Although all users are able to evaluate a permit, the ability to use AVS to request an Evaluation Narrative is restricted to a limited number of State and Federal officials.

1. Click on the Permit Module button to access the Permit Page.
2. Retrieve the permit record you wish to evaluate by using the search procedures detailed in the How to Search for a Permit Record section.
3. Click on <Evaluate> from the drop-down menu in the Permit Module button. An evaluation report will appear.
4. Click on <Request Narrative> located in the bottom left corner of the evaluation screen.
5. AVS acknowledges your request with the message, Pending Narrative will display over the record.
6. To confirm that that your request is received, go to the Home Module to view your request as Narrative Pending.
7. The AVS Office will prepare the Evaluation Narrative in response your request and post it on AVS within two business days.

## How to retrieve a Permit Evaluation Narrative report

Following is how to retrieve and print an Evaluation Narrative from the Permit Module.

1. Click on the Permit Module button to access the Permit Page.
2. Retrieve the permit record you wish to evaluate using the search procedures described in the How to search for a Permit Record section.
3. Click on the Permit Module button.
4. From the drop-down menu, hover on <Evaluate>.
5. Click on <Report>.
6. Click on <Select> next to the correct record to view the Evaluation Narrative.
7. Click on <Print> next to the correct record to print the Evaluation Narrative. **NOTE:** The Evaluation Narrative will not print if the AVS Office has not completed the Evaluation Narrative report.

## **Violation Module**

### **What is the Violation Module?**

The Violation Module provides direct access to violation records in AVS. Below are the types of Federal and State violations that are retrievable in AVS. These violations represent most of the violations and regulatory circumstances that affect permit eligibility under the Surface Mining Act, Federal regulations, and primacy State law and regulations. It is important for the industry and general public to understand that while these are violations automated for retrieval, other Federal and State regulations and policies may also affect permit eligibility.

### **What can I do in the Violation Module?**

The Violation Module allows all users to search for and view violation records. State regulatory authorities create and maintain State violation records using the Violation Module.

### **What are the Violation Types in AVS?**

The types of Violations retrievable in AVS are:

#### State:

- State Civil Penalty = Fines related to a violation of the Act issued by a state authority
- State NOV = Notice of Violation<sup>16</sup> that is issued by a state
- State Cessation Order = An order to cease mining due to violation issued by the state
- Bond forfeiture = Regulatory Authority confiscates permit bond to finance reclamation
- Suspended Permit
- Revoked Permit

#### Federal:

- AML = Federal Abandoned Mine Land (AML) reclamation fee debt
- AUD= AML debt revealed through a federal audit
- NRSP = AML non-respondent violations (failure to submit OSM-1 form)<sup>17</sup>
- Federal Civil Penalty = Fines related to a violation of the Act issued by a federal authority
- Federal ICP = Federal Individual Civil Penalty, a fine written to a controlling individual
- Federal Cessation Order = An order to cease mining due to violation issued by OSMRE
- Federal NOV = Notice of Violation that is issued by OSMRE

