

# AVS

# USERS GUIDE

APPLICANT/VIOLATOR SYSTEM USERS GUIDE  
Companion to the 2007 Re-designed AVS software

State and Federal Regulatory Authority Edition

United States Department of the Interior  
Office of Surface Mining Reclamation and Enforcement  
Applicant/Violator System Office  
2679 Regency Road  
Lexington, Kentucky 40503  
1.800.643.9748

## Introduction

This Users Guide is the instructional companion to the 2007 redesigned software implementing the Applicant/Violator System (AVS). It is a step-by-step guide to assist AVS users. It is not intended, nor expected, to replace formal training in the use of the computer system. AVS is the exclusive property of the U.S. Department of the Interior, Office of Surface Mining Reclamation and Enforcement (OSM). This edition is intended solely for State and Federal Regulatory Authorities.

The 2007 redesign represents the third overhaul of the system's implementing software, not counting scores of individual enhancements since the onset of operations in 1987. The 2007 software uses Windows® as its new platform and is directly accessed through an Internet connection. Windows is a registered trademark of the Microsoft Corporation. The new platform is even more user-friendly than before and is recognizable to anyone who uses a web browser. It allows much more flexibility in data retrieval, viewing, and navigation through the system options. In addition, operating AVS no longer requires the use of function keys.

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 rules. 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.

As a result of this redesign, OSM will no longer distribute AVS software. Anyone with Internet access can access AVS by using its Internet address and log on as a Guest User. Access instructions are found on page 9 of this Users Guide. Please be aware that OSM has instituted security protocols to protect the platform, programs, structure, and data from outside interference. The AVS Office will continue to provide training to users who request it.

Have a question or want more information? Now anyone, including States, industry, advocacy groups, and the general public, may contact the AVS Office, toll-free, at 1.800.643.9748, from 7 a.m. to 5:30 p.m. Eastern Time. This line is equipped to record voice-mail messages. Our telefax number is 859.260.8418. Please visit our web site anytime at <http://www.avs.osmre.gov>.

Please note that from time to time, we will update or revise this Users Guide. We will notify you of updates or revisions and ask that you replace affected procedures with the update and/or revision as soon as you receive them. Please shred or otherwise securely dispose of the discarded pages.

## **IMPORTANT!**

The procedures and guidance contained in this AVS Users Guide support the AVS computer system operation. The procedures and guidance in the AVS Users Guide are in no way intended as guidance to State regulatory authorities regarding the implementation of their regulatory program policies and requirements.

If you have questions concerning any effect the procedures for AVS operation may have on a regulatory program or its policies and requirements, please contact the appropriate State regulatory authority or the AVS Office.

AVS USERS GUIDE  
State and Federal Regulatory Authority Edition

Table of Contents

Section	Page No.
Introduction .....	2
Important! .....	3
System, Account, and Password Security .....	7
How Do I Access and Log Off AVS? .....	10
How Is AVS Organized? .....	13
How Do I Print from AVS? .....	13
 Module 1: ENTITY	
How Do I Search for an Entity Record? .....	14
What Are the Entity Search Results? .....	14
How Do I Select from Search Results? .....	14
What Are the Entity Function Tabs? .....	14
What Are the Entity Navigation Buttons? .....	15
How Do I Create a New Entity Record? .....	22
How Do I Update an Entity Record? .....	28
How Do I Delete an Entity Record? .....	28
How Do I Evaluate an Entity? .....	31
How Do I View a Violation from the Entity Evaluation? .....	36
How Do View a Violation OFT from the Entity Evaluation? ...	36
How Do I View an Entity OFT? .....	37
How Do I Update a Record on an Entity OFT? .....	37
How Do I Add a New Relationship to an Entity OFT? .....	38
Entity OFT Add/Update Authority and Jurisdictions .....	38
How Do I Create an Entity OFT for the First Time? .....	43
How Do I Delete Information from an Entity OFT? .....	47
How Do I Show an Entity Name Change? .....	47
How Do I Show a Merger? .....	47
How Do I Fix Multiple Entities? .....	47
How Do I Lock or Unlock an Entity OFT? .....	47

Table of Contents, page 2

<u>Section</u>	<u>Page No.</u>
<b>Module 2: APPLICATION</b>	
How Do I Search for an Application Record? .....	48
What Are the Application Search Results? .....	48
What Are the Application Function Tabs? .....	49
What Are the Application Navigation Buttons? .....	49
How Do I Create a New Application Record? .....	57
How Do I Create an Amendment (Revision) Application Record? .....,.....	62
How Do I Create a Renewal Application Record? .....	67
How Do I Create a Transfer Application Record? .....	72
How Do I Update an Application Record? .....,.....	77
How Do I Delete an Application Record? .....	77
How Do I Delete an Application Relationship Record? .....	77
How Do I Add a Relationship to an Application Record? .....	81
How Do I Update a Relationship in an Application Record? .....	86
How Do I Evaluate an Application Record for Permit Eligibility? .....	92
How Do I View a Violation OFT from the Application Evaluation? .....	98
How Do I View a Violation Record from the Application Evaluation? .....	98
How Do I Create a Permit Record Once an Applicant Is Approved for a Permit? .....	99
<b>Module 3: PERMIT</b>	
How Do I Search for a Permit Record? .....	103
What Are the Permit Search Results? .....	103
What Are the Permit Function Tabs? .....	104
What Are the Permit Navigation Buttons? .....	104
How Do I Update a Permit Record? .....	114
How Do I Add a Relationship in a Permit Record? .....,.....	117
How Do I Update a Relationship in a Permit Record? .....	123
How Do I Delete a Permit Record? .....	123

Table of Contents, page 3

<u>Section</u>	<u>Page No.</u>
<b>Module 3: PERMIT, Continued</b>	
How Do I Delete a Permit Relationship Record? .....	123
How Do I Evaluate a Permit Record for Permit Eligibility? .....	131
How Do I View a Violation from the Permit Evaluation? .....	136
How Do I View a Violation OFT from the Permit Evaluation? .....	136
<b>Module 4: VIOLATION</b>	
How Do I Search for a Violation Record? .....	137
What Are the Search Results? .....	137
How Do I Select from Violation Search Results? .....	137
What Are the Function Tabs? .....	138
What Are the Navigation Buttons? .....	138
How Do I View a Violation Record? .....	138
How Do I View a Violation OFT? .....	139
How Do I Create a New State Violation Record? .....	146
How Do I Show a Bond Forfeiture, Suspended Permit or Revoked Permit?.....	147
How Do I Update a Violation Record? .....	156
How Do I Delete a State Violation Record after the Violation Is Abated or Corrected?.....	156
<b>Module 5: REPORTS</b>	
What Reports Can Be Produced from the Report Module? .....	160
How Do I Generate a Report? .....	160
How Do I Print a Report? .....	160
How Do I E-Mail a Report? .....	160

## System, Account, and Password Security

Protected account access information and passwords are a critically important aspect of computer security. They are the front line of protection for the AVS national database. Openly accessible account information, a poorly chosen password, or not closing a session before leaving your computer unattended could result in compromising AVS and its data. As such, all AVS users are responsible for taking the appropriate steps, discussed below, to safeguard their accounts and secure their passwords.

The following information is provided to heighten your security awareness and to refresh you on the proper control of user accounts and the proper construction of passwords.

### **Guidance**

Never give or share your user access identification (account access) or password out to **anyone** by telephone, e-mail, over the Internet, or even to an on-site technician.

Social engineering and “Phishing” are two ways hackers use to successfully steal identity information as well as personal and account information. Types of information sought include banking information, credit card information, and specialized database account access, such as AVS.

Social engineering is a method commonly attempted over the telephone. A person may call you and impersonate a technician or system administrator. The person then requests your user name and password for any given protected software. Commonly, a person will use a heart breaking story to win your confidence in their legitimacy. If that does not work, the person may attempt to pressure you in to divulging information by, for example, stating an account of yours will be deactivated or closed if you do not provide the information.

“Phishing” occurs when you receive an e-mail message requesting that you respond with personal or credit card information. “Phishing” is designed to fool recipients into divulging personal data such as on-line account user names, passwords, credit card numbers, social security numbers, ages, addresses, or answers to second level security questions, etc. Often, such e-mail messages and the embedded hyperlink to an Internet web site look official or highly similar to authentic messages and web sites. As a result, a high percentage of recipients may respond to them, resulting in financial losses, identity theft, and other fraudulent activity, including the compromise of government computer systems like AVS.

Regardless of the method used, remember that legitimate companies will not request this information over the telephone or by e-mail message. Confirm the legitimacy of the contact person and his/her employer. The best advice, however, is to NEVER provide this information in response to any request that you divulge it.

## **Security Notice**

By intending to access AVS, you are required to read and comply with the following Federal government warning.

**\*\*WARNING\*\*WARNING\*\*WARNING\*\***

This is an OSM computer system. OSM computer systems are provided for processing of Official U.S. Government information only. All data contained on OSM computer systems are owned by OSM and may be monitored, intercepted, recorded, read, copied, or captured in any manner and disclosed in any manner, by authorized personnel. THERE IS NO RIGHT OF PRIVACY IN THIS SYSTEM. System personnel may give to law enforcement officials any potential evidence of crime found on OSM computer systems.

USE OF THIS SYSTEM BY ANY USER, AUTHORIZED OR UNAUTHORIZED, CONSTITUTES CONSENT TO MONITORING, INTERCEPTION, RECORDING, READING, COPYING, OR CAPTURING, AND DISCLOSURE.

**\*\*WARNING\*\*WARNING\*\*WARNING\*\***

Agreement to the terms and conditions in the OSM Rules of Behavior is assumed by use of an OSM individually assigned user ID to access this system.

You are now logged onto a computer system operated for, and on behalf of, the United States Government. Unauthorized access or use of the system for any purpose other than official government business is punishable by fine, imprisonment, or both. (18 U.S. Code 1030) 2006. Department of the Interior, Office of Surface Mining Reclamation and Enforcement. All rights reserved.

## **AVS Account Access**

The AVS Office will notify authorized State and Federal users of their account access information. Do not allow this information to become public knowledge.

## **Password Change Requirement**

If you suspect your account information has been compromised, you must report the incident immediately to OSM's AVS Office at 1.800.643.9748 or 1.859.260.8424, extension 464. In addition, the AVS system will automatically prompt you to change your password every 90 days.

## **Password Construction Requirements**

In order to use AVS, you are required to change your password when you are first assigned an account and every 90 days thereafter. The password must be at least 8 characters long and sufficiently complex. Minimum complexity means at least one



uppercase letter (ABC), one lower case letter (abc), one special character (#\$%), and one number (123). Avoid personal names unless scrambled and interspersed with other characters. Avoid words found in a dictionary.

Bad password example:	Carpet1\$1
Good password example:	C@rpet1\$1
Better password example:	#tec@1Pa\$2R

Note: Do not use any of these three examples as your password at any time.

### **Enforcement**

Failure to comply with these password and other safety requirements could result in your loss of AVS user privileges.

### **Qualified System**

You should login to AVS only from a qualified system. A qualified system means, for example, your home computer, government-issued computer, work-issued computer, or other secure computer where: (1) anti-virus protection is installed, running and continually updated with the newest virus definitions, (2) a firewall is installed and running, (3) up-to-date security patches are installed, and (4) it is free of “spyware” and viruses. Do not use a public computer, such as those at an Internet café, hotel, library, or airport, to log on to AVS.

Applicant/Violator System  
Users Guide  
State and Federal Regulatory Authority Edition

### 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. The first screen is a text that begins, "Welcome to the home of the Applicant/Violator System . . ." The text contains a warning that no user has any expectation of privacy when accessing or using AVS. See below, at Figure Access-1.
4. Click on <Access AVS>.
5. The next screen contains OSM's Disclaimer as well as the access ports. See below, at Figure Access-2.
6. In the box indicated, type in your user name.
7. In the box indicated, type in your password.
8. Click on <login> or press <Enter>.
9. The next screen is the AVS Home Page. For all users except the AVS Office, this screen is blank. Above the blank screen are six large rectangular buttons: Home, Entity, Application, Permit, Violation, and Report. These are the Module buttons. Module buttons are the first entry port to view, create, and update records and data.
10. Click on <Entity>, <Application>, <Permit>, <Violation>, or <Report> to begin.

### How Do I Log Off AVS?

1. We highly recommend you use the "logout" buttons at the top right-hand corner on most screens.
2. Click on "Logout."
3. Click on "File" on your web browser tool bar.
4. Click on "Close" to exit your web browser.
5. If you click on the red box with the white X in the far upper right corner of your web browser screen to exit AVS, the application will interpret this action as an improper log off and will prevent your re-access for 20 minutes or more.

Figure Access-1: Home Screen

<p><a href="#">Home</a>   <a href="#">Access AVS</a></p>
<p>Welcome to the home of the Applicant Violator System, Office of Surface Mining, Department of the Interior. Use this site to find information on the following items:</p> <ul style="list-style-type: none"><li>▪ Individual(s) listed in the AVS system by any combination of first, middle, and/or last name criteria</li><li>▪ Business(es) listed in the AVS System by business name criteria</li><li>▪ Mine(s) listed in the AVS System by mine name criteria</li></ul> <p style="text-align: center;">**WARNING**WARNING**WARNING**</p> <p>This is an OSM computer system. OSM computer systems are provided for processing of Official U.S. Government information only. All data contained on OSM computer systems are owned by OSM and may be monitored, intercepted, recorded, read, copied, or captured in any manner and disclosed in any manner, by authorized personnel. THERE IS NO RIGHT OF PRIVACY IN THIS SYSTEM. System personnel may give to law enforcement officials any potential evidence of crime found on OSM computer systems.</p> <p style="text-align: center;">USE OF THIS SYSTEM BY ANY USER, AUTHORIZED OR UNAUTHORIZED CONSTITUTES CONSENT TO MONITORING, INTERCEPTION, RECORDING, READING, COPYING, OR CAPTURING AND DISCLOSURE.</p> <p style="text-align: center;">**WARNING**WARNING**WARNING**</p> <p>Agreement to the terms and conditions in the OSM Rules of Behavior is assumed by use of an OSM individually assigned user ID to access this system.</p> <p>You are now logged onto a computer system operated for, and on behalf of, the United States Government. Unauthorized access or use of the system for any purpose other than official government business is punishable by fine, imprisonment, or both. (18 U.S. Code 1030) 2006. Department of the Interior. Office of Surface Mining. All rights reserved.</p>

Figure Access-2: System Access Screen

[Home](#) | [Access AVS](#)

Disclaimer

Information presented on this website is considered public information and may be distributed or copied. Use of appropriate byline/photo/image credit is requested. We strongly recommend that OSM data be acquired directly from an OSM server and not through other sources that may change the data in some way. While OSM makes every effort to provide accurate and complete information, various data such as names, telephone numbers, etc. may change prior to updating. OSM welcomes suggestions on how to improve our home page and correct errors. OSM provides no warranty, expressed or implied, as to the accuracy, reliability or completeness of furnished data. Some of the documents on this server may contain live references (or pointers) to information created and maintained by other organizations. Please note that OSM does not control and cannot guarantee the relevance, timeliness, or accuracy of these outside materials.

For site security purposes and to ensure that this service remains available to all users, this government computer system employs software programs to monitor network traffic to identify unauthorized attempts to upload or change information, or otherwise cause damage. Unauthorized attempts to upload information or change information on this website are strictly prohibited and may be punishable under the Computer Fraud and Abuse Act of 1986 and the National Information Infrastructure Protection Act. Information may also be used for authorized law enforcement investigations.

User Name

Password

## How is AVS Organized?

For State and Federal regulatory authority users, the 2007 redesigned AVS is organized into five Modules. These modules access multiple layers of records throughout the database. This is a significant reorganization for access to AVS. This layered access capability replaces the previous AVS Menu that had very limited flexibility within single-port menu functions. The five Modules to which State and Federal regulatory authority users have access are ENTITY, APPLICATION, PERMIT, VIOLATION, and REPORT.

These five Modules are the first access to view, create, and update records and data. Once you are in a Module, there are Function tabs and Navigation buttons that allow data entry and other actions. To the left of the four modules is a Home Module. This Module is inactive for State and Federal regulatory authority users.

To enter and update data, create records, generate reports, and perform evaluations, you will use the Function tabs<sup>1</sup>. You may use these tabs to access multiple functions from almost anywhere in the database.

A third set of access points are the Navigation buttons<sup>2</sup>. These buttons allow you great flexibility in moving from one task to another without having back out of one menu option to enter another. The Navigation buttons are customized for each Module.

This Users Guide follows the five-Module organization in AVS. Following the printing instructions, immediately below, are descriptions of each Module and step-by-step instructions for using AVS.

## How Do I Print from AVS?

To print from AVS, click on the screen you wish to print. Then click on the printer icon located at the top of your web browser for a quick-print of that screen. If you want to make sure you will print the screen(s) you want, click on File at the top of your web browser and select Print Review before you select Print.

---

<sup>1</sup> The Function tabs are the same in each Module.

<sup>2</sup> The Navigation buttons are described in each Module.

## **Module 1: Entity**

In the Entity Module, you can view, search for, create, update, or evaluate an entity<sup>1</sup> record as well as create or update an entity's Organizational Family Tree (OFT)<sup>2</sup> record. When you evaluate an entity, you can also view any associated violations.

### **Task: How Do I Search for an Entity Record?**

The first screen in the Entity Module under the header, Entity Page and displays the search field and search instructions.

1. Search for an entity by entity number, entity business name, or entity last name. See below, at Figure 1-1<sup>3</sup>.
2. Position your cursor in the search field. If you search by business or entity last name, we recommend only a partial name or character string to maximize your results.
3. Click on <search> to begin the program. Do not press "enter." Doing so will remove your entry from the search field.

### **What Are the Entity Search Results?**

1. Entity search results appear in a list on the screen.
2. The screen is comprised of the option to begin a new search and the option to select an entity from the list of results. See below, at Figure 1-2.
3. Above the screen and below the module buttons are two more choices. The first is a shortcut to create a new entity. The second shortcut takes you back to the search screen.

### **Task: How Do I Select from Entity Search Results?**

1. Click on <select> next to the entity you choose.
2. The next screen is the Entity record and an address for the entity. The address displayed is the most current for the selected entity.
3. From this screen, you can select any one of four Function tabs for the selected entity to initiate creation, update, or other data entry functions.

### **What Are the Entity Function Tabs?**

The Function Tabs in the Entity Module are:

- Addresses [See below, at Figure 1-3]
- Relationships [See below, at Figure 1-4]
- Applications [See below, at Figure 1-5]
- Permits [See below, at Figure 1-6]
- Comments [See below, at Figure 1-7]

---

<sup>1</sup> Please see the entry for "Entity" in this manual's Glossary.

<sup>2</sup> Please see the entry for "Entity OFT" in this manual's Glossary.

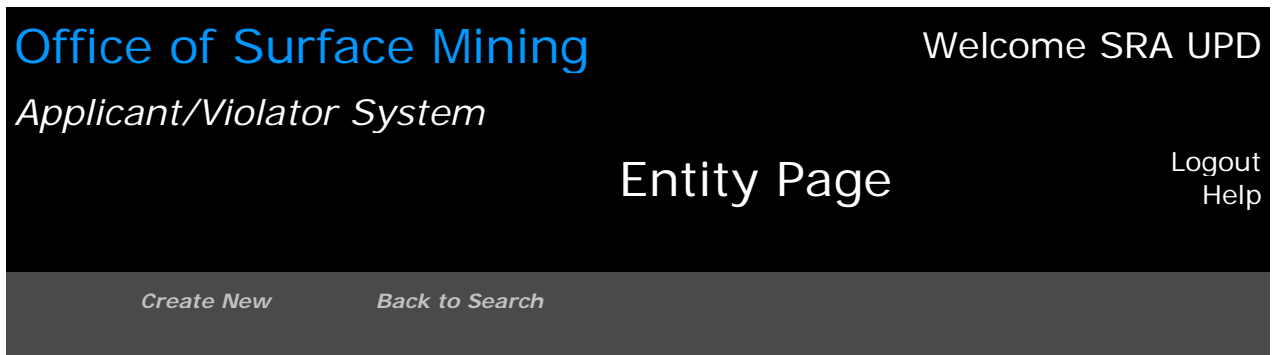
<sup>3</sup> All Figures in Module 1 are prefixed with the number 1 and begin with 1-1.

## What Are the Entity Navigation Buttons?

Below the header, Entity Page, and above the displayed record, are the Navigation buttons. See the Navigation buttons displayed in Figures 1-8 through 1-12. Use these buttons to go to any of the task areas at any time from an Entity record. The Entity Navigation buttons are:

- Back to Search: Takes you back to the search results where you can select another entity from the search list results or start a new search.
- New Entity: An entry point to create a new entity.
- Update Entity: An entry point to update an Entity.
- Evaluate: An entry point to evaluate an entity.
- Entity OFT: View an Entity OFT.

Figure 1-1: Entity Module Search Screen



### [Search](#)

You can search by the following:

- Entity Number
- Entity Business Name
- Entity Last Name

Figure 1-2: Search Results

Office of Surface Mining  
Applicant/Violator System

Welcome SRA UPD

Entity Page

Logout  
Help

Create New      Back to Search

Your search for "abc coal" returned 3 results.

[New Search](#)

[Select](#)

[Select](#)

[Select](#)

Entity ID

102115 Abc Coal Co

117390 Abc Coal Co

082142 Abc Coal Co Inc

Showing 1-3 of 3



Figure 1-3: Entity Record and Address Details

Office of Surface Mining  
*Applicant/Violator System*

Welcome  
SRA UPD

Entity Page

Logout  
Help

**Entity Number** 102115  
**Entity Name** Abc Coal Co  
**\* First Name**  
**Middle Name**  
**Alias**  
**Tax ID**  
**Memo**  
**Created** 11/21/1988  
**Updated** 11/21/1988  
**Source** WV  
**EntityType** Business

Addresses Relationships Applications Permits Comments

Street	City	State	Postal Code	Phone Number
<a href="#">Select</a> Po Box 70	Baisden	WV	25608	

Showing 1-1 of 1

Figure 1-4: Entity Record and Relationship Details

Office of Surface Mining
Welcome  
SRA UPD
  
Applicant/Violator System
Logout  
Help
  

Entity Page

**Entity Number** 149220  
**Entity Name** Abcon Inc  
**\* First Name**  
**Middle Name**  
**Alias**  
**Tax ID** 311544968  
**Memo** AML CONTRACTOR  
**Created** 5/18/2000  
**Updated** 5/18/2000  
**Source** avsky033  
**EntityType** Business

Addresses
Relationships
Applications
Permits
Comments

[New Relationship](#)

	Parent Entity	Sub-Entity	Description	% Ownership	Begin Date	End Date
<a href="#">Select</a>	149220 Abcon Inc	149221 Ewing Donna Jo	President	0		
<a href="#">Select</a>	149220 Abcon Inc	149222 Ewing Thomas	Vice President	0		

Showing 1-2 of 2

Figure 1-5: Entity Record and Application Details

Office of Surface Mining
Welcome SRA UPD
  
Applicant/Violator System

Entity Page

[Logout](#)  
[Help](#)

[Back to Search](#)
[New Entity](#)
[Update Entity](#)
[Evaluate](#)
[Entity OFT](#)

**Entity Number** 102115  
**Entity Name** Abc Coal Co  
**\* First Name**  
**Middle Name**  
**Alias**  
**Tax ID**  
**Memo**  
**Created** 11/21/1988  
**Updated** 11/21/1988  
**Source** WV  
**EntityType** Business

Addresses
Relationships
Applications
Permits
Comments

	Application Number	Seq. #	State Code	Application Type	Status	Applicant
<a href="#">Select</a>	U059900	0	WV	Renewal	Issued	102115 Abc Coal Co

Figure 1-6: Entity Record and Permit Details

**Office of Surface Mining** Welcome SRA UPD  
*Applicant/Violator System*

**Entity Page** Logout  
Help

[Back to Search](#)   [New Entity](#)   [Update Entity](#)   [Evaluate](#)   [Entity OFT](#)

**Entity Number** 102115  
**Entity Name** Abc Coal Co  
**\* First Name**  
**Middle Name**  
**Alias**  
**Tax ID**  
**Memo**  
**Created** 11/21/1988  
**Updated** 11/21/1988  
**Source** WV  
**EntityType** Business

[Addresses](#)   [Relationships](#)   [Applications](#)   [Permits](#)   [Comments](#)

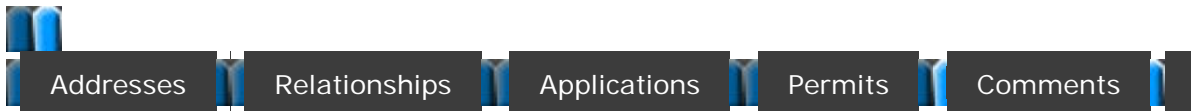
	Permit Number	Seq. #	State Code	Permittee
<a href="#">Select</a>	U059900	0	WV	102115 Abc Coal Co

Showing 1-1 of 1

Figure 1-7: Entity Record and Comments

The screenshot shows the top section of a web application. On the left is the U.S. Department of the Interior logo. To its right, the text reads: "U.S. Department of the Interior", "Office of Surface Mining", and "Applicant/Violator System". Below this is a link: "Click here for the Office of Surface Mining website". On the right side, it says "Welcome Amy Willoughby" and provides links for "Logout" and "Help". The main heading "Entity Page" is centered. At the bottom is a dark navigation bar with buttons: "Back to Search", "New Entity", "Update Entity", "Evaluate", "Delete Entity", "Entity OFT", and "Lock OFT".

**Entity Number** 035284  
**Entity Name** Catawba Industries  
**\* First Name**  
**Middle Name**  
**Alias**  
**Tax ID**  
**Memo**  
**Created** 9/17/1986  
**Updated** 6/1/1994  
**Source** Migration  
**EntityType** Business



[New Comments](#)

## New Entity

The Entity Navigation button “Create New” takes you to the start of the procedure to create a new entity in AVS.

### Task: How Do I Create a New Entity Record?

**IMPORTANT!!!** You must follow the established data entry standards and conventions for creating new entities. Please review the Data Entry Standards for Creating New Entity Names that immediately follow the procedures for this Task before continuing.

