

AVS

USERS GUIDE

APPLICANT/VIOLATOR SYSTEM USERS GUIDE

All-Purpose Edition
Instruction for System Users with View Only Rights
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AVS USERS GUIDE

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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 to report the problem.

Applicant/Violator System Users Guide

How Do I Access AVS?

1. Go to your Internet home page.
2. Type in the web search box, <https://avss.osmre.gov> and press <Enter>. If a shortcut icon has been created on your desktop, click on that icon.
3. Click on <Access AVS>.
4. Click on <Login as Guest>.
5. Click on <Login> or press <Enter>.

How Do I Log Off AVS?

1. Click on <Logout> at the top right-hand corner of your screen.
2. Click on <File> on your web browser tool bar.
3. Click on <Exit> from the drop-down option.
4. Click on <Close Tabs> to exit your web browser.

How Is 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, click on the printer icon located at the top of your web browser from the screen you wish to print. To print a report from the Reports Module, click on printer icon located at the top of the report screen.

What Are The Special Features In AVS?

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

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.

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 below.

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

ENTITY PAGE - Windows Internet Explorer provided by The Office of Surface Mining

https://avss.osmre.gov/entity/entitysearch.aspx

Entity Number: 124818
 Entity Name: Consol Inc
 * First Name:
 Middle Name:
 Alias:
 Tax ID:
 Memo: MERGED INTO CONSOL ENERGY INC 01/01/01
 Created: 2/24/1992
 Updated: 3/6/2001
 Source: avsky033
 Entity Type: Business
 Locked: Y

Find By Entity #, Bus. Name, Last Name Search

Show Results: 10

Entity#	EName	FName	Middle	LCK	EType
124819	Consol Energy Inc			Y	Business
158930	Consol Financial Inc			Y	Business
124818	Consol Inc			Y	Business
246808	Consol of Central Pennsylvania LLC			Y	Business
132361	Consol Of Kentucky Inc			Y	Business
246811	Consol of Ohio LLC			Y	Business
155992	Consol Of WV LLC			Y	Business
249807	Consol of Wyoming LLC			Y	Business
054497	Consol Pennsylvania Coal Co			Y	Business
246804	Consol Pennsylvania Coal Co LLC			Y	Business

