AVS

USERS GUIDE

APPLICANT/VIOLATOR SYSTEM USERS GUIDE

All-Purpose Edition
Including
Instruction for State & Federal Regulatory Authorities with Maintenance Rights
May 2012

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Office of Surface Mining Reclamation and Enforcement
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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> or type in your user name and password.
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.

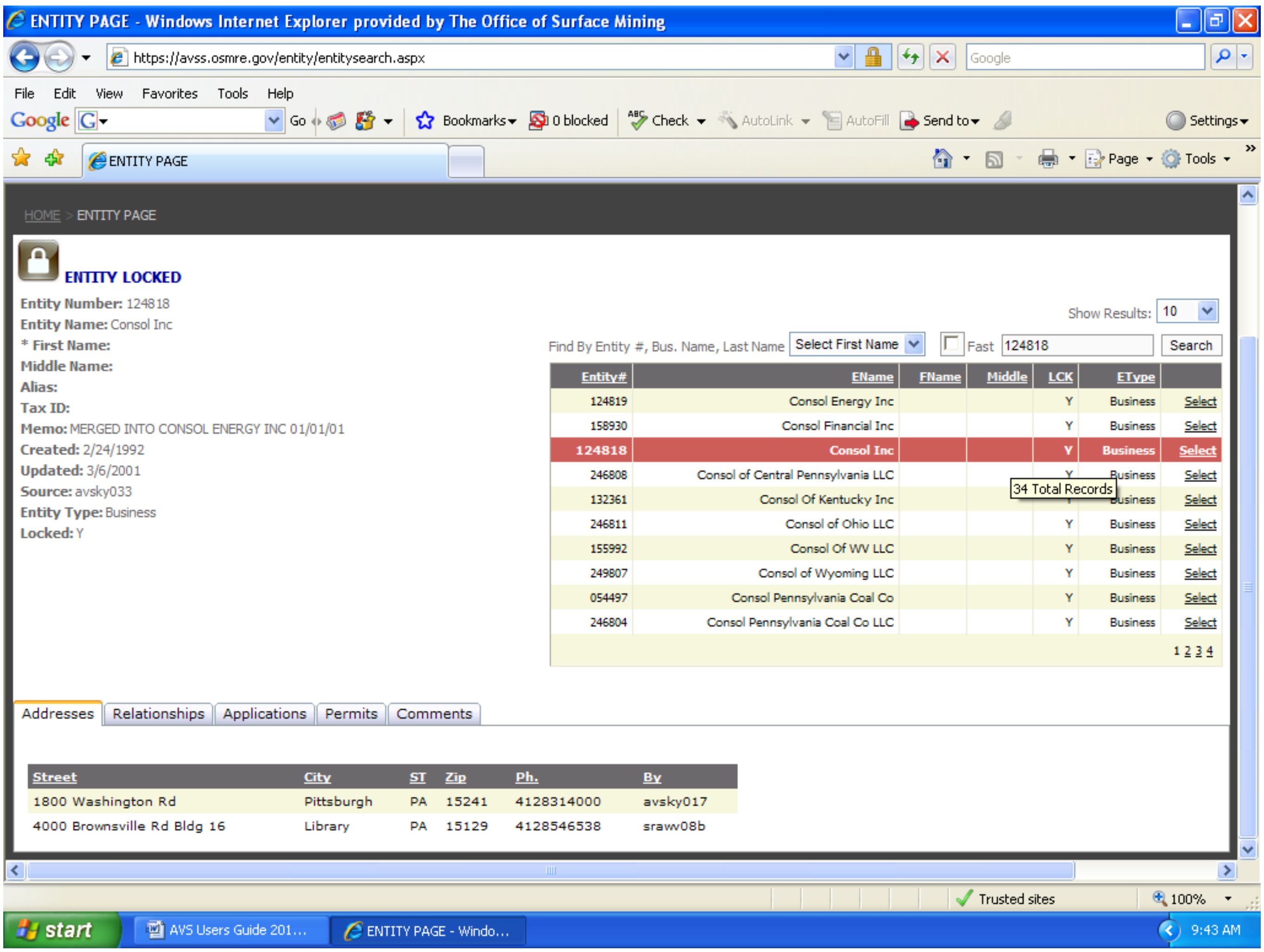
What Are The Special Features In AVS?

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.

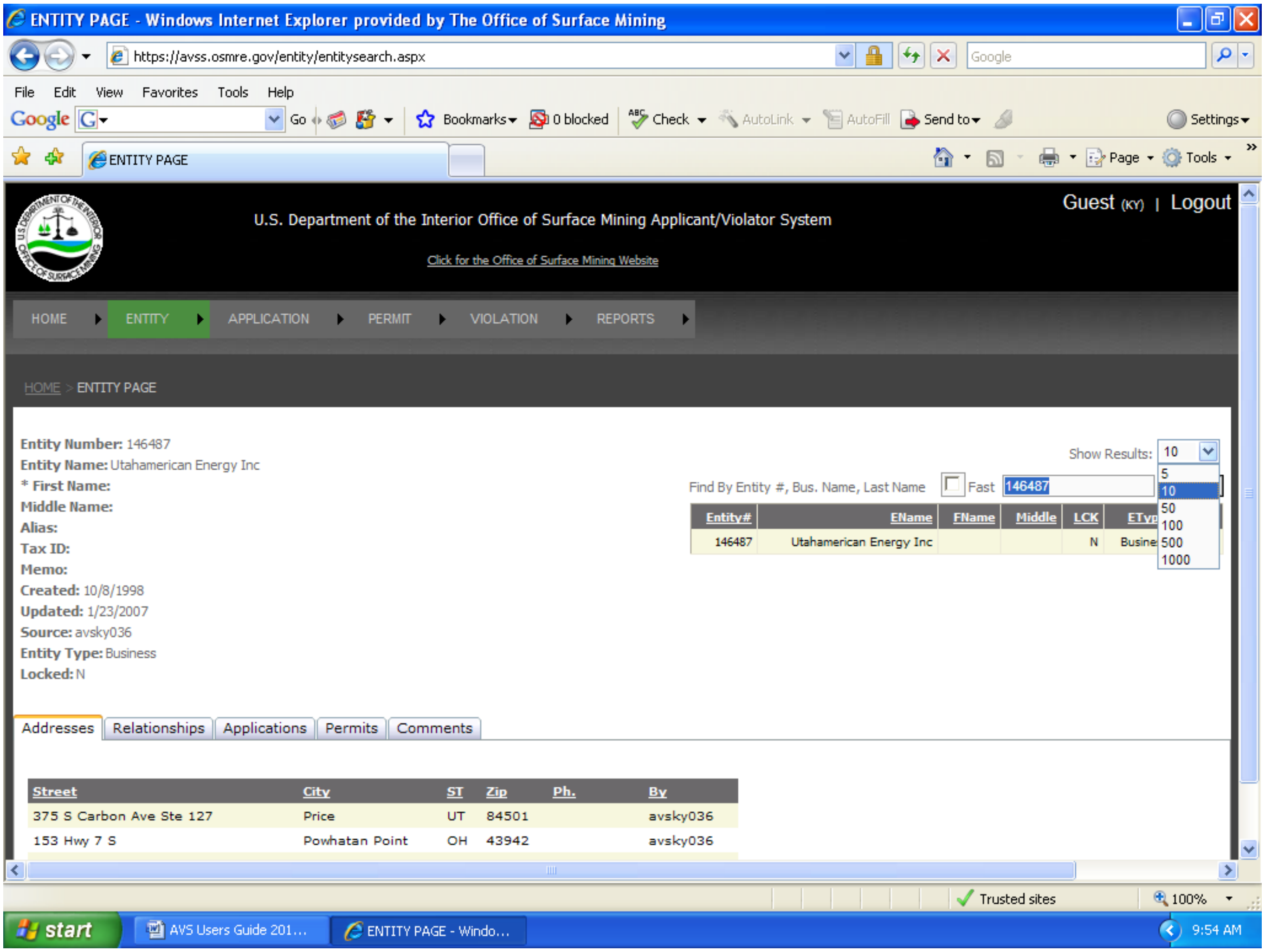
Records count – Position your mouse anywhere on a screen with retrieved records and a count of the records returned will pop up from either your search parameter or the results from a selected tab. *See* the screen shot located below.

