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General Information

This manual is intended to be used as a guide to assist users in the operation of the Applicant/Violator System (AVS). It is not intended, nor expected, to replace formal training. The guide is not arranged in the order in which options appear on the Main Menus but is designed to provide a quick reference to system functions based upon the function subject.

AVS is a computer database which is used to maintain information on all surface coal mining operations and companies. It is used by State Regulatory Authorities to ensure that entities applying for coal mining permits do not carry any outstanding violations of the Surface Mining Control and Reclamation Act of 1977 (SMCRA).

Some AVS options are restricted to the Applicant/Violator System Office (AVSO) only. Some of these options are noted in this manual as "AVSO Only." Users attempting to access restricted options will generate a message indicating that they are "not authorized access." Users requiring data management that they cannot perform should contact their User Assistance Liaison. User Assistance Liaisons are listed in Appendix 6 of this manual.

Assistance may be obtained by calling (800) 643-9748. The TELEFAX number for AVS is (859) 260-8418.

Appendices in the back of this manual provide explanations of codes used in the system, ownership and control descriptions and a glossary.

SECTION A: ENTITIES

Introduction

What is an Entity?

Every company or individual listed in the AVS are referred to as “Entities.”

It is very important to always conduct an entity search prior to creating a new entity in the system to avoid the creation of duplicate entities. Listed below are some tips to use when conducting an entity search:

- 1) When searching for an individual, search by the last name only. Do not use any punctuation when searching for individuals or companies.**
- 2) When searching for a company, use short character strings instead of entering the whole company name. (Example: To search for 17 West Mining Incorporated, you might want to search by entering 17 West only. The reason we recommend only entering a partial company name is that it may not pull up existing entity information if you enter the whole company name because you have to type in the entity name exactly as it has been created.)**
- 3) Explore the possibility of first name entries which are common for sole proprietorships. (For example: search by first name "Eric" instead of searching by last name of "Anderson".)**

ENTITY INFORMATION SEARCH

VIEW ENTITIES

Entities may be viewed from the following menu options:

- 1) ENTITY MAINTENANCE
- 2) APPLICATION/PERMIT MAINTENANCE
- 3) ENTITY OFT MAINTENANCE
- 4) ENTITY OFT VIEW
- 5) EVALUATE AN APPLICATION OR ENTITY
- 6) STATE VIOLATION MAINTENANCE

The process for viewing entities is the same for both View Only and Full Maintenance users.

Entities may be viewed several different ways. The following procedure is one way to view an Entity.

- 1) Select ENTITY MAINTENANCE from the Main Menu. Press [ENTER];
- 2) Enter a short character string of the individual's last name or company name. Press [F2];
- 3) Based on your search criteria, a list of entities may appear. Choose desired entity that you wish to view from list by using your down arrow to highlight. Press [ENTER];
- 4) Press [F3] to return to previous screen after viewing or to choose another entity. Press [F4] to quit to Main Menu.

For those individuals with MAINTENANCE CAPABILITIES, the following procedures apply:

ADD ENTITIES

***NOTE:** ENTITY INFORMATION SEARCH must be conducted prior to adding new entities to prevent duplications.

To Add a Company to AVS:

- 1) Select ENTITY MAINTENANCE from the Main Menu. Press [ENTER];
- 2) Press [F5] to add information;
- 3) Enter entire company name.
- 4) Press [TAB] until you reach the "Alias" field. If company has an alias name, enter information. Press [TAB];

***NOTE:** For guidance on what goes in the "Alias" field, refer to the Data Standards in Section J of this guide.

- 5) Enter employer identification number and press [TAB];
- 6) Enter any comments about the entity. Press [TAB];

***NOTE:** For guidance on what goes in the "Comment" field, refer to the Data Standards in Section J of this guide.

- 7) Enter street address. Press [TAB];
- 8) Enter city name. Press [TAB];
- 9) Enter two digit State code;
- 10) Enter zip code. Press [TAB];
- 11) Enter phone number of the company;
- 12) Press [F5] to save information. A message will appear "Entity Added Successfully." Press [ENTER];
- 13) Press [F4] to quit to Main Menu.

***NOTE:** Upon completion of adding a new company entity and all owners and controllers for that company, an Entity OFT for the company must be built. (See Section C).

To Add an Individual to AVS:

- 1) Select ENTITY MAINTENANCE from the Main Menu. Press [ENTER];
- 2) Press [F5] to add information;
- 3) Enter individual's last name and any suffix such as Sr., or Jr. Press [TAB];
- 4) Enter individual's first name. Press [TAB];
- 5) Enter middle initial or name. Press [TAB];
- 6) Enter alias, if applicable. Press [TAB];

***NOTE:** For guidance on what goes in the "Alias" field, refer to the Data Standards in Section J of this guide.

- 7) Enter individual's social security number;
- 8) Enter any comments about the entity. Press [TAB];

***NOTE:** For guidance on what goes in the "Comment" field, refer to the Data Standards in Section J of this guide.

- 9) Enter street address. Press [TAB];
- 10) Enter city name. Press [TAB];
- 11) Enter two digit State code.
- 12) Enter zip code. Press [TAB];
- 13) Enter phone number of entity.
- 14) Press [F5] to save information. A message will appear "Entity Added Successfully." Press [ENTER];
- 15) Press [F4] to quit to Main Menu.

***NOTE:** Upon completion of adding a new individual to AVS, the individual must then become part of a company OFT (See Section C).

DELETE ENTITIES
(AVSO ONLY)

- 1) Select ENTITY MAINTENANCE from the Main Menu. Press [ENTER];
- 2) Enter entity ID number or name and press [F2];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER];

- 3) Press [F8] to delete. A message will appear "Are you positive (Y/N)?" Type "Y" and press [ENTER]. The cursor will move to the bottom of the screen while processing.
- 4) A message will appear "Deletion Successful." Press [ENTER];
- 5) A message will appear "Entity does not exist for Entity ID = (deleted entity ID). Press [ENTER];
- 6) Press [F4] to quit to the Main Menu.

***NOTE:** Deletion of an entity will not be allowed if the entity you wish to delete is linked to violations, an application/permit or an OFT.

UPDATE ENTITIES

- 1) Select ENTITY MAINTENANCE from the Main Menu. Press [ENTER];

Update by entity number:

- a) Enter entity number and press [ENTER];
- b) Press [TAB or ENTER] to access the portion(s) you need to update. Enter updates or corrections;

or:

Update by entity name:

- a) Enter partial company or entity name. Press [ENTER];
 - b) If a name or partial name is entered, a list of matching entities may appear, press the down arrow to highlight desired entity. Press [ENTER];
 - c) Press [TAB or ENTER] to access the portion(s) you need to update. Enter updates or corrections;
- 2) Press [F5] to save;
 - 3) A message will appear "Update successful." Press [ENTER];
 - 4) Press [F3] to return to previous screen.