1. The Wizard will assist you!
2. The Wizard asks, “Have you checked to see if this Entity exists in the system already?”
3. If you have not searched on the entity name you seek to create, do so before proceeding further. Use the Entity Search procedure detailed in this Users Guide.
4. If you have searched and wish to proceed creating a new entity, you must, at minimum, complete the required fields, Entity Type and Entity Name. These two fields are asterisked in red. Careful, there are only two choices for Entity Type (“Business” and “Individual”), but the default is “Business.” See below, at Figure 1-8.
5. Click on <Next> to proceed to the second screen for creating a new entity. The Wizard will prompt you to enter, at minimum, the four required address fields: Street, City, State, and Postal Code. These fields are asterisked in red. See below, at Figure 1-9. There is also a field for a telephone number, which is not required, but strongly recommended.
6. Click on <Add> to add the data you entered or on <Back> to go to the previous screen.
7. Do not click on <Next> until you have added data to the required fields. If you click on <Next> beforehand, you will lose your data entry.
8. Wassabi! The next screen shows the address you have just entered as an address record. See below, at Figure 1-10. From this screen you can click on <Back> to go to the previous screen, <add> to add another address or <Remove> to remove the address record you created.
9. Click on <Next> when you are ready to continue.
10. Hooray! The Wizard cheers your diligent and conscientious efforts! You have arrived at the Confirmation and Save Information screen. See below, at Figure 1-11. You can click on <Back> to go to the previous screen or on <Finish> to complete your creation.
11. Your newly-created entity record will then appear as an Entity record with its AVS-assigned entity number. See below, at Figure 1-12. The Wizard leaves you. You are now on your own.

## Data Entry Standards for Creating New Entity Names

We cannot emphasize enough that consistency in the construction of information into data ensures the continued accuracy, efficiency, and effectiveness of AVS operation.

1. Do not use any punctuation or abbreviations or nicknames when creating a new entity. Do use the legal version of an individual entity's name (i.e., a middle initial instead of a full middle name) and the entire legal name of a business entity. See the example below following # 2.
2. Do not use all upper case or all lower case letters. Capitalize the first letter of each part of an entity name; use lower case for the remaining letters in each part. See the examples below under "Correct."

Incorrect  
Smith Bros. Coal Co., Inc.  
Jos. "Pete" Hansen

Correct  
Smith Brothers Coal Company Incorporated  
Joseph P Hansen

3. The entire legal name of a business entity may necessitate the use of a definite article when a definite article is part of the legal name, such as in The Coastal Corporation or The Andrew Trust.
4. Use the ALIAS field for a different company name under which the company is doing business.
5. Suffixes such as Junior (Jr), Senior (Sr), II, or III should follow the surname in the last name filed.
6. Do not include professional titles (Dr., PhD., CPA), conventional titles (Mr. Mrs., Ms.), or hereditary/bestowed titles (Lord, Lady, Sir) unless the title is part of the person's legal name.
7. Use the ALIAS field for nicknames that are not part of the person's legal name. See above at # 1. The entry in the ALIAS field for Mr. Hansen would be "Pete Hansen."

Figure 1-8: Avoid a Duplicate Entity; Create a New Entity

Office of Surface Mining Welcome SRA UPD  
*Applicant/Violator System*

**Entity Page** Logout  
Help

[Back to Search](#)   [New Entity](#)   [Update Entity](#)   [Evaluate](#)   [Entity OFT](#)

New Entity Step 1 FKID:0

Entity Name

Have you checked to see if  
this Entity exists in the  
system already?



\*EntityType

\*Entity Name

Tax ID

[Next >>](#)



Figure 1-9: Enter New Entity Address and Telephone Number

Office of Surface Mining Welcome SRA UPD  
Applicant/Violator System

**Entity Page**

Logout  
Help

---

[Back to Search](#)   [New Entity](#)   [Update Entity](#)   [Evaluate](#)   [Entity OFT](#)

New Entity Step 2 FKID:0  
Entity Address

Please fill out all of the  
required fields and click  
'Add'.



\*Street

\*City

\*State

\*Postal Code

Phone Number

[Add](#)

[<< Back](#)

[Next >>](#)

Figure 1-10: An Address Record is Created

Office of Surface Mining  
Applicant/Violator System
Welcome SRA UPD

## Entity Page

[Logout](#)  
[Help](#)

Back to Search
New Entity
Update Entity
Evaluate
Entity OFT

New Entity Step 2 FKID:0  
Entity Address

Wassabi



* Street	1234 Airy D
* City	Danville
* State	KY
* Postal Code	40611
Phone Number	606 888 765

[Add](#)

	Street	City	State	Postal Code	Phone Number
<a href="#">Remove</a>	1234 Airy Dale	Danville	KY	40611	606 888 7654

Showing 1-1 of 1

[<< Back](#)

[Next >>](#)

Figure 1-11: Confirm and Save New Entity Information

Office of Surface Mining  
Applicant/Violator System

Welcome SRA UPD

Entity Page

Logout  
Help

[Back to Search](#)   [New Entity](#)   [Update Entity](#)   [Evaluate](#)   [Entity OFT](#)

New Entity Step 3 FKID: 0  
Confirm and Save Information

HOORAY!



\*EntityType Business  
\* First Name  
Middle Name  
\*Entity Name TBS Mining Company  
Tax ID 68-1950122

Street	City	State	Postal Code	Phone Number
1234 Airy Dale	Danville	KY	40611	606 888 7654

[<< Back](#)

[Finish](#)

Figure 1-12: AVS Assigns a New Entity Number

Office of Surface Mining  
Applicant/Violator System

Welcome SRA UPD

Entity Page

Logout  
Help

[Back to Search](#) [New Entity](#) [Update Entity](#) [Evaluate](#) [Entity OFT](#)

**Entity Number** 246512  
**Entity Name** TBS Mining Company  
**\* First Name**  
**Middle Name**  
**Alias**  
**Tax ID**  
**Memo**  
**Created**  
**Updated** 6/28/2007  
**Source** SRAUPDTEST@OSMRE.GOV  
**EntityType** Business

[Addresses](#) [Relationships](#) [Applications](#) [Permits](#) [Comments](#)

	Street	City	State	Postal Code	Phone Number
<a href="#">Select</a>	1234 Airy Dale	Danville	KY	40611	606 888 7654

Showing 1-1 of 1

### Task: How Do I Update an Entity Record?

The Entity Navigation button “Update Entity” takes you to the information update choices for the entity you have selected.

1. To update an entity, start from Entity Search to retrieve the entity record you wish to update.
2. Click on the Navigation button <Update Entity>.
3. The update screen shows you the four fields you can update. See below, at Figure 1-13. The four fields you can update are:
  - Alias
  - Tax ID (Employer identification number or social security number)
  - A Memorandum field
  - Entity Type<sup>1</sup>.
4. After entering your update(s), click on <Cancel> or <Save> as applicable.
5. If you click on <Save>, the next screen should be “Save Successful.” See below, at Figure 1-14.

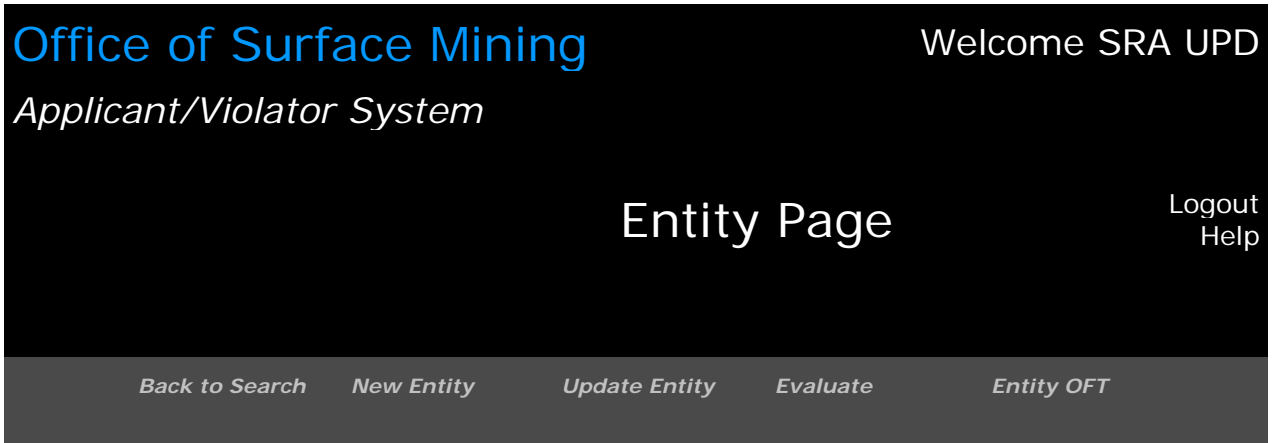
### Task: How Do I Delete an Entity Record?

If your update preference is to delete an Entity record, please contact your AVS User Assistance Liaison. At this time, only these designated staff in the AVS Office may delete an Entity record.

---

<sup>1</sup> There are only two choices for Entity Type – Business or Individual.

Figure 1-13: Update an Entity Record



**Alias**

**Tax ID**

**Memo**

**\*EntityType**  ▼

[Cancel](#) [Save](#)

Figure 1-14: Update Entity Record – Save Successful

The screenshot shows the 'Entity Page' in the 'Office of Surface Mining Applicant/Violator System'. The page header includes the system name and 'Welcome SRA UPD'. The main content area displays 'Entity Page' and navigation links: 'Back to Search', 'New Entity', 'Update Entity', 'Evaluate', and 'Entity OFT'. A 'Logout Help' link is also visible. A green message 'Save Successful' is centered on the page.

Save Successful

**Entity Number** 246473  
**Entity Name** TBS Mining Company  
**\* First Name**  
**Middle Name**  
**Alias** ton mining  
**Tax ID**  
**Memo**  
**Created**  
**Updated** 7/11/2007  
**Source** SRAUPDTEST@OSMRE.GOV  
**EntityType** Business

## Task: How Do I Evaluate an Entity?

The Navigation button “Evaluate” allows you to evaluate an Entity.

1. To evaluate an entity, start from Entity Search.
2. Enter the entity name or identification number or character string to retrieve the entity you want.
3. Click on <Search>.
4. Click on <Select> next to the entity you wish to evaluate. The Entity record will appear.
5. Click on the Navigation button <Evaluate>.
6. The next screen is the results of the Entity Evaluation. See below, at Figure 1-15 for an entity associated with zero violations.
7. Alternatively, an entity may be associated with violations. See below, at Figure 1-16.
8. If you wish to print an Entity Evaluation report, click on <Print Report> near the top left of the evaluation screen, above the list of violations.
9. This action generates an overlay window showing the report and a second overlay window of your printing options. Select <Print> to print the report.
10. To close the overlay windows, click on the red box with a white “X” in the upper right corner of each overlay window. Be careful not to close your AVS access window. If you do, AVS will not allow you to log in again for about 20 minutes.
11. If you wish to Request a Narrative on the results of an Entity Evaluation, click on <Request Narrative> at the very bottom of the evaluation results screen. The narrative is an AVS Office function performed in support of AVS evaluations. A narrative consists of OSMRE comments and analysis in the form of a quality review of the AVS-performed evaluation.
12. If you select <Request Narrative>, the next screen is the entity record of the entity you evaluated and displays the message, “This Entity has a pending narrative request.”



Figure 1-15: Entity Evaluation Results – No Violations

**Office of Surface Mining** Welcome SRA UPD  
*Applicant/Violator System* Logout  
Help

Evaluation on Entity Number: 149220  
**0 Violations**

**Violations** [Print Report](#)

**Entity Evaluation**

Entity Number	149220
Entity Name	Abcon Inc
Date of Evaluation	6/28/2007 11:05:47 AM
Requested Individual	SRA UPD

CAUTION: The Applicant/Violator System (AVS) is an informational database. Permit eligibility determinations are made by the regulatory authority with jurisdiction over the permit application not by the AVS. Results which display outstanding violations may not include critical information about settlements or other conditions that affect permit eligibility. Consult the AVS Office at 800-643-9748 for verification of information prior to making decisions on these results.

There were no violations retrieved by the system

**Evaluation OFT**

---

Entities: 3

---

149220 Abcon Inc - ()  
---149221 Donna Jo Ewing - (President)  
---149222 Thomas Ewing - (Vice President)

**Narrative**

[Request Narrative](#)

Figure 1-16: Entity Evaluation Results – With Violations

Office of Surface Mining
Welcome SRA UPD

Applicant/Violator System
Logout  
Help

Evaluation on Entity Number: 113019  
18 Violations

**Violations** [Print Report](#)

		<b>Entity Evaluation</b>
AML 4405594	Entity Number	113019
3/31/1987 - <a href="#">VOFT</a>	Entity Name	Holston Mining Inc
	Date of Evaluation	7/2/2007 11:29:15 AM
	Requested Individual	SRA UPD
CMIS C80-001- 018-015 9/12/1980 - <a href="#">VOFT</a>	The Applicant/Violator System is an informational database. The system does not make permit eligibility decisions. Permit eligibility determinations are made by the regulatory authority with jurisdiction over the permit application.	
	18 Violations	
CMIS C80-001- 018-016 10/8/1980 - <a href="#">VOFT</a>	<b>1: AML</b> Found. <b>4405594</b> <b>VA Permit:</b> Violator 1: 080894 R B J Coal Co Inc	<b>Outstanding</b> <b>3/31/1987</b> 12:00:00 AM
CMIS C80-001- 018-017 10/8/1980 - <a href="#">VOFT</a>	<b>2: CMIS</b> Found. <b>C80-001-018-015</b> <b>VA Permit:</b> Violator 1: 077948 Joseph Powers Coal Co	<b>Outstanding</b> <b>9/12/1980</b> 12:00:00 AM
CMIS C80-001- 018-017 10/15/1980 - <a href="#">VOFT</a>	<b>3: CMIS</b> Found. <b>C80-001-018-016</b> <b>VA Permit:</b> Violator 1: 077948 Joseph Powers Coal Co	<b>Outstanding</b> <b>10/8/1980</b> 12:00:00 AM
CMIS C80-001- 018-017 10/15/1980 - <a href="#">VOFT</a>	<b>4: CMIS</b> Found. <b>C80-001-018-017</b> <b>VA Permit:</b> Violator 1: 077948 Joseph Powers Coal Co	<b>Outstanding</b> <b>10/15/1980</b> 12:00:00 AM
CMIS C87-132- 423-003 8/4/1987 - <a href="#">VOFT</a>	<b>5: CMIS</b> Found. <b>C87-132-423-003</b> <b>VA Permit:</b> Violator 1: 077948 Joseph Powers Coal Co	<b>Outstanding</b> <b>8/4/1987</b> 12:00:00 AM
CMIS C87-132- 423-003 8/4/1987 - <a href="#">VOFT</a>	<b>6: CMIS</b> Found. <b>C87-132-423-005</b> <b>VA Permit:</b> Violator 1: 077948 Joseph Powers Coal Co	<b>Outstanding</b> <b>9/9/1987</b> 12:00:00 AM
CMIS N80-001- 014 8/4/1987 - <a href="#">VOFT</a>	<b>7: CMIS</b> Found. <b>N80-001-018-014</b> <b>VA Permit:</b> Violator 1: 077948 Joseph Powers Coal Co	<b>Outstanding</b> <b>2/2/1981</b> 12:00:00 AM

CMIS C87-132- 423-005 9/9/1987 - <a href="#">VOFT</a>	8: CMIS	N80-001-018-017	VA Permit:	Outstanding	4/10/1981 12:00:00 AM
		Violator 1: 077948 Joseph Powers Coal Co			
	9: CMIS	N81-001-018-003	VA Permit:	Outstanding	7/21/1981 12:00:00 AM
		Violator 1: 077948 Joseph Powers Coal Co			
	10: CMIS	N87-132-423-004	VA Permit:	Outstanding	8/21/1987 12:00:00 AM
		Violator 1: 077948 Joseph Powers Coal Co			
CMIS N80-001- 018-014 2/2/1981 - <a href="#">VOFT</a>	11: AUD	940103193	VA Permit:1201245	Outstanding	7/1/1989 12:00:00 AM
		Violator 1: 105353 Nicky Coal Inc			
	12: State Civil Penalty	510571	KY Permit:8670335	Conditional	6/28/1995 12:00:00 AM
		Violator 1: 100624 Manning Coal Corp			
	13: State Civil Penalty	A128c	KY Permit:8670335	Outstanding	8/25/2000 12:00:00 AM
		Violator 1: 100624 Manning Coal Corp			
CMIS N80-001- 018-017 4/10/1981 - <a href="#">VOFT</a>	14: State Civil Penalty	510680	KY Permit:8670346	Conditional	6/19/1996 12:00:00 AM
		Violator 1: 100624 Manning Coal Corp			
	15: AUD	930243005	KY Permit:8985318	Outstanding	10/1/1991 12:00:00 AM
		Violator 1: 075602 Grace Coal Co Inc			
CMIS N81-001- 018-003 7/21/1981 - <a href="#">VOFT</a>	16: Bond Forfeiture	U035700	WV Permit:U035700	Outstanding	12/2/1985 12:00:00 AM
		Violator 1: 077747 Glory Coal Co			
	17: Bond Forfeiture	U074400	WV Permit:U074400	Outstanding	12/2/1985 12:00:00 AM
		Violator 1: 077747 Glory Coal Co			
	18: AUD	940121110	WV Permit:U306686	Outstanding	10/1/1992 12:00:00 AM
		Violator 1: 041416 Sewell Coal Co Violator 2: 105558 Lady H Coal Co Inc			

### Evaluation OFT

AUD 940103193 7/1/1989 - <a href="#">VOFT</a>	Entities: 29
	154250 The Brinks Co - ()
	---107616 James Bernard Hartough - (Treasurer)
	---107616 James Bernard Hartough - (Vice President)
	---122468 Frank Thomas Lennon - (Corporate Officer)
	---122468 Frank Thomas Lennon - (Vice President)
	---122477 Arthur Edwin Wheatley - (Vice President)
	---122483 James Lowell Broadhead - (Director)
	---125569 Roger G Ackerman - (Director)
	---132620 Austin F Reed - (General Counsel)
	---132620 Austin F Reed - (Secretary)
	---132620 Austin F Reed - (Vice President)
	---132838 Pittston Minerals Group Inc - (Subsidiary Company)
	-----107616 James Bernard Hartough - (Treasurer)
	-----107616 James Bernard Hartough - (Vice President)
	-----122468 Frank Thomas Lennon - (Director)
	-----122468 Frank Thomas Lennon - (Vice President)
	-----122471 Pittston Coal Co - (Subsidiary Company)
	-----045410 Robert A Mcgregor - (Vice President)
	-----107616 James Bernard Hartough - (Treasurer)
State Civil Penalty 510571 6/28/1995 - <a href="#">VOFT</a>	
State Civil	

Penalty	-----107616 James Bernard Hartough - (Vice President)
A128c	-----107970 Pyxis Resources Co - (Subsidiary Company)
8/25/2000 -	-----045410 Robert A Mcgregor - (Vice President)
<a href="#">VOFT</a>	-----107616 James Bernard Hartough - (Treasurer)
-----	-----107616 James Bernard Hartough - (Vice President)
-----	-----113019 Holston Mining Inc - (Subsidiary Company)
-----	-----045410 Robert A Mcgregor - (Director)
-----	-----045410 Robert A Mcgregor - (President)
State Civil	-----107616 James Bernard Hartough - (Treasurer)
Penalty	-----133483 David Carl Fields - (Vice President)
510680	-----144123 Tracy R Foard - (Secretary)
6/19/1996 -	-----148111 Franklin D Worley - (Vice President)
<a href="#">VOFT</a>	-----154202 Genevieve K Murtaugh - (Assistant Secretary )
-----	-----154202 Genevieve K Murtaugh - (Assistant Treasurer)
-----	-----154202 Genevieve K Murtaugh - (Director)
-----	-----122468 Frank Thomas Lennon - (Director)
-----	-----122468 Frank Thomas Lennon - (Vice President)
AUD	-----132620 Austin F Reed - (Director)
930243005	-----133483 David Carl Fields - (President)
10/1/1991 -	-----145556 Michael T Dan - (Director)
<a href="#">VOFT</a>	-----146627 Robert T Ritter - (Assistant Treasurer)
-----	-----155867 Elizabeth C Restivo - (Secretary)
-----	-----122468 Frank Thomas Lennon - (Director)
-----	-----122468 Frank Thomas Lennon - (Vice President)
Bond	-----132620 Austin F Reed - (Director)
Forfeiture	-----132620 Austin F Reed - (Secretary)
U035700	-----133483 David Carl Fields - (President)
12/2/1985 -	-----145556 Michael T Dan - (Chairman of the Board)
<a href="#">VOFT</a>	-----145556 Michael T Dan - (Director)
-----	-----146627 Robert T Ritter - (Assistant Treasurer)
-----	-----155867 Elizabeth C Restivo - (Assistant Secretary )
-----	-----132620 Austin F Reed - (Director)
-----	-----145556 Michael T Dan - (Chief Executive Officer)
-----	-----145556 Michael T Dan - (Director)
-----	-----145556 Michael T Dan - (President)
Bond	-----146627 Robert T Ritter - (Assistant Secretary )
Forfeiture	-----146627 Robert T Ritter - (Controller)
U074400	-----146627 Robert T Ritter - (Vice President)
12/2/1985 -	-----155867 Elizabeth C Restivo - (Secretary)
<a href="#">VOFT</a>	---135353 James R Barker - (Director)
-----	---145556 Michael T Dan - (Chairman of the Board)
-----	---145556 Michael T Dan - (Chief Executive Officer)
-----	---145556 Michael T Dan - (Director)
-----	---145556 Michael T Dan - (President)
AUD	---146627 Robert T Ritter - (Chief Financial Officer)
940121110	---146627 Robert T Ritter - (Vice President)
10/1/1992 -	---146710 Carl S Sloane - (Director)
<a href="#">VOFT</a>	---147943 Marc C Breslawsky - (Director)
-----	---149994 Betty C Alwine - (Director)
-----	---151421 Matthew A P Schumacher - (Controller)
-----	---154251 Ronald L Turner - (Director)
-----	---155867 Elizabeth C Restivo - (Assistant Secretary )
-----	---158857 John S Brinzo - (Director)
-----	---158859 Murray D Martin - (Director)
-----	---158860 Lawrence J Mosner - (Director)
-----	---158861 Jonathan A Leon - (Assistant Treasurer)

**Narrative**

[Request Narrative](#)

### Task: How Do I View a Violation OFT from the Entity Evaluation?

1. If the entity you evaluated is associated with violations, the AVS evaluation will produce a list of the violations.
2. Click on <VOFT> for any violation in the left column of the evaluation screen to view the VOFT for the selected violation. The entity association to the violation is indicated by a red asterisk next to the associated entity number.
3. The VOFT screen is an overlay window.
4. Click on the “X” in the red box in the upper right corner of the overlay window to return to the entity evaluation results if you decide not to view violation record.
5. Be careful not to close your AVS access window. If you do, AVS will not allow you to log in again for about 20 minutes.

### Task: How Do I View a Violation Record from the Entity Evaluation?

1. If the entity you evaluated is associated with violations, the AVS evaluation will produce a list of the violations.
2. To view a violation record (the details of a violation), you must first access the Violation OFT for a specific violation. Click on <VOFT> for any violation located in the left column of the evaluation screen.
3. The VOFT screen is an overlay window. Click on the Navigation button <Back to Violation> located in the overlay window.
4. The next screen is also an overlay window that shows the violation record with its details.
5. Click on the “X” in the red box in the upper right corner of the overlay window to return to the entity evaluation results.
6. Be careful not to close your AVS access window. If you do, AVS will not allow you to log in again for about 20 minutes.

## Entity Organizational Family Tree (Entity OFT)

The Navigation button “Entity OFT” allows you to view an Entity OFT. The Entity Function tab <Relationship> allows you to create or update an Entity OFT. Both OSM and State/Federal regulatory authorities have data entry and maintenance responsibilities for Entity OFTs in AVS.

### Task: How Do I View an Entity OFT?

1. To view an Entity OFT, start from the Entity Search.
2. Enter the entity name or identification number or character string to retrieve the entity for which you wish to view an Entity OFT.
3. Click on <Search>.
4. Click on <Select> next to the entity that meets your search criteria. The next screen is the entity record.
5. Click on the Entity Navigation button, <Entity OFT>.
6. The next screen is view only and shows relationships to the entity selected. See below, at Figure 1-17.
7. The left column shows the selected entity's place in relation to its parent entity.
8. The right column shows the selected entity's individual and business entity associations. The description of each association is noted in parentheses.
9. Above each column are <Show ended relationships> and <Hide ended relationships>. These are toggle buttons. You can use the toggle to show or hide ended associations to the selected entity.

### Task: How Do I Update a Record on an Entity OFT?

1. To update information on an Entity OFT, start from the Entity Search.
2. Enter the entity name or identification number or character string to retrieve the business entity for which you wish to update information on its Entity OFT.
3. Click on <Search>.
4. Click on <Select> next to the entity that meets your search criteria. The Entity record will appear.
5. Click on the Entity Function tab <Relationships>.
6. The next screen shows the relationships to the entity selected.
7. Click on <Select> next to the entity whose Entity OFT information you wish to update.
8. The next screen is the record of the associated entity. Beneath the record is the <Update Relationship> button to update the record. See below, at Figure 1-18.
9. Click on <Update Relationship> just above the Entity Function tabs.
10. If you see a message, “The Sub-Entity is locked,” contact the AVS Office.
11. If the record is not locked, the OFT data entry screen appears. See below, at Figure 1-19<sup>1</sup>.
12. After you complete entering the updated data, click on <Save> or <Cancel> whichever is applicable.

---

<sup>1</sup> The data entry screen is the same for all Entity OPT functions – create, add, and update.

## Task: How Do I Add a New Relationship to an Entity OFT?

1. To add a new association to a business entity's OFT, start from the Entity Search.
2. Enter the entity name or identification number or character string to retrieve the business entity's OFT to which you wish to add a new association.
3. Click on <Search>.
4. Click on <Select> next to the entity that meets your search criteria. The Entity record will appear.
5. Click on the Entity Function tab <Relationships>.
6. The next screen shows the relationships to the entity selected.
7. Click on <New Relationship> to add a new association to the selected Entity OFT. The <New Relationship> button appears at the top left corner of the data box, below the "Addresses" Entity Function tab. See below, at Figure 1-20.
8. The next screen is the data entry screen for adding a new relationship. See above, at Figure 1-18, and at footnote 1 on page 36. The relationship/association Description field has an attached drop-down window listing choices for the field. Click on the code you wish to enter on the record.
9. After you complete entering the new data, click on <Save> or <Cancel> whichever is applicable.