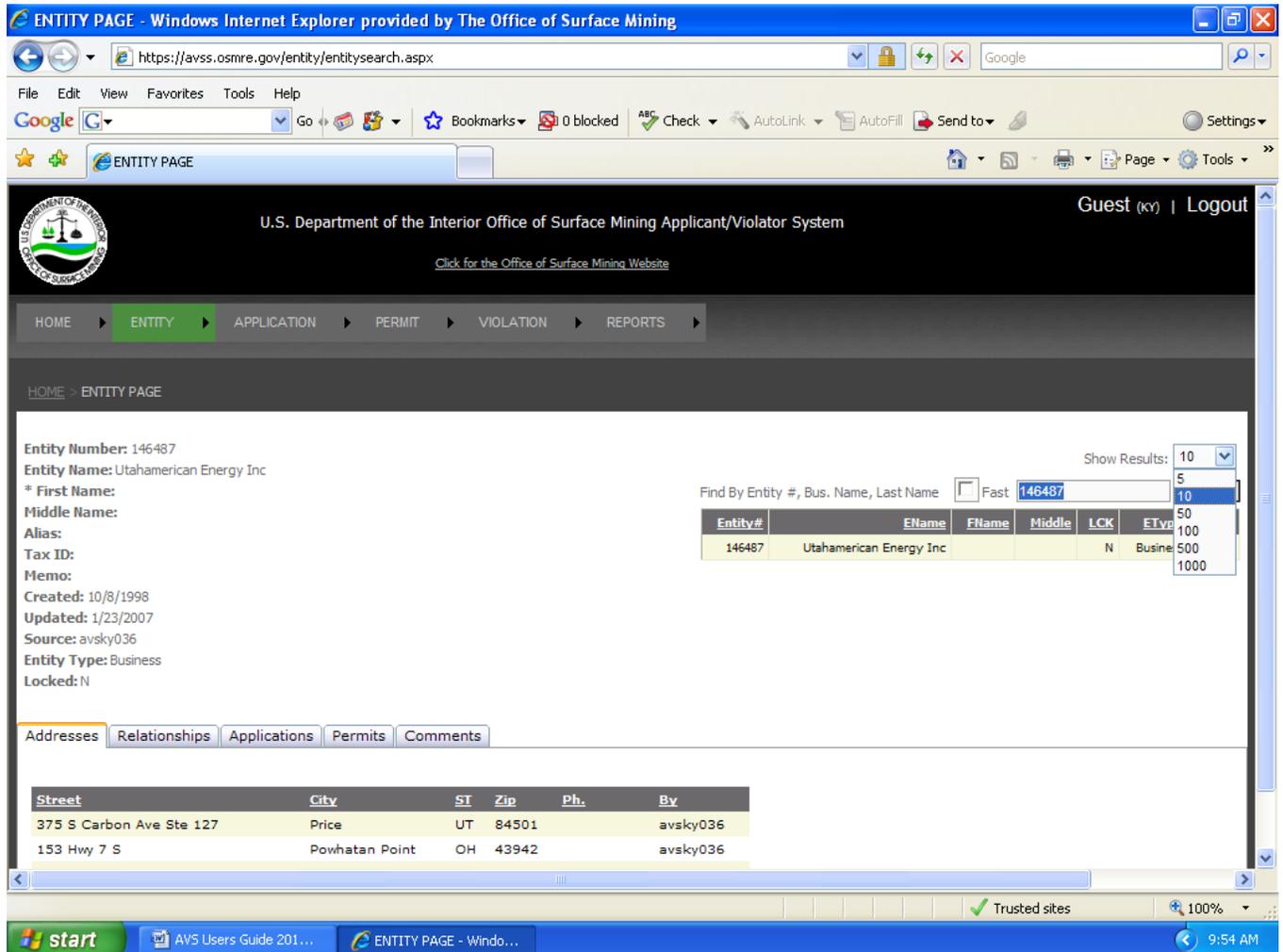
34 Total Records

Addresses Relationships Applications Permits Comments

Street	City	ST	Zip	Ph.	By
1800 Washington Rd	Pittsburgh	PA	15241	4128314000	avsky017
4000 Brownsville Rd Bldg 16	Library	PA	15129	4128546538	sraww08b

Show results – The Show Results box is small and is located above the Search textbox. Show Results 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 selected to view in Show Results. For example, if the search returns 32 records, then select 50 records from Show

Results 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 Screen Shot below.



Sort – 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. Your last sort of the data will remain in view until you perform another sort, select another Module, or exit from AVS.

Alt and number key - Use the combination, <Alt (a number)>, to move to the Entity Detail field that AVS connects to a specific number on your keyboard to access the Entity Detail you wish to view.

There are five Tabs in the Entity Detail screen: Addresses, Relationships, Applications, Permits, and Comments. To move from one tab to another tab, simply press Alt and number that corresponds to that tab key. Alt 0 = Addresses, Alt 1= Relationships, Alt 2= Applications, Alt 3=Permits, Alt 4= Comments. You can click on each tab one at a time.

Alt plus 9 – Use the combination <Alt 9> for an incremental record search in the Entity Page. If the first record you retrieve is Entity number 246122 and you wish to view numerically successive records, press <Alt 9> and you will retrieve 246123. Press <Alt 9> again to retrieve 246124, and so forth.

AVS Data Entry Standards

Case sensitivity

The data fields that use alphabetical characters are not case sensitive.

How to Interpret business- to-business relationships in the system.

There appears to be some confusion among system users with interpreting relationships in AVS because of the design of the system. One area of confusion deals with reflecting how a business entity owns another business entity. If Company A owns Company B, then Company A should be reflected as the “Parent Entity” and Company B should be reflected as the “SubEntity.”

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 “Subentity.” That is because when you select a business entity for viewing relationships, the system is designed to display on one screen all the business entities that own your selected entity **AND** all the business entities that your selected entity owns.

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

ENTITY PAGE - Windows Internet Explorer provided by The Office of Surface Mining

https://avss.osmre.gov/entity/entitysearch.aspx

Entity Number: 247080
 Entity Name: International Resources LLC
 * First Name:
 Middle Name:
 Alias:
 Tax ID:
 Memo:
 Created: 1/24/2008
 Updated: 2/1/2010
 Source: kim.sea
 Entity Type: Business
 Locked: N

Show Results: 10

Find By Entity #, Bus. Name, Last Name Fast 247080 Search

Entity#	EName	FName	Middle	LCK	EType
247080	International Resources LLC			N	Business Select

Addresses Relationships Applications Permits Comments

Parent	Entity	SubEntity	Desc.	% Own	begin	End	Hold	HoldSrc	Create	Update	ExtDesc	By
247080	International Resources LLC	247079	Hampden Coal Co LLC	Owner	100	6/12/2007	None		2/1/2010	2/1/2010		kim.sea
248850	International Resources Holdings II LLC	247080	International Resources LLC	Member	100	5/16/2007	None		2/1/2010	2/1/2010		kim.sea
247080	International Resources LLC	247085	Chafin Branch Coal Co LLC	Owner	100	6/12/2007	None		2/1/2010	2/1/2010		kim.sea
	International											

Error on page. Trusted sites 100% 2:15 PM

How to Interpret relationships when an Individual is defined as an owner, president, director, etc., of a business entity.