***NOTE:** Once an entity has been created and saved, the ability to correct a company name or an individual's last name is restricted. Contact an AVS User Liaison to make the change.

LOCK/UNLOCK ENTITIES
(AVSO ONLY)

Lock Procedures:

- 1) Select ENTITY MAINTENANCE from Main Menu. Press [ENTER];
- 2) Enter entity ID number or name and press [ENTER];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER].

- 3) After entity appears on screen, press [F2] to lock;
- 4) A message will appear "Entity ID locked successfully." Press [ENTER];
- 5) If confirmation is desired, press [ENTER] when new screen is brought up. The top of the screen will reflect Lock: Y;
- 6) Press [F3] twice to quit to Main Menu.

Unlock Procedures:

- 1) Select ENTITY MAINTENANCE from Main Menu. Press [ENTER];
- 2) Enter entity ID number or name and press [ENTER];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER].

- 3) Press [F2] to unlock the locked entity;
- 4) A message will appear "Entity ID unlocked successfully." Press [ENTER];
- 5) If additional confirmation is desired, press [ENTER] when new screen pops up. Top of screen will reflect Lock: ;
- 6) Press [F3] twice to quit to Main Menu.

SECTION B: ADDRESSES

VIEW ADDRESSES

Entity addresses may be viewed from the following menu options:

- 1) ENTITY MAINTENANCE
- 2) APPLICATION/PERMIT MAINTENANCE
- 3) ENTITY OFT MAINTENANCE
- 4) ENTITY OFT VIEW
- 5) EVALUATE AN APPLICATION OR ENTITY
- 6) STATE VIOLATION MAINTENANCE

The process for viewing entity addresses is the same for both View Only and Full Maintenance users.

Entity addresses may be viewed several different ways. The following procedure is one way to view an entity address.

- 1) Select ENTITY MAINTENANCE from Main Menu and press [ENTER];
- 2) Enter entity ID number or name and press [F2];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER];

- 3) Selected entity should appear on screen allowing user to view addresses;
- 4) Press [F4] to quit to Main Menu.

ADD ADDRESSES

- 1) Select ENTITY MAINTENANCE from Main Menu and press [ENTER];
- 2) Enter entity ID number or name and press [F2];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER];

- 3) Use the tab key to move to the address field. Press [F6] to insert a new address;
- 4) Type street or post office box address and press [ENTER];
- 5) Type name of city and press [ENTER];
- 6) Type two letter state abbreviation (cursor will automatically move to next field);
- 7) Type zip code (cursor will automatically move to next field if complete nine digit zip code is typed. If not, press [ENTER] to move cursor to next field);
- 8) Type phone number, including area code, without dashes (cursor will automatically move to next field);
- 9) Press [F5] to save;
- 10) A message will appear "Update successful." Press [ENTER];
- 11) Press [F4] to quit to Main Menu.

UPDATE ADDRESSES

- 1) Select ENTITY MAINTENANCE from Main Menu and press [ENTER];
- 2) Enter entity ID number or name of entity whose address you want to update and press [F2];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER];

- 3) Use the tab key to move to the address field;
- 4) Press [ENTER] to move to address and field you want to update;
- 5) Make necessary updates and press [F5] to save;
- 6) A message will appear "Update successful." Press [ENTER];
- 7) Press [F4] to quit to Main Menu.

DELETE ADDRESSES

We do not recommend deletion of address information unless you have entered an address in error.

- 1) Select ENTITY MAINTENANCE from Main Menu and press [ENTER];
- 2) Enter entity ID number or name of entity whose address you want to delete and press [F2];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER];

- 3) Use the tab key to move to the address field;
- 4) Use the enter key to move to the address that you want to delete;
- 5) Press F7 to delete address.

***NOTE:** For some AVS users the function key [F8] will also appear at the bottom of the screen. This deletion key is for deletion of entities only, not addresses. Use of this key is limited to AVSO.

- 6) A message will appear "Are You Positive (Y/N)?"
- 7) Type "Y" for yes and press [ENTER];

***NOTE:** Entity must have at least one address. Deletion is not allowed unless multiple addresses exist.

- 8) A message will appear "Update successful." Press [ENTER];
- 9) Press [F4] to quit to Main Men

SECTION C: ENTITY OFT
(ORGANIZATIONAL FAMILY TREE)

Introduction

An OFT is a listing of the principals and officers for a business organization. This information is generally disclosed in a permit application.

VIEW ENTITY OFT

Entity OFTs may be viewed from the following menu options:

- 1) ENTITY OFT VIEW
- 2) ENTITY OFT MAINTENANCE

The process for viewing entity OFTs is the same for both View Only and Full Maintenance users.

Entity OFTs may be viewed several different ways. The following procedure is one way to view an entity OFT.

- 1) Select ENTITY OFT MAINTENANCE from Main Menu and press [ENTER];
- 2) Enter entity ID number or name of entity you wish to view OFT for and press [F2];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER];

- 3) Selected entity OFT will appear for viewing;
- 4) Press [F4] to quit to Main Menu.

VIEW LIST OF ALL COMPANIES AN INDIVIDUAL
HAS BEEN ASSOCIATED WITH

- 1) Select ENTITY OFT MAINTENANCE from Main Menu and press [ENTER];
- 2) Press [TAB] to get to the "Related ID" data field;
- 3) Enter entity ID number of individual or last name of individual and press [F2];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER];

- 4) OFT will appear for viewing;
- 5) Press [F4] to quit to Main Menu.

VIEW A LIST OF COMPANY SUBSIDIARIES

- 1) Select ENTITY OFT MAINTENANCE from Main Menu and press [ENTER];
- 2) Press [TAB] to get to the "Related ID" data field;
- 3) Enter entity ID number of company or company name and press [F2];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER];

- 4) A list of subsidiary companies will appear for viewing, if there are any;
- 5) Press [F4] to quit to Main Menu.

ADD AN ENTITY TO AN OFT

- 1) Select ENTITY OFT MAINTENANCE from Main Menu and press [ENTER];
- 2) Enter entity ID number or name and press [F2];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER].

- 3) Press [F5] to add an entity to an OFT;
- 4) Press [TAB] and enter related entity ID number or name;

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER].