**IMPORTANT!** In the Entity OFT screens, there are references to "Parent Entity" and "Sub-Entity." A Parent Entity is the business entity to which you are attaching relationships/associations. **Sub-Entities are the relationships, affiliations, and associations that comprise the Entity OFT of a business entity.** Sub-Entities can be business entities or individuals. See the discussion of "Entity" in the Glossary.

### Entity OFT Add/Update Authority and Jurisdictions

Interstate companies are business entities that hold coal mining permits in more than one State. OSM's AVS Office receives update information directly from interstate companies and is responsible for updating relationship and association information in AVS and for ensuring these data are accurate and complete. OSM has accepted this role since the early 1990s to reduce instances of the same information entered by more than one State as well as other data entry anomalies with respect to OFTs.

**OSM's role in data entry and maintenance of these data in AVS does not obviate a company's responsibility, under SMCRA, also to provide the information to each regulatory authority where the company holds permits.**

Intrastate companies are business entities that hold coal mining permits only in one State. The regulatory authority with jurisdiction over the permit(s) is responsible for maintaining relationship and association information in AVS and for ensuring these data are accurate and complete.

Figure 1-17: View an Entity OFT

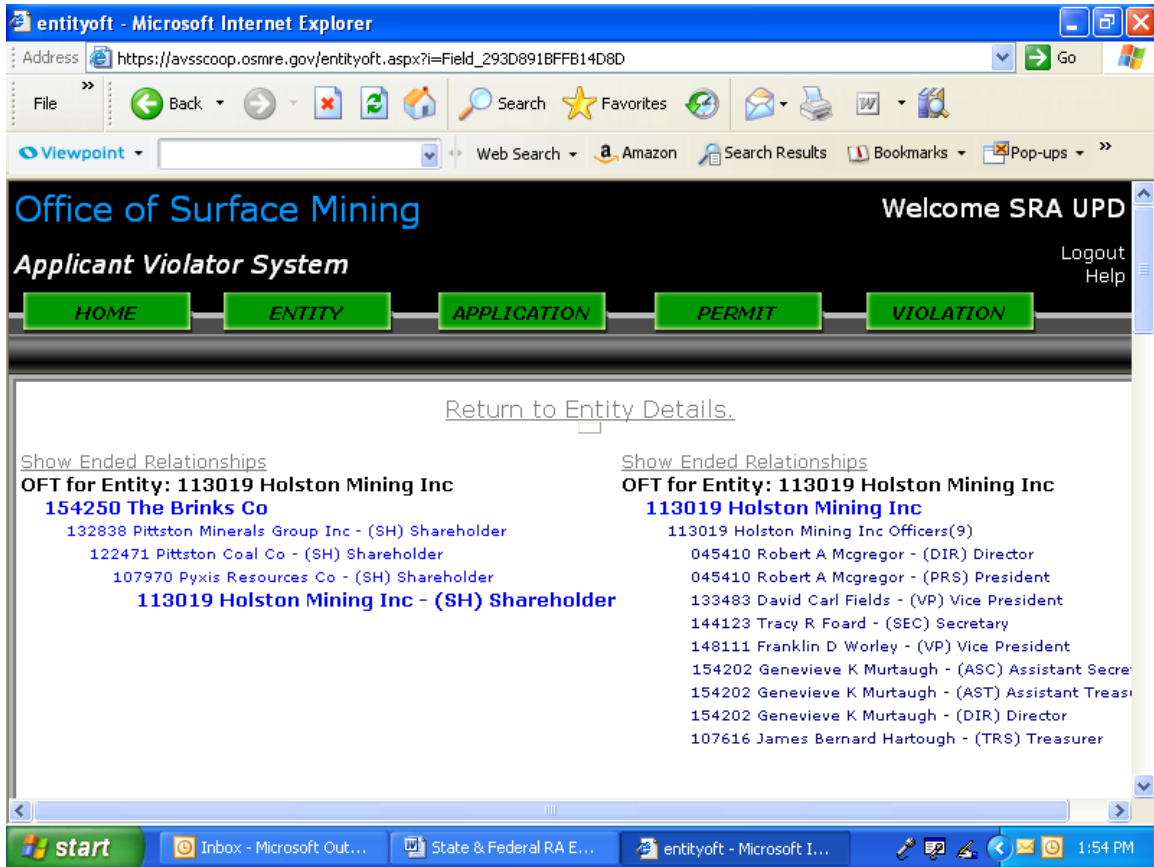




Figure 1-18: Update Entity OFT – Locate <Update Relationship> Key

Office of Surface Mining  
Applicant/Violator System
Welcome SRA UPD

## Entity Page

**Entity Number** 113019  
**Entity Name** Holston Mining Inc  
**\* First Name**  
**Middle Name**  
**Alias**  
**Tax ID** 541342399  
**Memo**  
**Created** 6/1/1990  
**Updated** 2/26/1996  
**Source** avsky01a  
**EntityType** Business

**Parent Entity** 113019 Holston Mining Inc  
**Sub-Entity** 045410 Mcgregor Robert A  
**% Ownership** 0  
**Begin Date** 12/13/2002  
**End Date**  
**Hold Code** None  
**Hold Code Source**  
**Created** 5/20/2004  
**Updated** 5/20/2004  
**Source** avsky036  
**Description** Director  
**Extended Description**  
[Update relationship](#)

	Addresses	Relationships	Applications	Permits	
<a href="#">Select</a>	113019	Holston Mining Inc	133483	Fields David Carl	Vice President 0 12/13/2002
<a href="#">Select</a>	113019	Holston Mining Inc	144123	Foard Tracy R	Secretary 0 5/30/1997
<a href="#">Select</a>	113019	Holston Mining Inc	148111	Worley Franklin D	Vice President 0 7/28/1999
<a href="#">Select</a>	113019	Holston Mining Inc	154202	Murtaugh Genevieve K	Assistant Secretary 0 1/17/2003

Figure 1-19: Entity OFT – Data Entry Screen



<b>Entity Number</b>	149220	<b>*Parent Entity</b>	149220 Abcon Inc <a href="#">Change</a>
<b>Entity Name</b>	Abcon Inc	<b>*Sub-Entity</b>	149221 Ewing Donna Jo <a href="#">Change</a>
<b>* First Name</b>		<b>% Ownership</b>	<input type="text"/>
<b>Middle Name</b>		<b>Begin Date</b>	<input type="text"/> / <input type="text"/> / <input type="text"/> <a href="#">Clear Date</a>
<b>Alias</b>		<b>End Date</b>	<input type="text"/> / <input type="text"/> / <input type="text"/> <a href="#">Clear Date</a>
<b>Tax ID</b>	311544968	<b>*Description</b>	<input type="text" value="President"/> ▼
<b>Memo</b>	AML CONTRACTOR	<b>Extended Description</b>	<input type="text"/>
<b>Created</b>	5/18/2000		
<b>Updated</b>	5/18/2000		
<b>Source</b>	avsky033		
<b>EntityType</b>	Business		
		<a href="#">Cancel</a>	<a href="#">Save</a>

Figure 1-20: Update Entity OFT – Add a New Relationship

Office of Surface Mining
Welcome SRA
  
Applicant/Violator System
  

Entity Page

[Help](#)

*Back to Search*
*New Entity*
*Update Entity*
*Evaluate*
*Entity OFT*

**Entity Number** 149220  
**Entity Name** Abcon Inc  
**\* First Name**  
**Middle Name**  
**Alias**  
**Tax ID** 311544968  
**Memo** AML CONTRACTOR  
**Created** 5/18/2000  
**Updated** 5/18/2000  
**Source** avsky033  
**EntityType** Business

Addresses
Relationships
Applications
Permits
Comments

[New Relationship](#)

	Parent Entity	Sub-Entity	Description	% Ownership	Begin Date	End Date
<a href="#">Select</a>	149220 Abcon Inc	149221 Ewing Donna Jo	President	0		
<a href="#">Select</a>	149220 Abcon Inc	149222 Ewing Thomas	Vice President	0		

Showing 1-2 of 2

## Task: How Do I Create an Entity OFT for the First Time?

1. Before you begin building an Entity OFT, make sure the business entity and all of the associated entities are already in AVS. Your sources for this information are application documents, correspondence between you and the business entity, and reliable information generated as a result of investigations of the applicant, other affiliated business entities, or associations of the applicant or other entity.
2. If any of the associated entities do not yet have an entity record created in AVS, we recommend you create all relevant entity records before you create an Entity OFT.
3. Use Entity Search to locate the business entity record.
4. Click on the Entity Function tab <Relationships>.
5. The next screen is the business entity record showing address information but no relationship information. See below, at Figure 1-21.
6. Below the record, Entity Function tabs, and address information is a key called <New Relationship>.
7. Click on <New Relationship>.
8. The next screen is the data entry screen for adding a new relationship. See below, at Figure 1-22. The relationship/association Description field has an attached drop-down window listing the choices for the field. See also Appendix \_\_\_ for additional information concerning relationship/association descriptions.

**IMPORTANT!** In the Entity OFT screens, there are references to “Parent Entity” and “Sub-Entity.” A Parent Entity is the business entity to which you are attaching relationships/associations. **Sub-Entities are the relationships, affiliations, and associations that comprise the Entity OFT of a business entity.** Sub-Entities can be business entities or individuals. See “Entity” and “Person” in this manual’s Glossary.

Repeat steps 7 and 8 as necessary to add all known relationships and associations to the new Entity OFT.

9. After you complete entering the new data, click on <Save> or <Cancel> whichever is applicable.
10. If you click on <Save> AVS will produce a screen showing a finished Entity OFT. See below, at Figure 1-23.

Figure 1-21: Create New Entity OFT – Locate <New Relationship> Key

**Office of Surface Mining** Welcome SRA UPD  
*Applicant/Violator System*

**Entity Page** [Logout](#)  
[Help](#)

[Back to Search](#)   [New Entity](#)   [Update Entity](#)   [Evaluate](#)   [Entity OFT](#)

**Entity Number** 246543  
**Entity Name** Regency Mining  
**\* First Name**  
**Middle Name**  
**Alias**  
**Tax ID**  
**Memo**  
**Created**  
**Updated** 7/26/2007  
**Source** SRAUPDTEST@OSMRE.GOV  
**EntityType** Business

[Addresses](#)   [Relationships](#)   [Applications](#)   [Permits](#)   [Comments](#)

[New Address](#)

	Street	City	State	Postal Code	Phone Number
<a href="#">Select</a>	2679 Regency Rd	Lexington	KY	40503	859.260.8424

Showing 1-1 of 1

[New Relationship](#)

Figure 1-22: Create New Entity OFT – New Relationship Data Entry

**Office of Surface Mining** Welcome SRA UPD  
*Applicant/Violator System*

**Entity Page** Logout  
Help

[Back to Search](#)   [New Entity](#)   [Update Entity](#)   [Evaluate](#)   [Entity OFT](#)

<b>Entity Number</b>	149220	<b>*Parent Entity</b>	<input type="text"/> <a href="#">Search</a>
<b>Entity Name</b>	Abcon Inc		
<b>* First Name</b>		<b>*Sub-Entity</b>	<input type="text"/> <a href="#">Search</a>
<b>Middle Name</b>			
<b>Alias</b>		<b>% Ownership</b>	<input type="text"/>
<b>Tax ID</b>	311544968	<b>Begin Date</b>	<input type="text"/> / <input type="text"/> / <input type="text"/> <a href="#">Clear Date</a>
<b>Memo</b>	AML CONTRACTOR	<b>End Date</b>	<input type="text"/> / <input type="text"/> / <input type="text"/> <a href="#">Clear Date</a>
<b>Created</b>	5/18/2000	<b>*Description</b>	<input type="text" value="Vice President"/>
<b>Updated</b>	5/18/2000	<b>Extended Description</b>	<input type="text"/>
<b>Source</b>	avsky033		
<b>EntityType</b>	Business		
		<a href="#">Cancel</a>	<a href="#">Save</a>

Figure 1-23: A Newly-Created Entity OFT

Office of Surface Mining
Welcome SRA UPD

Applicant/Violator System

## Entity Page

Back to Search
New Entity
Update Entity
Evaluate
Entity OFT

**Entity Number** 246473  
**Entity Name** TBS Mining Company  
**\* First Name**  
**Middle Name**  
**Alias**  
**Tax ID**  
**Memo**  
**Created**  
**Updated** 7/2/2007  
**Source** [SRAUPDTEST@OSMRE.GOV](mailto:SRAUPDTEST@OSMRE.GOV)  
**EntityType** Business

Addresses
Relationships
Applications
Permits

	Parent Entity	Sub-Entity	Description	% Ownership	Begin Date	End Date
<a href="#">Select</a>	246473 TBS Mining Company	246474 Singleton Terry B	Shareholder	50	3/1/2000	
<a href="#">Select</a>	246473 TBS Mining Company	246475 Singleton Edwin F	Shareholder	25	3/1/2000	
<a href="#">Select</a>	246473 TBS Mining Company	246476 Singleton Elizabeth M	Shareholder	25	3/1/2000	

### How Do I Delete Information from an Entity OFT?

Only designated staff in the AVS Office may delete information from an Entity OFT. If you want to delete information from an Entity, please contact your assigned User Assistance Liaison in OSM's AVS Office.

### How Do I Show an Entity Name Change or Merger ?

Almost all occurrences of an entity name change or merger will be for a business entity. All company name changes and mergers must be processed in AVS through the permit transfer process. If a company name changes, a new entity must be created for the new company name. Use the comment field in both the old and new entity records to record the name change or merger activity. All relationships to the "old" entity **must** show ending dates. You **must** re-enter all complete and accurate relationship information with begin dates for the "new" company. Permits must be transferred from the "old" company to the "new" company using function tab <New Application in Sequence> in the Application Module. Please refer to the task, "How Do I Create A Transfer Application Record?" in Module 2, APPLICATION.

### How Do I Fix Multiple Entities?

Only designated staff in the AVS Office have the authority to fix multiple entities in AVS. If you suspect two or more entities are the same entity, please contact your assigned User Assistance Liaison in OSM's AVS Office.

### How Do I Lock or Unlock an Entity OFT?

Only designated staff in the AVS Office have the authority to lock or unlock an Entity OFT. Entity OFTs are locked by the AVS Office because the Entity OFT is for an Interstate company .



## **Module 2: Application**

In the Application Module, you can search for, view, create, update, or evaluate four types of application records. The four types of application records are (1) applications for new permits, (2) applications for permit revisions (in AVS, called “amendments”<sup>1</sup>), (3) applications for permit renewals, and (4) applications for permit transfers. When you evaluate an application, you can also view violation records (when relevant) and Violation Organizational Family Trees (VOFTs).

### **Task: How Do I Search for an Application Record?**

1. Click on the Module button, “Application.”
2. The first screen in the Application Module is the search screen. See below, at Figure 2-1<sup>2</sup>.
3. You may search for an application record by
  - Application Number
  - Applicant [Entity] Number
  - Applicant Name
  - Application Relationship Entity Number
  - Application Relationship Name
4. Position your cursor in the search field and enter your search parameter.
5. Click on <Search>.
6. If there is only one application record related to the search criteria, AVS will automatically display that application record.
7. If several application records match the search criteria, a list of application records will appear. Position your cursor in the application record you wish to view, and click on <Select> to view the application record.

### **Task: What Are the Search Results in the Application Module?**

1. Figure 2-2 below, displays search results by Application Number.
2. Figure 2-3 below, displays search results by Applicant [Entity] Number.
3. Figure 2-4 below, displays search results by Applicant Name.
4. Figures 2-5 and 2-6 below, display search results by Application Relationship Entity Number. The applicant relationship means an entity associated with an application as an operator, contractor, auger operator, or controller<sup>3</sup>.
5. Figure 2-7 below, displays search results by Application Relationship Name. Application relationships are described immediately above, at #4.
6. Figure 2-8 below, displays results for the selected application number to see the Application Relationship Name.

---

<sup>1</sup> In the previous release of AVS (1990 – 2007), permit revisions were called “amendments” to invent a graceful acronym (Amendments, Renewals, and Transfers, or A/R/Ts) to name the process of creating records to show successive events for a single permit and are achieved using sequencing. Each successive application is assigned an ascending sequence number, starting with zero to create a history of permit activity for an applicant.

<sup>2</sup> All Figures in Module 2 are prefixed with the number 2 and begin with 2-1.

<sup>3</sup> In AVS, “controller” means an entity association created before the 2000 final rule, or an entity found under 30 CFR 774.11(f) or its State counterpart, to meet the definition *control* or *controller* at 30 CFR 701.5 (2007 final rule).

## What Are the Application Function Tabs?

In the Application Module, the Function tabs are Entities, Applications, Permits, and Comments.

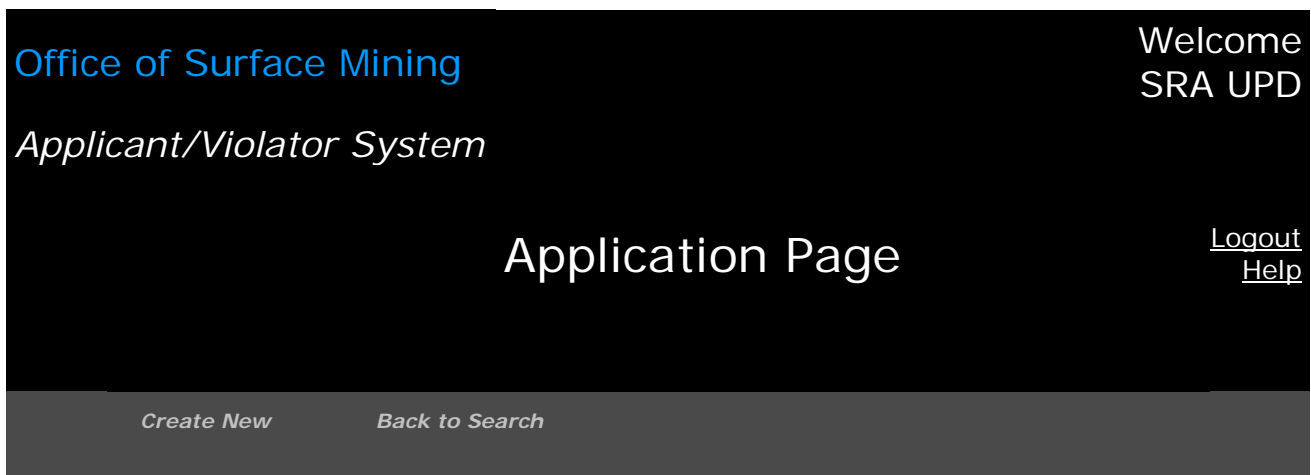
## What Are the Application Navigation Buttons?

The Navigation buttons and their functions in the Application Module are:

- **Back to Search:** Takes you back to the search results where you can select another application from the search results or start a new search.
- **New Application:** An entry point to create a new application record.
- **Update Application:** An entry point to update an application record.
- **Issue Permit:** The procedure to create a permit record after an application is approved and a permit issued.
- **Evaluate:** Evaluate an application record.

**IMPORTANT!** You can only update an application record that is in pending status. Please contact the AVS Office if you need to update an application record after the permit record has been created.

Figure 2-1: Application Module Search Screen

[Search](#)

You can search by the following:

- Application Number
- Applicant Number
- Applicant Name
- Application Relationship Entity Number
- Application relationship Name

Figure 2-2: Search Results by Application Number

Office of Surface Mining  
Applicant/Violator System
Welcome SRA UPD

## Application Page

[Logout](#)  
[Help](#)

[Create New](#)
[Back to Search](#)

Your search for "4010" returned 22 results.

<a href="#">New Search</a>	Application Number	Seq. #	State Code	Application Type	Status	Applicant
<a href="#">Select</a>	401000	0	WV	New	Undergoing Review	137869 Kepler Processing Co
<a href="#">Select</a>	401001	0	WV	New	Undergoing Review	123930 Independence Coal Co Inc
<a href="#">Select</a>	401006	0	WV	New	Issued	153520 Brooks Run Mining Co Llc
<a href="#">Select</a>	401088	0	WV	New	Issued	099764 Pandex Corp
<a href="#">Select</a>	401088T	1	WV	Transfer	Issued	108699 Meridan Of Virginia Inc
<a href="#">Select</a>	401089	0	WV	New	Issued	105998 V & C Inc
<a href="#">Select</a>	401090	0	WV	New	Issued	110866 Green Mountain Energy Inc
<a href="#">Select</a>	401091	0	WV	New	Issued	110442 Mid Vol Leasing Inc
<a href="#">Select</a>	401091	1	WV	Transfer	Issued	155111 Mid Vol Coal Sales Inc
<a href="#">Select</a>	401093	0	WV	New	Issued	101272 Alpine Devl Co

Showing 1-10 of 22

[Next >>](#)

Figure 2-3: Search Result by Applicant [Entity] Number

Office of Surface Mining
Welcome SRA UPD
  
Applicant/Violator System

## Application Page

[Logout](#)  
[Help](#)

[Create New](#)
[Back to Search](#)

Your search for "113019" returned 29 results.

<a href="#">New Search</a>	Application Number	Seq. #	State Code	Application Type	Status	Applicant
<a href="#">Select</a>	8980349	0	KY	Transfer	Issued	113019 Holston Mining Inc
<a href="#">Select</a>	8980349	1	KY	Amendment	Issued	113019 Holston Mining Inc
<a href="#">Select</a>	8980349	2	KY	Renewal	Issued	113019 Holston Mining Inc
<a href="#">Select</a>	8980349	3	KY	Amendment	Issued	113019 Holston Mining Inc
<a href="#">Select</a>	8980594	0	KY	New	Withdrawn	113019 Holston Mining Inc
<a href="#">Select</a>	8984071	0	KY	New	Issued	113019 Holston Mining Inc
<a href="#">Select</a>	8985455	2	KY	Amendment	Issued	113019 Holston Mining Inc

Showing 1-10 of 29

[Next >>](#)

Figure 2-4: Search Results by Applicant Name

Office of Surface Mining  
Applicant/Violator System
Welcome SRA UPD

## Application Page

[Logout](#)  
[Help](#)

[Create New](#)
[Back to Search](#)

Your search for "black gold coal" returned 7 results.

<a href="#">New Search</a>	Application Number	Seq. #	State Code	Application Type	Status	Applicant
<a href="#">Select</a>	P1580	0	AL	New	Issued	104576 Black Gold Assoc
<a href="#">Select</a>	P2489	0	AL	New	Issued	083789 Black Gold Coal Co
<a href="#">Select</a>	4605104	0	KY	New	Issued	005521 Black Gold Coal Co Inc
<a href="#">Select</a>	6978024	0	KY	New	Withdrawn	065861 Black Gold Coal Co Inc
<a href="#">Select</a>	0200192	0	VA	New	Issued	065861 Black Gold Coal Co Inc
<a href="#">Select</a>	0201179	0	VA	New	Issued	065861 Black Gold Coal Co Inc
<a href="#">Select</a>	3155U	0	VA	New	Issued	116120 Black Gold Coal Co

Showing 1-7 of 7

Figure 2-5: Search Results by Application Relationship Entity Number

Office of Surface Mining  
Applicant/Violator System
Welcome SRA UPD

Application Page

[Logout](#)  
[Help](#)

[Create New](#)
[Back to Search](#)

Your search for "138982" returned 10 results.

<a href="#">New Search</a>	Application Number	Seq. #	State Code	Application Type	Status	Applicant
<a href="#">Select</a>	8485117	0	KY	New	Issued	105723 P & K Mining Corp
<a href="#">Select</a>	8485117	1	KY	Renewal	Issued	105723 P & K Mining Corp
<a href="#">Select</a>	8485230	0	KY	New	Issued	090496 Tom Coal Co Inc
<a href="#">Select</a>	8485335	2	KY	Transfer	Issued	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	3	KY	Amendment	Issued	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	4	KY	Amendment	Issued	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	5	KY	Amendment	Issued	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	6	KY	Renewal	Issued	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	7	KY	Amendment	Issued	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	8	KY	Renewal	Issued	135717 Cns Mining Inc

Showing 1-10 of 10

Figure 2-6: Search Results for Selected Application Number to See Application Relationship Entity Number

Office of Surface Mining
Welcome SRA UPD

Applicant/Violator System
Logout  
Help

Application Page

[Back to Search](#)
[New Application](#)
[Evaluate](#)

**State Code** KY  
**Application Number** 8485117  
**Seq. #** 1  
**Applicant** 105723 P & K Mining Corp  
**Indian Lands**   
**County of Mine** Frankfort  
**MSHA IDs** 1516576  
**Mine Name** Mine 1  
**Acres** 450.3  
**Created** 9/13/1993  
**Updated** 1/22/1996  
**Source** Migration  
**Status** Issued  
**Application Type** Renewal

Entities
Applications
Permits

	Entity	Relationship Type	Begin Date	End Date
<a href="#">Select</a>	114175 Benito Mining Corp	Operator	6/22/1994	7/6/1994
<a href="#">Select</a>	138982 T & T Mining Inc	Operator	7/28/1995	

Figure 2-7: Search Results by Application Relationship Name

Office of Surface Mining  
Applicant/Violator System
Welcome SRA UPD

## Application Page

[Logout](#)  
[Help](#)

[Create New](#)
[Back to Search](#)

Your search for "t & t mining" returned 13 results.

<a href="#">New Search</a>	Application Number	Seq. #	State Code	Application Type	Status	Applicant
<a href="#">Select</a>	8485023	0	KY	New	Issued	078092 Poplar Branch Coal Co
<a href="#">Select</a>	8485117	0	KY	New	Issued	105723 P & K Mining Corp
<a href="#">Select</a>	8485117	1	KY	Renewal	Issued	105723 P & K Mining Corp
<a href="#">Select</a>	8485230	0	KY	New	Issued	090496 Tom Coal Co Inc
<a href="#">Select</a>	8485335	2	KY	Transfer	Issued	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	3	KY	Amendment	Issued	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	4	KY	Amendment	Issued	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	5	KY	Amendment	Issued	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	6	KY	Renewal	Issued	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	7	KY	Amendment	Issued	135717 Cns Mining Inc

[Next >>](#)



Figure 2-8: Search Results for Selected Application Number to See Application Relationship Name

Office of Surface Mining
Welcome SRA UPD
  
Applicant/Violator System
  

Application Page

Logout  
Help
  

[Back to Search](#)    [New Application](#)    [Evaluate](#)

**State Code**                    KY  
**Application Number** 8485117  
**Seq. #**                         0  
**Applicant**                     105723 P & K Mining Corp  
  
**Indian Lands**                  
**County of Mine**             Frankfort  
**MSHA IDs**                    1516576  
**Mine Name**                  Mine 1  
**Acres**                         450.3  
**Created**                      8/5/1986  
**Updated**                     7/1/1994  
**Source**                        Migration  
**Status**                        Issued  
**Application Type**         New

Entities
Applications
Permits

	Entity	Relationship Type	Begin Date	End Date
<a href="#">Select</a>	138982 T & T Mining Inc	Operator	7/28/1995	

## Task: How Do I Create a New Application Record?

The Application Navigation buttons <Create New> or <New Application> take you to the start of the procedures to create a new application record.