Individuals who own, manage, serve as president, director, CEO, secretary, treasurer, etc., of a business entity are **ALWAYS** reflected as the “SubEntity” and the business entity should be reflected as the “Parent Entity.” See Screen Shot below for an example of this.

Entity Number: 249892
 Entity Name: Triple G Coal Company Incorporated
 * First Name:
 Middle Name:
 Alias:
 Tax ID:
 Memo:
 Created: 1/20/2010
 Updated: 1/20/2010
 Source: Terri.Lucas
 Entity Type: Business
 Locked: N

Find By Entity #, Bus. Name, Last Name Show Results: 10

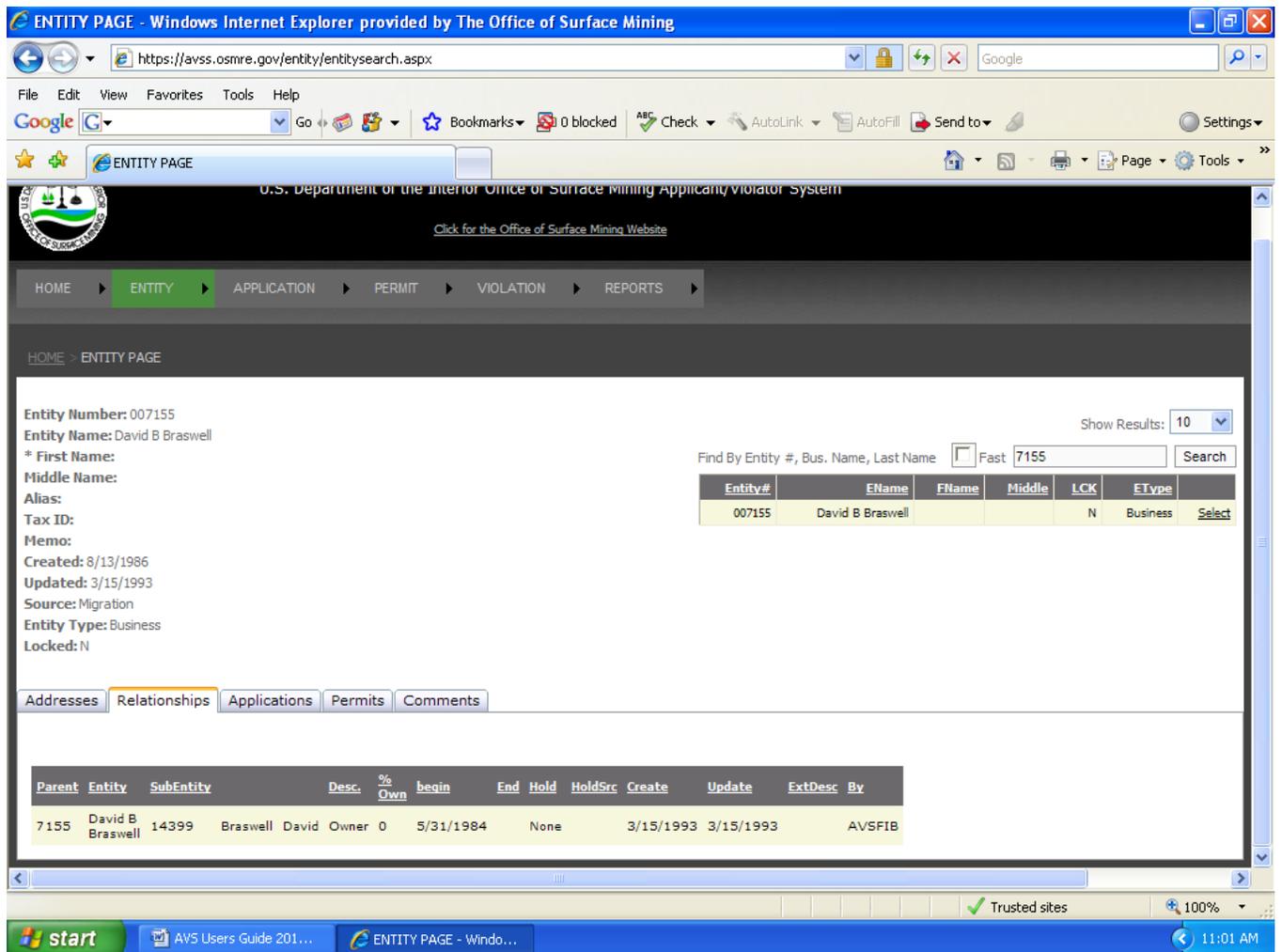
Entity#	EName	FName	Middle	LCK	EType
249892	Triple G Coal Company Incorporated			N	Business