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.



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.

<u>Alt plus 9</u> – 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

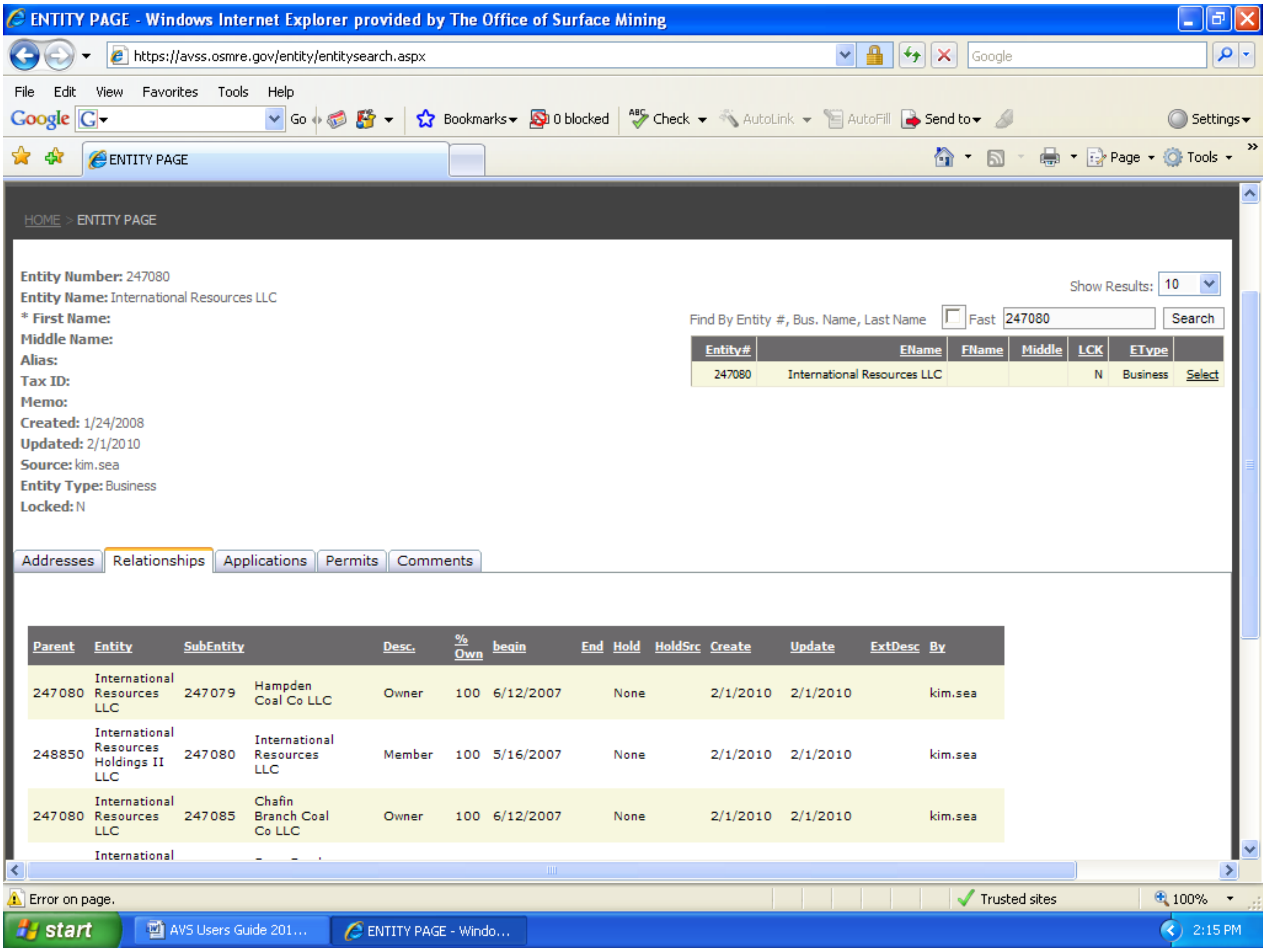
Following are Data Entry Standards for initial data entry and maintenance. These standards assure consistency for efficient and effective outcomes of AVS operation.

Case sensitivity
The data fields that use alphabetical characters are <u>not</u> case sensitive.

How to Create and Interpret business- to-business relationships in the system.
There appears to be some confusion among system users with creating and 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."

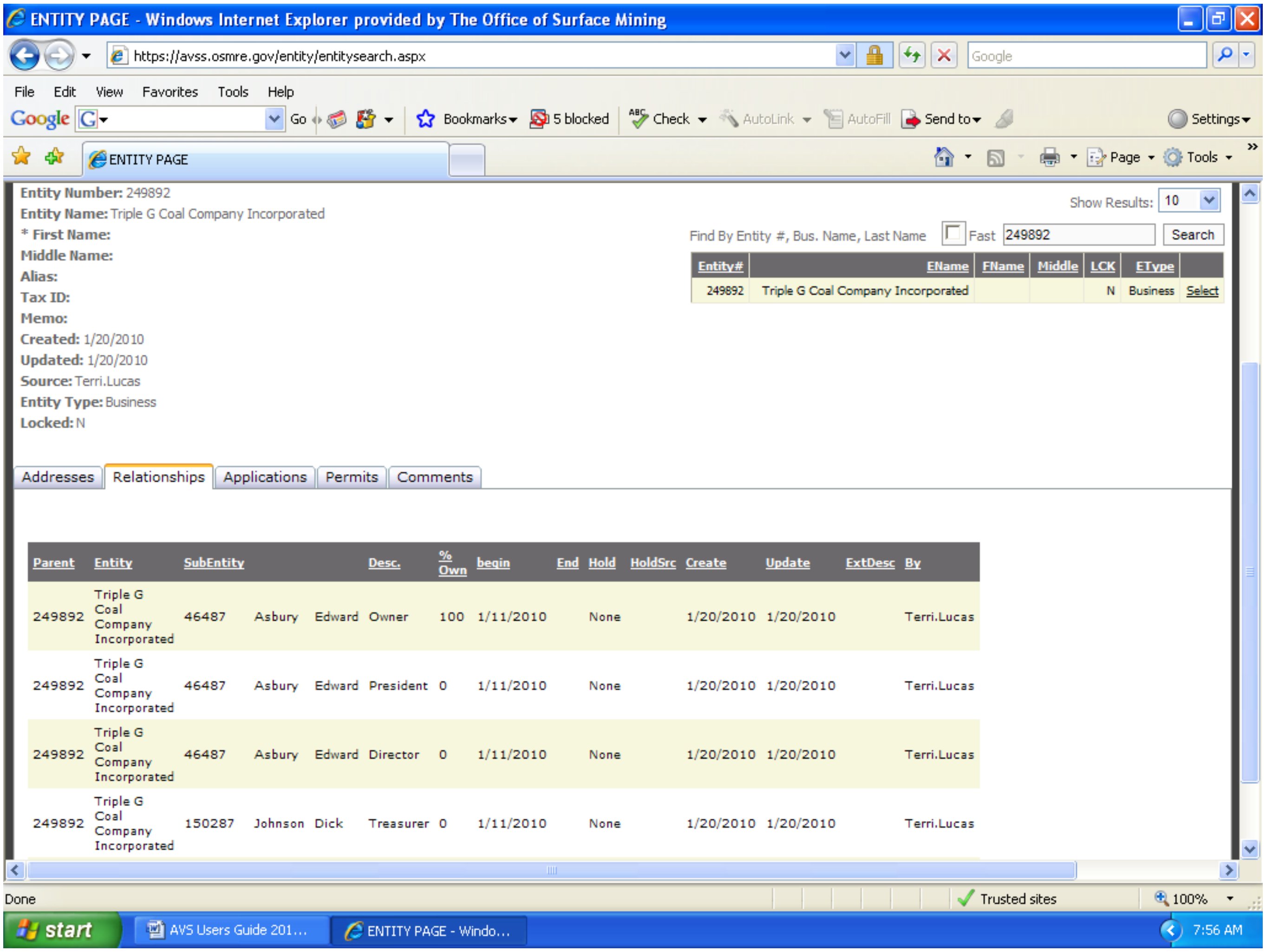
If you search for a business entity in AVS and view the Relationships, you might see the business entity you selected for viewing displayed as both a "Parent Entity" and "Subentity." That is because when you select a business entity for viewing relationships, the system is designed to display on one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