1. Click on the Application Module button.
2. Make sure the new application record has not been already created. Search for the application number.
3. Once you know there is no application record that meets your criteria, you may begin.
4. Click on <Create New> located beneath the Home Module button, or click on <New Application> from the application detail screen.
5. The Wizard will assist you with the Application Details! See below, at Figure 2-9.
6. There are five fields required for data entry, asterisked in red.
7. Enter the application number.
8. For State users, the two-letter State code is already entered.
9. In the applicant field, you may enter an entity's name or AVS entity number.
10. You must click on <Search> to continue in this screen.
11. Select the application status, "undergoing review." This means the same as "pending."
12. Select the application type, "New." Careful, the default is "Transfer."
13. Enter the mine name.
14. Enter the "County of mine." This means the county where the mine is located.
15. Enter the number of acres.
16. If the application is for mining on Indian lands, click on the box.
17. Click on <Next.>
18. In the Application Entities screen, the Wizard prompts you to add entities that are not the applicant that are associated with the application, their potential relationship to the application, and their beginning date. See below, at 2-10.
19. The relationship type is a drop-down window with four choices: Contractor, Auger Operator, Controller<sup>1</sup>, and Operator.
20. After you have entered data in the Application Entities screen, click on "Add." The system displays the information you have entered. If you found you entered wrong data, you can use "Remove" button. If you have more relationship data, click on <change> in this screen, enter the entity or company name and click on <Search>, before entering relationship to the application, and their beginning date, click on "Add." When you finish in this screen, click on <Next>.
21. The Wizard asks, "Is this [information] correct? See below, at Figure 2-11. Review your entries for accuracy.
22. Click on "Back" button if you find you must correct any data you have entered.
23. Click on <Finish> to confirm and save.
24. The next screen is the completed and saved application record. See below, at Figure 2-12. The Wizard leaves you. You are again on your own.

---

<sup>1</sup> In AVS records, "controller" means an entity association entered before promulgation of the 2000 final rule, or an entity found under 30 CFR 774.11(f) or its State counterpart, to meet the regulatory definition of *control* or *controller* at 30 CFR 701.5 (2007 final rule). See also Appendix 4, Application and Permit Codes.

Figure 2-9: Create a New Application Record – Step 1

Office of Surface Mining  
Applicant/Violator System

Welcome SRA UPD

Application Page

[Logout](#)  
[Help](#)

New Application Step 1  
FKID:0  
Application Details



\*Application Number

\*State Code

\*Applicant  [Search](#)

\*Status

\*Application Type

Mine Name

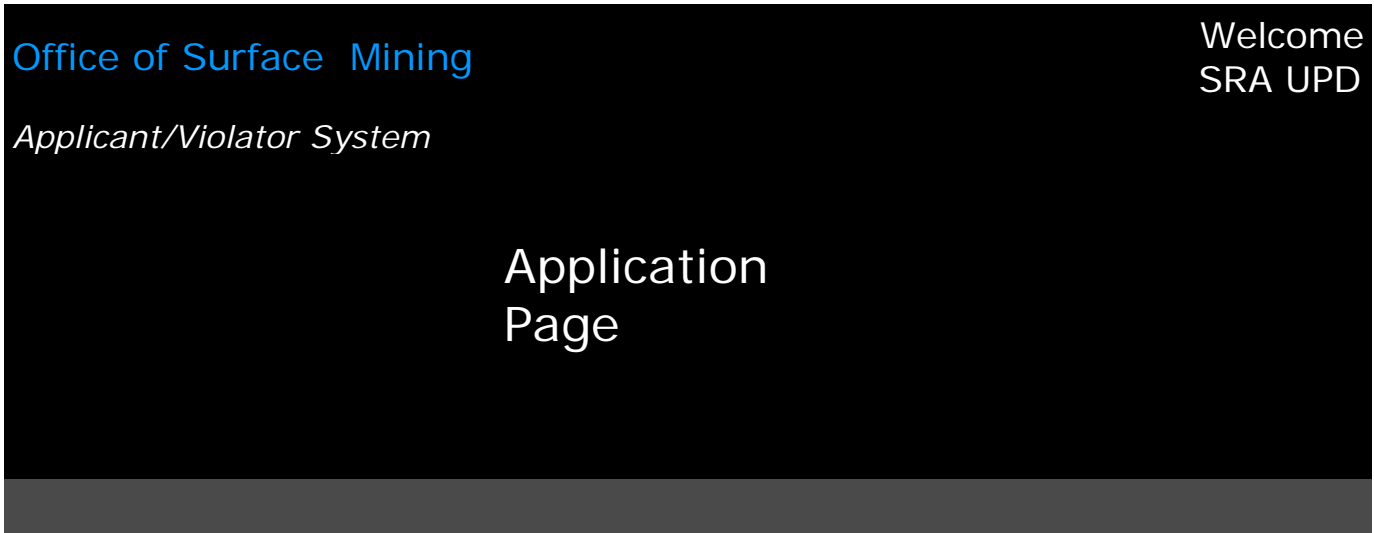
County of Mine

Acres

Indian Lands

[Next >>](#)

Figure 2-10: Create a New Application Record – Step 2



New Application Step 2  
 FKID:0  
 Application Entities



Entity 126453 Green David H [Change](#)

Relationship Type

Begin Date  /  /  [Clear Date](#)

[Add](#)

Entity	Relationship Type	Begin Date	End Date
<a href="#">Remove</a> 126453 Green David H	Contractor	01/01/1998	

Showing 1-1 of 1

[<< Back](#)

[Next >>](#)

Figure 2-11: Create a New Application Record – Step 3



New Application Step 3  
 FKID:0  
 Confirm And Save

Is this correct???



\*Application Number 402088  
 \*State Code KY  
 \*Applicant 099764 Pandex Corp  
 \*Status Undergoing Review  
 \*Application Type New  
 Mine Name Pandex # 2  
 County of Mine Mingo  
 Acres 4.75  
 Indian Lands

Entity	Relationship Type	Begin Date	End Date
126453 Green David H	Contractor	01/01/1998	

[<< Back](#)

[Finish](#)

Figure 2-12: Create a New Application Record – Step 4/Finish

Office of Surface Mining Welcome SRA UPD  
*Applicant/Violator System*

Application Page [Logout](#)  
[Help](#)

[Back to Search](#)   [New Application](#)   [Update Application](#)   [Issue Permit](#)   [Evaluate](#)

<b>State Code</b>	KY
<b>Application Number</b>	402088
<b>Seq. #</b>	0
<b>Applicant</b>	099764 Pandex Corp
<b>Indian Lands</b>	<input type="checkbox"/>
<b>County of Mine</b>	Mingo
<b>MSHA IDs</b>	
<b>Mine Name</b>	Pandex # 2
<b>Acres</b>	4.75
<b>Created</b>	
<b>Updated</b>	7/3/2007
<b>Source</b>	SRAUPDTEST@OSMRE.GOV
<b>Status</b>	Undergoing Review
<b>Application Type</b>	New

NOTE to USERS! For a new application record, the date the record is created should appear as the “Created” date, not the “Updated” date.

**Task: How Do I Create an Amendment (Revision) Application Record?**  
Please keep in mind that permit revisions in our Federal regulations and in State counterpart regulations are called permit “amendments” in AVS.

**IMPORTANT! Do NOT select <Create New> to create an amendment application record.**

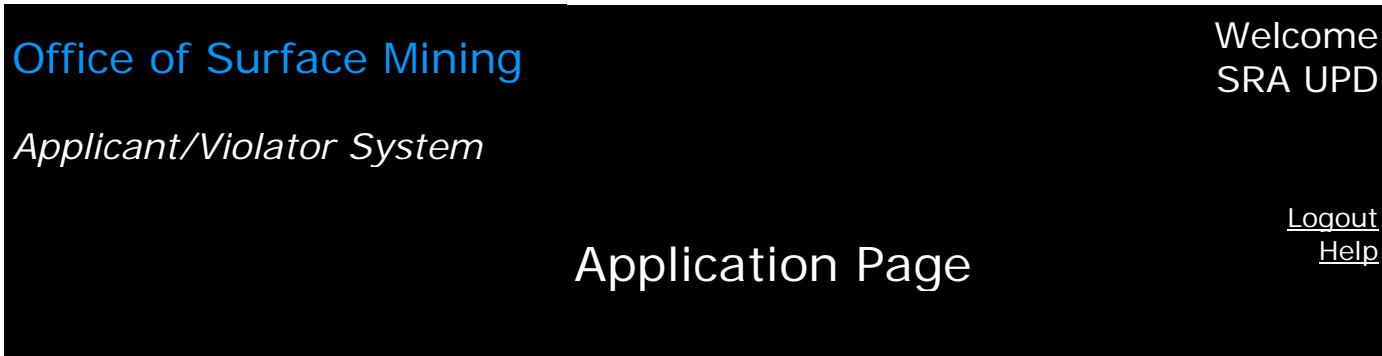
1. Click on the <Application> Module button.
2. Make sure the amendment application record has not been already created. Search for the application number.
3. Once you know that there is no application record that meets your criteria, you may begin.
4. Click on <Select> to retrieve the correct application record you wish to amend.
5. Click on the Function tab <Application>.
6. The next screen is a list of applications with sequence numbers.
7. Click on <New application in Sequence> located in the data box beneath the Function tabs.
8. The Wizard will assist you with the Application Details! See below, at Figure 2-13.
9. There are five fields required for data entry, asterisked in red.
10. Enter the application number.
11. For State users, the two-letter State code is already in the field.
12. In the applicant field, you may enter an entity’s name or its AVS entity number.
13. You must click on <Search> to continue in this screen.
14. Select the application status, “undergoing review.” “Undergoing review” means the same as “pending.” Careful, the default for this field is “Withdrawn.”
15. Select the application type, “Amendment.” Careful, the default is “Transfer.”
16. Enter the mine name. Enter the “County of Mine.” Enter the number of acres.
17. If the application is for mining on Indian lands, click on the box.
18. Click on <Next.>
19. In the Application Entities screen, the Wizard prompts you to add entities that are not the applicant and that are associated with the application, their potential relationship to the application, and their beginning date. See below, at 2-14.
20. The relationship type is a drop-down window with four choices: Contractor, Auger Operator, Controller<sup>1</sup>, and Operator.
21. After you have entered data in the Application Entities screen, click on “Add.” The system displays the information you have entered. If you found you entered wrong data, you can use “Remove.” If you have more relationship data, click on “Change” in this screen, enter entity or company name and click on <Search>, before entering relationship to the application, and their beginning date, click on “Add.” When you have finish in this screen, click on <Next>.
22. The Wizard asks, “Is this [information] correct? See below, at Figure 2-15. Review your entries for accuracy.

---

<sup>1</sup> In AVS records, “controller” means an entity association created before the promulgation of the 2000 final rule, or an entity found under 30 CFR 774.11(f) or its State counterpart, to meet the regulatory definition of *control* or *controller* at 30 CFR 701.5 (2007 final rule). See also Appendix 4, Application and Permit Codes.

- 23. Click on “Back” if you find you must correct any data you have entered.
- 24. Click on <Finish> to confirm and save.
- 25. The next screen is the completed and saved amendment application record. See below, at Figure 2-16. The Wizard leaves you. You are again on your own.

Figure 2-13: Create an Amendment Application Record – Step 1



New Application Step 1  
 FKID: 0  
 Application Details



\*Application Number

\*State Code

\*Applicant  TBS Mining Company [Change](#)

\*Status

\*Application Type

Mine Name

County of Mine

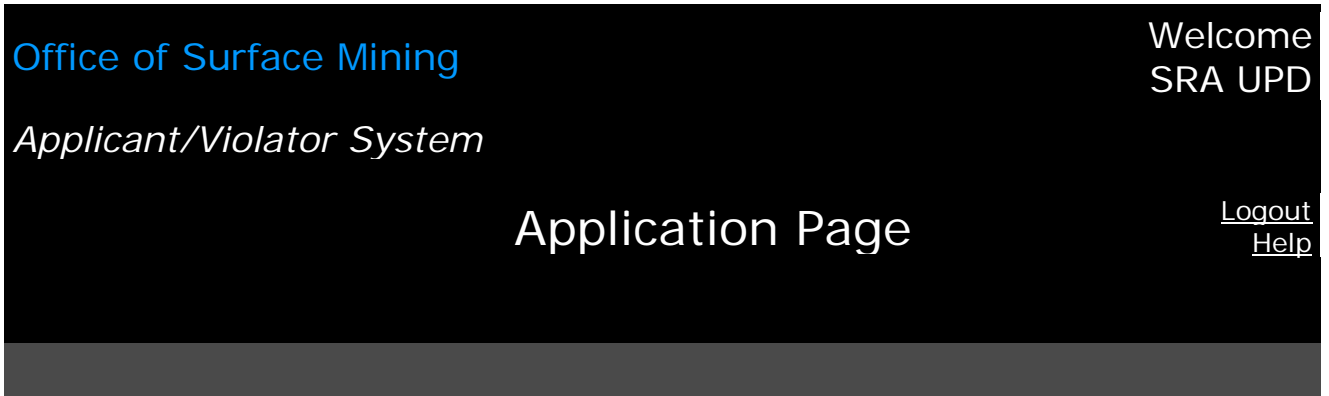
Acres

Indian Lands

[Next >>](#)



Figure 2-14: Create an Amendment Application Record – Step 2



New Application Step 2  
FKID:0  
Application Entities



Entity  [Search](#)

Relationship Type

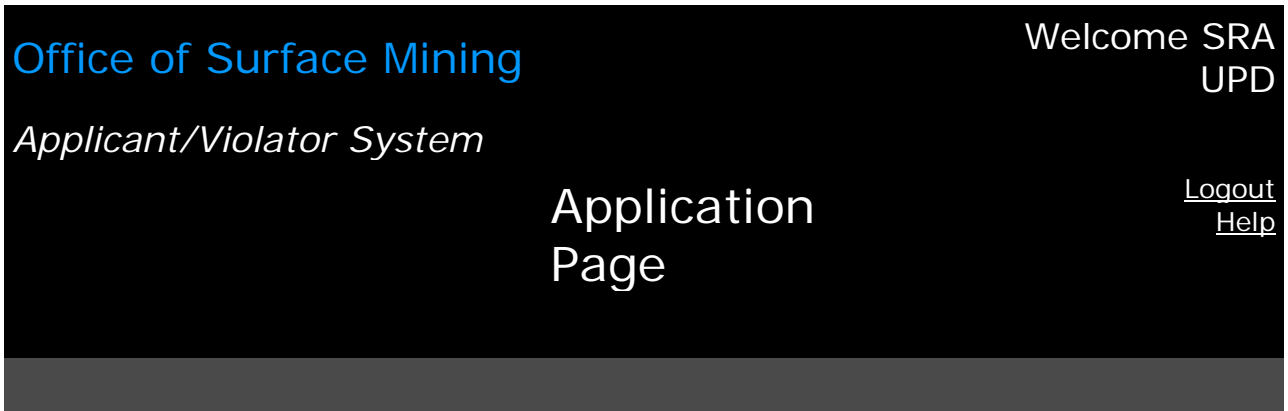
Begin Date  /  /  [Clear Date](#)

[Add](#)

[<< Back](#)

[Next >>](#)

Figure 2-15: Create an Amendment Application Record – Step 3



New Application Step 3  
FKID:0  
Confirm And Save

Is this correct???



*Application Number	TBS 1950-A
*State Code	KY
*Applicant	246473 TBS Mining Company
*Status	Undergoing Review
*Application Type	Amendment
Mine Name	
County of Mine	Harlan
Acres	
Indian Lands	<input type="checkbox"/>

[<< Back](#)

[Finish](#)

Figure 2-16: Create an Amendment Application Record – Step 4/Finish

Office of Surface Mining  
Applicant/Violator System

Welcome SRA  
UPD

[Logout](#)  
[Help](#)

Application Page

[Back to Search](#)   [New Application](#)   [Update Application](#)   [Issue Permit](#)   [Evaluate](#)

<b>State Code</b>	KY
<b>Application Number</b>	TBS 1950-A
<b>Seq. #</b>	0
<b>Applicant</b>	246473 TBS Mining Company
<b>Indian Lands</b>	<input type="checkbox"/>
<b>County of Mine</b>	Harlan
<b>MSHA IDs</b>	
<b>Mine Name</b>	
<b>Acres</b>	
<b>Created</b>	
<b>Updated</b>	7/6/2007
<b>Source</b>	SRAUPDTEST@OSMRE.GOV
<b>Status</b>	Undergoing Review
<b>Application Type</b>	Amendment

NOTE to Users: For a new application record, the date the record is created should appear as the “Created” date, not the “Updated” date.

## Task: How Do I Create a Renewal Application Record?

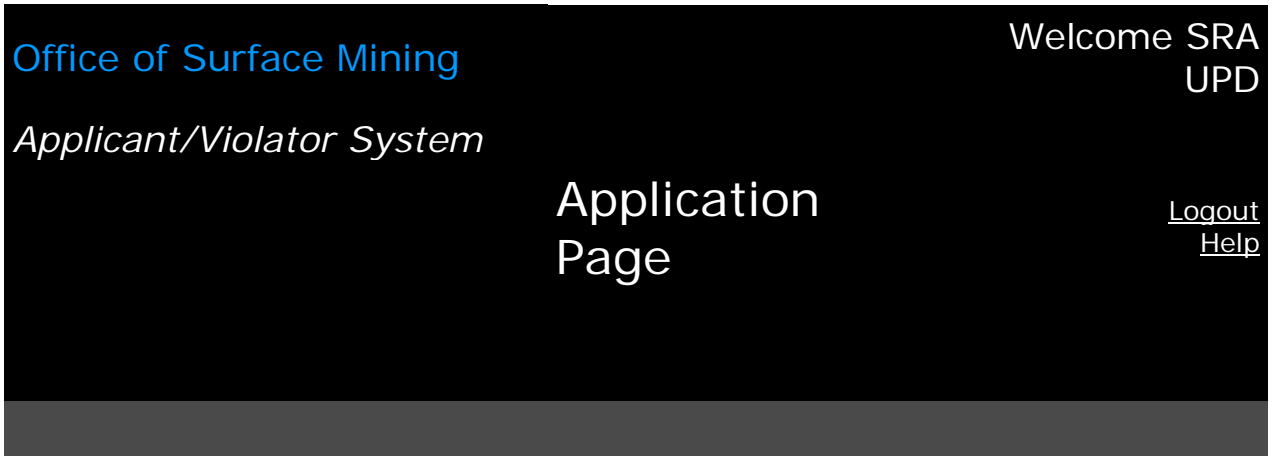
**IMPORTANT! Do NOT select <Create New> to create a renewal application record.**

1. Click on the <Application> Module button.
2. Make sure the renewal application record has not been already created. Search for the application number.
3. Once you know that there is no application record that meets your criteria, you may begin.
4. Click on <Select> to retrieve the correct application record you wish to renew.
5. Click on the Function tab <Application>.
6. The next screen is a list of applications with sequence numbers.
7. Click on <New application in Sequence> located in the data box beneath the Function tabs.
8. The Wizard will assist you with the Application Details! See below, at Figure 2-19.
9. There are five fields required for data entry, asterisked in red.
10. Enter the application number.
11. For State users, the two-letter State code is already in the field.
12. In the applicant field, you may enter an entity's name or its AVS entity number.
13. You must click on <Search> to continue in this screen.
14. Select the application status, "undergoing review." This means the same as "pending." Careful, the default for this field is "Withdrawn."
15. Select the application type, "Renewal." Careful, the default is "Transfer."
16. Enter the mine name. Enter the "County of Mine." Enter the number of acres.
17. If the application is for mining on Indian lands, click on the box.
18. Click on <Next.>
19. In the Application Entities screen, the Wizard prompts you to add entities that are not the applicant and that are associated with the application, their potential relationship to the application, and their beginning date. See below, at 2-18.
20. The relationship type is a drop-down window with four choices: Contractor, Auger Operator, Controller<sup>1</sup>, and Operator.
21. After you have entered data in the Application Entities screen, click on "Add." The system displays the information you have entered. If you found you entered wrong data, you can use "Remove." If you have more relationship data, click on "Change" in this screen, enter entity or company name and click on <Search>, before entering relationship to the application, and their beginning date, click on "Add." When you have finish in this screen, click on <Next>.
22. The Wizard asks, "Is this [information] correct? See below, at Figure 2-19. Review your entries for accuracy.
23. Click on "Back" if you find you must correct any data you have entered.
24. Click on <Finish> to confirm and save.
25. The next screen is the completed and saved renewal application record. See below, at Figure 2-20. The Wizard leaves you. You are again on your own.

---

<sup>1</sup>In AVS records, "controller" means an entity association created before the promulgation of the 2000 final rule, or found under 30 CFR 774.11(f) or its State counterpart, to meet the regulatory definition of control or controller at 30 CFR 701.5 (2007 final rule). See also Appendix 4, Application and Permit Codes.

Figure 2-17: Create a Renewal Application Record – Step 1



New Application Step 1  
FKID:0  
Application Details



\*Application Number

\*State Code

\*Applicant  [Search](#)

\*Status

\*Application Type

Mine Name

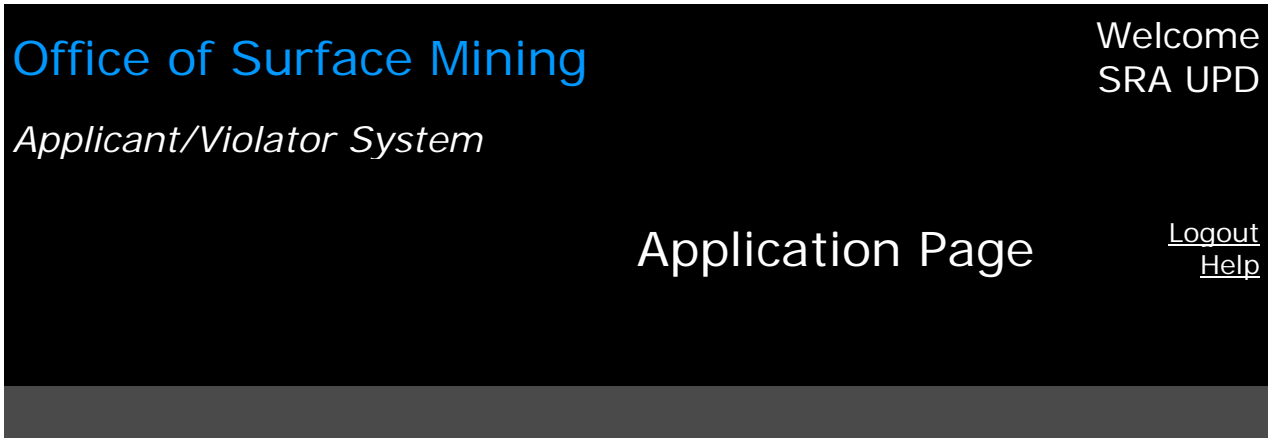
County of Mine

Acres

Indian Lands

[Next >>](#)

Figure 2-18: Create a Renewal Application Record – Step 2



New Application Step 2  
FKID:0  
Application Entities



Entity  [Search](#)

Relationship Type  ▼

Begin Date  /  /  [Clear Date](#)

[Add](#)

[<< Back](#)

[Next >>](#)

Figure 2-19: Create a Renewal Application Record – Step 3



New Application Step 3  
FKID:0  
Confirm And Save

Is this correct???



*Application Number	TBS 1950 - R
*State Code	KY
*Applicant	246473 TBS Mining Company
*Status	Undergoing Review
*Application Type	Renewal
Mine Name	
County of Mine	Harlan
Acres	
Indian Lands	<input type="checkbox"/>

[<< Back](#)

[Finish](#)

Figure 2-20: Create a Renewal Application Record – Step 4/Finish

The screenshot shows a web interface for the 'Office of Surface Mining Applicant/Violator System'. The page title is 'Application Page'. In the top right corner, it says 'Welcome SRA UPD'. There are links for 'Logout' and 'Help'. At the bottom, there is a navigation bar with buttons for 'Back to Search', 'New Application', 'Update Application', 'Issue Permit', and 'Evaluate'.

<b>State Code</b>	KY
<b>Application Number</b>	TBS 1950 - R
<b>Seq. #</b>	0
<b>Applicant</b>	246473 TBS Mining Company
<b>Indian Lands</b>	<input type="checkbox"/>
<b>County of Mine</b>	Harlan
<b>MSHA IDs</b>	
<b>Mine Name</b>	
<b>Acres</b>	
<b>Created</b>	
<b>Updated</b>	7/6/2007
<b>Source</b>	SRAUPDTEST@OSMRE.GOV
<b>Status</b>	Undergoing Review
<b>Application Type</b>	Renewal

NOTE to Users: For a new application record, the date the record is created should appear as the “Created” date, not the “Updated” date.