Addresses Relationships Applications Permits Comments

Parent	Entity	SubEntity	Desc.	% Own	begin	End	Hold	HoldSrc	Create	Update	ExtDesc	By
249892	Triple G Coal Company Incorporated	46487	Asbury Edward Owner	100	1/11/2010		None		1/20/2010	1/20/2010		Terri.Lucas
249892	Triple G Coal Company Incorporated	46487	Asbury Edward President	0	1/11/2010		None		1/20/2010	1/20/2010		Terri.Lucas
249892	Triple G Coal Company Incorporated	46487	Asbury Edward Director	0	1/11/2010		None		1/20/2010	1/20/2010		Terri.Lucas
249892	Triple G Coal Company Incorporated	150287	Johnson Dick Treasurer	0	1/11/2010		None		1/20/2010	1/20/2010		Terri.Lucas

Sole proprietorships

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. A relationship is then established between the two to show the business entity is the "Parent Entity," and the individual entity would be shown as the "Sub Entity." See Screen Shot below for an example of how this type of relationship is reflected in AVS.



Trusts

The name of the trust would be reflected as the “Parent Entity.” The trustee would be reflected as the sub-entity.

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 will be no data reflected from the Home Module and users will then begin clicking on available Modules to view key data contained in the system.

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 1977 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 to view the details of an Entity record, such as address information, relationships and comments about an entity.

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 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 **red** 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.

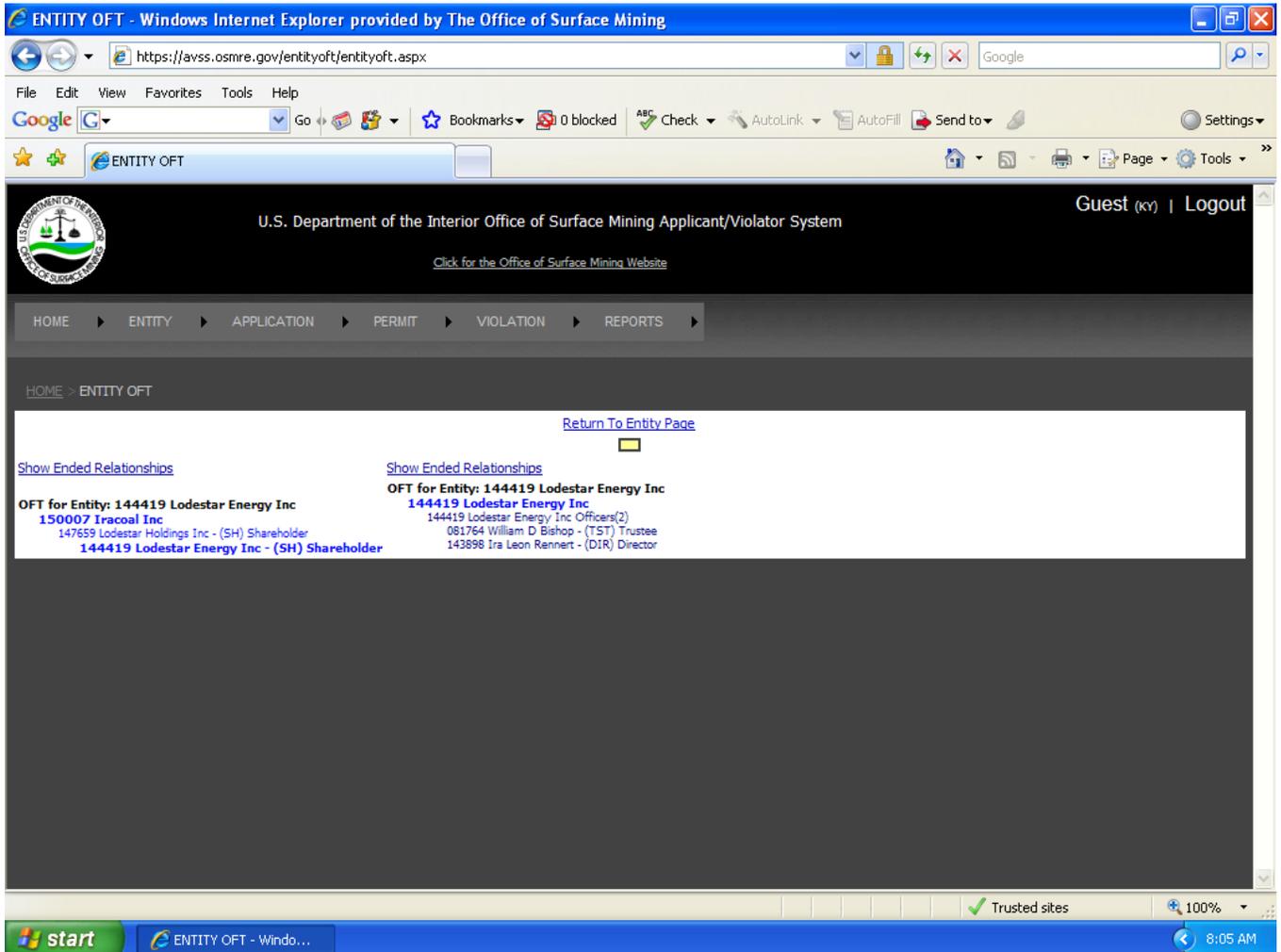
1. Click on the Entity Module button to access the Entity Page. Enter your parameters in the search text box, press the <Enter> key or click on <Search>.
2. Your search results may show a single result or a list of potential matches. The first record displayed is the AVS default. It is the first record that appears to meet your search parameters. At this point, you can use the search box to refine your search by entering the first name (or “character string”) or the first name initial of the individual for whom you are searching.
3. Click on <Select> next to the record to choose the entity you wish to view. AVS will highlight the selected record in red 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 in the search text box to clear the previous parameters. Clicking on the Entity Module button also will clear the search text box.
5. Click on any Module button to begin another task.