- 5) At description field, press [F10] for choices. A list of relationship description codes for officers and principals will appear. Use your arrow keys to select appropriate relationship description code and press [ENTER];
- 6) Press [TAB] and enter comment, if applicable (i.e., VP – Finance);
- 7) Enter begin date (mmddy) of relationship and press [TAB];
- 8) Press [TAB] and enter percentage of ownership if entity has been identified as owner or a shareholder;

***NOTE:** Percent of ownership is only used for an owner or shareholder that owns 10% or more.

- 9) Press [F5] to save;
- 10) A message will appear "Addition Successful." Press [ENTER];
- 11) A window will pop up confirming the entry;
- 12) Press [F4] to quit to Main Menu.

UPDATE ENTITY OFT

- 1) Select ENTITY OFT MAINTENANCE from the Main Menu and press [ENTER];
- 2) Enter entity ID number or name and press [F2];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER];

- 3) Selected entity OFT will appear;
- 4) Use arrow keys to select entity to be updated and press [ENTER];

***NOTE:** You can only update one entity at a time.

- 5) Make necessary updates and press [F5] to save;
- 6) A message will appear "Update successful." Press [ENTER];
- 7) Press [F4] to quit to Main Menu.

DELETE ENTITY OFT INFORMATION

Entities should not be deleted from an OFT unless you have entered them in error.

- 1) Select ENTITY OFT MAINTENANCE from Main Menu and press [ENTER];
- 2) Enter entity ID number or name and press [F2];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using the arrow keys and press [ENTER].

- 3) The selected entity OFT will appear;
- 4) Use arrow keys to select entity to be deleted from OFT and press [ENTER];
- 5) Press [F8] to delete;
- 6) A message will appear "Are you positive. (Y/N)?"
- 7) Type "Y" for yes and press [ENTER];
- 8) A message will appear "Deletion successful." Press [ENTER];
- 9) Press [F4] to quit to Main Menu.

LOCK/UNLOCK ENTITY OFT
(AVSO ONLY)

The only OFTs that are locked are OFTs for interstate companies. An interstate company is defined as a company that has permits to mine in more than one State. Any updates to an OFT for an interstate company should be submitted to the Lexington AVS Office for updates.

Lock Procedure:

- 1) Select ENTITY OFT MAINTENANCE from Main Menu and press [ENTER];
- 2) Enter entity ID number or name and press [F2];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using the arrow keys and press [ENTER].

- 3) Press [F7] to lock entity OFT;
- 4) A message will appear "All the records in the display window have been successfully locked." Press [ENTER];
- 5) In the data field "Locked:", a "Y" will appear;
- 6) Press [F4] to quit to Main Menu.

Unlock Procedure:

- 1) Select ENTITY OFT MAINTENANCE from Main Menu and press [ENTER];
- 2) Enter entity ID number or name and press [F2];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using the arrow keys and press [ENTER].

- 3) Press [F7] to unlock entity OFT;
- 4) A message will appear "All the records in the display window have been successfully unlocked." Press [ENTER];
- 5) Press [F4] to quit to Main Menu.

**SECTION D: VIOLATION OFT
(ORGANIZATIONAL FAMILY TREE)**

Introduction

A violation OFT is a listing of entities (businesses and individuals) associated with a violation at the time a violation is cited.

VIEW VIOLATION OFT

Violation OFTs may be viewed from the following menu options:

- 1) EVALUATE AN APPLICATION OR ENTITY
- 2) VIOLATION OFT MAINTENANCE

The process for viewing Violation OFTs is the same for both View Only and Full Maintenance users.

The following procedure is one way to view a Violation OFT:

- 1) Select VIOLATION OFT MAINTENANCE from Main Menu. Press [ENTER];
- 2) Enter State code. Press [TAB];
- 3) Enter violator entity ID number or name. Press [F2];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER].

- 4) If more than one violation appears, use arrow keys to highlight the violation OFT you wish to view. Press [ENTER];
- 5) Press [F4] to quit to the Main Menu.

BUILD A VIOLATION OFT
(AVSO ONLY)

The following procedures are for building a violation OFT for which you have a permit number associated with the violation, or where no permit specific relationships (i.e., operators) need to be associated to the violation.

- 1) Select VIOLATION OFT MAINTENANCE from the Main Menu. Press [ENTER];
- 2) Enter State code. Press [TAB];
- 3) Enter violator entity ID number or name. Press [F2];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER].

- 4) If more than one violation appears, use arrow keys to highlight the violation OFT you wish to build. Press [F5];
- 5) Press [F5] to save. A message will appear "The violation table has been updated successfully." Press [ENTER];
- 6) Press [F4] to quit to the Main Menu.

To build a violation OFT for companies or individuals which do not have a permit number associated with the violation and need permit specific relationships (i.e., operators) added, proceed with the following steps:

- 1) Select VIOLATION OFT MAINTENANCE from Main Menu and press [ENTER];
- 2) Enter State code and press [TAB];
- 3) Enter violator entity ID number or name and press [F2];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER].

- 4) If more than one violation appears, use arrow keys to highlight the violation OFT you wish to build. Press [F5];
- 5) Press [F8] to add;
- 6) Enter entity ID number or name of permit specific relationship. Press [ENTER];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER].

- 7) Press [F10] for choices. A screen will pop up that lists the relationships that are permit specific. Use arrow keys to select appropriate relationship and press [ENTER];
- 8) Enter beginning date (mmddyy), if available, of relationship to violator. Press [ENTER];
- 9) Enter ending date (mmddyy), if applicable. Press [ENTER];

***NOTE:** An ending date should only be entered if a permit specific relationship has ended.

- 10) Press [F5] to save the addition(s). A message will appear "Addition Successful." Press [ENTER];
- 11) Press [F5] to save the violation OFT. A message will appear "The Violation table has been updated successfully." Press [ENTER];
- 12) Press [F4] to quit to the Main Menu.

LOCK/UNLOCK VIOLATION OFT

(AVSO ONLY)

To Lock:

- 1) Select VIOLATION OFT MAINTENANCE from the Main Menu. Press [ENTER];
- 2) Enter State code. Press [TAB];
- 3) Enter violator entity ID number or name. Press [F2];

***NOTE:** If a name or partial name is entered, a list of matching entities will appear. Select appropriate entity using arrow keys and press [ENTER].

- 4) If more than one violation appears, use arrow keys to highlight the violation OFT you wish to lock. Press [ENTER];
- 5) Press [F2] to lock a violation which is currently unlocked. A message will appear "Violation OFT locked successfully." Press [ENTER];
- 6) Press [F4] to quit to the Main Menu.

To Unlock:

- 1) Select VIOLATION OFT MAINTENANCE from the Main Menu and press [ENTER];
- 2) Enter State code and press [TAB];
- 3) Enter violator entity ID number or name and press [F2];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER].