## Task: How Do I Create a Transfer Application Record?

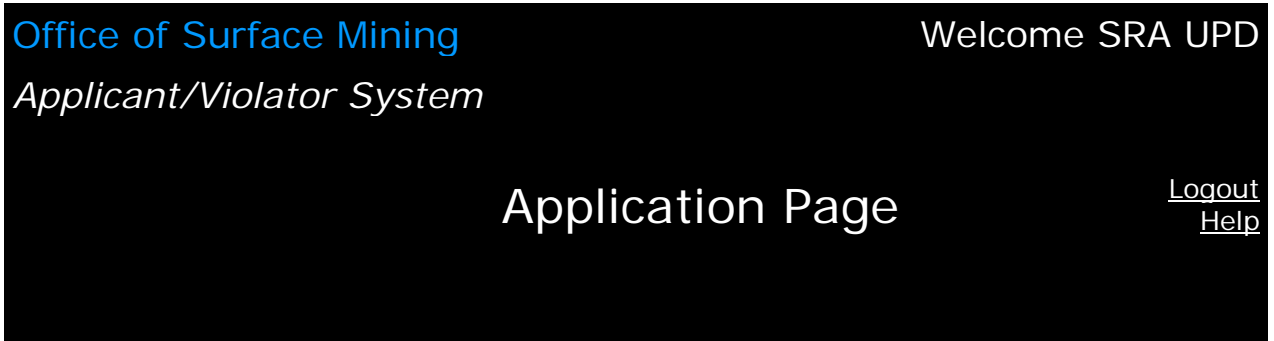
**IMPORTANT! Do NOT select <Create New> to create a transfer application record.**

1. Click on the <Application> Module button.
2. Make sure the transfer application record has not been already created. Search for the application number.
3. Once you know that there is no application record that meets your criteria, you may begin.
4. Click on <Select> to retrieve the correct application record you wish to transfer.
5. Click on the Function tab <Application>.
6. The next screen is a list of applications with sequence numbers.
7. Click on <New application in Sequence> located in the data box beneath the Function tabs.
8. The Wizard will assist you with the Application Details! See below, at Figure 2-21.
9. There are five fields required for data entry, asterisked in red.
10. Enter the application number.
11. For State users, the two-letter State code is already in the field.
12. In the applicant field, you may enter an entity's name or its AVS entity number.
13. You must click on <Search> to continue in this screen.
14. Select the application status, "undergoing review." This means the same as "pending." Careful, the default for this field is "Withdrawn."
15. Select the application type, "Transfer." "Transfer" is the default.
16. Enter the mine name. Enter the "County of Mine." Enter the number of acres.
17. If the application is for mining on Indian lands, click on the box.
18. Click on <Next.>
19. In the Application Entities screen, the Wizard prompts you to add entities that are not the applicant and that are associated with the application, their potential relationship to the application, and their beginning date. See below, at 2-22.
20. The relationship type is a drop-down window with four choices: Contractor, Auger Operator, Controller<sup>1</sup>, and Operator.
21. After you have entered data in the Application Entities screen, click on "Add." The system displays the information you have entered. If you found you entered wrong data, you can use "Remove." If you have more relationship data, click on "Change" in this screen, enter entity or company name and click on <Search>, before entering relationship to the application, and their beginning date, click on "Add." When you finish in this screen, click on <Next>.
22. The Wizard asks, "Is this [information] correct? See below, at Figure 2-23. Review your entries for accuracy.
23. Click on "Back" if you find you must correct any data you have entered.
24. Click on <Finish> to confirm and save.
25. The next screen is the completed and saved transfer application record. See below, at Figure 2-24. The Wizard leaves you. You are again on your own.

---

<sup>1</sup> In AVS records, "controller" means an entity association entered before the promulgation of the 2000 final rule, or an entity found under 30 CFR 774.11(f) or its State counterpart, to meet the regulatory definition of *control* or *controller* at 30 CFR 701.5 (2007 final rule). See also Appendix 4, Application and Permit Codes.

Figure 2-21: Create a Transfer Application Record – Step 1



New Application Step 1  
FKID:0  
Application Details



*Application Number	<input type="text" value="TBS/Pandex"/>
*State Code	<input type="text" value="KY"/>
*Applicant	<input type="text" value="099764"/> Pandex Corp <a href="#">Change</a>
*Status	<input type="text" value="Undergoing Review"/>
*Application Type	<input type="text" value="Transfer"/>
Mine Name	<input type="text"/>
County of Mine	<input type="text" value="Harlan"/>
Acres	<input type="text"/>
Indian Lands	<input type="checkbox"/>

[Next >>](#)

Figure 2-22: Create a Transfer Application Record – Step 2

Office of Surface Mining  
Applicant/Violator System

Welcome SRA UPD

Application Page

[Logout](#)  
[Help](#)

New Application Step 2  
FKID:0  
Application Entities



Entity  [Search](#)

Relationship Type

Begin Date  /  /  [Clear Date](#)

[Add](#)

[<< Back](#)

[Next >>](#)

Figure 2-23: Create a Transfer Application Record – Step 3

Office of Surface Mining  
Applicant/Violator System

Welcome SRA UPD

[Logout](#)  
[Help](#)

# Application Page

New Application Step 3  
FKID:0  
Confirm And Save

Is this correct???



\*Application Number TBS/Pandex 1  
\*State Code KY  
\*Applicant 099764 Pandex Corp  
\*Status Undergoing Review  
\*Application Type Transfer  
Mine Name  
County of Mine Harlan  
Acres  
Indian Lands

[<< Back](#)

[Finish](#)

Figure 2-24: Create a Transfer Application Record – Step 4/Finish

The screenshot shows a web interface for the 'Office of Surface Mining' with the sub-header 'Applicant/Violator System'. The main heading is 'Application Page'. In the top right corner, it says 'Welcome SRA UPD'. Below the heading, there are links for 'Logout' and 'Help'. At the bottom, there is a navigation bar with five buttons: 'Back to Search', 'New Application', 'Update Application', 'Issue Permit', and 'Evaluate'.

<b>State Code</b>	KY
<b>Application Number</b>	TBS/Pandex 1
<b>Seq. #</b>	0
<b>Applicant</b>	099764 Pandex Corp
<b>Indian Lands</b>	<input type="checkbox"/>
<b>County of Mine</b>	Harlan
<b>MSHA IDs</b>	
<b>Mine Name</b>	
<b>Acres</b>	
<b>Created</b>	
<b>Updated</b>	7/6/2007
<b>Source</b>	SRAUPDTEST@OSMRE.GOV
<b>Status</b>	Undergoing Review
<b>Application Type</b>	Transfer

NOTE to Users: For a new application record, the date the record is created should appear as the “Created” date, not the “Updated” date.

### Task: How Do I Update an Application Record?

1. Search for the application record you wish to update by first retrieving the application. Click on the Application Module button.
2. From the Search screen, enter the applicant's name, entity number, or the application number in the search box.
3. Click on <Select> to retrieve the correct sequence of the application record you wish to update. See below, at Figure 2-25.
4. After the record is retrieved, click on the Navigation button <Update Application>, located below the Application Module button.
5. The next screen is the update data entry screen. See below, at Figure 2-26.
6. You can update any field in an application record that is not a required field after initially creating an application record.
7. When you complete your updates, click on <Save> or <Cancel> whichever is appropriate.
8. If you click on <Save>, the next screen should be "Save Successful." See below, at Figure 2-27.

### Task: How Do I Delete an Application Record?

If you wish to delete an Application record, please contact your AVS User Assistance Liaison. At this time, only these designated staff in the AVS Office may perform this task.

### Task: How Do I Delete an Application Relationship Record?

If you wish to delete an Application Relationship record, please contact your AVS User Assistance Liaison. At this time, only these designated staff in the AVS Office may perform this task.

Figure 2-25: Application Record – Before Update

Office of Surface Mining  
*Applicant/Violator System*

Welcome SRA  
UPD

Application Page

[Logout](#)  
[Help](#)

[Back to Search](#)   [New Application](#)   [Update Application](#)   [Issue Permit](#)   [Evaluate](#)

**State Code**            KY  
**Application Number** TBS 1950  
**Seq. #**                0  
**Applicant**            246473 TBS Mining Company  
**Indian Lands**          
**County of Mine**      Harlan  
**MSHA IDs**  
**Mine Name**  
**Acres**  
**Created**  
**Updated**            7/5/2007  
**Source**              SRAUPDTEST@OSMRE.GOV  
**Status**                Undergoing Review  
**Application Type**    New

Figure 2-26: Application Update – Data Entry Screen

Office of Surface Mining  
Applicant/Violator System

Welcome SRA  
UPD

Application Page

[Logout](#)  
[Help](#)

[Back to Search](#)   [New Application](#)   [Update Application](#)   [Issue Permit](#)   [Evaluate](#)

**\*State Code**    KY | KENTUCKY

**Indian Lands**   

**County of Mine**    Harlan

**MSHA IDs**

**Mine Name**   

**Acres**   

**\*Status**    Undergoing Review

**\*Application Type**    New

[Cancel](#)    [Save](#)



Figure 2-27: Application Update Successful

Office of Surface Mining  
Applicant/Violator System

Welcome SRA  
UPD

Application Page

[Logout](#)  
[Help](#)

[Back to Search](#) [New Application](#) [Update Application](#) [Issue Permit](#) [Evaluate](#)

Save Successful

<b>State Code</b>	KY
<b>Application Number</b>	TBS 1950
<b>Seq. #</b>	0
<b>Applicant</b>	246473 TBS Mining Company
<b>Indian Lands</b>	<input type="checkbox"/>
<b>County of Mine</b>	Harlan
<b>MSHA IDs</b>	
<b>Mine Name</b>	Ann
<b>Acres</b>	10
<b>Created</b>	
<b>Updated</b>	7/5/2007
<b>Source</b>	SRAUPDTEST@OSMRE.GOV
<b>Status</b>	Undergoing Review
<b>Application Type</b>	New

## Task: How I Do Add a Relationship to an Application Record?

1. Click on the Application Module button.
2. Retrieve the application record to which you wish to add a relationship. You can best retrieve the application record by searching for the application number, applicant name, or applicant entity number.
3. If there is only one record that meets your search criteria, enter the application number as your search criterion. Make sure you click on <Select> next to the correct sequence number.
4. If you enter a character string to search for the applicant entity, make sure you click on <Select> next to the correct entity.
5. If you searched for the business entity, the next screen is a list of application numbers to which the entity searched for is associated. See below, at Figure 2-28.
6. For any search criterion used, click on <Select> for the correct application and sequence numbers.
7. The next screen is the application record showing, among other things, the existing relationship information. See below, at Figure 2-29.
8. Click on <New Relationship> to add a relationship to the application record.
9. The next screen is the data entry screen. See below, at Figure 2-30.
10. Enter an entity name or number in the Entity field. After doing so, you **must** click on <Search> to continue.
11. If you retrieve multiple choices for your entity, make sure you click on <Select> for the correct one.
12. Enter a beginning date of the association. This field is not required, but it is recommended.
13. Enter a relationship type. Careful, "Contractor" is the default. The other choices are Auger Operator, Controller<sup>1</sup>, and Operator.
14. Click on <Save> or <Cancel> as applicable.
15. If you select <Save>, the next screen will tell you the data is successfully saved. See below, at Figure 2-31.

---

<sup>1</sup> See footnote 11.

Figure 2-28: Add a Relationship to an Application Record – Step 1

Office of Surface Mining  
*Applicant/Violator System*
Welcome SRA UPD

## Application Page

[Logout](#)  
[Help](#)

Your search for "CNS Min" returned 18 results.

<a href="#">New Search</a>	Application Number	Seq. #	State Code	Application Type	Status	Applicant
<a href="#">Select</a>	4485190	3	KY	Amendment	Issued	099086 Kentucky Harlan Coal Co Inc
<a href="#">Select</a>	4485190	4	KY	Renewal	Withdrawn	099086 Kentucky Harlan Coal Co Inc
<a href="#">Select</a>	8485117	0	KY	New	Issued	105723 P & K Mining Corp
<a href="#">Select</a>	8485117	1	KY	Renewal	Issued	105723 P & K Mining Corp
<a href="#">Select</a>	8485335	2	KY	Transfer	Issued	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	3	KY	Amendment	Issued	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	4	KY	Amendment	Issued	135717 Cns Mining Inc

[Next >>](#)

Figure 2-29: Add a Relationship to an Application Record – Step 2

Office of Surface Mining  
Applicant/Violator System
Welcome SRA UPD

Application Page

[Logout](#)  
[Help](#)

[Back to Search](#)
[New Application](#)
[Evaluate](#)

**State Code** KY  
**Application Number** 8485335  
**Seq. #** 4  
**Applicant** 135717 Cns Mining Inc  
**Indian Lands**   
**County of Mine** Harlan  
**MSHA IDs** 1516576  
 1512482  
**Mine Name** Kellioka No 2  
**Acres** 1017.35  
**Created** 3/31/1997  
**Updated** 4/1/1998  
**Source** sraky03f  
**Status** Issued  
**Application Type** Amendment

	Entities	Applications	Permits	
<a href="#">New Relationship</a>				
	Entity		Relationship Type	Begin Date      End Date
<a href="#">Select</a>	138982 T & T Mining Inc		Operator	1/12/1996    11/24/1998
<a href="#">Select</a>	142703 Blue Gate Energy Inc		Operator	4/18/1997    2/20/2001

Figure 2-30: Add a Relationship to an Application Records - Step 3

Office of Surface Mining  
Applicant/Violator System
Welcome SRA UPD

Application Page

[Logout](#)  
[Help](#)

[Back to Search](#)
[New Application](#)
[Evaluate](#)

**State Code** KY  
**Application Number** 8485335  
**Seq. #** 4  
**Applicant** 135717 Cns Mining Inc  
**Indian Lands**   
**County of Mine** Harlan  
**MSHA IDs** 1516576  
 1512482  
**Mine Name** Kellioka No 2  
**Acres** 1017.35  
**Created** 3/31/1997  
**Updated** 4/1/1998  
**Source** sraky03f  
**Status** Issued  
**Application Type** Amendment

**Entity**  [Search](#)  
**Begin Date**  /  /  [Clear](#)  
Date  
**Relationship Type**    
[Cancel](#) [Save](#)

Figure 2-31: Add a Relationship to an Application Record - Step 4/Finish

Office of Surface Mining Welcome SRA UPD  
Applicant/Violator System

## Application Page

Logout  
Help

[Back to Search](#)   [New Application](#)   [Evaluate](#)

Save Successful

<b>State Code</b>	KY
<b>Application Number</b>	8485335
<b>Seq. #</b>	4
<b>Applicant</b>	135717 Cns Mining Inc
<b>Indian Lands</b>	<input type="checkbox"/>
<b>County of Mine</b>	Harlan
<b>MSHA IDs</b>	1516576 1512482
<b>Mine Name</b>	Kellioka No 2
<b>Acres</b>	1017.35
<b>Created</b>	3/31/1997
<b>Updated</b>	4/1/1998
<b>Source</b>	sraky03f
<b>Status</b>	Issued
<b>Application Type</b>	Amendment

## Task: How Do I Update a Relationship in an Application Record?

“Update” means adding relationship information or correcting existing relationship information.

1. Click on the Application Module button.
2. Retrieve the application record for which you wish to update an existing relationship.
3. You can best retrieve the application record by searching for the application number, applicant entity name, or applicant entity number.
4. If you enter an application number as your search criterion, make sure you click on <Select> next to the correct sequence number.
5. If you enter a character string of the applicant entity’s name, make sure you click on <Select> next to the correct entity.
6. The next screen is a list of application numbers to which the entity searched for is associated. See below, at Figure 2-32.
7. For any search criterion used, click on <Select> for the correct application and sequence numbers.
8. The next screen is the application record showing, among other things, the existing relationship information. See below, at Figure 2-33.
9. Click on <Select> for the existing relationship record you wish to update.
10. Click on <Update Relationship> to update an existing relationship. See below, at Figure 2-34.
11. The next screen is the data entry screen. See above at #2, and below at Figure 2-35.
12. Enter or correct a beginning and/or ending date of the association or a relationship type. Careful, the relationship type default is “Contractor.” The other choices are Auger Operator, Controller<sup>1</sup>, and Operator.
13. Click on <Save> or <Cancel> as applicable.
14. If you select <Save>, the next screen will tell you the data entry is successfully saved. See below, at Figure 2-36.

---

<sup>1</sup> See footnote 11.

Figure 2-32: Update Relationship in an Application Record – Step 1

Office of Surface Mining  
Applicant/Violator System
Welcome SRA UPD

Application Page

[Logout](#)  
[Help](#)

[Create New](#)
[Back to Search](#)

Your search for "cns min" returned 18 results.

<a href="#">New Search</a>	Application Number	Seq. #	State Code	Application Type	Status	Applicant
<a href="#">Select</a>	4485190	3	KY	Amendment	Issued	099086 Kentucky Harlan Coal Co Inc
<a href="#">Select</a>	4485190	4	KY	Renewal	Withdrawn	099086 Kentucky Harlan Coal Co Inc
<a href="#">Select</a>	8485117	0	KY	New	Issued	105723 P & K Mining Corp
<a href="#">Select</a>	8485117	1	KY	Renewal	Issued	105723 P & K Mining Corp
<a href="#">Select</a>	8485335	2	KY	Transfer	Issued	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	3	KY	Amendment	Issued	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	4	KY	Amendment	Issued	135717 Cns Mining Inc

[Next >>](#)



Figure 2-33: Update Relationship in an Application Record – Step 2

Office of Surface Mining  
Applicant/Violator System
Welcome SRA UPD

Application Page

[Logout](#)  
[Help](#)

[Back to Search](#)
[New Application](#)
[Evaluate](#)

**State Code** KY  
**Application Number** 8485335  
**Seq. #** 4  
**Applicant** 135717 Cns Mining Inc  
**Indian Lands**   
**County of Mine** Harlan  
**MSHA IDs** 1516576  
 1512482  
**Mine Name** Kellioka No 2  
**Acres** 1017.35  
**Created** 3/31/1997  
**Updated** 4/1/1998  
**Source** sraky03f  
**Status** Issued  
**Application Type** Amendment

	Entity	Relationship Type	Begin Date	End Date
<a href="#">Select</a>	147763 Darcoal Inc	Operator	6/24/1999	8/4/2000
<a href="#">Select</a>	150907 Northpoint Resources Llc	Operator	7/19/2001	12/15/2002
<a href="#">Select</a>	246473 TBS Mining Company	Auger Operator		

Figure 2-34: Update Relationship in an Application Record – Step 3

Office of Surface Mining  
Applicant/Violator System
Welcome SRA UPD

Application Page

[Logout](#)  
[Help](#)

[Back to Search](#)
[New Application](#)
[Evaluate](#)

<b>State Code</b>	KY	<b>Entity</b>	246473 TBS Mining Company
<b>Application Number</b>	8485335	<b>Begin Date</b>	
<b>Seq. #</b>	4	<b>End Date</b>	
<b>Applicant</b>	135717 Cns Mining Inc	<b>Updated</b>	7/19/2007
<b>Indian Lands</b>	<input type="checkbox"/>	<b>Source</b>	SRAUPDTEST@OSMRE.GOV
<b>County of Mine</b>	Harlan	<b>Hold Code</b>	
<b>MSHA IDs</b>	1516576 1512482	<b>Relationship Type</b>	Auger Operator
<b>Mine Name</b>	Kellioka No 2	<a href="#">Update Relationship</a>	
<b>Acres</b>	1017.35		
<b>Created</b>	3/31/1997		
<b>Updated</b>	4/1/1998		
<b>Source</b>	sraky03f		
<b>Status</b>	Issued		
<b>Application Type</b>	Amendment		

Figure 2-35: Update Relationship in an Application Record – Step 4

Office of Surface Mining
Welcome  
Ann Singleton

Applicant/Violator System
[Logout](#)  
[Help](#)

Application Page

[Back to Search](#)
[New Application](#)
[Delete Application](#)
[Evaluate](#)

**State Code** KY  
**Application Number** 8485335  
**Seq. #** 4  
**Applicant** 135717 Cns Mining Inc  
**Indian Lands**   
**County of Mine** Harlan  
**MSHA IDs** 1516576  
 1512482  
**Mine Name** Kellioka No 2  
**Acres** 1017.35  
**Created** 3/31/1997  
**Updated** 4/1/1998  
**Source** sraky03f  
**Status** Issued  
**Application Type** Amendment

**Entity** 150907 Northpoint Resources Llc [Change](#)  
**Begin Date** 07 / 19 / 2001 [Clear Date](#)  
**End Date** 12 / 15 / 2002 [Clear Date](#)  
**Hold Code** None  
**Relationship Type** Auger Operator  
[Cancel](#) [Save](#)

Figure 2-36: Update Relationship in an Application Record – Step 5/Finish

Office of Surface Mining

*Applicant/Violator System*

Welcome  
Ann  
Singleton

## Application Page

[Logout](#)  
[Help](#)

[Back to Search](#)
[New Application](#)
[Delete Application](#)
[Evaluate](#)

Save Successful

**State Code** KY  
**Application Number** 8485335  
**Seq. #** 4  
**Applicant** 135717 Cns Mining Inc  
**Indian Lands**   
**County of Mine** Harlan  
**MSHA IDs** 1516576  
 1512482  
**Mine Name** Kellioka No 2  
**Acres** 1017.35  
**Created** 3/31/1997  
**Updated** 4/1/1998  
**Source** sraky03f  
**Status** Issued  
**Application Type** Amendment

Entities
Applications
Permits

	Entity	Relationship Type	Begin Date	End Date
<a href="#" style="color: blue; text-decoration: underline;">Select</a>	150907 Northpoint Resources Llc	Auger Operator	7/19/2001	12/15/2002

## Task: How Do I Evaluate an Application Record for Permit Eligibility and Request a Narrative?

1. Click on the Application Module button.
2. Search and retrieve the application record you wish to evaluate. See below, at Figure 2-37.
3. Click on the Navigation button <Evaluate> located beneath the Violation Module button.
4. The next screen will be the Evaluation Results. Figure 2-38, below displays an evaluation of an application that results in no associated violation. Figure 2-39, below, displays an evaluation of an application that results in associated violations. The contents of Figure 2-39 have been edited for length.
5. From the Evaluation Results screen, you can:
  - Print a Report of the Evaluation.
  - View the Violation OFT for each violation. .
  - View the violation detail for each violation.
  - Request a Narrative of the Evaluation. The <Request Narrative> key is located at the bottom of the Evaluation Results screen. See below, at Figure 2-39.
6. The next screen displays the message that a narrative is pending. See below, at Figure 2-40.

**CAUTION!** Once you click on <Request a Narrative> the next screen will be the application screen. If you wish to view the VOFT and violation details, you must do so before you Request a Narrative.

Figure 2-37: Search and Retrieve an Application Record to Evaluate

Office of Surface Mining  
Applicant/Violator System  
Application Page  
Welcome SRAUPD  
[Logout](#)  
[Help](#)  
[Back to Search](#) [New Application](#) [Update Application](#) [Issue Permit](#) [Evaluate](#)

<b>State Code</b>	KY
<b>Application Number</b>	TBS/Pandex 1
<b>Seq. #</b>	0
<b>Applicant</b>	099764 Pandex Corp
<b>Indian Lands</b>	<input type="checkbox"/>
<b>County of Mine</b>	Harlan
<b>MSHA IDs</b>	
<b>Mine Name</b>	
<b>Acres</b>	
<b>Created</b>	
<b>Updated</b>	7/6/2007
<b>Source</b>	SRAUPDTEST@OSMRE.GOV
<b>Status</b>	Undergoing Review
<b>Application Type</b>	Transfer

Figure 2-38: Application Evaluation - No Violations

**Office of Surface Mining** Welcome Ann Singleton  
*Applicant/Violator System* [Logout](#)  
[Help](#)

Evaluation on Application Number: TBS-1  
**0 Violations**

**Violations** [Print Report](#)

**Application Evaluation**

Application Number	TBS-1
Applicant Name	246610 TBS Mining
Date of Evaluation	8/27/2007 4:46:39 PM
Requested Individual	Ann Singleton

The Applicant/Violator System is an informational database. The system does not make permit eligibility decisions. Permit eligibility determinations are made by the regulatory authority with jurisdiction over the permit application.

There were no violations retrieved by the system

**Evaluation OFT**

---

Entities: 4

---

246610 TBS Mining - ()  
---246611 Terry B Singleton - (Shareholder)  
---246612 Edwin F Singleton - (Shareholder)  
---246613 Elizabeth M Singleton - (Shareholder)

**Narrative**

[Request Narrative](#)

Figure 2-39: Application Evaluation Results – With Violations

Office of Surface Mining
Welcome SRA UPD
  
Applicant/Violator System

[Logout](#)  
[Help](#)

Evaluation on Application Number: TBS/Pandex 1  
28 Violations

**Violations** [Print Report](#)

**Application Evaluation**

AML 4607583	Application Number	TBS/Pandex 1
3/31/1989 - <a href="#">VOFT</a>	Applicant Name	099764 Pandex Corp
	Date of Evaluation	7/6/2007 4:24:56 PM
	Requested Individual	SRA UPD

AML 4607583	The Applicant/Violator System is an informational database. The system does not make permit eligibility decisions. Permit eligibility determinations are made by the regulatory authority with jurisdiction over the permit application.
6/30/1989 - <a href="#">VOFT</a>	

AML 4607583	28 Violations Found.	<b>4607583</b>	<b>WV Permit:</b>	<b>Outstanding</b>	<b>3/31/1989 12:00:00 AM</b>
9/30/1989 - <a href="#">VOFT</a>	1: AML				
	Violator 1: 108694 H E L Coals Inc				
	2: AML	<b>4607583</b>	<b>WV Permit:</b>	<b>Outstanding</b>	<b>6/30/1989 12:00:00 AM</b>
	Violator 1: 108694 H E L Coals Inc				
AML 4607583	3: AML	<b>4607583</b>	<b>WV Permit:</b>	<b>Outstanding</b>	<b>9/30/1989 12:00:00 AM</b>
12/31/1989 - <a href="#">VOFT</a>	4: AML	<b>4607583</b>	<b>WV Permit:</b>	<b>Outstanding</b>	<b>12/31/1989 12:00:00 AM</b>
	Violator 1: 108694 H E L Coals Inc				
AML 4607583	5: AML	<b>4607583</b>	<b>WV Permit:</b>	<b>Outstanding</b>	<b>3/31/1990 12:00:00 AM</b>
3/31/1990 - <a href="#">VOFT</a>	6: AML	<b>4607583</b>	<b>WV Permit:</b>	<b>Outstanding</b>	<b>6/30/1990 12:00:00 AM</b>
	Violator 1: 108694 H E L Coals Inc				
AML 4607583	7: AML	<b>4607583</b>	<b>WV Permit:</b>	<b>Outstanding</b>	<b>9/30/1990 12:00:00 AM</b>
6/30/1990 - <a href="#">VOFT</a>	8: AML	<b>4607583</b>	<b>WV Permit:</b>	<b>Outstanding</b>	<b>12/31/1990 12:00:00 AM</b>
	Violator 1: 108694 H E L Coals Inc				



		Violator 1: 108694 H E L Coals Inc			
AML 4607583 9/30/1990 - <a href="#">VOFT</a>	9: AML	4607583	WV Permit:	Outstanding	3/31/1991 12:00:00 AM
		Violator 1: 108694 H E L Coals Inc			
	10: AML	4607583	WV Permit:	Outstanding	6/30/1991 12:00:00 AM
		Violator 1: 108694 H E L Coals Inc			
AML 4607583 12/31/1990 - <a href="#">VOFT</a>	11: AML	4607583	WV Permit:	Outstanding	9/30/1991 12:00:00 AM
		Violator 1: 108694 H E L Coals Inc			
	12: CMIS	C91-111- 390-001	WV Permit:S401088	Outstanding	9/12/1991 12:00:00 AM
		Violator 1: 099764 Pandex Corp			
		Violator 2: 108699 Meridan Of Virginia Inc			
AML 4607583 3/31/1991 - <a href="#">VOFT</a>	13: State Cessation Order	018-C	WV Permit:S401088T	Outstanding	9/23/1991 12:00:00 AM
		Violator 1: 108699 Meridan Of Virginia Inc			
	14: State Cessation Order	019-C	WV Permit:S401088T	Outstanding	3/26/1992 12:00:00 AM
		Violator 1: 108699 Meridan Of Virginia Inc			
AML 4607583 6/30/1991 - <a href="#">VOFT</a>	15: State Civil Penalty	10-N	WV Permit:S401088T	Outstanding	2/6/1991 12:00:00 AM
		Violator 1: 108699 Meridan Of Virginia Inc			
	16: State Civil Penalty	11-N	WV Permit:S401088T	Outstanding	7/8/1991 12:00:00 AM
		Violator 1: 108699 Meridan Of Virginia Inc			
AML 4607583 9/30/1991 - <a href="#">VOFT</a>	17: State Civil Penalty	12-N	WV Permit:S401088T	Outstanding	7/8/1991 12:00:00 AM
		Violator 1: 108699 Meridan Of Virginia Inc			
	18: State Civil Penalty	14-N	WV Permit:S401088T	Outstanding	7/8/1991 12:00:00 AM
		Violator 1: 108699 Meridan Of Virginia Inc			

### Evaluation OFT

Entities: 2

099764 Pandex Corp - ()  
---108700 Tony S Frederick - (President)

### Narrative

[Request Narrative](#)

Figure 2-40: Evaluation Narrative Requested

Office of Surface Mining  
Applicant/Violator System  
Application Page  
Welcome SRAUPD  
Logout Help  
Back to Search New Application Update Application Issue Permit Evaluate

This Application has a pending narrative request.