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

Note: You can view relationships to entities another way in the Entity Module by following instructions on page 19 of this Guide. 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. See Screen Shot below these instructions to show you what results will be returned if you choose to use this special feature.

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 on pages 9 and 10, How to search for an Entity.
3. Click on <OFT> from the Entity Module button’s 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 on pages 9 and 10, How to search for an Entity.
3. From the Entity Home Page, click on the Addresses Entity Detail tab to view the address information for the selected entity.
4. Click on any Module button to perform another 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 on pages 9 and 10, How to search for an Entity.
3. Click on the Entity Details tab Relationships. The entity relationship information is then displayed for viewing.
4. Click on any Module button to begin a new task.

How to view an Application record 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 at pages 9 and 10, How to search for an Entity.
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

1. Click on the Entity Module button to access the Entity Page.
2. Retrieve the entity record. Refer to search procedures detailed at pages 9 and 10, How to search for an Entity.
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 at pages 9 and 10, 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 evaluate an Entity

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 on pages 9 and 10 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.¹
5. If the entity is associated with violations, you can view the Violation OFT² associated with each violation by clicking on any violation number in the list of violations. Violation numbers are underlined in the 2nd 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.

How to retrieve an Entity Evaluation Narrative report³

1. Click on the Entity Module button to access the Entity Page.

¹ An Evaluation OFT is a display of all the relationships being evaluated during the process.

² A Violation OFT is a listing of entities associated with a violation.

³ 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 or Federal regulatory authorities and AML contracting officers to assist in their determination of permit and AML contractor eligibility.

2. Retrieve the entity record in which you wish to evaluate using the search procedures described on pages 9 and 10 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.⁴
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.

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.

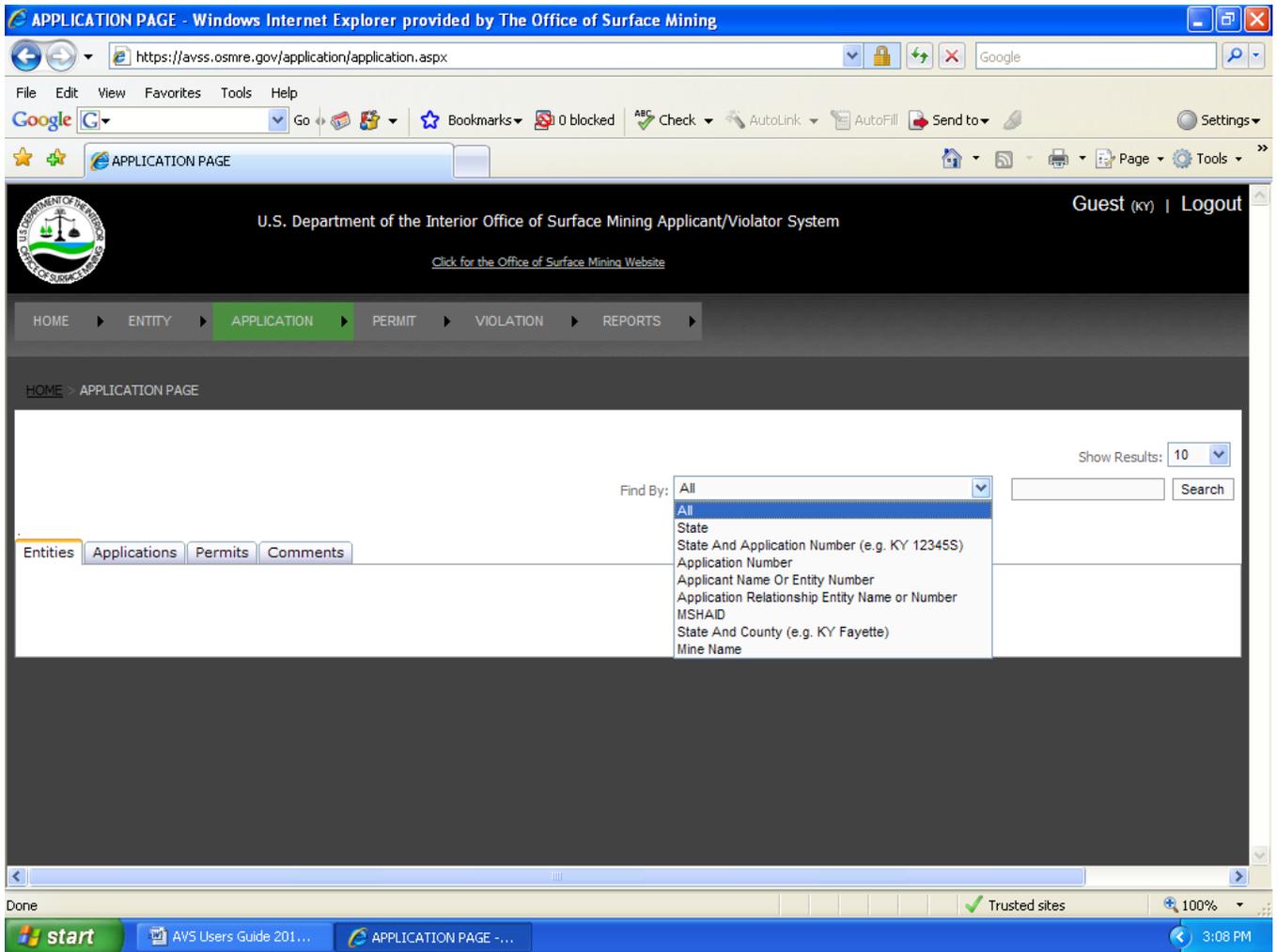
What can I do in the Application Module?