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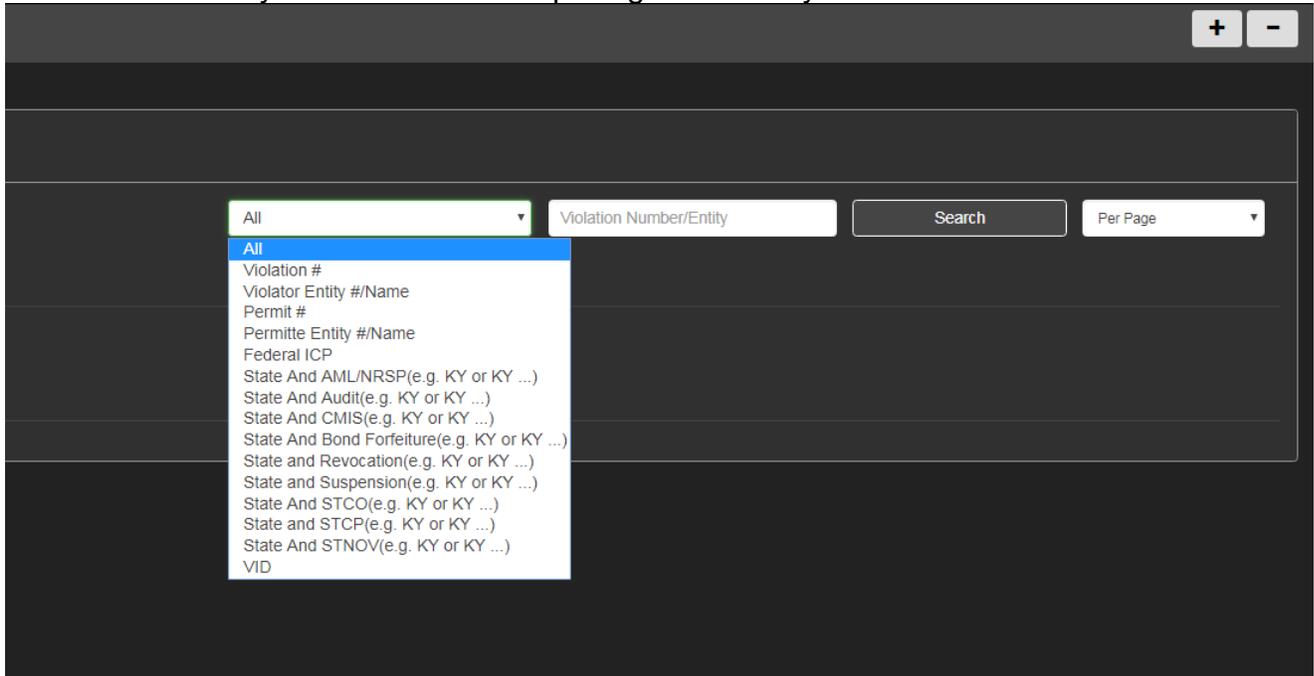
<sup>16</sup> OSMRE regulatory provisions at 30 CFR 774.11(a)(2) require regulatory authorities to enter and maintain in AVS all unabated or uncorrected violations within 30 days after the abatement or correction period for a violation has expired. There is no requirement for regulatory authorities to enter and maintain every Notice of Violation in AVS because they generally are corrected OR the violation becomes an unabated cessation order violation which then is entered into AVS. This type of violation will only occur for some when a regulatory authority issues a Notice of Violation that remains uncorrected after the abatement period expires AND circumstances are such that the regulatory authority has no mechanism for issuing a failure-to-abate cessation order or State counterpart for non-compliance.

<sup>17</sup> The OSM-1 form is required quarterly from permittees. It is the means by which permittees report their coal production on tonnage sold to OSMRE and by which reclamation fees are calculated.

All Federal violations are entered into the AVS by the AVS Office. All State violation records are created online by State regulatory authorities. AVS builds violation OFTs on the hour for all online entered and updated violations.

### How to search for a Violation record

Users can search for a violation record many ways. See Screen Shot below which depicts your options for searching for a violation record. If you search by name, we recommend you enter only a partial name (“character string”) to maximize your Search Results, especially if you are unsure of the entity name itself or the spelling of the entity name.



1. Click on the Violation Module button.
2. At the Violation Page, click on the box next to “Find By” and select a search option, enter your search parameters in the search text box. When you are finished, click on <Search> or press the <Enter> key.
3. Depending on your search data (e.g., a business name), a list of violations may appear.
4. Click on <Select> next to the violation record you wish to view. AVS will highlight the selected record and the violation record is displayed on the left side of the screen. To view another record from the Search Results, click on <Select> next to the violation you wish to view.
5. To begin a new search, click inside of the search text box to clear the previous parameters. Clicking on the Violation Module button also will result in a blank search text box.

6. Click on any Module to begin a new task.

### **How to create a Bond Forfeiture violation record**

1. Bond Forfeiture violations are created in the Permit Module, not the Violation Module.
2. Click on the Permit Module button to access the Permit Page.
3. Retrieve the permit record you wish to forfeit using the search procedures described in the How to search for a Permit Record section of this guide.
4. Depending on your search data (e.g., a business name), a list of permits may appear.
5. Click on <Select> next to the permit record you wish to record a bond forfeiture. The selected record is highlighted and the permit record is displayed on the left side of the screen.
6. From the Permit Module drop-down menu, click on <Update>.
7. Click on the box next to the Bond Status field. Select <Forfeiture>.
8. Enter date of forfeiture in the Bond Disposition Date field. Click on <Save>.
9. Barring any detected problems, AVS will display Permit Updated – 1 total violation created for reason(s): Forfeiture
10. Click on <Continue>.
11. The next screen displays the permit record showing the forfeiture in the Bond Status field and the date of the forfeiture in the Bond Disposition Date field.
12. Click on any Module button to begin a new task.