<b>State Code</b>	KY
<b>Application Number</b>	TBS/Pandex 1
<b>Seq. #</b>	0
<b>Applicant</b>	099764 Pandex Corp
<b>Indian Lands</b>	<input type="checkbox"/>
<b>County of Mine</b>	Harlan
<b>MSHA IDs</b>	
<b>Mine Name</b>	
<b>Acres</b>	
<b>Created</b>	
<b>Updated</b>	7/6/2007
<b>Source</b>	SRAUPDTEST@OSMRE.GOV
<b>Status</b>	Undergoing Review
<b>Application Type</b>	Transfer

### Task: How Do I View a Violation OFT from the Application Evaluation?

1. If the application you evaluated is associated with violations, the AVS evaluation will produce a list of the violations.
2. Click on <VOFT> for any violation in the left column of the evaluation screen to view the VOFT for the selected violation. The entity association to the violation is indicated by a red asterisk next to the associated entity number.
3. The VOFT screen is an overlay window.
4. Click on the “X” in the red box in the upper right corner of the overlay window to return to the application evaluation results if you decide not to view violation record.
5. Be careful not to close your AVS access window. If you do, AVS will not allow you to log in again for about 20 minutes.

### Task: How Do I View a Violation Record from the Application Evaluation?

1. If the application you evaluated is associated with violations, the AVS evaluation will produce a list of the violations.
2. To view a violation record (the details of a violation), you must first access the Violation OFT for a specific violation. Click on <VOFT> for any violation located in the left column of the evaluation screen.
3. The VOFT screen is an overlay window. Click on the Navigation button <Back to Violation> located in the overlay window.
4. The next screen is also an overlay window that shows the violation record with its details.
5. Click on the “X” in the red box in the upper right corner of the overlay window to return to the application evaluation results.
6. Be careful not to close your AVS access window. If you do, AVS will not allow you to log in again for about 20 minutes.

## Task: How Do I Create a Permit Record Once an Application is Approved for a Permit?

These steps apply to creating a permit record following the approval of a new application as well as to approval of applications for amendments, renewals, and transfers.

1. Before you begin, make sure the permit record has not been already created. Search for the applicant as well as for the permit number.
2. If the permit record has not been created, click on the Application Module.
3. Search for the Application number.
4. If there is only one record that meets the search criteria, the application detail appears.
5. If there is more than one record, select the application record from which you wish to build a permit record. The status should be "Undergoing Review."
6. Click on the Navigation button <Issue Permit> located beneath the Permit
7. The Wizard will help you create the permit record! See below, at Figure 2-41.
8. There are four required fields for which you must enter data before you can continue. The required fields are indicated by a red asterisk and are: (1) permit number, (2) bond status, (3) permit issue date, and (4) permit expiration date.
9. Enter the permit number.
10. Enter the bond amount. This is not a required field, but we recommend you enter the data so as not to have to update the record later.
11. Select the bond status from the drop-down window. Careful, the default is "Released."
12. Enter the permit issue date.
13. Enter the permit expiration date.
14. Click on <Next>.
15. The Wizard suggests you confirm the data and save the record. See below, at Figure 2-42.
16. If you see a data entry error, click on <Back>, beneath the Wizard, to correct any errors and repeat steps 14 and 15.
17. Click on <Finish> to produce a permit record. See below, at Figure 2-43.

Figure 2-41: Create Permit Record for Approved Application - Step 1

Office of Surface Mining  
Applicant/Violator System

Welcome SRA UPD

Application Page

Logout  
Help

Issue Permit Step 1  
FKID: 405615  
Permit Details



\*Permit Number

Bond Amount

\*Bond Status

\*Permit Issue Date  /  /  [Clear](#)  
Date

\*Permit Expiration Date  /  /  [Clear](#)  
Date

[Next >>](#)

Figure 2-42: Create Permit Record for Approved Application - Step 2

Office of Surface Mining  
*Applicant/Violator System*

Welcome SRA UPD

Application Page

Logout  
Help

Issue Permit Step 2  
FKID: 405615  
Confirm and Save



*Permit Number	TBS 1950
Bond Amount	50000
*Bond Status	Active
*Permit Issue Date	06/01/2007
*Permit Expiration Date	05/31/2012

[<< Back](#)

[Finish](#)

Figure 2-43: Create Permit Record for Approved Application - Step 3/Finish

Office of Surface Mining
Welcome SRA UPD

*Applicant/Violator System*
Permit Page
Logout  
Help

[Back to Search](#)
[Update Permit](#)
[Evaluate](#)

<b>State Code</b>	KY		
<b>Permittee</b>	246473 TBS Mining Company		
<b>Permit Number</b>	TBS - 2		
<b>Seq. #</b>	0		
<b>County of Mine</b>			
<b>Bond Amount</b>	50000.0000		
<b>Bond Status</b>	Active		
<b>Bond Disposition Date</b>			
<b>Permit Issue Date</b>	6/1/2007		
<b>Revoke Date</b>			
<b>Suspension Date</b>			
<b>Permit Expiration Date</b>	5/31/2012		
<b>Acres</b>			
<b>Created</b>			
<b>updated</b>	7/5/2007		
<b>Source</b>	SRAUPDTEST@OSMRE.GOV		
<b>Production Anticipated</b>	<input checked="" type="checkbox"/>		
<b>Application</b>	TBS - 2	0 KY	246473 TBS Mining Company <span style="float: right;">New Issued</span>

## Module 3: Permit

In the Permit Module, you can search for, view, update, and evaluate permit records as well as add or update permit relationships. Use the Module 3 Function tabs and Permit Navigation buttons to perform related tasks or view related records such as view violations and Violation Organizational Family Trees (VOFTs). **Caution:** You cannot create new permit records in the Permit Module. In AVS, constructing a permit record is an action following approval of an application. Therefore, you must create a permit record in the Application Module. See Module 2, Application, How Do I Create a Permit Record once an Application is Approved for a Permit?

### Task: How Do I Search for a Permit Record?

1. Click on the Module button, "Permit."
2. The first screen in the Permit Module is the search screen. See below, at Figure 3-1<sup>1</sup>.
3. You can search for a permit record by:
  - Permit Number
  - Permittee [Entity] Number
  - Permittee Name
  - Permit Relationship Entity Number
  - Permit Relationship Name
4. Position your cursor in the search field and enter your search parameter.
5. Click on <Search>.
6. If there is only one permit match the search criteria, the system will automatically display that permit record.
7. If several permit records match the search criteria, a listing of permit records will appear. Position your cursor in the permit record you wish to view, and click on <Select> to view permit record.

### What Are the Permit Search Results?

1. Figure 3-2 below, displays search results by Permit Number.
2. Figure 3-3 below, displays search results by Permittee [Entity] Number.
3. Figure 3-4 below, displays search results by Permittee Name.
4. Figures 3-5 and 3-6 below, display search results by Permit Relationship Entity Number. The permit relationship means an entity associated with a permit as an operator, contractor, auger operator, or controller of the permit<sup>2</sup>.
5. Figures 3-7 and 3-8 below, display search results by Permit Relationship Name. The permit relationship is described immediately above at #4.

---

<sup>1</sup> All Figures in Module 3 are prefixed with the number 3 and begin with 3-1.

<sup>2</sup> In AVS records, "controller" means an entity association entered before the promulgation of the 2000 final rule, or an entity found under 30 CFR 774.11(f) or its State counterpart, to meet the regulatory definition of *control* or *controller* at 30 CFR 701.5 (2007 final rule).



## What Are the Permit Function Tabs?

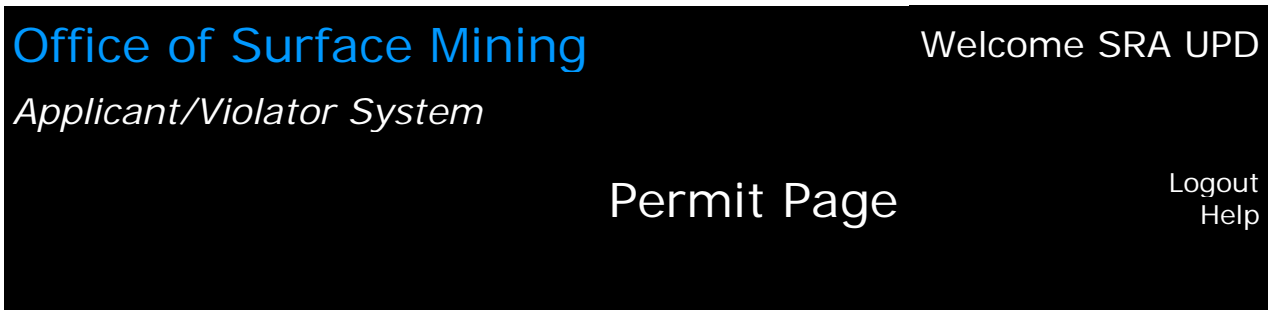
In the Permit Module, the Function tabs are Entities, Relationships, Applications, Permits, and Comments.

## What Are the Permit Navigation Buttons?

The Navigation buttons and their functions in the Permit Module are:

- Back to Search: Takes you back to the search results where you can select another permit from the search results or start a new search.
- Update Permit: An entry point to update a permit record.
- Evaluate: Evaluate a permit record.

Figure 3-1: Permit Module Search Screen



[Search](#)

You can search by the following:

- Permit Number
- Permittee Number
- Permittee Name
- Permit Relationship Entity Number
- Permit Relationship Name

Figure 3-2: Search Result by Permit Number

Office of Surface Mining
Welcome SRA UPD

*Applicant/Violator System*
Permit Page
Logout  
Help

[Back to Search](#)
[Update Permit](#)
[Evaluate](#)

<b>State Code</b>	KY
<b>Permittee</b>	246473 TBS Mining Company
<b>Permit Number</b>	TBS - 2
<b>Seq. #</b>	0
<b>County of Mine</b>	
<b>Bond Amount</b>	50000.0000
<b>Bond Status</b>	Active
<b>Bond Disposition Date</b>	
<b>Permit Issue Date</b>	6/1/2007
<b>Revoke Date</b>	
<b>Suspension Date</b>	
<b>Permit Expiration Date</b>	5/31/2012
<b>Acres</b>	
<b>Created</b>	
<b>Updated</b>	7/5/2007
<b>Source</b>	SRAUPDTEST@OSMRE.GOV
<b>Production Anticipated</b>	<input checked="" type="checkbox"/>
<b>Application</b>	TBS - 2    0    KY    246473 TBS Mining Company    New Issued

NOTE: This search by permit number yielded one record, sequence zero. Therefore, the search action produced the one permit record; not a list of the sequence numbers from which to select or all occurrences of a permit number in which the parameters searched for can be found.

Figure 3-3: Search Result by Permittee [Entity] Number

**Office of Surface Mining** Welcome SRA UPD  
*Applicant/Violator System*

**Permit Page** Logout  
Help

Your search for "246473" returned 2 results.

<a href="#">New Search</a>	Permit Number	Seq. #	State Code	Permit Issue Date	Permittee
<a href="#">Select</a>	TBS - 2	0	KY	6/1/2007	246473 TBS Mining Company
<a href="#">Select</a>	TBS 1950	0	KY	6/1/2007	246473 TBS Mining Company

Showing 1-2 of 2

Figure 3-4: Search Result by Permittee Name

**Office of Surface Mining** Welcome SRA UPD  
*Applicant/Violator System*

**Permit Page** Logout  
Help

Your search for "tbs mining" returned 2 results.

<a href="#">New Search</a>	Permit Number	Seq. #	State Code	Permit Issue Date	Permittee
<a href="#">Select</a>	TBS - 2	0	KY	6/1/2007	246473 TBS Mining Company
<a href="#">Select</a>	TBS 1950	0	KY	6/1/2007	246473 TBS Mining Company

Showing 1-2 of 2

Figure 3-5: Search Result by Permit Relationship Entity Number

Office of Surface Mining
Welcome SRA UPD

*Applicant/Violator System*
Permit Page
Logout  
Help

Your search for "138982" returned 10 results.

<a href="#">New Search</a>	Permit Number	Seq. #	State Code	Permit Issue Date	Permittee
<a href="#">Select</a>	8485117	0	KY	1/26/1989	105723 P & K Mining Corp
<a href="#">Select</a>	8485117	1	KY	6/22/1994	105723 P & K Mining Corp
<a href="#">Select</a>	8485230	0	KY	4/1/1991	090496 Tom Coal Co Inc
<a href="#">Select</a>	8485335	2	KY	1/12/1996	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	3	KY	6/13/1996	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	4	KY	4/17/1997	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	5	KY	3/24/1998	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	6	KY	12/1/1999	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	7	KY	5/28/2003	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	8	KY	2/16/2004	135717 Cns Mining Inc

Showing 1-10 of 10

Figure 3-6-1: Search Result for Selected Permit Number to See Permit Relationship Entity Number

<b>State Code</b>	KY		
<b>Permittee</b>	105723 P & K Mining Corp		
<b>Permit Number</b>	8485117		
<b>Seq. #</b>	1		
<b>County of Mine</b>			
<b>Bond Amount</b>	0		
<b>Bond Status</b>	Released		
<b>Bond Disposition Date</b>			
<b>Permit Issue Date</b>	6/22/1994		
<b>Revoke Date</b>			
<b>Suspension Date</b>			
<b>Permit Expiration Date</b>	1/26/1999		
<b>Acres</b>	450.3		
<b>Created</b>	9/9/1996		
<b>updated</b>	7/1/1994		
<b>Source</b>	sraky03f		
<b>Production Anticipated</b>	<input checked="" type="checkbox"/>		
<b>Application</b>	8485117	1 KY	105723 P & K Mining Corp      Renewal Issued

Figure 3-6-2: Search Result for Selected Permit Number to See Permit Relationship Entity Number

Entities		Applications		Permits	
	Entity		Relationship Type	Begin Date	End Date
<a href="#">Select</a>	114175 Benito Mining Corp		Operator	6/22/1994	7/6/1994
<a href="#">Select</a>	135717 Cns Mining Inc		Operator	8/1/1994	7/8/1995
<a href="#">Select</a>	138982 T & T Mining Inc		Operator	7/28/1995	

Showing 1-3 of 3

Figure 3-7: Search Result by Permit Relationship Name

Office of Surface Mining
Welcome SRA UPD

*Applicant/Violator System*
Permit Page
Logout  
Help

Your search for "t & t mining" returned 13 results.

<a href="#">New Search</a>	Permit Number	Seq. #	State Code	Permit Issue Date	Permittee
<a href="#">Select</a>	78176	0	TN	8/4/1978	077284 T & T Mining Co (Charles Thomas Sr DBA)
<a href="#">Select</a>	8485023	0	KY	4/23/1984	078092 Poplar Branch Coal Co
<a href="#">Select</a>	8485117	0	KY	1/26/1989	105723 P & K Mining Corp
<a href="#">Select</a>	8485117	1	KY	6/22/1994	105723 P & K Mining Corp
<a href="#">Select</a>	8485230	0	KY	4/1/1991	090496 Tom Coal Co Inc
<a href="#">Select</a>	8485335	2	KY	1/12/1996	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	3	KY	6/13/1996	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	4	KY	4/17/1997	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	5	KY	3/24/1998	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	6	KY	12/1/1999	135717 Cns Mining Inc

Showing 1-10 of 13

[Next >>](#)



Figure 3-8-1: Search Result for Selected Permit Number to See Permit Relationship Name

Office of Surface Mining
Welcome SRA UPD

*Applicant/Violator System*
Permit Page
Logout  
Help

[Back to Search](#)
[Update Permit](#)
[Evaluate](#)

<b>State Code</b>	KY		
<b>Permittee</b>	105723 P & K Mining Corp		
<b>Permit Number</b>	8485117		
<b>Seq. #</b>	0		
<b>County of Mine</b>			
<b>Bond Amount</b>	0		
<b>Bond Status</b>	Released		
<b>Bond Disposition Date</b>			
<b>Permit Issue Date</b>	1/26/1989		
<b>Revoke Date</b>			
<b>Suspension Date</b>			
<b>Permit Expiration Date</b>	1/26/1994		
<b>Acres</b>	450.3		
<b>Created</b>	9/9/1996		
<b>updated</b>	4/12/1989		
<b>Source</b>	sraky03f		
<b>Production Anticipated</b>	<input checked="" type="checkbox"/>		
<b>Application</b>	8485117	0 KY	105723 P & K Mining Corp      New Issued

Figure 3-8-2: Search Result for Selected Permit Number to See Permit Relationship Name

	Entities	Applications	Permits	Comments	
	Entity		Relationship Type	Begin Date	End Date
<a href="#">Select</a>	114175	Benito Mining Corp	Operator	6/22/1994	7/6/1994
<a href="#">Select</a>	135717	Cns Mining Inc	Operator	8/1/1994	7/8/1995
<a href="#">Select</a>	138982	T & T Mining Inc	Operator	7/28/1995	

Showing 1-3 of 3

## Task: How Do I Update a Permit Record?

1. Click on the Permit Module button.
2. After you retrieve the permit record, click on <Update Permit>, located above the record screen and between <Back to Search> and <Evaluate>.
3. The next screen is the data entry screen to update a permit record. See below, at Figure 3-9.
4. In the permit update screen, you can update the
  - County of Mine. This is the name of the county where the mine is located.
  - Bond Amount. If the bond amount changes, indicate it here.
  - Bond Status. The choices are Active, Released, Settled, and Forfeiture
  - Bond Disposition Date. This is the date the bond was released, settled, or forfeited.
  - Permit Revoked. If the permit is revoked, indicate it here by clicking in the box.
  - Permit Revoked Date. This is the date the permit was revoked.
  - Permit Suspended. If the permit is suspended, indicate it here by clicking the box.
  - Permit Suspension Date. This is the date the permit was suspended.
  - Acres. Indicate the number of acres permitted or increased or decreased by permit revision. This screen is the only means by which you can indicate the number of acres permitted.
  - Production Anticipated. The default is a check mark (toggle) indicating production is anticipated. You can remove the check mark if production is not anticipated. NOTE: This update is not functional at this time.
5. When you complete your updates, click on <Save> or <Cancel>, whichever is appropriate.
6. If you click on <Save>, the next screen should be "Save Successful". See below, at Figure 3-10.

Figure 3-9: Update Permit Record – Data Entry Screen

**Office of Surface Mining** Welcome SRA UPD  
*Applicant/Violator System*

**Permit Page** Logout  
Help

[Back to Search](#)   [Update Permit](#)   [Evaluate](#)

<b>*State Code</b>	<input type="text" value="KY KENTUCKY"/>
<b>County of Mine</b>	<input type="text"/>
<b>Bond Amount</b>	<input type="text" value="50000.0000"/>
<b>*Bond Status</b>	<input type="text" value="Active"/>
<b>Bond Disposition Date</b>	<input type="text"/> / <input type="text"/> / <input type="text"/> <a href="#">Clear Date</a>
<b>*Permit Issue Date</b>	<input type="text" value="06"/> / <input type="text" value="01"/> / <input type="text" value="2007"/> <a href="#">Clear Date</a>
<b>Revoked</b>	<input type="checkbox"/>
<b>Revoke Date</b>	<input type="text"/> / <input type="text"/> / <input type="text"/> <a href="#">Clear Date</a>
<b>Suspended</b>	<input type="checkbox"/>
<b>Suspension Date</b>	<input type="text"/> / <input type="text"/> / <input type="text"/> <a href="#">Clear Date</a>
<b>*Permit Expiration Date</b>	<input type="text" value="05"/> / <input type="text" value="31"/> / <input type="text" value="2012"/> <a href="#">Clear Date</a>
<b>Acres</b>	<input type="text"/>
<b>Production Anticipated</b>	<input checked="" type="checkbox"/>
<a href="#">Cancel</a>	<a href="#">Save</a>

Figure 3-10: Permit Update Successful

Save Successful

<b>State Code</b>	KY		
<b>Permittee</b>	246473 TBS Mining Company		
<b>Permit Number</b>	TBS - 2		
<b>Seq. #</b>	0		
<b>County of Mine</b>	Harlan		
<b>Bond Amount</b>	50000.0000		
<b>Bond Status</b>	Active		
<b>Bond Disposition Date</b>			
<b>Permit Issue Date</b>	6/1/2007		
<b>Revoke Date</b>			
<b>Suspension Date</b>			
<b>Permit Expiration Date</b>	5/31/2012		
<b>Acres</b>	500		
<b>Created</b>			
<b>updated</b>	7/10/2007		
<b>Source</b>	SRAUPDTEST@OSMRE.GOV		
<b>Production Anticipated</b>	<input checked="" type="checkbox"/>		
<b>Application</b>	TBS - 2	0 KY	246473 TBS Mining Company
			New Issued

## Task: How Do I Add a Relationship to a Permit Record?

1. Click on the Permit Module button.
2. Retrieve the permit record to which you wish to add a relationship. You can best retrieve the permit record by searching for the permit number, permittee entity name, or permittee entity number.
3. If you enter a permit number as your search criterion, make sure you click on <Select> next to the correct sequence number.
4. If you enter a character string of the permittee's name, make sure you click on <Select> next to the correct entity.
5. The next screen is a list of permit numbers to which the entity searched for is associated. See below, at Figure 3-11.
6. For any search criterion used, click on <Select> for the correct permit and sequence numbers.
7. The next screen is the permit record showing, among other things, the existing relationship information. See below, at Figures 3-12 and 3-13.
8. Click on <New Relationship> to add a relationship to the permit record.
9. The next screen is the data entry screen. See below, at Figure 3-14.
10. Enter an entity name or number in the Entity field. After doing so, you must click on <Search> to continue.
11. If you retrieve multiple choices for your entity, make sure you click on <Select> for the correct one.
12. Enter a beginning date of the association. This field is not required, but it is recommended.
13. Enter a relationship type. Careful, "Contractor" is the default. The other choices are Auger Operator, Controller<sup>1</sup>, and Operator.
14. Click on <Save> or <Cancel> as applicable.
15. If you select <Save>, the next screen will tell you the data is successfully saved. See below, at Figure 3-15.

---

<sup>1</sup>In AVS records, "controller" means an entity association entered before the promulgation of the 2000 final rule, or an entity found under 30 CFR 774.11(f) or its State counterpart, to meet the regulatory definition of *control* or *controller* at 30 CFR 701.5 (2007 final rule).

Figure 3-11: Add Relationship to Permit Record – Step 1

Office of Surface Mining
Welcome SRA UPD

*Applicant/Violator System*
Permit Page

[Logout](#)  
[Help](#)

Your search for "cns min" returned 16 results.