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.

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.

⁴ If you need assistance in interpreting the results of an evaluation or evaluation narrative, please contact the AVS Office at 1.800.643.9748.



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.
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 red 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 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.⁵

1. Click on the Application Module button to access the Application Page.
2. Retrieve the application record. Use the search procedures detailed at page 15 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.

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 application types included in the sequencing are those for new permits, permit revisions, permit renewals, permit amendments and permit transfers. Following are the steps to view Application history records.

1. Click on the Application Module button to access the Application Page.
2. Retrieve the application record. Use the search procedures detailed at page 15, How to search for an Application record.
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.

⁵ 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.

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 at page 15, How to search for an Application record.
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 at page 15, How to search for an Application record.
3. Click on the Application Details tab <Comments>.
4. The next screen will display the comment field and any comments for the selected application record.
5. 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 at page 15, How to search for an Application record.

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.⁶
5. If the applicant and application are associated with violations, you can view the Violation OFT⁷ associated with each violation by clicking on any violation number in the list of violations. Violation numbers are underlined in the 2nd column. An asterisk (*) beside an entity listed in the Violation OFT denotes how the violation is being linked to the application you are evaluating.
6. When you are finished viewing, click on the red box with the white “X” in the upper right corner of your web browser to close the screen. This takes you back to the Evaluation Report screen.
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 begin a new task.

How to retrieve an Application Evaluation Narrative report⁸

1. Click on the Application Module button to access the Application Page.
2. Retrieve the application record. Use the search procedures detailed at page 15, How to search for an Application record.
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>.
6. Click on <Report>.
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.

⁶ An Evaluation OFT is a display of all the relationships being evaluated during the process.

⁷ A Violation OFT is a listing of all relationships that are associated to a violation.

⁸ An Evaluation Narrative 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 or Federal regulatory authorities and AML contracting officers to assist in their determination of permit and AML contract eligibility.

8. Click on any Module button to perform another task.

Permit Module

What is the Permit Module?