See Screen Shot on page 6. 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."



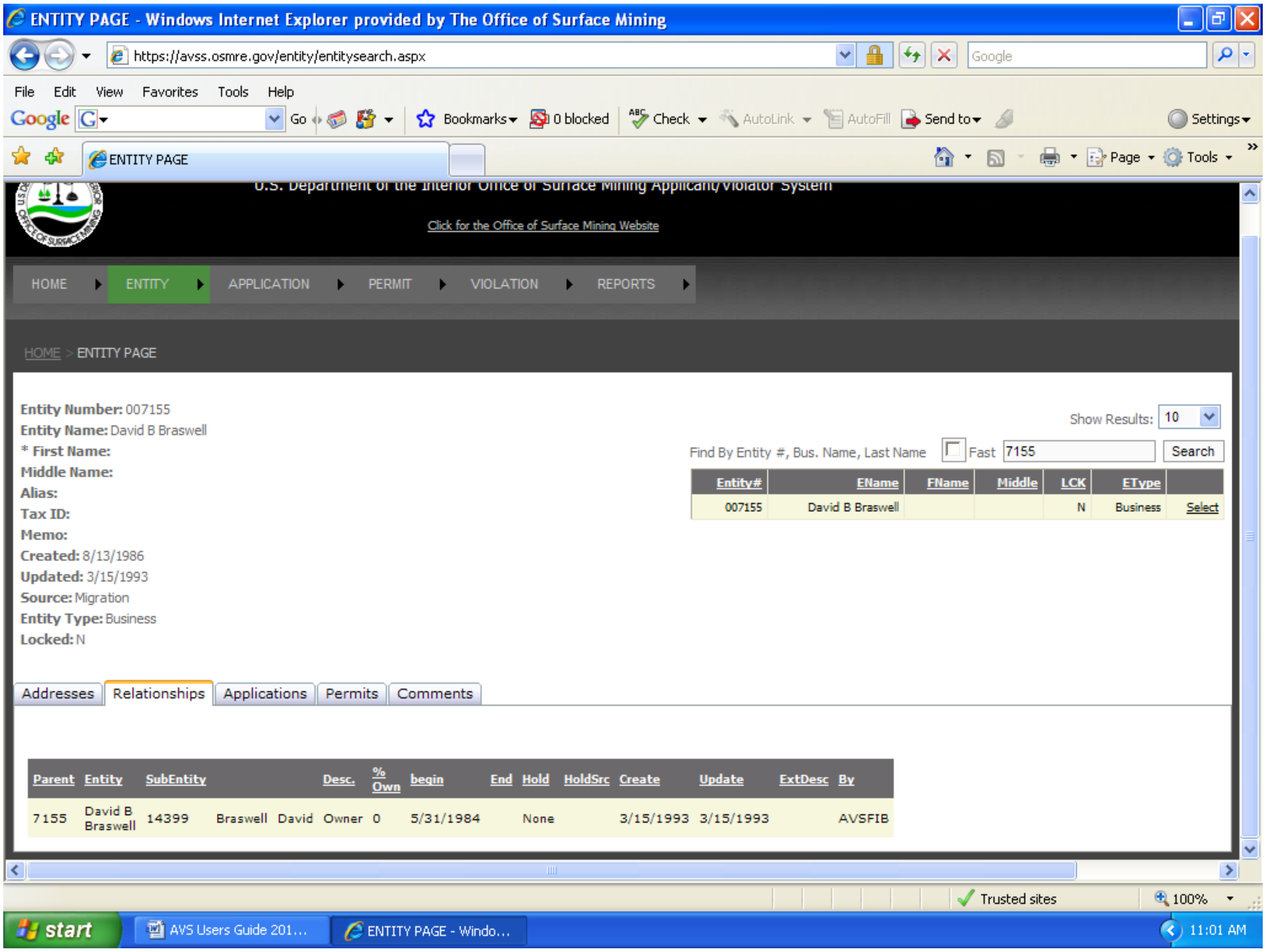
How to Create and Interpret relationships when an Individual is defined as an owner, president, director, etc., of a business entity.

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 on page 7 for an example of this.



How to reflect a sole proprietorship

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 “Sub Entity.” See Screen Shot on page 8 for an example of how to accurately reflect this type of relationship in AVS.



Trusts

The name of the trust would be reflected as the "Parent Entity." The trustee would be reflected as the sub-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 their assistance to reflect this type of name change.

Company Name Changes and Mergers[1]

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

[1] 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.

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.

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

Entity Number: 0848 and 4930

Entity Name: Peabody Coal Co
 * First Name:
Middle Name:
Alias:
Tax ID: xxxxxxxxx
Memo: n/c to Peabody Coal Co LLC (156664) on 07/11/2005
Created: xx/xx/xxxx
Updated: xx/xx/xxxx
Source: xxxxx
Entity Type: business
Locked: N

Name Change: New Entity

Entity Number: 156664
Entity Name: Peabody Coal Co LLC
 * First Name:
Middle Name:
Alias:
Tax ID: xxxxxxxxx
Memo: n/c from Peabody Coal Co (0848 and 4930) on 07/11/2005
Created: xx/xx/xxxx
Updated: xx/xx/xxxx
Source: xxxxx
Entity Type: business
Locked: N

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
Entity Number: 148 and 49977 Entity Name: RAG American Coal * First Name: Middle Name: Alias: Tax ID: xxxxxxxxx Memo: Merged into Cyprus Amax Coal (142085) on 07/01/2000 Created: xx/xx/xxxx Updated: xx/xx/xxxx Source: xxxxx Entity Type: business Locked: N	Entity Number: 142085 Entity Name: Cyprus AMAX Coal * First Name: Middle Name: Alias: Tax ID: xxxxxxxxx Memo: RAG American Coal (148 and 49977) merged into Cyprus Amax Coal on 07/01/2000 Created: xx/xx/xxxx Updated: xx/xx/xxxx Source: xxxxx Entity Type: business Locked: N

<u>New entity OFT for Name Changes and Mergers</u>

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. 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.