<a href="#">New Search</a>	Permit Number	Seq. #	State Code	Permit Issue Date	Permittee
<a href="#">Select</a>	8485117	1	KY	6/22/1994	105723 P & K Mining Corp
<a href="#">Select</a>	8485335	2	KY	1/12/1996	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	3	KY	6/13/1996	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	4	KY	4/17/1997	135717 Cns Mining Inc
<a href="#">Select</a>	8485335	5	KY	3/24/1998	135717 Cns Mining Inc

Figure 3-12: Add Relationship to Permit Record – Step 2-1

Office of Surface Mining
Welcome SRA UPD

*Applicant/Violator System*
Permit Page

[Logout](#)  
[Help](#)

[Back to Search](#)
[Update Permit](#)
[Evaluate](#)

<b>State Code</b>	KY		
<b>Permittee</b>	135717 Cns Mining Inc		
<b>Permit Number</b>	8485335		
<b>Seq. #</b>	4		
<b>County of Mine</b>			
<b>Bond Amount</b>	0		
<b>Bond Status</b>	Active		
<b>Bond Disposition Date</b>			
<b>Permit Issue Date</b>	4/17/1997		
<b>Revoke Date</b>			
<b>Suspension Date</b>			
<b>Permit Expiration Date</b>	1/26/1999		
<b>Acres</b>	1017.35		
<b>Created</b>	4/1/1998		
<b>updated</b>	4/18/1997		
<b>Source</b>	sraky03f		
<b>Production Anticipated</b>	<input checked="" type="checkbox"/>		
<b>Application</b>	8485335	4	KY 135717 Cns Mining Inc      Amendment Issued

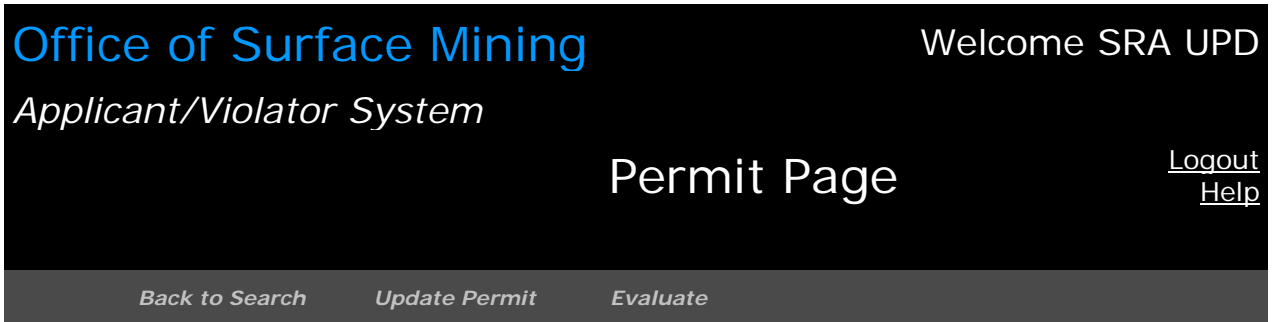


Figure 3-13: Add Relationship to Permit Record – Step 2-2

Entities Applications Permits					
<a href="#">New Relationship</a>					
	Entity		Relationship Type	Begin Date	End Date
<a href="#">Select</a>	138982	T & T Mining Inc	Operator	1/12/1996	11/24/1998
<a href="#">Select</a>	142703	Blue Gate Energy Inc	Operator	4/18/1997	2/20/2001
<a href="#">Select</a>	146757	Bradley Coal Co Inc	Operator	12/7/1998	6/1/1999
<a href="#">Select</a>	147602	Tricoal Inc	Operator	8/25/2000	2/20/2001
<a href="#">Select</a>	147763	Darcoal Inc	Operator	6/24/1999	8/4/2000
<a href="#">Select</a>	150907	Northpoint Resources Llc	Operator	7/19/2001	12/15/2002
<a href="#">Select</a>	246473	TBS Mining Company	Auger Operator		

Showing 1-7 of 7

Figure 3-14: Add Relationship to Permit Record – Step 3



State Code KY

Permittee 135717 Cns Mining Inc

Permit Number 8485335

Seq. # 4

County of Mine

Bond Amount 0

Bond Status Active

Bond Disposition Date

Permit Issue Date 4/17/1997

Revoke Date

Suspension Date

Permit Expiration Date 1/26/1999

Acres 1017.35

Created 4/1/1998

updated 4/18/1997

Source sraky03f

Production Anticipated

Application

8485335 4 KY 135717 Cns Mining Inc Amendment Issued  
Inc

Entity

[Search](#)

Begin Date

/  /  [Clear](#)  
Date

Relationship Type

Contractor

[Cancel](#)

[Save](#)

Figure 3-15: Add Relationship to Permit Record – Step 4/Finish

Office of Surface Mining
Welcome SRA UPD

*Applicant/Violator System*
Permit Page

[Logout](#)  
[Help](#)

[Back to Search](#)
[Update Permit](#)
[Evaluate](#)

Save Successful

<b>State Code</b>	KY		
<b>Permittee</b>	135717 Cns Mining Inc		
<b>Permit Number</b>	8485335		
<b>Seq. #</b>	4		
<b>County of Mine</b>			
<b>Bond Amount</b>	0		
<b>Bond Status</b>	Active		
<b>Bond Disposition Date</b>			
<b>Permit Issue Date</b>	4/17/1997		
<b>Revoke Date</b>			
<b>Suspension Date</b>			
<b>Permit Expiration Date</b>	1/26/1999		
<b>Acres</b>	1017.35		
<b>Created</b>	4/1/1998		
<b>updated</b>	4/18/1997		
<b>Source</b>	sraky03f		
<b>Production Anticipated</b>	<input checked="" type="checkbox"/>		
<b>Application</b>	8485335	4	KY 135717 Cns Mining Inc Amendment Issued

### Task: How Do I Update a Relationship in a Permit Record?

1. Click on the Permit Module button.
2. Retrieve the permit record for which you wish to update an existing relationship. Updating means adding more relationship data or correcting existing relationship data.
3. You can best retrieve the permit record by searching for the permit number, permittee name, or permittee entity number.
4. If you enter a permit number as your search criterion, make sure you click on <Select> for the correct sequence number.
5. If you enter a character string of the applicant's name, make sure you click on <Select> for the correct entity.
6. The next screen is a list of permit numbers to which the entity searched for is associated. See below, at Figure 3-16.
7. For any search criterion used, click on <Select> for the correct application and sequence numbers.
8. The next screen is the application record showing, among other things, the existing relationship information. See below, at Figures 3-17 and 3-18.
9. Click on <Select> for the existing relationship record you wish to update.
10. Click on <Update Relationship> to update an existing relationship. See below, at Figure 3-19.
11. The next screen is the data entry screen. See above at #2 and below, at Figure 3-20.
12. Enter or correct a beginning and/or ending date of the association or a relationship type. Careful, the relationship type default is "Contractor." The other choices are Auger Operator, Controller<sup>1</sup>, and Operator.
13. Click on <Save> or <Cancel> as applicable.
14. If you select <Save>, the next screen will tell you the data entry is successfully saved. See below, at Figures 3-21 and 3-22.

### Task: How Do I Delete a Permit Record?

If you wish to delete a Permit record, please contact your AVS User Assistance Liaison. At this time, only these designated staff in the AVS Office may perform this task.

### Task: How Do I Delete a Permit Relationship Record?

If you wish to delete a Permit Relationship record, please contact your AVS User Assistance Liaison. At this time, only these designated staff in the AVS Office may perform this task.

---

<sup>1</sup>In AVS records, "controller" means an entity association entered before the promulgation of the 2000 final rule, or an entity found under 30 CFR 774.11(f) or its State counterpart, to meet the regulatory definition of *control* or *controller* at 30 CFR 701.5 (2007 final rule).

Figure 3-16: Update Relationship in a Permit Record – Step 1

Office of Surface Mining
Welcome SRA UPD
  
Applicant/Violator System
  

Permit Page

[Logout](#)  
[Help](#)

Your search for "black gold" returned 12 results.

<a href="#">New Search</a>	Permit Number	Seq. #	State Code	Permit Issue Date	Permittee
<a href="#">Select</a>	1180269	0	KY	7/12/1982	106523 Black Gold Sales Inc
<a href="#">Select</a>	3155U	0	VA	5/20/1980	116120 Black Gold Coal Co
<a href="#">Select</a>	4605104	0	KY	9/27/1984	005521 Black Gold Coal Co Inc
<a href="#">Select</a>	5180269	0	KY	9/13/1984	106523 Black Gold Sales Inc
<a href="#">Select</a>	8978005	0	KY	9/27/1984	106523 Black Gold Sales Inc
<a href="#">Select</a>	D1102	0	OH	2/24/1995	133170 Black Gold Recovery Inc
<a href="#">Select</a>	P00013	0	IN	7/13/1984	097126 Black Gold Associates Inc
<a href="#">Select</a>	P1580	0	AL	4/27/1978	104576 Black Gold Assoc

Figure 3-17: Update Relationship in a Permit Record – Step 2-1

Office of Surface Mining
Welcome SRA UPD

*Applicant/Violator System*
Permit Page

[Logout](#)  
[Help](#)

<b>State Code</b>	OH
<b>Permittee</b>	133170 Black Gold Recovery Inc
<b>Permit Number</b>	D1102
<b>Seq. #</b>	0
<b>County of Mine</b>	
<b>Bond Amount</b>	0
<b>Bond Status</b>	Released
<b>Bond Disposition Date</b>	
<b>Permit Issue Date</b>	2/24/1995
<b>Revoke Date</b>	
<b>Suspension Date</b>	
<b>Permit Expiration Date</b>	2/23/2000
<b>Acres</b>	14.7
<b>Created</b>	3/3/2003
<b>updated</b>	2/27/1995
<b>Source</b>	sraoh058
<b>Production Anticipated Application</b>	<input checked="" type="checkbox"/>
	AP1344 0 OH 133170 Black Gold Recovery Inc New Issued

Figure 3-18: Update Relationship in a Permit Record – Step 2-2

Entities		Applications		Permits	
<a href="#">New Relationship</a>					
	Entity		Relationship Type	Begin Date	End Date
<a href="#">Select</a>	057666	Valley Mining Inc	Contractor		1/3/1995
<a href="#">Select</a>	135307	Sun Coal Augering Inc	Contractor	2/24/1995	
<a href="#">Select</a>	133170	Black Gold Recovery Inc	Operator	2/24/1995	
Showing 1-3 of 3					

Figure 3-19: Update Relationship in a Permit Record – Step 3

Office of Surface Mining
Welcome SRA UPD

*Applicant/Violator System*
Permit Page

[Logout](#)  
[Help](#)

Back to Search
Update Permit
Evaluate

<b>State Code</b>	OH	<b>Entity</b>	135307 Sun Coal Augering Inc
<b>Permittee</b>	133170 Black Gold Recovery Inc	<b>Begin Date</b>	2/24/1995
<b>Permit Number</b>	D1102	<b>End Date</b>	
<b>Seq. #</b>	0	<b>Updated</b>	2/27/1995
<b>County of Mine</b>		<b>Source</b>	sraoh058
<b>Bond Amount</b>	0	<b>Hold Code</b>	
<b>Bond Status</b>	Released	<b>Relationship Type</b>	Contractor
<b>Bond Disposition Date</b>		<a href="#" style="color: blue; text-decoration: underline;">Update Relationship</a>	
<b>Permit Issue Date</b>	2/24/1995		
<b>Revoke Date</b>			
<b>Suspension Date</b>			
<b>Permit Expiration Date</b>	2/23/2000		
<b>Acres</b>	14.7		
<b>Created</b>	3/3/2003		
<b>updated</b>	2/27/1995		
<b>Source</b>	sraoh058		
<b>Production Anticipated</b>	<input checked="" type="checkbox"/>		



Figure 3-20: Update Relationship in a Permit Record – Step 4

Office of Surface Mining  
Applicant/Violator System
Welcome Ann Singleton

## Permit Page

[Logout](#)  
[Help](#)

Back to Search
Update Permit
Evaluate
Delete Permit

**State Code** OH  
**Permittee** 133170 Black Gold Recovery Inc  
**Permit Number** D1102  
**Seq. #** 0  
**County of Mine**  
**Bond Amount** 0  
**Bond Status** Released  
**Bond Disposition Date**  
**Permit Issue Date** 2/24/1995  
**Revoke Date**  
**Suspension Date**  
**Permit Expiration Date** 2/23/2000  
**Acres** 14.7  
**Created** 3/3/2003  
**updated** 2/27/1995  
**Source** sraoh058  
**Production Anticipated**   
**Application** AP1344 0 OH 133170 New Issued

**Entity** 135307 Sun Coal Augering Inc [Change](#)  
**Begin Date**  /  /  [Clear Date](#)  
**End Date**  /  /  [Clear Date](#)  
**Hold Code**    
**Relationship Type**    
[Cancel](#) [Save](#)

Figure 3-21: Update Relationship in a Permit Record – Step 5-1/Finish

Office of Surface Mining  
Applicant/Violator System
Welcome Ann Singleton

## Permit Page

[Logout](#)  
[Help](#)

Save Successful

<b>State Code</b>	OH
<b>Permittee</b>	133170 Black Gold Recovery Inc
<b>Permit Number</b>	D1102
<b>Seq. #</b>	0
<b>County of Mine</b>	
<b>Bond Amount</b>	0
<b>Bond Status</b>	Released
<b>Bond Disposition Date</b>	
<b>Permit Issue Date</b>	2/24/1995
<b>Revoke Date</b>	
<b>Suspension Date</b>	
<b>Permit Expiration Date</b>	2/23/2000
<b>Acres</b>	14.7
<b>Created</b>	3/3/2003
<b>updated</b>	2/27/1995
<b>Source</b>	sraoh058
<b>Production Anticipated</b>	<input checked="" type="checkbox"/>
<b>Application</b>	AP1344 0 OH 133170 Black Gold Recovery Inc New Issued

Figure 3-22: Update Relationship in a Permit Record – Step 5-2/Finish

<b>Entities</b>   <b>Applications</b>   <b>Permits</b>   [Redacted]					
<a href="#">New Relationship</a>					
	Entity		Relationship Type	Begin Date	End Date
<a href="#">Select</a>	057666	Valley Mining Inc	Contractor		1/3/1995
<a href="#">Select</a>	135307	Sun Coal Augering Inc	Auger Operator	2/24/1995	
<a href="#">Select</a>	133170	Black Gold Recovery Inc	Operator	2/24/1995	

Showing 1-3 of 3

## Task: How Do I Evaluate a Permit Record for Permit Eligibility and Request a Narrative?

1. Click on the Permit Module button.
2. Search and retrieve the permit record you wish to evaluate. See below, at Figure 3-23.
3. Click on the Navigation button <Evaluate> located beneath the Application Module button.
4. The next screen is the results of the Permit Evaluation. See below, at Figures 3-24 (no violations) and 3-25 (violations)
5. From the Evaluation Results screen, you can:
  - Print a Report of the Evaluation.
  - View the Violation OFT for each violation.
  - View the violation detail for each violation.
  - Request a Narrative of the Evaluation. Click on <Request Narrative> at the bottom of the evaluation result screen.
6. The next screen displays the message that a narrative is pending. See below, at Figure 3-26.

**CAUTION!** Once you click on <Request Narrative>, AVS takes you back to the permit screen. If you wish to view a violation and VOFT, you must do so **before** you request a narrative.

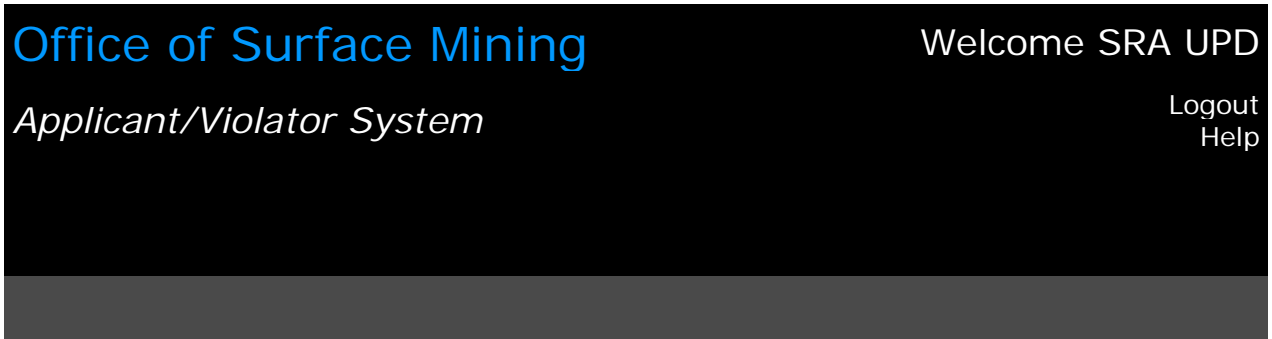
Figure 3-23: Retrieve a Permit Record to Evaluate

Office of Surface Mining
Welcome SRA UPD

*Applicant/Violator System*
Permit Page
Logout  
Help

<b>State Code</b>	KY			
<b>Permittee</b>	246473 TBS Mining Company			
<b>Permit Number</b>	TBS - 2			
<b>Seq. #</b>	0			
<b>County of Mine</b>				
<b>Bond Amount</b>	50000.0000			
<b>Bond Status</b>	Active			
<b>Bond Disposition Date</b>				
<b>Permit Issue Date</b>	6/1/2007			
<b>Revoke Date</b>				
<b>Suspension Date</b>				
<b>Permit Expiration Date</b>	5/31/2012			
<b>Acres</b>				
<b>Created</b>				
<b>updated</b>	7/5/2007			
<b>Source</b>	SRAUPDTEST@OSMRE.GOV			
<b>Production Anticipated</b>	<input checked="" type="checkbox"/>			
<b>Application</b>	TBS - 2	0	KY 246473 TBS Mining Company	New Issued

Figure 3-24: Permit Evaluation Results – No Violations



Evaluation on Permit Number: TBS – 2  
0 Violations

Violations [Print Report](#)

#### Permit Evaluation

Permit Number	
Permittee Name	246473 TBS Mining Company
Date of Evaluation	7/10/2007 1:44:45 PM
Requested Individual	SRA UPD

The Applicant/Violator System is an informational database. The system does not make permit eligibility decisions. Permit eligibility determinations are made by the regulatory authority with jurisdiction over the permit application.

There were no violations retrieved by the system

#### Evaluation OFT

---

Entities: 4

---

246473 TBS Mining Company - ()  
---246474 Terry B Singleton - (Shareholder)  
---246475 Edwin F Singleton - (Shareholder)  
---246476 Elizabeth M Singleton - (Shareholder)

#### Narrative

[Request Narrative](#)

Figure 3-25: Evaluation of Permit Record - Showing Violations

<p style="font-size: 1.2em; margin: 0;"><b>Office of Surface Mining</b></p> <p style="margin: 0;"><i>Applicant/Violator System</i></p>	<p style="font-size: 1.2em; margin: 0;">Welcome Ann Singleton</p> <p style="margin: 0;"><a href="#">Logout</a> <a href="#">Help</a></p>
--	---

Evaluation on Permit Number: 8984071  
**4 Violations**

**Violations** [Print Report](#)

**Permit Evaluation**

<p>State Cessation Order 530089 5/1/2007 - <a href="#">VOFT</a></p>	<p>Permit Number 8984071</p> <p>Permittee Name 113019 Holston Mining Inc</p> <p>Date of Evaluation 8/27/2007 5:09:26 PM</p> <p>Requested Individual Ann Singleton</p>	
---	---	--

The Applicant/Violator System is an informational database. The system does not make permit eligibility decisions. Permit eligibility determinations are made by the regulatory authority with jurisdiction over the permit application.

- |  |  |  |
|--|--|--|
| <p>State Civil Penalty 510680 6/19/1996 - <a href="#">VOFT</a></p> | <p>4 Violations Found.</p> <p><b>1: State Cessation Order</b>      530089    KY Permit:8365396 Conditional      5/1/2007 12:00:00 AM</p> <p style="padding-left: 20px;">Violator 1: 075557 McCoy Elkhorn Coal Corp</p>   |  |
| <p>Bond Forfeiture U035700 12/2/1985 - <a href="#">VOFT</a></p>    | <p><b>2: State Civil Penalty 510680</b>    KY Permit:8670346 Conditional      6/19/1996 12:00:00 AM</p> <p style="padding-left: 20px;">Violator 1: 100624 Manning Coal Corp</p> <p><b>3: Bond Forfeiture</b>      U035700 WV Permit:U035700 Outstanding      12/2/1985 12:00:00 AM</p> <p style="padding-left: 20px;">Violator 1: 077747 Glory Coal Co</p> |  |
| <p>Bond Forfeiture U074400 12/2/1985 - <a href="#">VOFT</a></p>    | <p><b>4: Bond Forfeiture</b>      U074400 WV Permit:U074400 Outstanding      12/2/1985 12:00:00 AM</p> <p style="padding-left: 20px;">Violator 1: 077747 Glory Coal Co</p>   |  |

**Evaluation OFT**

For space considerations, the Violation OFT for this permit evaluation has been removed.

[Request Narrative](#)

Figure 3-26: Pending Narrative Request

Office of Surface Mining  
Applicant/Violator System
Welcome Ann Singleton

## Permit Page

[Logout](#)  
[Help](#)

[Back to Search](#)
[Update Permit](#)
[Evaluate](#)
[Delete Permit](#)

This Permit has a pending narrative request.

<b>State Code</b>	KY		
<b>Permittee</b>	113019 Holston Mining Inc		
<b>Permit Number</b>	8984071		
<b>Seq. #</b>	0		
<b>County of Mine</b>			
<b>Bond Amount</b>	0		
<b>Bond Status</b>	Active		
<b>Bond Disposition Date</b>			
<b>Permit Issue Date</b>	3/23/2000		
<b>Revoke Date</b>			
<b>Suspension Date</b>			
<b>Permit Expiration Date</b>	3/23/2005		
<b>Acres</b>	338.3		
<b>Created</b>	7/21/2003		
<b>updated</b>	3/28/2000		
<b>Source</b>	sraky03f		
<b>Production Anticipated</b>	<input checked="" type="checkbox"/>		
<b>Application</b>	8984071	0	KY
	113019 Holston Mining Inc		New Issued
<b>MSHA IDs</b>			
<b>Mine Name</b>	Meathouse Alma Mine		



### Task: How Do I View a Violation OFT from the Permit Evaluation?

1. If the permit you evaluated is associated with violations, the AVS evaluation will produce a list of the violations.
2. Click on <VOFT> for any violation in the left column of the evaluation screen to view the VOFT for the selected violation. The entity association to the violation is indicated by a red asterisk next to the associated entity number.
3. The VOFT screen is an overlay window.
4. Click on the "X" in the red box in the upper right corner of the overlay window to return to the permit evaluation results if you decide not to view violation record.
5. Be careful not to close your AVS access window. If you do, AVS will not allow you to log in again for about 20 minutes.

### Task: How Do I View a Violation Record from the Permit Evaluation?

1. If the permit you evaluated is associated with violations, the AVS evaluation will produce a list of the violations.
2. To view a violation record (the details of a violation), you must first access the Violation OFT for a specific violation. Click on <VOFT> for any violation located in the left column of the evaluation screen.
3. The VOFT screen is an overlay window. Click on the Navigation button <Back to Violation> located in the overlay window.
4. The next screen is also an overlay window that shows the violation record with its details.
5. Click on the "X" in the red box in the upper right corner of the overlay window to return to the permit evaluation results.
6. Be careful not to close your AVS access window. If you do, AVS will not allow you to log in again for about 20 minutes.

## **Module 4: Violation**

Module 4 has been created primarily for State regulatory authorities to create and maintain State violation records. All users are able to view records in this Module. In the Violation Module, you can search for any type of violation, view any type of violation, create new State violation records, remove a State violation record once the violation has been abated or corrected, and view a Violation Organizational Family Tree (VOFT). Using the Violation Function tabs and Violation Navigation buttons, you can also perform related tasks and/or view related records.

### **Task: How Do I Search for a Violation Record?**

1. Click on the “Violation” Module button.
2. The first screen in the Violation Module is the search screen. See below, at Figure 4-1<sup>1</sup>.
3. You can search for a violation record by
  - Violator Entity Number
  - Violator Name
  - Permittee Entity Number
  - Permittee Name
  - Permit Number
  - Violation Number
4. Position your cursor in the search field and enter your search screen parameter.
5. Click on <Search>.

### **What Are the Violation Search Results?**

1. Figure 4-2 below, displays search results by Violator Entity Number.
2. Figure 4-3 below, displays search results by Violator Name.
3. Figure 4-4 below, displays search results by Permittee Entity Number.
4. Figure 4-5 below, displays search results by Permittee Name.
5. Figure 4-6 below, displays search results by Permit Number.
6. Figure 4-7 below, displays search results by Violation Number.

### **Task: How Do I Select from Violation Search Results?**

1. Click on <Select> next to the record you wish to retrieve from your search results.
2. If the record is locked, no update can be performed. If you require assistance, please contact OSM’s AVS Office.

### **Reference: Violation Types in AVS.**

Following are the violation types shown in AVS:

- State unabated cessation orders
- State unpaid civil penalties

---

<sup>1</sup> All Figures in Module 4 are prefixed with the number 4 and begin with 4-1.

- Federal unabated cessation orders
- Federal unpaid civil penalties
- AML non-respondent violations (failure to submit the Federal OSM-1 form)
- AML fees violations (failure to pay Federal reclamation fees)
- AML audit debt (failure to pay Federal reclamation fees following an audit)
- Suspended and revoked permits
- Bond forfeiture (forfeited performance bonds)
- EPA Clean Water Act violations

## What Are the Function Tabs in the Violation Module?

The Function tabs in the Violation Module are:

- Violators: Entities cited with violations.
- Entities: Violators and entities associated with a violation.
- Exclusion/Settlement: These codes are used to change the potential liability for a violation. “Excluded” means an entity’s association with a violation has been severed. “Settled” means an entity has entered into an agreement with a State or OSM to abate or correct a violation. Exclusion and Settlement codes are entered in AVS by designated staff in OSM’s AVS Office.
- Comments: State users may enter special notes concerning the violation.

## What Are the Navigation Buttons in the Violation Module?

The Navigation buttons in the Violation Module are:

- Back to Search: Takes you back to the search results where you can select another violation from the previous search results or start a new search.
- Create New: Starting point to create a new violation record. <Create New> is located on the search screen.
- New Violation: A second entry point to create a new violation record. <New Violation> is located on the violation detail screen.
- Update Violation: Starting point to update an existing violation record.
- Delete Violation: Starting point to delete a violation record when the violation has been abated or corrected.
- View VOFT: View the Violation OFT for a violation.

## Task: How Do I View a Violation Record?

1. Click on the “Violation” Module button.
2. Search for the violation record you wish to view.
3. From the search screen, enter any one of the six search parameters for locating a violation record in the Violation Module.
4. If there is only one violation related to the search criteria, AVS will retrieve only that violation record.
5. If several violations match the search criteria, a listing of violations will appear. Position your cursor in the violation you wish to view, and click on <Select> to view violation record.