- 4) If more than one violation appears, use arrow keys to highlight the violation OFT you wish to unlock. Press [ENTER];
- 5) Press [F2] to unlock a violation OFT which is already locked. A message will appear "Violation OFT unlocked successfully." Press [ENTER];
- 6) Press [F4] to quit to the Main Menu.

**ADD A SETTLEMENT, EXCLUSION,
TEMPORARY RELIEF, INJUNCTION HOLD CODE
(AVSO ONLY)**

The ability to add a settlement, exclusion, temporary relief or injunction code to a violation OFT is restricted to AVSO; however, state regulatory authorities may request these codes be entered on a violation OFT involving one of their state violations by contacting an AVS User Liaison at (800) 643-9748. An explanation of what these codes mean and how they affect system operation may be found in Appendix 3.

- 1) Select VIOLATION OFT MAINTENANCE from the Main Menu. Press [ENTER];
- 2) Enter State code. Press [TAB];
- 3) Enter violator entity ID number or name. Press [F2];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using the arrow keys and press [ENTER].

- 4) Use the arrow keys to highlight the violation on which you wish to add a settlement, exclusion, temporary relief or injunction code. Press [ENTER];
- 5) The violation OFT for the selected violation will appear. Use the arrow keys to highlight the entity which needs the settlement, exclusion, temporary relief or injunction code. Type an "S", "E", "T" or "I" as appropriate in the left margin beside the selected entity;

***NOTE:** An exclusion code cannot be placed on the direct violator (the root entity).

- 6) Press [F5] to save. A message will appear "The settlement/exclusion table has been updated successfully." Press [ENTER];

***NOTE:** If an exclusion was placed on an entity, this entity will disappear from the violation OFT.

- 7) Press [F4] to quit to the Main Menu.

DELETE A SETTLEMENT, EXCLUSION
TEMPORARY RELIEF, INJUNCTION HOLD CODE
(AVSO ONLY)

The ability to delete a settlement, exclusion, temporary relief or injunction code to a violation OFT is restricted to AVSO; however, state regulatory authorities may request these codes be deleted from a violation OFT involving one of their state violations by contacting an AVS User Liaison at (800) 643-9748.

- 1) Select VIOLATION OFT MAINTENANCE from the Main Menu. Press [ENTER];
- 2) Enter State code. Press [TAB];
- 3) Enter violator entity ID number or name. Press [F2];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using the arrow keys and press [ENTER].

- 1) Use the arrow keys to highlight the violation on which you wish to delete a settlement, exclusion, temporary relief or injunction code. Press [ENTER];
- 2) The violation OFT for the selected violation will appear. To continue, choose one of the two following procedures.

To Delete a Settlement, Temporary Relief or Injunction Code:

- A) Use the arrow keys to highlight the appropriate code you wish to delete;
- B) Use the space bar to type a space over the existing code. The code will disappear;
- C) Press [F5] to save. A message will appear "The settlement/exclusion table has been updated successfully." Press [ENTER];
- D) Press [F4] to quit to the Main Menu.

To delete an Exclusion Code:

- A) Press [F9] to select the exclusion maintenance;
- B) A screen will appear showing the excluded entities. Use the arrow keys to highlight the appropriate exclusion code you wish to delete;
- C) Use the space bar to type a space over the existing "E" code. The "E" code will disappear. Press [F5] to save;

***NOTE:** An updated violation OFT will appear. Any entity whose exclusion code was deleted, should reappear on the violation OFT.

- D) Press [F5] to resave violation OFT. A message will appear "The violation and exclusion tables have been updated successfully." Press [ENTER];
- E) Press [F4] to quit to the Main Menu.

SECTION E: APPLICATIONS/PERMITS

VIEW APPLICATIONS/PERMITS

Applications/permits may be viewed from the following menu options:

- 1) ENTITY MAINTENANCE
- 2) APPLICATION/PERMIT MAINTENANCE
- 3) STATE VIOLATION MAINTENANCE
- 4) EVALUATE AN APPLICATION/ENTITY

The process for viewing Applications/Permits is the same for both View Only and Full Maintenance users.

Applications/permits may be viewed several different ways. The following procedure is one way to view application/permits.

- 1) Select ENTITY MAINTENANCE from Main Menu and press [ENTER];
- 2) Enter entity ID number or name and press [F2];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys, press [F6], and proceed to Step 3 listed below.

***NOTE:** If you enter an entity ID number instead of the entity name, it will take you directly to the address detail screen. To view applications/permits for the entity, you will have to press [F3] to return to the previous screen and follow the steps below.

- 3) Press [F6] again;
- 4) A listing of application/permits for the entity will appear;
- 5) To view detail information for an application/permit, use arrow keys to highlight application/permit you wish to view and press [F6];
- 6) If you view an application that has an issued permit, the permit data will appear first. If you want to view the application data, press [F9];
- 7) Press [F4] to quit to Main Menu.

Application and permit lists may not be accessed through the ENTITY MAINTENANCE by an individual entity unless that individual is an operator or sole proprietor.

CREATE A NEW APPLICATION

- 1) Select APPLICATION/PERMIT MAINTENANCE from Main Menu. Press [ENTER];
- 2) Enter State code and press [F5] to Add;
- 3) Enter application number. Press [TAB];
- 4) Enter entity ID number or name of applicant. Press [TAB];

***NOTE:** If a name or partial name is entered, a list of matching entities will appear. Select appropriate entity using arrow keys and press [ENTER].

- 5) Enter mine name and press [TAB];
- 6) Enter county of where the mine is located and press [TAB];
- 7) To enter application status, press [F10] for choices. (For new applications, choose "P" for pending) A screen will pop up that lists the application status codes. Use your arrow keys to highlight appropriate status code and press [ENTER];

***NOTE:** An explanation of application status codes appears in Appendix 2 of this manual.

- 8) To enter application type, press [F10] for choices. A screen will pop up that lists the application type codes. Use your arrow keys to highlight appropriate code and press [ENTER];

***NOTE:** Application type codes also appear in Appendix 2 of this manual.

- 9) Enter "Y" if application involves Indian Lands. If "N", press [TAB];
- 10) Action date will automatically default to the current date.
- 11) Press [TAB] and enter mine life (number of years for which permit is to be issued). Press [TAB];
- 12) Enter MSHA ID numbers related to minesite. Press [TAB];
- 13) Enter the total number of acres to be mined. Press [TAB];
- 14) Enter latitude and longitude;

The following relationships are all application/permit specific:

- Operator
- Contractor
- Mineral Controller
- Financial Controller
- Controller
- Auger Operator

At this point, if you have any of the above relationships that are tied to your application, proceed with steps 15-22 listed below. If you have none of the above permit specific relationships to add to your application at this time, proceed with steps 15a-18a also listed below.