### **How to create a permit Suspension or Revocation violation record**

1. Suspended or Revoked Permits are created in the Permit Module, not the Violation Module.
2. Click on the Permit Module button to access the Permit Page.
3. Retrieve the permit record you wish to suspend or revoke using the search procedures described in the How to search for a Permit Record section of this guide.
4. Depending on your search data (e.g., a business name), a list of permits may appear.
5. Click on <Select> next to the permit record you wish to record a permit Suspension or Revocation. The selected record is highlighted and the permit record is displayed on the left side of the screen.

6. From the Permit Module drop-down menu, click on <Update>.
7. Click on the box next to either Suspended or the Revoked field, whichever is applicable.
8. Enter the date of the permit Suspension or Revocation, whichever is applicable. Click on <Save>.
9. Barring any detected problems, AVS will display Permit Updated – 1 total violation created for reason(s): Suspension (or Revocation)
10. Click on <Continue>.
11. The next screen displays the permit record showing the permit Suspension and Suspension Date or the permit Revocation and Revocation Date, as applicable.
12. Click on any Module button to begin a new task.

**How to create a State Violation record when violation is issued against a Permitted Site (State Notice of Violation<sup>18</sup>; State Civil Penalty; or State Cessation Order Violation)**

1. Click on the Violation Module button.
2. Click on <New> from the module drop-down menu.
3. Select the State Violation Type from the field drop-down menu. The choices are State Cessation Order; State Civil Penalty; and State Notice of Violation. The default is State Cessation Order.
4. Select the Violation Status from the field drop-down menu. The choices are Outstanding and Conditional. Outstanding means the violation is unabated or uncorrected. Conditional means that based upon an agreement, appeal, or other circumstance, it is possible the violation may not affect permit eligibility. The default is Outstanding.

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<sup>18</sup> OSM regulatory provisions at 30 CFR 774.11(a)(2) require regulatory authorities to enter and maintain in AVS all unabated or uncorrected violations within 30 days after the abatement or correction period for a violation has expired. There is no requirement for regulatory authorities to enter and maintain every Notice of Violation in AVS because they generally are corrected OR the violation becomes an unabated cessation order violation which then is entered into AVS. This type of violation will only occur for some when a regulatory authority issues a Notice of Violation that remains uncorrected after the abatement period expires AND circumstances are such that the regulatory authority has no mechanism for issuing a failure-to-abate cessation order or State counterpart for non-compliance.

5. If entering a Conditional violation, enter the “Expiration Date” in the box that appears. The expiration date is the date the agreement or appeal or other circumstance is set to terminate. If an exact date is not known, enter the date close to when the status should be verified. The expiration date does not automatically revert the violation to outstanding, it simply flags the violation for review in the system.
6. Click on <Permit Search>. Enter the permit number, then click on <Search>.
7. Depending on your search data, a list of permits may appear.
8. Click on <Select> next to the permit for which you are creating a State Violation record. The selected permit is then highlighted.
9. Click on <Save>. The selected permit number, permittee entity number, and permittee name will appear in the permit and entity fields of the record of the new State violation record you are creating.
10. Enter the Violation Number.
11. Enter the Violation date (MM/DD/YEAR).
12. The State name field is automatically filled based the user’s login identification.
13. Click on <Save>.
14. If AVS detects no problems, it will display Good Save.
15. Click on <Go To New Violation>.
16. The newly-created violation is displayed on the screen. The system message, “VOFT IS WAITING TO PROCESS” is displayed at the top of the violation detail screen on the left.
17. Click on any Module button to begin a new task.

**How to create a State Violation record when violation is issued against a Site where there is no Permit**

**Example:** An entity is found to be mining without a permit and issued a violation by the State.

1. Click on the Violation Module button.
2. Click on <New> from the module drop-down menu.
3. Select the State Violation Type from the field drop-down menu. The choices are State Cessation Order; State Civil Penalty; and State Notice of Violation. The default is State Cessation Order.

4. Select the Violation Status from the field drop-down menu. The choices are Outstanding and Conditional. Outstanding means the violation is unabated or uncorrected. Conditional means that based upon an agreement or other circumstance, the violation may not cause State with jurisdiction to immediately determine permit ineligibility. The default is Outstanding.
5. If entering a Conditional violation, enter the “Expiration Date” in the box that appears. The expiration date is the date the agreement or appeal or other circumstance is set to terminate. If an exact date is not known, enter the date close to when the status should be verified. The expiration date does not automatically revert the violation to outstanding, it simply flags the violation for review in the system.
6. Click on <Entity Search>. Enter the entity number or name of the violator, then click on <Search>.
7. Depending on your search data, a list of entities may appear.
8. Click on <Select> next to the entity for which you are creating a State Violation record.
9. Click on <Save>. The selected entity number and entity name of the violator will appear in the entity fields of the record of the new State violation record you are creating.
10. Enter the Violation Number.
11. Enter the Violation date (MM/DD/YEAR).
12. The State name field is automatically filled based the user’s login identification.
13. Click on <Save>.
14. If AVS detects no problems, it will display Good Save
15. Click on <Go To New Violation>.
16. The newly-created violation is displayed on the screen. The system message, “VOFT IS WAITING TO PROCESS” is displayed at the top of the violation detail screen.
17. Click on any Module button to begin a new task.