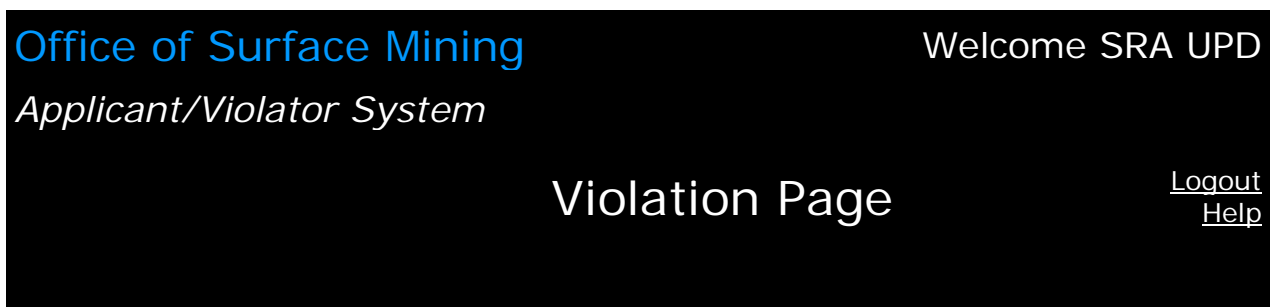
## Task: How Do I View a Violation OFT?

A violation OFT is a depiction of the violator (entity cited with a violation) and the business and individual entities associated with the violator entity.

1. Click on the “Violation” Module button.
2. Search for the violation record.
3. From the search screen, enter any one of the six search parameters for locating a violation record in the Violation Module.
4. After you retrieve the violation record, click on “View VOFT” button.

**IMPORTANT!** You cannot view a Violation OFT for an entity with a first-time violation immediately after a violation record is created. If you attempt to view a VOFT under these conditions, AVS will generate the message, “This Violation’s OFT is currently waiting for processing.” AVS rebuilds VOFTs on the hour. For example, if you create or update a VOFT at 9:45 a.m., you will be able to view the record after 10:00 a.m.

Figure 4-1: Violation Module Search Screen



[Search](#)

You can search by the following:

- Violator's Entity Number
- Violator's Name
- Permittee Number
- Permittee Name
- Permit Number
- Violation Number

Figure 4-2: Search Results by Violator Entity Number

Office of Surface Mining
Welcome SRA UPD
  
Applicant/Violator System

Violation Page

[Logout](#)  
[Help](#)

Your search for "108699" returned 85 results.

<a href="#">New Search</a>	Violation Number	Violation Date	Violation Type	State Code	Permit Number	Seq. #	Locked
<a href="#">Select</a>	910121138	1/1/1988	AUD	WV		0	
<a href="#">Select</a>	C91-111-390-001	9/12/1991	CMIS	WV	S401088	0	
<a href="#">Select</a>	008-C	6/28/1991	State Cessation Order	WV	S400290	0	
<a href="#">Select</a>	009-C	6/28/1991	State Cessation Order	WV	S400290	0	
<a href="#">Select</a>	010-C	6/28/1991	State Cessation Order	WV	S400290	0	
<a href="#">Select</a>	011-C	6/28/1991	State Cessation Order	WV	S400290	0	
<a href="#">Select</a>	10-C	6/28/1991	State Civil Penalty	WV	S400290	0	
<a href="#">Select</a>	11-C	6/28/1991	State Civil Penalty	WV	S400290	0	

Showing 1-10 of 85

[Next](#)  
[>>](#)

Figure 4-3: Search Results by Violator Name

Office of Surface Mining
Welcome SRA UPD
Applicant/Violator System

Violation Page

[Logout](#)  
[Help](#)

Your search for "abc coal" returned 7 results.

<a href="#">New Search</a>	Violation Number	Violation Date	Violation Type	State Code	Permit Number	Seq. #	Locked
<a href="#">Select</a>	880241069	4/1/1987	AUD	KY		0	
<a href="#">Select</a>	90-5-016-S	2/12/1990	State Civil Penalty	PA	40830101	0	
<a href="#">Select</a>	90-5-032-S	3/13/1990	State Civil Penalty	PA	40830101	0	
<a href="#">Select</a>	015082	11/26/2001	State Civil Penalty	PA	40900101	0	
<a href="#">Select</a>	025031	5/20/2002	State Civil Penalty	PA	40900101	0	
<a href="#">Select</a>	92-5-018-S	1/27/1992	State Civil Penalty	PA	40900101	0	
<a href="#">Select</a>	945002	1/5/1994	State Civil Penalty	PA		0	

Showing 1-7 of 7

Figure 4-4: Search Results by Permittee Entity Number

**Office of Surface Mining**  
*Applicant/Violator System*

Welcome SRA UPD

**Violation Page**

[Logout](#)  
[Help](#)

<b>Violation Type</b>	AUD	<b>Msha ID</b>	1516576
<b>Violation Number</b>	059243040	<b>Msha Sequence Number</b>	0
<b>Violation Date</b>	10/1/2001	<b>Mine Type</b>	U
<b>Violation Status</b>	Outstanding	<b>Amount Due</b>	2727.0600
<b>Permit</b>	8485335 6 12/1/1999 1/26/2004	<b>Billing Status Code</b>	07
	135717 Cns Mining Inc	<b>Billing Status Quarter</b>	
<b>State Code</b>	KY	<b>Exception Updated</b>	
		<b>Created</b>	7/31/2006

Figure 4-5: Search Results by Permittee Name

Office of Surface Mining
Welcome SRA UPD
Applicant/Violator System

Violation Page

[Logout](#)  
[Help](#)

Your search for "black gold coal" returned 8 results.

<a href="#">New Search</a>	Violation Number	Violation Date	Violation Type	State Code	Permit Number	Seq. #	Locked
<a href="#">Select</a>	880103100	1/1/1979	AUD	VA		0	
<a href="#">Select</a>	929112	11/4/1992	State Cessation Order	VA	1200724	0	
<a href="#">Select</a>	92-91-10-WM	3/31/1992	State Civil Penalty	VA	1200724	0	
<a href="#">Select</a>	92-91-11-OT	4/28/1992	State Civil Penalty	VA	1200724	0	
<a href="#">Select</a>	92-91-11-WM	4/28/1992	State Civil Penalty	VA	1200724	0	
<a href="#">Select</a>	C92-91-12-AO	11/3/1992	State Civil Penalty	VA	1200724	0	
<a href="#">Select</a>	P2489	2/1/1984	Bond Forfeiture	AL	P2489	0	
<a href="#">Select</a>	1200724	1/29/1993	Bond Forfeiture	VA	1200724	0	

Showing 1-8 of 8



## Figure 4-6: Search Results by Permit Number

The following figure has been re-created from data in AVS. Currently, the actual screen cannot be imported into the Users Guide. As a result, while the table below may not resemble the AVS screen, the content is an accurate representation.

Your search for "s400589" returned 14 results.

<u>New Search</u>	Violation Number	Violation Date	Violation Type	State Code	Permit Number	Sequence Number	Locked
<u>Select</u>	018-C	9/23/1991	State Cessation Order	WV	S400589	0	
<u>Select</u>	10-N	9/20/1990	State Civil Penalty	WV	S400589	0	
<u>Select</u>	12-N	5/13/1991	State Civil Penalty	WV	S400589	0	
<u>Select</u>	13-N	6/28/1991	State Civil Penalty	WV	S400589	0	
<u>Select</u>	14-N	7/8/1991	State Civil Penalty	WV	S400589	0	
<u>Select</u>	15-N	7/8/1991	State Civil Penalty	WV	S400589	0	
<u>Select</u>	16-N	7/8/1991	State Civil Penalty	WV	S400589	0	
<u>Select</u>	17-N	7/8/1991	State Civil Penalty	WV	S400589	0	
<u>Select</u>	18-C	9/23/1991	State Civil Penalty	WV	S400589	0	
<u>Select</u>	19-N	1/2/1992	State Civil Penalty	WV	S400589	0	

Showing 1 – 10 of 14

Next  
 >>

## Figure 4-7: Search Results by Violation Number

The following figure has been re-created from data in AVS. Currently, the actual screen cannot be imported into the Users Guide. As a result, while the table below may not resemble the AVS screen, the content is an accurate representation.

Your search for "011-c" returned 68 results.

<u>New Search</u>	Violation Number	Violation Date	Violation Type	State Code	Permit Number	Sequence Number	Locked
<u>Select</u>	011-C	1/5/1995	State Cessation Order	WV	D011282	0	
<u>Select</u>	011-C	6/30/2003	State Cessation Order	WV	O00582	2	
<u>Select</u>	011-C	5/9/1991	State Cessation Order	WV	O003985T	1	
<u>Select</u>	011-C	3/6/1986	State Cessation Order	WV	O005783	0	
<u>Select</u>	011-C	8/10/2006	State Cessation Order	WV	O009783	0	
<u>Select</u>	011-C	1/31/2000	State Cessation Order	WV	O010383	1	
<u>Select</u>	011-C	1/13/2000	State Cessation Order	WV	O204488	0	
<u>Select</u>	011-C	10/8/1998	State Cessation Order	WV	O306289	0	

## Task: How Do I Create a New State Violation Record?

1. Click on the “Violation” Module button.
2. Make sure the violation record has not been already created. Search for the violation number or the violator’s entity number or name.
3. Once you know there is no violation number that meets your criteria, you may begin.
4. Begin creating a violation record by clicking on the Navigation buttons <Create New> or <New Violation>, depending where you are in the Violation Module. Both are entry points to creating a new violation record.
5. The Wizard will assist you in creating a violation record!
6. The first screen asks for violation details. See below, at Figure 4-8.
7. Enter the violation type. There are two choices – State Cessation Order or State Civil Penalty. The default is State Cessation Order.
8. Enter the permit number. Click on <Search>. If a violation is written on a site without a permit, leave the permit field blank.
9. Enter the violation status. There are two choices – Outstanding or Conditional. The default is Outstanding. Outstanding means an unabated or uncorrected violation. Conditional means “provisional.”<sup>1</sup> That is, the violation is: (1) being contested, (2) subject to a bankruptcy proceeding, (3) subject to an abatement plan (cessation order), or (4) subject to a payment plan (civil penalty).
10. Click on <Next>.
11. The next screen identifies the permittee and the issue and expiration dates for the permit number you entered in the previous screen. See below, at Figure 4-9.
12. Click on <Next>.
13. At the next screen, the Wizard asks you for the entity number for which you wish to create a violation record. When you entered a permit number on step 8, AVS automatically imports the permittee as the violator. If there are violators in addition to the permittee, enter each entity number or company name. See below, at Figure 4-10.
14. Click on <Search>.
15. Click on <Add>.
16. Click on <Next>.
17. In the next screen, the Wizard asks you to confirm the identity of the violator or violators, that is, the entity/entities cited and directly associated with the violation. See below, at Figure 4-11. At this point, if you need to add another violator, click on <Change> shown in Figure 4-11 and enter the violator entity number or name in the space provided.
18. Click on <Add>.

---

<sup>1</sup> In our 2000 Ownership or Control final rule, we revised certain provisions in order to cease using the terms “condition” or “conditional” outside of the context of 30 CFR 773.17 which describes the conditions a regulatory authority imposes on a newly-issued permit. Instead, we adopted the term “provisional” and added provisions at 30 CFR 773.14. These provisions address circumstances when an applicant for a permit or its operator is responsible for unabated or uncorrected violations at the time of the permitting decision. A provisionally-issued permit may be granted if, at the time of the permit eligibility determination, the applicant or its operator found to be responsible for or associated with unabated or uncorrected violations is also pursuing resolution of the violation in good faith.

19. Repeat steps 18 and 19 as many times as necessary to add all entities directly associated with the violation.
20. Click on <Next> if you have added all the entity/entities you intend.
21. At the next screen, the Wizard asks to confirm all of the data you entered concerning the violation.
22. The Wizard tells you to confirm and save the data on the screen. Afterward, you will be asked to enter additional violation information. See below, at Figure 4-12.
23. Click on <Finish> to confirm and save the data.
24. The next screen asks for entry of additional violation information. The Wizard shows you the required fields for data entry. See below, at Figure 4-13.
25. Your State Code and State Name are already entered on this screen.
26. Enter the violation date. If you make a mistake, you can clear the date field, click on <Clear Date>, and enter the correct date.
27. Enter the violation number.
28. Click on <Next>.
29. The Wizard says you are almost finished. Confirm and save the violation number. See below, at Figure 4-14.
30. Click on <Finish>. The Wizard leaves you. You are again on your own.
31. The next screen displays the new violation record with statement "This Violation's OFT is currently waiting for processing". See below, at Figure 4-15.

#### Task: How Do I Show a Bond Forfeiture, Suspended Permit, or Revoked Permit?

1. Click on the "Permit" Module button.
2. From the search screen, enter any one of the five search parameters to locate the correct permit record.
3. After retrieving the permit record, click on the <Update Permit> button.
4. In the permit update screen, change the bond status to Forfeiture to show a bond forfeiture.
5. In the permit update screen, select Revoked or Suspended, as applicable, by typing "x" in the box provided. Do not forget to enter the date of revocation or suspension!
6. Select <Save> to save these changes.
7. See Figure 3-9 in the Permit Module for reference.

Figure 4-8: Create New Violation Record – Step 1/Violation Details

Office of Surface Mining  
Applicant/Violator System

Welcome SRA UPD

Violation Page

[Logout](#)  
[Help](#)

New Violation Step 1 FKID:0  
Violation Details



\*Violation Type

Permit  [Search](#)

\*Violation Status

[Next >>](#)

Figure 4-9: Create New Violation Record - Step 2/Violation Details

Office of Surface Mining  
Applicant/Violator System

Welcome SRA UPD

Violation Page

[Logout](#)  
[Help](#)

New Violation Step 1 FKID:0  
Violation Details



\*Violation Type

Permit S400589 0 5/23/1989 5/23/1994 108699 Meridan Of Virginia Inc [Change](#)

\*Violation Status

[Next >>](#)

Figure 4-10: Create New Violation Record – Step 3/Violators

Office of Surface Mining  
Applicant/Violator System

Welcome SRA UPD

Violation Page

[Logout](#)  
[Help](#)

New Violation Step 2 FKID:0  
Violators



[<< Back](#)

Entity

[Search](#)

[Add](#)

[Next >>](#)

Figure 4-11: Create New Violation Record – Step 4/Violators

Office of Surface Mining  
Applicant/Violator System

Welcome SRA UPD

Violation Page

[Logout](#)  
[Help](#)

New Violation Step 2 FKID:0  
Violators



Entity 108699 Meridan Of Virginia Inc [Change](#)  
[Add](#)

Entity  
[Remove](#) 108699 Meridan Of Virginia  
Inc

Showing 1-1 of 1

[<< Back](#)

[Next >>](#)



Figure 4-12: Create New Violation Record – Step 5/Confirm and Save

Office of Surface Mining  
Applicant/Violator System

Welcome SRA UPD

Violation Page

[Logout](#)  
[Help](#)

New Violation Step 3 FKID:0  
Confirm and Save

After confirming this information you will be asked to enter additional violation information.



*Violation Type	State Cessation Order	
Permit	S400589 0 5/23/1989 5/23/1994	108699 Meridan Of Virginia Inc
*Violation Status	Outstanding	

[<< Back](#)

[Finish](#)

Figure 4-13: Create New Violation Record – Step 6/State Violation Information

Office of Surface Mining  
Applicant/Violator System

Welcome SRA UPD

Violation Page

[Logout](#)  
[Help](#)

New State Violation Step 1  
FKID: 301434  
State Violation Information



\*State Code

\*Violation Date  /  /  [Clear Date](#)

\*State Violation Number

[Next >>](#)

Figure 4-14: Create New Violation Record – Step 7/Confirm and Save

Office of Surface Mining  
Applicant/Violator System

Welcome SRA UPD

Violation Page

[Logout](#)  
[Help](#)

New State Violation Step 2  
FKID: 301434  
Confirm and Save



\*State Violation Number 07012001

[<< Back](#)

[Finish](#)

Figure 4-15: Create New violation Record – Step 8/Finish

Office of Surface Mining Welcome Ann Singleton

*Applicant/Violator System*

## Violation Page

[Logout](#)  
[Help](#)

[Back to Search](#)   [New Violation](#)   [Update Violation](#)   [Delete Violation](#)   [Build VOFT](#)   [Lock VOFT](#)   [View VOFT](#)

This Violation's OFT is currently waiting for processing.

**Violation Type**    State Cessation Order  
**Violation Number** 07062002  
**Violation Date**    7/6/2002  
**Violation Status**   Outstanding  
**Permit**              TBS-1 0 4/2/2000 4/2/2005 246610 TBS Mining  
**State Code**        KY

[Violators](#)   [Entities](#)   [Exclusion/Settlement](#)

Entity

<a href="#">Select</a>	246610 TBS Mining
------------------------	-------------------

Showing 1-1 of 1

[New Relationship](#)

[New Settlement](#)

### Task: How Do I Update a Violation Record?

1. Click on the "Violation" Module button.
2. Search for the violation record you wish to update.
3. From the Search Screen, enter any one of the six search parameters for locating a violation record in the Violation Module. Figures 4-1 through 4-7 above, are examples of search results.
4. Click on <Select> for the record you wish to update.
5. Click on the Navigation button <Update Violation> to begin the update procedure.
6. The next screen is the data entry screen to update a violation record. See below, at Figure 4-16.
7. You can update the violation date and/or the violation status. See below, at Figure 4-17 which shows the violation status changed from the status shown in Figure 4-16.
8. Click on <Save> or <Cancel> as applicable.
9. If you click on <Save>, the next screen should be "Save Successful." See below, at Figure 4-18.
10. Each time you update a violation record, the system will re-build the VOFT.

**IMPORTANT!** You cannot view a Violation OFT immediately after a violation record is updated. If you attempt this, AVS will generate the message, "This Violation's OFT is currently waiting for processing." AVS rebuilds VOFTs on the hour. For example, if you update a VOFT at 9:45 a.m., you will be able to view the processed record at 10:00 a.m.

### Task: How Do I Delete a State Violation Record after the Violation Is Abated or Corrected?

1. Click on the "Violation" Module button.
2. Search for the violation record you wish to delete.
3. From the search screen, enter any one of the six search parameters for locating a violation record in the Violation Module.
4. Click on the Navigation button <Delete Violation> when you have found the violation you wish to delete.
5. AVS will ask, "Are you sure you want to delete violation?"
6. If you are sure, click on "Yes, I am sure."
7. The next screen displays "Delete Successful."

**IMPORTANT!** Only the State with jurisdiction over a violation (or designated staff in the AVS Office) can delete a violation. If you have questions concerning jurisdiction or State violation maintenance, please contact your State regulatory authority or OSM's AVS Office.

Figure 4-16: Update Violation Record – Data Entry

Office of Surface Mining Welcome SRA UPD  
Applicant/Violator System

## Violation Page

[Logout](#)  
[Help](#)

[Back to Search](#)   [New Violation](#)   [Update Violation](#)   [View VOFT](#)

**\*Violation Type**

**\*Violation Number**

**\*Violation Date**

**\*Violation Status**

**Permit**                      S400589 0 5/23/1989 5/23/1994 108699 Meridan Of Virginia Inc                      [Change](#)

[Cancel](#)                      [Save](#)

Figure 4-17: Update Violation Record – Shows Change in Violation Status

Office of Surface Mining Welcome SRA UPD  
Applicant/Violator System

**Violation Page**

[Logout](#)  
[Help](#)

[Back to Search](#)   [New Violation](#)   [Update Violation](#)   [View VOFT](#)

**\*Violation Type**       ▼

**\*Violation Number**     

**\*Violation Date**     

**\*Violation Status**       ▼

**Permit**      S400589 0 5/23/1989 5/23/1994 108699 Meridan Of Virginia Inc      [Change](#)

[Cancel](#)      [Save](#)

Figure 4-18: Update Violation Record – Save Successful

Office of Surface Mining  
Applicant/Violator System
Welcome SRA UPD

## Violation Page

[Logout](#)  
[Help](#)

[Back to Search](#)
[New Violation](#)
[Update Violation](#)
[View VOFT](#)

This Violation's OFT is currently waiting for processing.  
Save Successful

**Violation Type**     State Cessation Order  
**Violation Number** 07012001  
**Violation Date**     7/1/2001  
**Violation Status**   Conditional  
**Permit**                 S400589 0 5/23/1989 5/23/1994 108699 Meridan Of Virginia Inc  
**State Code**            KY

	Violators	Entities	Exclusion/Settlement			
	Entity		Subent Identification	Begin Date	End Date	Description Code
<a href="#" style="color: blue; text-decoration: underline;">Select</a>	108699	Meridan Of Virginia Inc	108039 Rogers James Blair			President
<a href="#" style="color: blue; text-decoration: underline;">Select</a>	108699	Meridan Of Virginia Inc	131798 Rogers Arty	3/21/1990		Shareholder
<a href="#" style="color: blue; text-decoration: underline;">Select</a>	131799	Micor Inc	108699 Meridan Of Virginia Inc	1/23/1989		Shareholder



## Module 5: Reports

In the Reports Module, you can generate a report, print a report, or download a report to an e-mail address.

### Task: What Reports Can Be Produced from the Report Module?

- Entity OFT Report: All associations/relationships, including owners, subsidiaries, and officers, of a selected business entity.
- Application/Permit Report: All applications and permits where the selected entity is listed as an applicant, a permittee, or an operator.
- Operator Report: All permits where the selected entity is listed as an operator.

### Task: How Do I Generate A Report?

1. Click on the "Report" Module button.
2. The first screen in the Report Module is the listing of reports available from Module 5. See below, at Figure 5-1.<sup>1</sup>
3. Click on the report option that describes the report you require.
4. Enter the entity number or name in the blank space provided.
5. Click on click <Search>.
6. The next screen identifies the entity number or name you entered in step 4.
7. Click on <Run Report>.
8. The next screen displays "Your report is now opening in a new window. If you do not see your report please click [here](#)." Click on <here> if your report is not displayed.
  - Figures 5-2 through 5-5 display the steps to produce an Entity OFT report.
  - Figure 5-6 is an example of an Application/Permit report.
  - Figure 5-7 is an example of an Operator report.

### Task: How Do I Print a Report?

1. You can print a report directly from the report screen.
2. Click on the printer icon located at the top of your web browser to print a report.

### Task: How Do I E-mail a Report?

1. You can e-mail a report directly from the report screen.
2. Click on <E-mail Report> and the report will download to your e-mail address.
3. If you wish to transmit the report to another person, simply change the e-mail address in the report screen before you click on <Email Report>.

---

<sup>1</sup> All Figures in Module 5 are prefixed with the number 5 and begin with 5-1.

Figure 5-1: Available Reports



[OFT Report by Entity  
Application / Permit  
Report](#)

[Operator Report](#)

All OFTs where the selected entity is listed in the OFT  
Applications and Permits by Entity

All Permits where the selected entity is listed as an  
operator

Figure 5-2: Entity OFT Report – Step 1



U.S. Department of the Interior  
Office of Surface Mining  
Applicant/Violator System

Welcome Amy Willoughby

[Click here for the Office of Surface Mining website](#)

[Logout](#)  
[Help](#)

All OFT's where the selected entity is listed in the OFT

**\*Entity**  [Search](#)

[Back to List](#) [Run Report](#)

Figure 5-3: Entity OFT Report – Step 2



U.S. Department of the Interior  
Office of Surface Mining  
Applicant/Violator System

Welcome Amy Willoughby

[Logout](#)  
[Help](#)

[Click here for the Office of Surface Mining website](#)

All OFT's where the selected entity is listed in the OFT

**\*Entity** 246929 INR-WV Operating LLC [Change](#)  
[Back to List](#) [Run Report](#)

Figure 5-4: Entity OFT Report - Step 3



Your report is now opening in a new window.  
If you do not see your report please click [here](#).

## Figure 5-5: Entity OFT Report – Step 4/ Finish

aw illoughby

[Email Report](#) [PDF](#) | [XLS](#)

### AVS OFT Report by Entity

5/13/2008 11:32:51 AM

All OFT's where the selected entity is listed in the OFT

Amy Willoughby

\*Entity is 246929 INR-WV Operating LLC

Parent	Description	Ownership	SubEntity	Percentage	BeginDate	EndDate
246929 INR-WV Operating LLC	Chairman of the Board	Chairman of the Board	110526 Garold Ralph Spindler		01/01/2007	
246929 INR-WV Operating LLC	Owner	Owns	246930 INR- 1 Holdings LLC	100%	05/22/2007	
246929 INR-WV Operating LLC	Chief Executive Officer	Chief Executive Officer	110533 Gary Robert Rogliano		11/04/2007	
246929 INR-WV Operating LLC	Secretary	Secretary	246981 Kelly K Henry		11/04/2007	
246929 INR-WV Operating LLC	Manager	Manager	96589 James Isaac Campbell		11/04/2007	
246929 INR-WV Operating LLC	Member	Owns	246930 INR- 1 Holdings LLC		11/04/2007	

## Figure 5-6: Application/Permit Report

aw illoughby

[Email Report](#) [PDF](#) | [XLS](#)

### AVS Application / Permit Report

#### Applications and Permits by Entity

\*Entity is 141166 Nerox Power Systems Inc

State	PermitNo	AppNo	SeqNo	ApplicationType	ApplicationStatus	BondStatus	PermExpDt	Applicant	Per
AK	U0201	U0201	0	New	Issued	Active	07/31/2001	Nerox Power Systems Inc	Ne Pow Sys Inc
AK		U0201	2	Renewal	Undergoing Review			Nerox Power Systems Inc	
AK		0191797	1	Transfer	Withdrawn			Nerox Power Systems Inc	

## Figure 5-7: Operator Report

aw illoughby

[Email Report](#) [PDF](#) | [XLS](#)

### AVS Operator Report

All Permits where the selected entity is listed as an operator

5/15/2008 2

\*Entity is 150261 Long Flame Coal Corp

Amy V

State	PermitNo	SeqNo	Permittee	PermitExpiration	BondStatus	ApplicationStatus	Operator	BeginDate	En
WV	S300295	0	97007 New Land Leasing Co Inc	02/09/2011	Active	Issued	150261 Long Flame Coal Corp	07/29/2004	11
WV	S300103	0	97007 New Land Leasing Co Inc	01/13/2009	Active	Issued	150261 Long Flame Coal Corp	07/29/2004	11
WV	S303991	0	97007 New Land Leasing Co Inc	10/02/2012	Active	Issued	150261 Long Flame Coal Corp	07/29/2004	11
WV	S303593	1	111288 Catenary Coal Co	05/11/2010	Active	Issued	150261 Long Flame Coal Corp	07/23/2003	07
WV	S300495	0	111288 Catenary Coal Co	10/01/2011	Active	Issued	150261 Long Flame Coal Corp	06/25/2001	07