<u>New Company entity OFT</u>

Parent Entity	Sub Entity	Desc.	Begin	End
Peabody Coal Co LLC	Peabody Coal Co	Name Change[2]	7/11/2005	
Peabody Coal Co LLC	John Doe	President	7/11/2005	
Peabody Coal Co LLC	Sara Smith	Secretary	7/11/2005	

<u>Old Company entity OFT</u>

Parent entity	Sub Entity	Desc.	Begin	End

[2] Alternatively, indicate “Merger” whichever is applicable.

Peabody Coal Co LLC	Peabody Coal Co	Name Change[2]	7/11/2005
Peabody Coal Co	John Doe	President	7/11/2005
Peabody Coal Co	Sara Smith	Secretary	7/11/2005

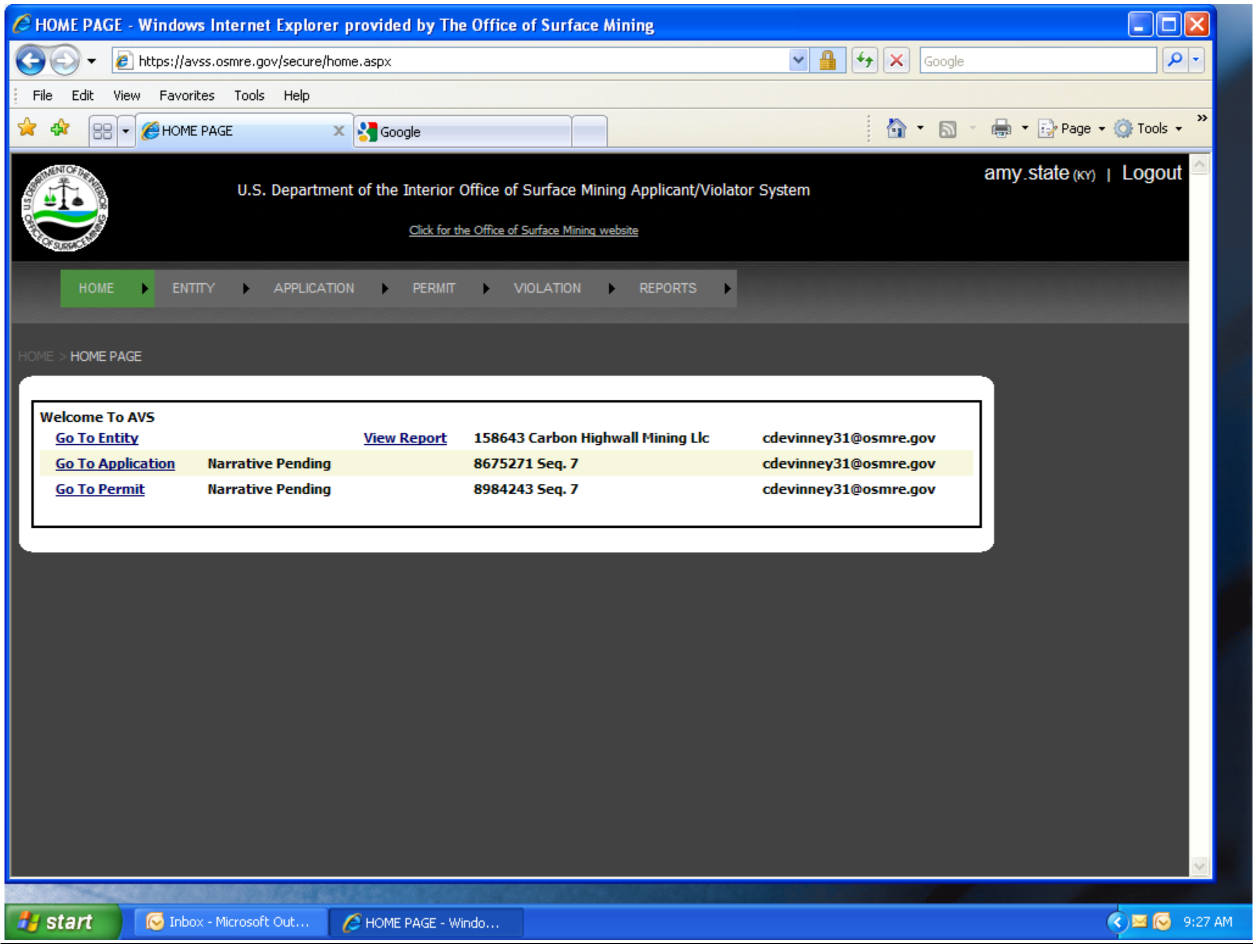
Transferring Permits following a company name change or merger.
All active pending applications and issued permits in AVS, including permits solely in reclamation, must be transferred from the decedent business entity to the new business entity as well as from all parties to a merger that hold permits,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

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. 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 <u>View Report</u> screen to print the report.

3. Select the printer icon at the top of your web browser.

4. Select <cancel> in the <u>View Report</u> to view the report on the screen.

5. Close the <u>View Report</u> 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.

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 Charles DeVinney in the AVS Office at 800.643.9748 to update your user account information and credentials. You can change your password at anytime.

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. 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 and among 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 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 create an Entity: BEFORE YOU CREATE AN ENTITY, ALWAYS CONDUCT AN ENTITY SEARCH TO DETERMINE IF THE ENTITY ALREADY EXISTS IN AVS TO AVOID CREATION OF A DUPLICATE ENTITY. INSTRUCTIONS FOR CONDUCTING AN ENTITY SEARCH CAN BE FOUND ON PAGES 13 AND 14.

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

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.

5. When you have completed your data entry, click on <Verify>.

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 7. If a list is not displayed, proceed to Step 9.

7. Review the entities on the list. 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>.

8. If you are certain you have not created a duplicate of an entity already in AVS, 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 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 at pages 13 and 14, 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.

How to delete an Entity

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 13 and 14, How to search for an Entity.

3. Click on <Delete> from the drop-down menu in the Entity Module button.

4. Click on <Delete> next to the record.

5. 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.

6. 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.[3]

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 13 and 14, How to search for an Entity.