### **How to update a State Violation record**

1. Click on the Violation Module button.
2. Retrieve the State violation record you wish to update using the search procedures described in the How to search for a Violation record section of this guide.
3. Click on the Violation Module button. From the drop-down menu, click on <Update>.
4. The next screen displays the violation record in update mode. There are three fields you can update -- Violation Status, and Violation Number or expiration date if it is a conditional violation.
5. Click in the <box> next to an update category to select the update you wish to make.
6. Click on <Save> when you have completed your updates.
7. If AVS detects no problems, it will display, Good Save.
8. Click on <Back to Violation>.
9. The next screen will display the violation record with the update(s) and the message, "VOFT IS WAITING TO PROCESS" is displayed at the top of the violation detail screen
10. Click on any Module button to begin a new task.

### **How to delete a State Violation record once the violation is abated or corrected**

1. Click on the Violation Module button.
2. Retrieve the State violation record you wish to delete using the search procedures described in the How to search for a Violation Record section of this guide.
3. Hover over the Violation Module button. From the drop-down menu, click on <Delete>.
4. The next screen displays the violation record in delete mode. AVS will display the message, "Confirm You Want To Delete This Violation."
5. If you are sure, click on <Delete>.
6. AVS will then display the message, "This violation was deleted."
7. Click on any Module button to begin a new task.

### **How to view a Violation OFT**

The AVS cannot always instantly process Violation OFTs. These process automatically on the hour or when manually forced by the AVS Office. You may not always see immediate results in the

Violation OFT when you update a violation.

1. Click on Violation Module button.
2. Retrieve the Violation record you wish to view the VOFT using the search procedures described in the, How to search for a Violation Record section of this guide.
3. Hover over the Violation Module button. From the drop-down menu, click on <View OFT>.
4. The next screen displays the Violation OFT for the violation record.
5. If you have just created or updated a Violation record, the Violation OFT may not be ready for viewing. If so, AVS will display the message, "VOFT IS WAITING FOR PROCESSING"
6. After you have viewed the VOFT, click on <Back to Violation> to take you back to the violation record. Or, click on <Back to Violation with Search> to take you back to the violation Search Results screen.
7. Click on any Module button to begin a new task.

### **How to view the violator(s) cited for a Violation Record<sup>19</sup>**

1. Click on the Violation Module button.
2. Retrieve the Violation record using the search procedures described in the How to search for a Violation record section of this guide.
3. Click on the Violators tab in the bottom half of the screen.
4. The next screen displays the name(s) of entity(s) cited for the violation.
5. Click on any Module button to begin a new task.

### **How to view exclusions/settlements<sup>20</sup> for a Violation Record**

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<sup>19</sup> All system users, including those who Login as Guest, can view this data but this option is primarily designed for use by the AVSO staff.

<sup>20</sup> Sometimes entities associated with a violation may come forward and work with the agency who has jurisdiction over a violation to work out arrangements to abate a violation to the satisfaction of the issuing agency. When that happens, AVS can be coded to reflect the entity who is working towards abating a violation by reflecting a Settlement Code until the violation has been resolved or by excluding an entity from a violation when a determination has been made by the Regulatory Authority that an entity should not be associated with a violation. When an entity has been excluded from a violation record, the entity and violation will remain in AVS but the excluded entity will not be associated with that violation should it appear as part of an evaluation. For more information on excluded/settled entities, contact the AVS Office at 800.643.9748.

1. Click on the Violation Module button.
2. Retrieve the Violation record using the search procedures described in the How to search for a Violation record section of this guide.
3. Click on the Exclusions/Settlements tab in the bottom half of the screen.
4. If any exclusions or settlements have been entered on a violation relationship record, the record(s) will be displayed.
5. Click on any Module button to begin a new task.

#### **How to view a comment on a Violation record**

1. Click on Violation Module button.
2. Retrieve the Violation record using the search procedures described in the How to search for a Violation Record section of this guide.
3. Click on the Comments tab in the bottom half of the screen.
4. The next screen displays any comments in the comment field for the violation record.
5. Click on any Module button to begin a new task.