- 15) Press [F10] for choices. A screen will pop up that lists the relationships that are application/permit specific. Use arrow keys to select appropriate relationship and press [ENTER];
- 16) Enter entity ID or name of your permit specific relationship and press [ENTER];

***NOTE:** If a name or partial name is entered, a list of matching entities will appear. Select appropriate entity using arrow keys and press [ENTER].

- 17) Enter begin date (mmddyy). Press [ENTER];
- 18) Enter end date (mmddyy), if applicable. Press [ENTER];

***NOTE: An ending date should only be entered after a permit specific relationship has ended.**

***NOTE: If you have more than one permit specific relationship to add to your application, continue pressing [ENTER] and cursor will wrap back around to Desc. Field to allow additional entries of permit specific relationships.**

- 19) Press [F5] to save application;**
- 20) The OFT for applicant will appear on a pop up screen. Press [F7] to select all;**
- 21) Press [F5] to save OFT;**
- 22) A message will appear "Addition Successful." Press [ENTER].**

Application has now been created. Press [F3] to quit to Main Menu.

If you have none of the permit specific relationships to add to your application at this time, proceed with steps 15a-18a listed below.

- 15a) Press [F5] to save application;**
- 16a) The OFT for applicant will appear on a pop up screen. Press [F7] to select all.**
- 17a) Press [F5] to save OFT;**
- 18a) A message will appear "Addition Successful." Press [ENTER].**

Application has now been created. Press [F4] to quit to Main Menu.

CREATE A NEW PERMIT

NOTE: PRIOR TO CREATING A PERMIT RECORD, AN OSMRE DATA EVALUATION MUST BE OBTAINED (SEE SECTION G - EVALUATE AN APPLICATION OR ENTITY)

Once an application has been approved for permit issuance, you are ready to create the permit using the following procedures:

- 1) Select APPLICATION/PERMIT MAINTENANCE from Main Menu. Press [ENTER];
- 2) Enter State code and press [TAB];
- 3) Enter application number and press [F2];
- 4) Press [ENTER] to bring application up on screen;
- 5) [TAB] down through application and change application status to either "I" for Issue or "C" if there is a condition placed on permit issuance;
- 6) Press [F5] to save application;
- 7) A message will appear "You now need to Create a Permit for this application. If you choose not to then you would need to delete the Application. Do you want to delete this Application (Y/N)?" Select "N" and press [ENTER];
- 8) If permit number is different from application number, enter permit number and press [TAB];
- 9) Enter issue date of permit (mmddy). Press [TAB];
- 10) Enter expiration date of permit (mmddy). Press [TAB];
- 11) To enter bond status, press [F10] for choices. A screen will pop up that lists bond status codes. Use your arrow keys to highlight appropriate bond status code and press [ENTER];

***NOTE:** A list of bond status codes also appear in Appendix 1 of this manual.

- 12) Press [F5] to save;
- 13) A message will appear "Addition Successful." Press [ENTER];

You will return to the Application Subsystem screen. A message will appear "Update Successful." Press [ENTER].

***NOTE:** The Bond Forfeiture Date and Bond Forfeiture Amount Fields are only used when you change your Bond Status Code to "F," indicating a bond forfeiture.

UPDATE EXISTING APPLICATION INFORMATION

- 1) Select APPLICATION/PERMIT MAINTENANCE from Main Menu. Press [ENTER];
- 2) Enter State code and press [TAB];
- 3) Enter application number you want to update and press [F2];

***NOTE:** If only one record appears, press [ENTER] and proceed to Step 4 through 7.
If more than 1 record appears, press [F7] and proceed to Step 8 through 13.

- 4) Make necessary updates to your application record and press [F5] to save;
 - 5) A message will appear "Update Successful."
 - 6) Press [ENTER];
 - 7) Press [F4] to quit to Main Menu.
-
- 8) Use arrow keys and highlight pending application record you wish to update;
 - 9) Press [ENTER];
 - 10) Make updates to your application record and press [F5] to save;
 - 11) A message will appear "Update successful."
 - 12) Press [ENTER];
 - 13) Press [F4] to quit to Main Menu.

UPDATE EXISTING PERMIT INFORMATION

- 1) Select APPLICATION/PERMIT MAINTENANCE from Main Menu. Press [ENTER];
- 2) Enter State code;
- 3) Enter permit number and press [F2];
- 4) Press [F7];
- 5) If more than one record exists, use arrow keys to highlight the permit sequence you wish to update;
- 6) Press [ENTER];
- 7) Make necessary updates to permit and press [F5] to save;
- 8) A message will appear "Update Successful."
- 9) Press [ENTER];
- 10) Press [F4] to quit to Main Menu.

REVISION OF AN EXISTING PERMIT

- 1) Select APPLICATION/PERMIT MAINTENANCE from Main Menu. Press [ENTER];
- 2) Enter State code;
- 3) Press [TAB] and enter application number to be revised;
- 4) Press [F2];
- 5) Press [F7] to create revision;
- 6) Press [F7] again;
- 7) A message will appear "Do you want to carry forward information from the previous application (Y/N)?"
- 8) Type "Y" for yes or "N" for no; Press [ENTER]

***NOTE:** Selecting "Y" brings data over from the previous application and the data does not need to be re-entered. Choose "Y" if this data is applicable to the current application you are entering. Selecting "N" will not bring this data forward and the user will need to enter the new data as is done for entering a new application.

- 9) Enter application number of revised application;
- 10) Press [TAB] to get to application type field and enter application type as "A";

***NOTE:** Action date will default to most current date when application has been saved.

At this time, if you have no permit specific relationships to add to revised application, proceed with steps 11-14 listed below. If you have permit specific relationships to add to revised application, proceed with steps 11a-18a below.

- 11) Press [F5] to save application;
- 12) The OFT for applicant will appear on a pop up screen. Press [F7] to select all;
- 13) Press [F5] to save OFT;
- 14) A message will appear "Addition Successful." Press [ENTER].

Revised application has been created. Press [F4] to quit to Main Menu.

If you have to add any permit specific relationships to the amended application, proceed with steps 11a-18a listed below:

- 11a) [TAB] down to Desc. Field and press [F10] for choices. A screen will pop up that lists the relationships that are application/permit specific. Use arrow keys to select appropriate relationship and press [ENTER];
- 12a) Enter entity ID or name of your permit specific relationship and press [ENTER].

***NOTE:** If a name or partial name is entered, a list of matching entities will appear. Select appropriate entity using arrow keys and press [ENTER].

- 13a) Enter begin date (mmddyy). Press [ENTER];
- 14a) Enter end date (mmddyy), if applicable. Press [ENTER].