3. Click on <OFT> from the Entity Module button’s drop-down menu.

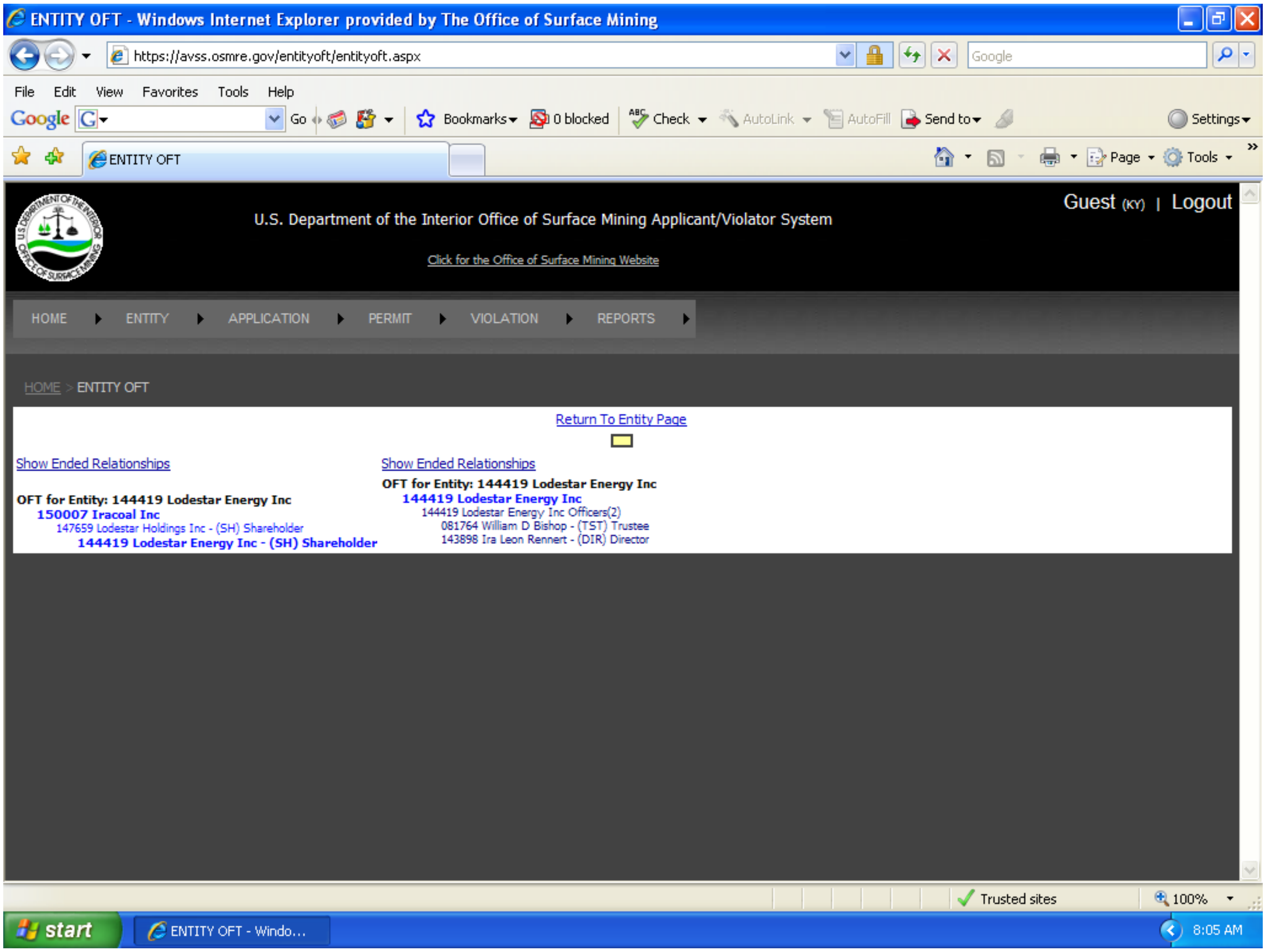
4. AVS will generate the Entity OFT for the entity you selected.

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.

[3] Please contact the AVS Office at 1.800.643.9748 if you need assistance deleting an entity.



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 13 and 14, 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.

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 on pages 13 and 14 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 at pages 13 and 14, 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[4]

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 13 and 14, 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.

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[4] You 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.

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 on pages 13 and 14, 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 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 on How to Create a business-to-business relationship in the system dealing with identifying a “Parent Entity” vs. a “Sub Entity” on pages 5 and 6 of this Guide.

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 on pages 13 and 14, How to search for an Entity.

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.

6. Click on <Search> next to the parent entity.

7. Click on <Search>. If the entity displayed is your parent entity, click on <Select> and then click on <OK> and proceed to Step 8. If the entity displayed is not your parent entity, then enter the entity number of your parent entity. Click on <Search> and then proceed to Step 9.

8. Click on <Search> next to sub entity. Enter entity number of sub entity and click on <Search>.

9. Click on <Select> and then click <OK>.

10. Enter % of ownership if relationship is an owner, shareholder, manager, partnership.

11. Enter begin date of relationship.

12. At description, Click on down arrow to display available relationship descriptions, highlight correct description and press <Enter>.[5]

13. Click on <Save>. If you have entered the information correctly, AVS will display Good Save in red in the top left corner of the screen.

14. Click on <Close Window>.

15. 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 on pages 13 and 14, How to search for an Entity.

3. Click on the Entity Details tab Relationships to view the relationship information.

4. Click on <Edit> 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 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 on pages 13 and 14, How to search for an Entity.

3. Click on the Entity Details tab Relationships.

4. Click on <Delete> at the right side of the relationship you wish to delete.

[5] Controller Relationships: Controller is an available relationship description code that may be used to reflect a relationship. This term has sometimes caused confusion among users and general viewers. 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.

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.

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 13 and 14, 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

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 search procedures detailed at pages 13 and 14, 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 <u>Entity Module button</u> to access the Entity Page.

2. Retrieve the entity record. Refer to the search procedures detailed at pages 13 and 14, How to search for an Entity.

3. Click on the Entity Details tab, <u>Comments</u>.

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 <u>Entity Module button</u> to access the Entity Page.

2. Retrieve the entity record. Refer to the search procedures detailed at pages 13 and 14, How to search for an Entity.

3. Click on the Entity Details tab, <u>Comments</u>.

4. Beneath <u>Comments</u>, 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 <u>Entity Module button</u> to access the Entity Page.

2. Retrieve the entity record. Refer to the search procedures detailed at pages 13 and 14, How to search for an Entity.

3. Click on the Entity Details tab, <u>Comments</u>.

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 <u>Entity Module button</u> to access the Entity Page.

2. Retrieve the entity record. Refer to the search procedures detailed at pages 13 and 14, 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.

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 13 and 14 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.[6]

5. If the entity is associated with violations, you can view the Violation OFT[7] 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.

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[6] An Evaluation OFT is a display of all the relationships being evaluated during the process.
[7] A Violation OFT is a listing of entities associated with a violation.

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.

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 on pages 13 and 14 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 on pages 13 and 14 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.[8]

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

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.