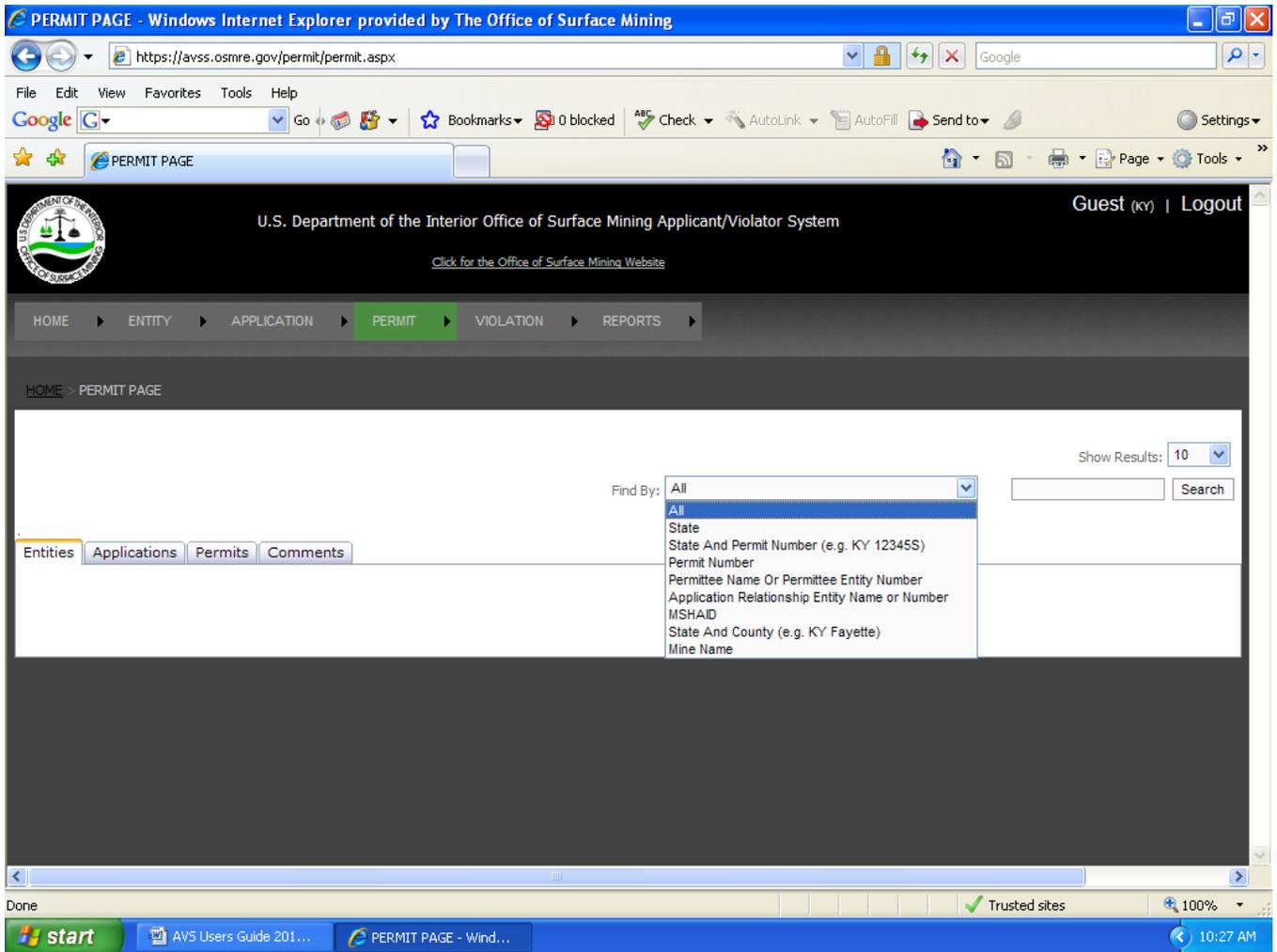
The Permit Module is where records of issued permits are created and updated. In AVS, the Permit Module retains the history of surface coal mining permits granted since a State program's approval as well as records of certain interim program permits where there remained unabated and uncorrected violations 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 and delete 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. 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 in red 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 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.⁹

1. Click on the Permit Module button to access the Permit Page.
2. Retrieve the permit record. Use the search procedures detailed at page 20, How to search for a Permit record.
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 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 at page 20, How to search for a Permit record.
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.

⁹ 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 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 at page 20, How to search for a Permit record.
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 at page 20, How to search for a Permit record.
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 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.

1. Click on the Permit Module button to access the Permit Page.
2. Retrieve the permit record. Refer to the search procedures detailed at page 20, How to search for a Permit record.
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.¹⁰
5. If the permittee and permit are associated with violations, you can view the Violation OFT¹¹ associated with each violation by clicking on any violation number in the list of violations. Violation numbers are underlined in the 2nd 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 screen.
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 begin a new task.

How to retrieve a Permit Evaluation Narrative report¹²

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 on page 20, How to search for a Permit record.
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.
8. Click on any Module button or tab key to perform another task.

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

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

¹² An Evaluation Narrative 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 or Federal regulatory authorities and AML contracting officers to assist in their determination of permit and AML contract eligibility.

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:

- Abandoned Mine Land (AML) reclamation fee debt
- AML audit debt
- AML non-respondent violations (failure to submit OSM-1 form¹³)
- Federal and State civil penalties
- State Notice of Violation¹⁴
- Federal and State unabated cessation orders
- Bond forfeitures
- Suspended Permits
- Revoked Permits
- EPA Clean Water Act violations¹⁵

All Federal violations are batch-fed into AVS from other OSM databases. All State violation records are created on-line by State regulatory authorities. AVS builds violation OFTs on the hour for all on-line entered and updated violations.