***NOTE:** An ending date should only be entered after a permit specific relationship has ended.

***NOTE:** If you have more than one permit specific relationship to add to your application, the cursor will wrap back around to Desc. Field to allow additional entries of permit specific relationships.

- 15a) Press [F5] to save application;
- 16a) The OFT for applicant will appear on a pop up screen. Press [F7] to select all;
- 17a) Press [F5] to save OFT;

18a) A message will appear "Addition Successful." Press [ENTER].

Revised application has now been created. Press [F4] to quit to Main Menu.

Once the revision is approved for permit issuance, create the permit using the following procedures:

- 1) Select APPLICATION/PERMIT MAINTENANCE from Main Menu. Press [ENTER];
- 2) Enter State code and press [TAB];
- 3) Enter application number and press [F2];
- 4) Using arrow keys, highlight pending application and press [ENTER];
- 5) Again, using arrow keys, highlight pending application and press [F5] to make application current;
- 6) A message will appear "Do you wish to make application # ____ and sequence # ____ current? You will be historying application # ____ and sequence # ____ (Y/N)."
- 7) Type "Y" and press [ENTER];
- 8) Type "I" for Issue or "C" if there is a condition placed on permit issuance;
- 9) Press [ENTER];
- 10) A message will appear "You now need to create a permit for this application." Press [ENTER];
- 11) Permit record appears. Change permit number, if desired;
- 12) Press [TAB] and enter issue date of revision permit (mmddy);

*NOTE: Permit issue date should be the issue date related to the revision.

- 13) Press [TAB] and enter expiration date of permit (mmddy);

*NOTE: Permit expiration date should be the same expiration date as on the original permit.

- 14) Press [TAB] and enter bond status by pressing [F10] for choices. A screen will pop up that lists bond status codes. Use your arrow keys to select bond status code and press [ENTER];
- 15) Press [F5] to save permit information;
- 16) A message will appear "Addition Successful." Press [ENTER];
- 17) Press [F4] to quit to Main Menu.

*NOTE: The Bond Forfeiture Date and Bond Forfeiture Amount Fields are only used when you change your Bond Status Code to "F," indicating a bond forfeiture.

RENEWAL OF AN EXISTING PERMIT

- 1) Select APPLICATION/PERMIT MAINTENANCE from Main Menu. Press [ENTER];
- 2) Enter State code;
- 3) Enter permit number and press [F2];
- 4) Use arrow keys to highlight permit for renewal and press [F7];
- 5) Once again, use arrow keys to highlight most current permit sequence for renewal;
- 6) Press [F7] to create renewal;
- 7) A message will appear "Do You Want to Carry forward information from the previous application (Y/N)?";
- 8) Type "Y" for yes or "N" for no; Press [ENTER];

***NOTE:** Selecting "Y" brings data over from the previous application and the data does not need to be re-entered. Choose "Y" if this data is applicable to the current application you are entering. Selecting "N" will not bring this data forward and the user will need to enter the new data as is done for entering a new application.

- 9) Enter application number of renewal and press [TAB];
- 10) Tab to application type and enter "R" for renewal;

***NOTE:** Action date field will automatically default to current date when application saved.

At this time, if you have no permit specific relationships to add to amended application, proceed with steps 11-15 listed below. If you have permit specific relationships to add to renewal application, proceed with steps 11a-18a also listed below.

- 11) Press F5 to save;
- 12) The OFT for applicant will appear on a pop up screen. Press [F7] to select all;
- 13) Press [F5] to save;
- 14) A message will appear "Addition Successful." Press [ENTER];
- 15) Press [F3] twice to quit to Main Menu;

Renewal application has been created. Press [F4] to quit to Main Menu.

If you have to add any permit specific relationships to the renewal application, proceed with steps 11a-18a listed below:

- 11a) [TAB] down to Desc. Field and press [F10] for choices. A screen will pop up that lists the relationships that are application/permit specific. Use arrow keys to select appropriate relationship and press [ENTER];
- 12a) Enter entity ID or name of your permit specific relationship and press [ENTER].

***NOTE:** If a name or partial name is entered, a list of matching entities will appear. Select appropriate entity using arrow keys and press [ENTER].

- 13a) Enter begin date (mmddyy). Press [ENTER];
- 14a) Enter end date (mmddyy), if applicable. Press [ENTER].

***NOTE:** An ending date should only be entered after a permit specific relationship has ended.

***NOTE:** If you have more than one permit specific relationship to add to your application, continue pressing enter and cursor will wrap back around to Desc. Field to allow additional entries of permit specific relationships.

- 15a) Press [F5] to save application;
- 16a) The OFT for applicant will appear on a pop up screen. Press [F7] to select all;

- 17a) Press [F5] to save OFT;
- 18a) A message will appear "Addition Successful." Press [ENTER].

Renewal application has been created. Press [F4] to quit to Main Menu.

Once renewal application is approved for permit issuance, create the permit using the following procedures:

- 1) Select APPLICATION/PERMIT MAINTENANCE from Main Menu. Press [ENTER];
- 2) Enter State code;
- 3) Press [TAB] and enter application number;
- 4) Press [F2];
- 5) Use arrow keys to highlight pending application and press [F7];
- 6) Use arrow keys to highlight pending application and press [F5] to make current;
- 7) A message will appear "Do you Wish to make Application # ____ and Sequence # ____ current? You will be historying Application # ____ and Sequence # ____ (Y/N)?"
- 8) Type "Y" for yes and press [ENTER];
- 9) Type "I" for Issue or "C" if there is a condition placed on permit issuance;
- 10) Press [ENTER];
- 11) A message will appear "You now need to create a Permit for this application." Press [ENTER];
- 12) Permit record appears. Change permit number, if desired;
- 13) Press [TAB] and enter issue date (mmddy) of renewal permit.
- 14) Press [TAB] and enter expiration date (mmddy) of renewal permit;
- 15) Press [TAB] and enter bond status by pressing [F10] for choices. A screen will pop up that lists bond status codes. Use your arrow keys to select appropriate bond status code and press [ENTER];
- 16) Press [F5] to save permit information;
- 17) A message will appear "Addition Successful." Press [ENTER];
- 18) Press [F4] to quit to Main Menu.

*NOTE: The Bond Forfeiture Date and Bond Forfeiture Amount Fields are only used when you change your Bond Status Code to "F," indicating a bond forfeiture.

TRANSFER OF A PERMIT

A transfer of a permit is done when the existing permit is transferred to another permittee.