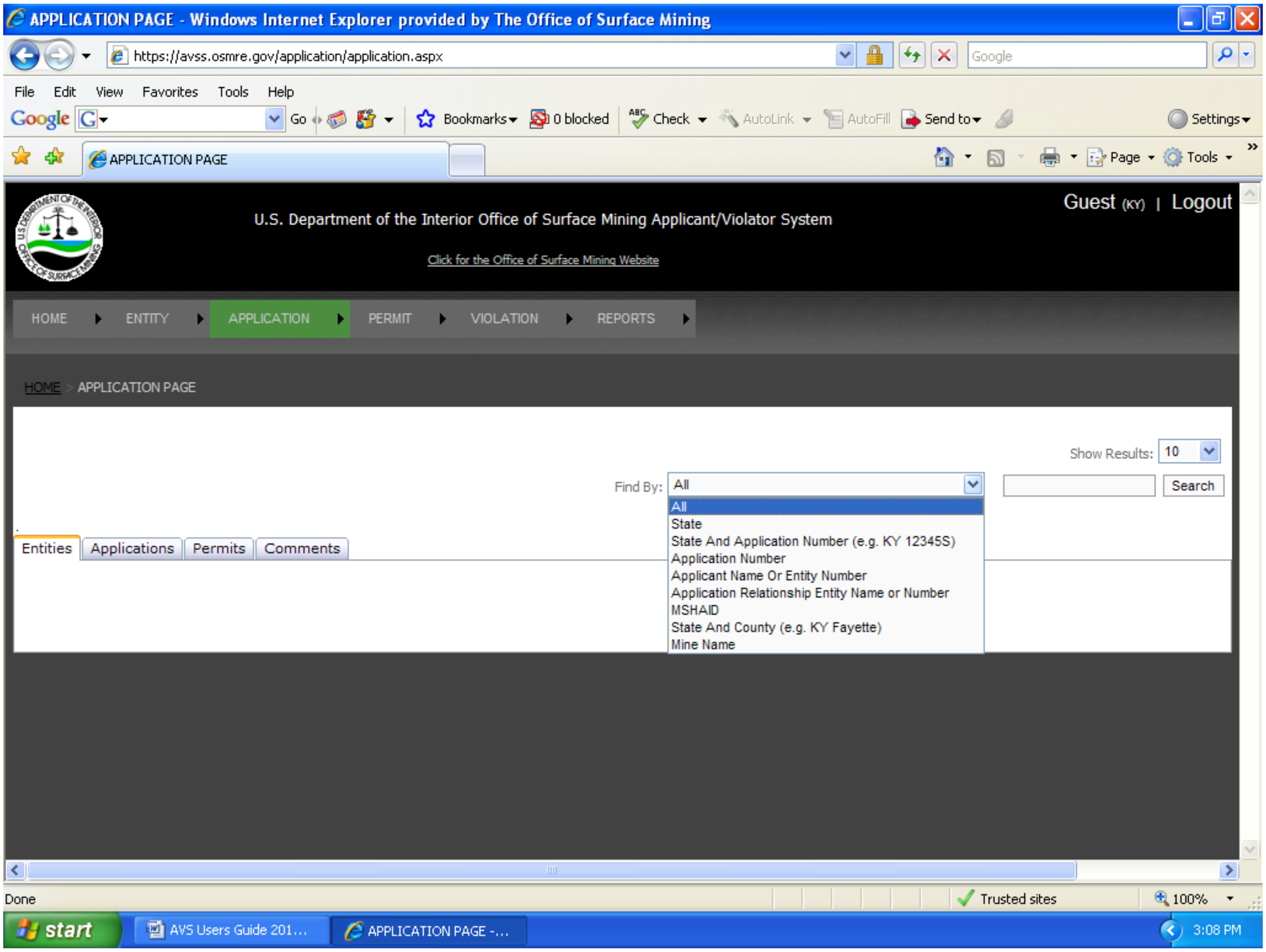
8. Click on any Module button to perform another task.

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. 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.

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 create a new Application record

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

2. 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 new permit.

3. The next screen asks for information from the hard-copy application. All fields notated with an asterisk, (*), must be populated with data.

4. Enter the application number.

5. The State field is automatically filled based on your login id.

6. In the Applicant field, click on <Search> and enter either the name or entity number of the applicant. Press <Enter> or click on <Search>.

7. 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 in red.

8. 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.[9]

9. If there is permit-specific relationship information included in the new application, enter it into the application record.

10. 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.

11. From the Search Results, click on <Select> next to the entity that is the permit-specific relationship. The selected record is highlighted with red. Click on <Save>.

12. Enter the beginning date (MM/DD/YEAR) of the relationship.

13. Select the Relationship Type from the drop-down menu. After you have selected, click on <Save>.

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[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.

14. 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.

15. 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>.

16. If AVS detects no problems with the new application record, it will produce the message, Good Save in red at the top left corner of the screen. Click on <Continue>.

17. The new application record you created will appear in the next screen.

18. 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.[10]

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.

How to add permit-specific relationships 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 at pages 25 and 26, How to search for an Application record.

3. Click on the Application Details tab <Entities>.

4. Click on <Add New Relationship>.

[10] 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.

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 in red. 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 at pages 25 and 26, How to search for an Application record.

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

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, 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 at pages 25 and 26, How to search for an Application record.

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 in red.

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.[11]

15. Attach any permit-specific relationship information into the amendment, renewal, or transfer application record. First, carry forward any permit-specific relationship 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 in red in the top left corner of the screen. Click on <Continue>.

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 application

[11] 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.

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 pages 25 and 26, 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.

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 pages 25 and 26, 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 pages 25 and 26, 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 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 at pages 25 and 26, How to search for an Application record.

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 at pages 25 and 26, How to search for an Application record.

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 at pages 25 and 26, How to search for an Application record.

3. Click on the Application Details tab <Comments>.

4. Click on <Delete> next to the application record from which you wish to delete a comment.

5. AVS will ask, “Delete This?”

6. Make sure it is the comment information you wish to delete. Click on <Save>.

7. The next screen displays the application record showing the comment removed.

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

How to create the Permit record from an Application record
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 at pages 25 and 26, How to search for an Application record.

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>[12], <Settle>, or <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.

[12] By reflecting the bond status as Released, this indicates the bond has achieved Phase III bond release.

13. 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 <u>Application Module button</u> to access the Application Page.

2. Retrieve the application record. Use the search procedures detailed at pages 25 and 26, 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.[13]

5. If the applicant and application are associated with violations, you can view the Violation OFT[14] associated with each violation by clicking on any <u>violation number</u> 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.

<u>IMPORTANT</u>: The following procedures in the Application Module concern <u>Evaluation Narratives</u>. 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.

[13] An Evaluation OFT is a display of all the relationships being evaluated during the process.
[14] A Violation OFT is a listing of all relationships that are associated to a violation.

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 at pages 25 and 26, 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 and post it on AVS generally within the same day of your request.

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 at pages 25 and 26, 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 <u>to print</u> the Evaluation Narrative. **NOTE:** The Evaluation Narrative will not print if the AVS Office has not completed the Evaluation Narrative report.