## **Reports Module**

### **What is the Reports Module?**

The Reports Module contains the access point for the report options we have automated. In addition, OSM continues to provide customized reports from AVS data. Please contact the AVS Office for this service.

### **What can I do in the Reports Module?**

We created a Reports Module to allow users to generate, print, and e-mail for themselves the most requested reports from AVS data.

### **What types of Reports are available in AVS?**

For State users there are 4 report options currently available in AVS.<sup>21</sup>

- Application-Permit by Entity Report. This report lists all application numbers and/or permit numbers for a selected entity, where the entity is listed as an applicant, the permittee, or an operator.
- Entity OFT Report. This report displays all owners, subsidiaries, and officers for a selected business entity.
- Operator Report. This report lists all permit numbers where the selected entity is shown as an operator.
- Oversight Pending Applications Report. This report identifies pending permit applications that have not changed status in one year or more after being created in AVS. User must run a report by selecting a State.

If your AVS user rights allow you to use other reports not explored in this guide, contact the AVS Office for training at 800-643-9748.

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<sup>21</sup> Users logged into the system as a Guest can only generate 3 reports: Application-Permit by Entity Report, Entity OFT Report, and Operator Report. If a Guest wishes to generate a report unavailable to them, please contact the AVS Office at 800.643.9748.

### **How to generate an Application-Permit by Entity Report**

1. Hover on the Reports Module button.
2. From the module drop-down menu, click on the <Application-Permit by Entity Report>.
3. At Step 1, select the search parameter for the range of years of application or permit history you wish include in the report. The choices are 1, 5, 10, 15, 20, 25, or 100 years. The default is 5 years.
4. At Step 2, enter the entity by name or entity number in the box provided. Press <Enter>.
5. At Step 3, the entity name/number appears in the box. Be aware there may be more than one record in the box. Click on <the box> to display all records retrieved. Select the desired entity number or name by clicking on the desired entity number/ name.
6. At Sep 4, click on <Load Report>. At this step, you can view the report before continuing.
7. Click on the <Printer Icon> to print the report or if you wish to e-mail the report to yourself or someone, type the e-mail address in the box provided and click on <Send>.
8. Click on <Back To Reports> at the top right of the screen to take you back to the Reports Module screen.

### **How to generate an Entity OFT Report**

1. Hover on the Reports Module button.
2. From the module drop-down menu, click on the <Entity OFT Report>.
3. Select your search criteria. Click in the circle in front of the available criteria choices. The choices are: (1) by Primary Entity, (2) by Related Entity, (3) Hide Ended Relationships, and (4) Show Ended Relationships.
4. Enter the entity by name or number in the box provided. Press <Enter>.
5. The entity name/number appears in the box. Be aware there may be more than one record in the box. Click on <the box> to display all records retrieved. Select the desired entity number or name by clicking on the desired entity number/name.
6. Click on <Load Report>. At this step, you can view the report before continuing.

7. Click on the <Printer Icon> to print the report or if you wish to e-mail the report to yourself or someone, type the e-mail address in the box provided and click on <Send>.
8. Click on <Back To Reports> at the top right of the screen to take you back to the Reports Module screen.

### **How to generate an Operator Report**

1. Hover on the Reports Module button.
2. From the module drop-down menu, click on the <Operator Report>.
3. Enter the entity by name or number in the box provided. Press <Enter>.
4. Based on your entry, the entity name/number appears in the box. Be aware there may be more than one record in the box. Click on <the box> to display all records retrieved. Select the desired entity number/name by clicking on the desired entity/number.
5. Click on <Load Report>. At this step, you can view the report before continuing.
6. Click on the <Printer Icon> to print the report or if you wish to e-mail the report to yourself or someone, type the e-mail address in the box provided and click on <Send>.
7. Click on <Back To Reports> at the top right of the screen to take you back to the Reports Module screen.

### **How to generate an Oversight Pending Applications Report**

1. Hover on the Reports Module button.
2. From the module drop-down menu, click on the <Oversight Pending Applications Report>.
3. From the drop-down menu, click on down arrow and select the State.
4. Click on right arrow → and your selected State will be displayed in the box.
5. Click on <Search>. At this step, you can view the report before continuing.
6. Click on the <Printer Icon> to print the report or if you wish to e-mail the report to yourself or someone, type the e-mail address in the box provided and click on <Send>.
7. Click on <Back To Reports> at the top right of the screen to take you back to the Reports Module screen.