- 1) Select APPLICATION/PERMIT MAINTENANCE from Main Menu. Press [ENTER];
- 2) Enter State code;
- 3) Enter permit number of permit to be transferred and press [F2];
- 4) Press [F7];
- 5) Use arrow keys to highlight most current permit and press [F8] to create transfer;
- 6) A message will appear "Do you want to carry forward information from the previous application?"
- 7) Type "N" for no and press enter;
- 8) Enter application number and press [TAB];
- 9) Enter entity ID number or name of applicant. Press [TAB];

***NOTE:** If a name or partial name is entered, a list of matching entities will appear. Select appropriate entity using arrow keys and press [ENTER];

- 10) Enter mine name and press [TAB];
- 11) Enter county of where mine is located and press [TAB] until you reach Mine Life field;
- 12) Enter mine life (i.e., 5) and press [TAB];
- 13) Enter MSHA ID numbers related to minesite;
- 14) Press [TAB] and enter total acres to be permitted;
- 15) Press [TAB] and enter latitude and longitude;

At this time, if you have no permit specific relationships to add to transfer application, proceed with steps 16-19 listed below. If you have permit specific relationships to add to transfer application, proceed with steps 16a-23a also listed below.

- 16) Press [F5] to save application;
- 17) The OFT for applicant will appear on a pop up screen. Press [F7] to select all;
- 18) Press [F5] to save OFT;
- 19) A message will appear "Addition Successful." Press [ENTER].

Transfer application has been created. Press [F4] to quit to Main Menu.

If you have to add any permit specific relationships to the transfer application, proceed with steps 16a-23a listed below.

- 16a) [TAB] down to Desc. Field and press [F10] for choices. A screen will pop up that lists the relationships that are application/permit specific. Use arrow keys to select appropriate relationship and press [ENTER];
- 17a) Enter entity ID number or name of your permit specific relationship and press [ENTER].

***NOTE:** If a name or partial name is entered, a list of matching entities will appear. Select appropriate entity using arrow keys and press [ENTER].

- 18a) Enter begin date (mmddy). Press [ENTER];
- 19a) Enter end date (mmddy), if applicable. Press [ENTER];

***NOTE:** An ending date should only be entered after a permit specific relationship has ended.

***NOTE:** If you have more than one permit specific relationship to add to your application, the cursor will wrap back around to Desc. Field to allow additional entries of permit specific relationships.

- 20a) Press [F5] to save application;

- 21a) The OFT for applicant will appear on a pop up screen. Press [F7] to select all;
- 22a) Press [F5] to save OFT;
- 23a) A message will appear "Addition Successful." Press [ENTER].

Transfer application has now been created. Press [F4] to quit to Main Menu.

Once the transfer application is approved for permit issuance, create the permit using the following procedures:

- 1) Select APPLICATION/PERMIT MAINTENANCE from Main Menu. Press [ENTER];
- 2) Enter State code and press [TAB];
- 3) Enter application number and press [F2];
- 4) If applicable, use your arrow keys to highlight your pending application and press [F7];

***NOTE:** A pending transfer application can be made current only if there are no other pending applications or if there are pending applications they should all have a status of either withdrawn, rejected or returned.

- 5) Use your arrow keys to highlight pending application and press [F5] to make application current;
- 6) A message will appear "Do you wish to make application # _____ and sequence # _____ current? You will be historying application # _____ and sequence # _____ (Y/N)."
- 7) Type "Y" and press [ENTER];
- 8) Type "I" for Issue or "C" if there is a condition placed on permit issuance;
- 9) Press [ENTER];
- 10) A message will appear "You now need to create a permit for this application." Press [ENTER];
- 11) Permit record appears. Change permit number, if desired;
- 12) Press [TAB] twice and enter issue date of transferred permit (mmddyy);

***NOTE:** Permit issue date should be the date the transfer took place.

***NOTE:** The expiration date is encrypted on permit record and reflects the expiration date as on the original permit.

- 13) Press [TAB] and enter bond status by pressing [F10] for choices. A screen will pop up that lists bond status codes. Use your arrow keys to select bond status code and press [ENTER];
- 14) Press [F5] to save permit information;
- 15) A message will appear "Addition Successful." Press [ENTER];
- 16) Press [F4] to quit to Main Menu.

***NOTE:** The Bond Forfeiture Date and Bond Forfeiture Amount Fields are only used when you change your Bond Status Code to "F," indicating a bond forfeiture.

SECTION F: VIOLATIONS

Introduction

Violations contained in AVS currently consist of the following:

- **AML Fee violations**
- **AML Audit Debt**
- **Federal and State civil penalties**
- **Federal and State unabated cessation orders**
- **Suspended/Revoked Permits**
- **AML non-respondent violations (failure to submit OSM-1 form)**
- **EPA Clean Water Act Violations**

VIEW FEDERAL AND STATE VIOLATIONS

Both Federal and State violations are viewed from EVALUATE AN APPLICATION OR ENTITY menu option. These violations may be viewed two different ways: by entity or by application number. Procedures are listed below for both options.

The process for viewing Federal and State Violations is the same for both View Only and Full Maintenance users.

View Violation by Entity

- 1) **Select EVALUATE AN APPLICATION OR ENTITY from Main Menu and press [ENTER];**
- 2) **Press [F5]. The entity search window will appear;**
- 3) **Enter entity ID number or name of entity and press [ENTER];**

***NOTE: If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER].**

- 4) **A message will appear "Evaluation to be run for Entity. Do you wish to continue (Y/N)?"**
- 5) **Type "Y" for yes and press [ENTER];**
- 6) **An entity evaluation will appear;**

***NOTE: If there are no violations retrieved by the system, press [F3] to quit to main menu.**

- 7) **To view violation information, use arrow keys to select violation and press [F4];**
- 8) **Violation information will appear;**
- 9) **Press [F4] to quit to Main Menu.**

View Violations by Application Number

- 1) Select **EVALUATE AN APPLICATION OR ENTITY** from Main Menu and press **[ENTER]**;
- 2) Enter State code;
- 3) Press **[TAB]** until you reach Appl. No. field;
- 4) Enter application number and press **[F2]**;
- 5) Use arrow keys, if applicable, to select application and press **[ENTER]**;
- 6) A message will appear "Evaluation to be run for Application, Do You Wish to Continue (Y/N)?"
- 7) Enter "Y" and press **[ENTER]**;

***NOTE:** The ability to request an OSMRE data evaluation report is restricted by login ID and is available to only a few permitting authorities in each State and Federal Office.

- 8) If you have the ability to request an OSMRE data evaluation report a message will appear "Do You Want an OSMRE data evaluation report for Application ____ (Y/N)?"
- 9) Enter "N" or "Y" and press **[ENTER]**;

***NOTE:** If your login ID restricts you from requesting an OSMRE data evaluation report, you will not follow steps 8-9 listed above. Proceed with step 10 and a system Application Evaluation will appear.