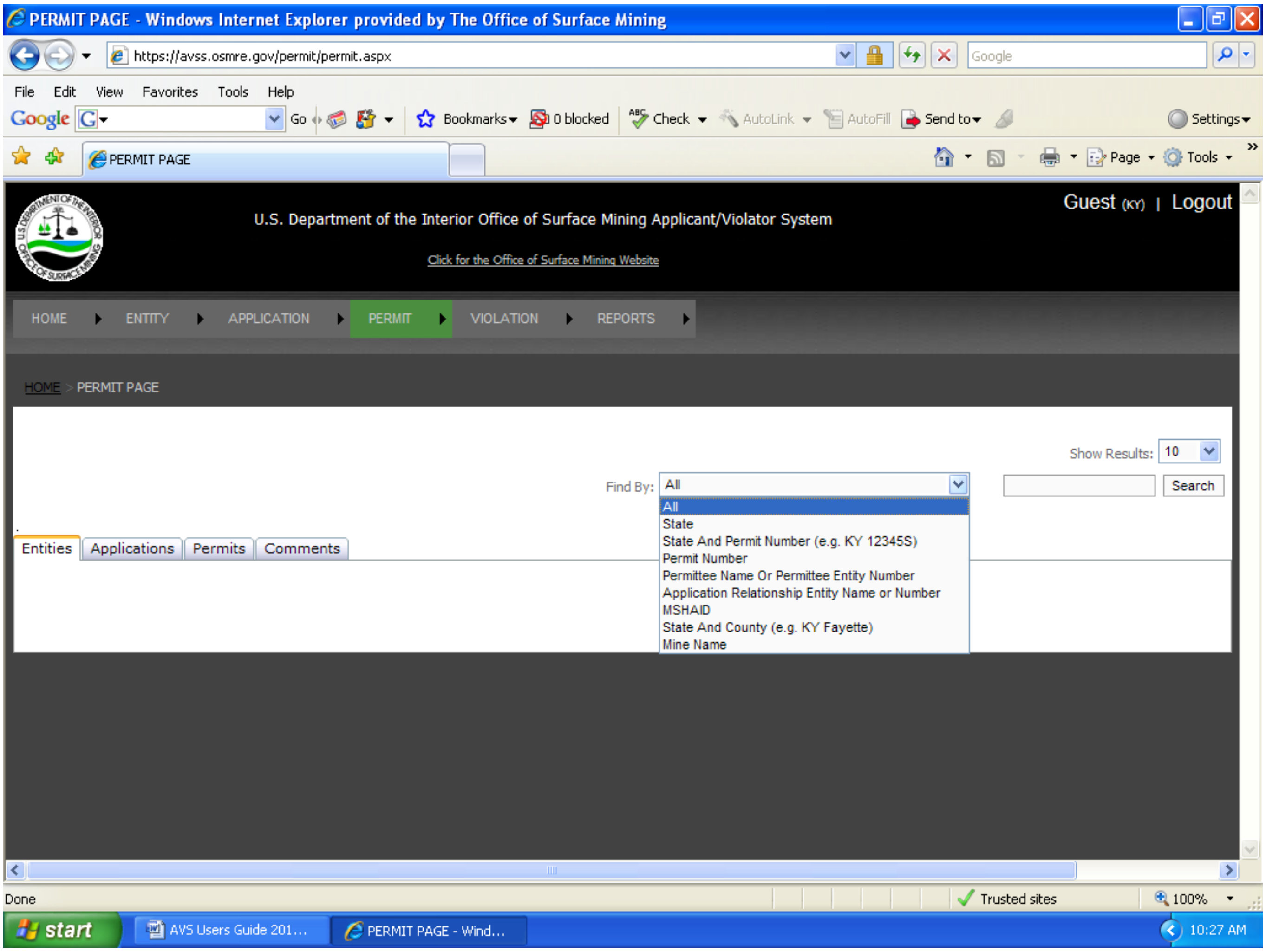
8. Click on any Module button to perform another task.

<u>Permit Module</u>

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 <u>Permit Page</u>. 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 <u>Permit Module button</u> to access the Permit Page.

2. At the <u>Permit Page</u>, 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 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, at pages 34 and 35.

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 at pages 38 and 39, How to search for a Permit record.
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.

How to delete a Permit record
CRITICAL: A permit record cannot be deleted if violations are directly associated with the permit. Contact the AVS Office for assistance.
1. Click on the Permit Module button to access the Permit Page.
2. Retrieve the permit record for which you wish to delete. Use the search procedures detailed at pages 38 and 39, How to search for a Permit record.
3. From the Permit Module drop-down menu, click on <Delete>.
4. AVS will display, Confirm You Want To Delete This Permit.
5. Click on <Delete> or <Cancel>.
6. If you click on <Delete> AVS will display, This permit was deleted.
7. 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.[15]

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

2. Retrieve the permit record. Use the search procedures detailed at pages 38 and 39, 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 add permit-specific relationships to a Permit record

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

2. Retrieve the permit record. Use the search procedures detailed at pages 38 and 39, How to search for a Permit record.

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

10. If AVS detects no problems, it will display Good Save at the top left corner of the screen. The added permit-specific relationship is shown when you click on the Entities tab.

[15] 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.

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 at pages 38 and 39, How to search for a Permit Record. 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 at pages 38 and 39, How to search for a Permit record.

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 at pages 38 and 39, 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.

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 pages 38 and 39, 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 pages 38 and 39, 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 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 pages 38 and 39, How to search for a Permit record.

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 pages 38 and 39, How to search for a Permit record.

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 at pages 38 and 39, How to search for a Permit record.

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.

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

2. Retrieve the permit record. Refer to the search procedures detailed at pages 38 and 39, 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.[16]

5. If the permittee and permit are associated with violations, you can view the Violation OFT[17] 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.

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

[16] An Evaluation OFT is a display of all the relationships being evaluated during the process.
[17] 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. 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 Permit Module button to access the Permit Page.

2. Retrieve the permit record you wish to evaluate by using the search procedures detailed at pages 38 and 39, How to Search for a Permit Record.

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 in the upper right of the opening screen of the Permit Module.

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 generally within the same day of your request.

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 on pages 38 and 39, 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.

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:

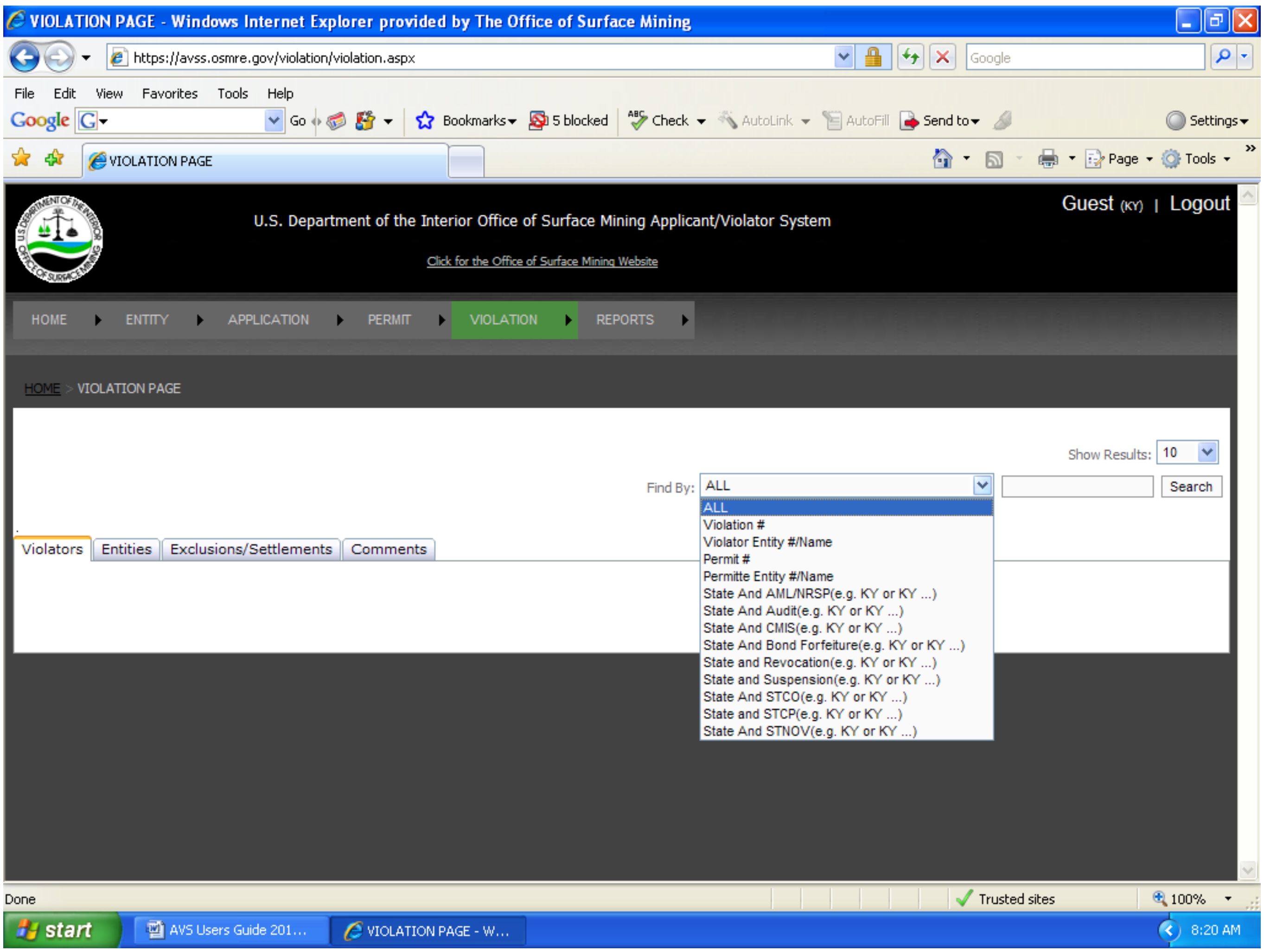
- Abandoned Mine Land (AML) reclamation fee debt
- AML audit debt
- AML non-respondent violations (failure to submit OSM-1 form[18])
- Federal and State civil penalties
- State Notice of Violation[19]
- Federal and State unabated cessation orders
- Bond forfeitures
- Suspended Permits
- Revoked Permits
- EPA Clean Water Act violations[20]