How to search for a Violation record

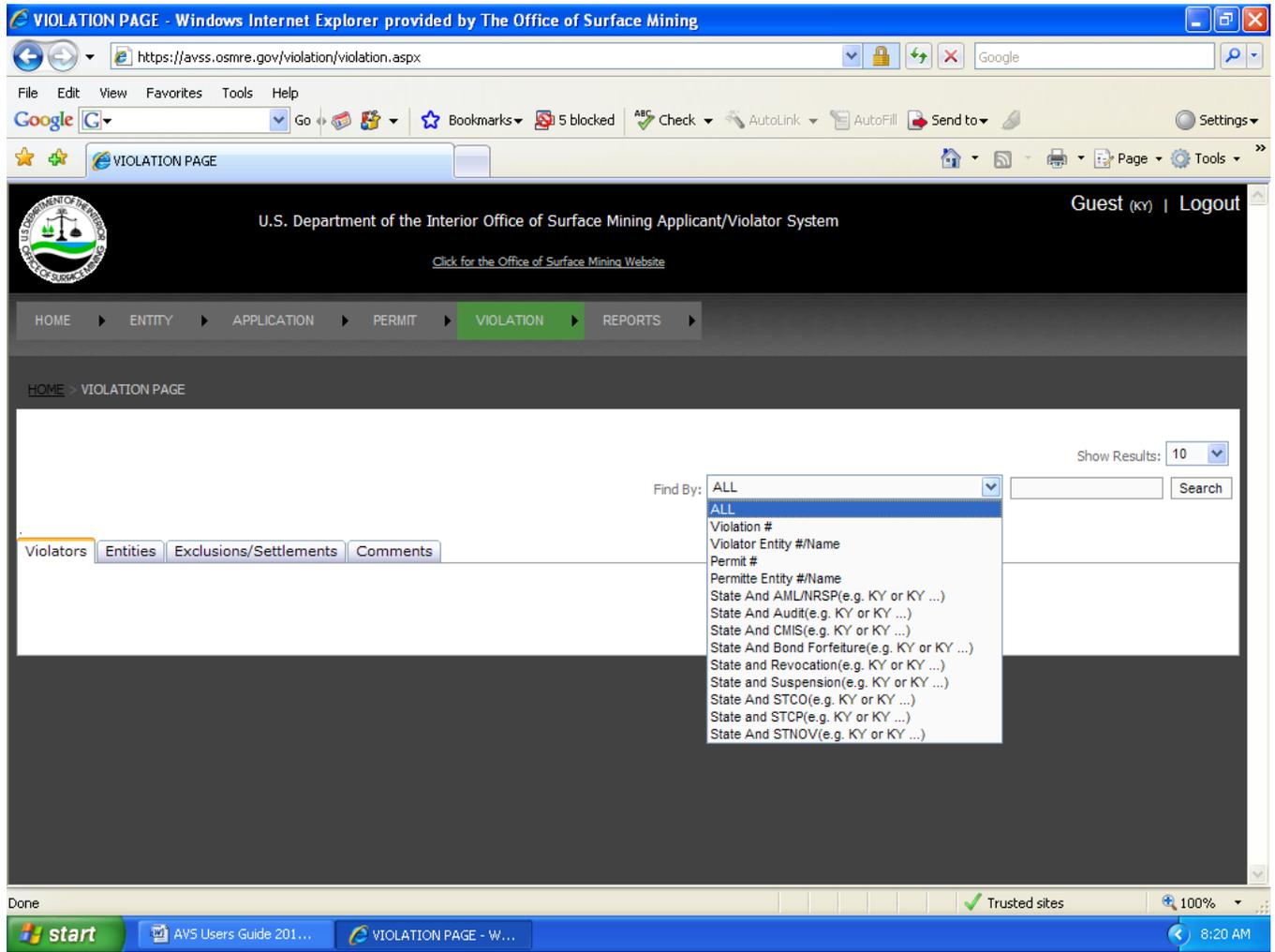
Users can search for a violation record many ways. See Screen Shot below which depicts your options for searching for a violation record. If you search by name, we recommend you

¹³ The OSM-1 form is required quarterly from permittees/operators. It is the means by which permittees/operators report their coal production on tonnage sold to OSM and by which reclamation fees are calculated.

¹⁴ 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.

¹⁵ There are coal-related violations of EPA's Clean Water Act in AVS referred to OSM by EPA Region III.

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 in red 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 button to get out of the Violation Module.

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 on pages 24 and 25, How to search for a Violation record.
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 Report 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?

There are three report options currently available in AVS for system users logging into the system as Guests.

- 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.

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.