[18] The OSM-1 form is required quarterly from permittees. It is the means by which permittees report their coal production on tonnage sold to OSM and by which reclamation fees are calculated.
[19] 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.
[20] There are coal-related violations of EPA's Clean Water Act in AVS referred to OSM by EPA Region III.

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 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 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 on pages 38 and 39, How to search for a Permit record.

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 in red 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 at the top of the screen in red.

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 on pages 38 and 39, How to search for a Permit record.

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 in red 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) at the top of the screen in red.

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[21]; 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.

[21] 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.

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. Click on <Change/Search> next to the permit field. Enter the permit number, then click on <Search>.

6. Depending on your search data, a list of permits may appear.

7. Click on <Select> next to the permit for which you are creating a State Violation record. The selected permit is then highlighted in red.

8. 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.

9. Enter the Violation Number.

10. Enter the Violation date (MM/DD/YEAR).

11. The State name field is automatically filled based the user's login identification.

12. Click on <Save>.

13. If AVS detects no problems, it will display Good Save in red at the top of the screen.

14. Click on <Go To New Violation>.

15. 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 in blue.

16. 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) (State Notice of Violation[22]; State Civil Penalty; or State Cessation Order Violation)

[22] 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

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. Click on <Change/Search> next to the Entity field. Enter the entity number or name of the violator, then click on <Search>.

6. Depending on your search data, a list of entities may appear.

7. Click on <Select> next to the entity for which you are creating a State Violation record. The selected permit is then highlighted in red.

8. 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.

9. Enter the Violation Number.

10. Enter the Violation date (MM/DD/YEAR).

11. The State name field is automatically filled based the user's login identification.

12. Click on <Save>.

13. If AVS detects no problems, it will display Good Save in red at the top of the screen.

14. Click on <Go To New Violation>.

15. 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 in blue.

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

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regulatory authority has no mechanism for issuing a failure-to-abate cessation order or State counterpart for non-compliance.

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 on page 48 and 49, How to search for a Violation record.

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 two fields you can update -- Violation Status, and Violation Number.

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 in blue.

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 on page 48 and 49, How to search for a Violation record.

3. Click on 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[23]

[23] 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.

You cannot view a violation OFT immediately after a violation record is created or updated, but it only takes about a half-hour. For example, if you create or update a violation at 9:30 a.m., you will be able to view the violation OFT after 10:00 a.m.

1. Click on Violation Module button.

2. Retrieve the Violation record you wish to view the VOFT using the search procedures described on page 48 and 49, How to search for a Violation record.

3. Click on 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.[24]

1. Click on the Violation Module button.

2. Retrieve the Violation record using the search procedures described on page 48 and 49, How to search for a Violation record.

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[25] for a Violation Record

[24] 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.

[25] 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 Violation Module button.

2. Retrieve the Violation record using the search procedures described on page 48 and 49, How to search for a Violation record.

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 on page 48 and 49, 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 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?
There are eight report options currently available in AVS.[26]

- <u>Application-Permit by Entity Report</u>. 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.

- <u>Entity OFT Report</u>. This report displays all owners, subsidiaries, and officers for a selected business entity.

- <u>Operator Report</u>. This report lists all permit numbers where the selected entity is shown as an operator.

- <u>Oversight Bond Forfeiture Report</u>. This report identifies bond forfeiture violations, suspended and revoked permits that have been created in AVS for a specific period of time. NOTE: If one of these violation types have been reflected in AVS, then later removed due to abatement the violation will not appear on the report.

- <u>Oversight Evaluations Report</u>. This report identifies all permits issued by a State for a specific period of time that requested an AVS narrative to determine permit eligibility.

- <u>Oversight Pending Applications Report</u>. 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.

- <u>Oversight Permits Issued Report</u>. This report identifies issued permits by State for a specific period of time.

- <u>Oversight State Violations Report</u>. This report identifies violations (State Civil Penalties, State Cessation Orders, and State Notice of Violations) entered into the system for a

[26] 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.

specific period of time. NOTE: If one of these violation types have been reflected in AVS, then later removed due to abatement the violation will not appear on the report.

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 Bond Forfeiture Report

1. Hover on the Reports Module button.

2. From the module drop-down menu, click on the <Oversight Bond Forfeiture Report>.

3. Enter the begin and end date range of Bond Forfeiture data you want your report to produce. Example: If you enter 7/6/2009 – 2/16/2010, you will receive a report identifying bond forfeitures in AVS that reflect a violation date within the date range you selected above.

4. From the drop-down menu, click on down arrow and select the State.

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.

How to generate an Oversight Evaluations Report

1. Hover on the Reports Module button.

2. From the module drop-down menu, click on the <Oversight Evaluations Report>.

3. Enter the begin and end date range of requested AVS Narratives you want your report to produce. Example: If you enter 7/6/2009 – 2/16/2010, you will receive a report identifying permits issued within that date range where there was an AVS narrative provided to assist with determining permit eligibility.

4. From the drop-down menu, click on down arrow and select the State.

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.

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 $\longrightarrow$ 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.

How to generate an Oversight Permits Issued Report

1. Hover on the Reports Module button.

2. From the module drop-down menu, click on the <Oversight Permits Issued Report>.

3. Enter the begin and end date range of Permits Issued data you want your report to produce. Example: If you 7/6/2009 – 2/16/2010, you will receive a report identifying permits issued in AVS within the date range you selected above.

4. From the drop-down menu, click on down arrow and select the State.

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.

How to generate an Oversight State Violations Report

1. Hover on the Reports Module button.

2. From the module drop-down menu, click on the <Oversight State Violations Report>.

3. Enter the begin and end date range of State violations data you want your report to produce. Example: If you 7/6/2009 – 2/16/2010, you will receive a report identifying State violations issued in AVS within the date range you selected above.

4. From the drop-down menu, click on down arrow and select the State.

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.