- 10) A system application evaluation will appear;

***NOTE:** If system does not retrieve any violations, no violations will appear.

- 11) To view violation information, use arrow keys to select violation and press **[F4]**;
- 12) Violation information will appear;
- 13) Press **[F4]** to quit to Main Menu.

VIEW STATE VIOLATIONS

The process for viewing State Violations is the same for both View Only and Full Maintenance users.

State violations may be viewed several different ways. The following procedure is one way to view a State violation.

- 1) Select STATE VIOLATION MAINTENANCE from Main Menu. Press [ENTER];
- 2) Enter violator entity ID number or name and press [TAB];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER];

- 3) Enter State code and press [F2];

***NOTE:** If there is only one violation related to the search criteria (name and State code), the system will automatically display that violation. If several violations match the search criteria (name and State code), a listing of State violations will appear. Use your arrow keys to highlight violation and press [ENTER] to view violation information. If there are no violations retrieved by the system, press [F3] to quit to main menu.

- 4) Press [F4] to quit to Main Menu.

ADD STATE VIOLATIONS

The STATE VIOLATION MAINTENANCE is permit driven which requires the entry of a State permit number in order to proceed with State violation data management.

When entering State violations which are issued on sites with no permit number (i.e., mining without a permit), the system will allow the user to enter a State violation by entering "NONE" in the Permit Number data field.

The only State violations that are added using the STATE VIOLATION MAINTENANCE option are State Civil Penalties and State Cessation Orders. State bond forfeiture violations are processed through the APPLICATION/PERMIT MAINTENANCE option. A State bond forfeiture occurs automatically when a State changes the bond status on a permit from Active to Forfeited.

State users are restricted to maintenance of violations only for their respective States.

To add State violations issued on a site where you have a permit number, proceed with steps 1-11 listed below. To add State violations which are issued on a site where permit number is unknown or non-existent (i.e., mining without a permit), proceed with steps 1a-13a listed on page 42.

- 1) Select STATE VIOLATION MAINTENANCE from Main Menu. Press [ENTER];
- 2) Press [F5] to add;
- 3) Enter State code;
- 4) Enter permit number and press [F2];
- 5) Use arrow keys to highlight appropriate permit sequence number and press [F8] to add a cessation order violation or press [F9] to add a civil penalty violation;

***NOTE:** User can only enter cessation order number or civil penalty number, not both at the same time.

- 6) Enter cessation order number or civil penalty number and press [TAB];
- 7) Enter violation date (mmddyy) and press [TAB];
- 8) To enter violation status, press [F10] for choices. A screen will pop up that lists the violation status codes. Use your arrow keys to highlight appropriate status code and press [ENTER];
- 9) Press [F5] to save;
- 10) A message will appear "Record Added Successfully." Press [ENTER];
- 11) Press [F4] to quit to Main Menu.

To add State violations which are issued on a site where permit number is unknown or non-existent, proceed with steps 1a-13a listed below.

- 1a) Select STATE VIOLATION MAINTENANCE from Main Menu. Press [ENTER];
- 2a) Press [F5] to add;
- 3a) Enter State code;
- 4a) At Permit Number Field, type "NONE."
- 5a) Press [F8] to add a cessation order violation or press [F9] to add a civil penalty violation;

***NOTE:** User can only enter cessation order number or civil penalty number, not both at the same time.

- 6a) Enter cessation order number or civil penalty number and press [TAB];
- 7a) Enter violation date (mmddy) and press [TAB];
- 8a) To enter violation status, press [F10] for choices. A screen will pop up that lists the violation status codes. Use your arrow keys to highlight appropriate status code and press [ENTER];
- 9a) [TAB] down until you reach the Violator ID/Name Field;
- 10a) Enter the violator entity ID number or name and press [ENTER];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER].

- 11a) Press [F5] to save;
- 12a) A message will appear "Record Added Successfully." Press [ENTER];
- 13a) Press [F4] to quit to Main Menu.

HOW TO CREATE A REVOKED/SUSPENDED PERMIT

- 1) Select "Application/Permit Maintenance" from the Main Menu. Press [ENTER];
- 2) Enter State code;
- 3) Enter permit number and press [F2];
- 4) If applicable, use your arrow keys to highlight correct sequence and press [ENTER];
- 5) [TAB] to Suspend/Revoked field and type "Y" for yes (default is "N") and the date permit was suspended/revoked;
- 6) Press [F5] to save, and system will automatically rebuild the violation OFT. A message will appear "Update Successful", press [ENTER];
- 7) Press [F4] to quit to the Main Menu.

HOW TO CREATE A BOND FORFEITURE VIOLATION

1. Select "Application/Permit Maintenance" from the Main Menu. Press [ENTER];
2. Enter State Code;
3. Enter permit number and press [F2];
4. If applicable, use your arrow keys to highlight correct sequence and press [ENTER];
5. Permit appears on screen. [TAB] to "Bond Status" field. Change "Bond Status" field to [F] and press [TAB];
6. Enter Bond Forfeiture date and press [F5] to save;
7. System will automatically build the violation OFT. When completed a message will appear on screen "Update Successful". Press [RETURN];
8. Press [F4] to quit to the Main Menu.

UPDATE STATE VIOLATIONS

An update to a State violation would be done to change the violation status.

State violations may be updated several different ways. The following procedure is one way to update a State violation.

- 1) Select STATE VIOLATION MAINTENANCE from Main Menu. Press [ENTER];
- 2) Enter violator entity ID number or name and press [TAB];

***NOTE:** If a name or partial name is entered, a list of matching entities will appear. Select appropriate entity using arrow keys and press [ENTER];

- 3) Enter State code and press [F2];
- 4) Use arrow keys to highlight violation that needs updating, if more than one violation appears. Press [ENTER];
- 5) Violation data will appear. Make necessary updates and press [F5] to save;
- 6) A message will appear "Record Updated Successfully." Press [ENTER];
- 7) Press [F4] to quit to Main Menu.

DELETE/INACTIVATE STATE VIOLATIONS

State violations may be deleted several different ways. The following procedure is the recommended way to delete/inactivate a State violation.

- 1) Select STATE VIOLATION MAINTENANCE from Main Menu. Press [ENTER].
- 2) Enter violator entity ID number or name and press [TAB].

***NOTE:** If a name or partial name is entered, a list of matching entities will appear. Select appropriate entity using arrow keys and press [ENTER].

- 3) Enter State code and press [F2].

***NOTE:** If more than one violation appears, use arrow keys to highlight the violation which needs to be deleted/inactivated and press [ENTER].

- 4) The violation data will appear. Press [TAB] once to reach the "Violation Status" field.
- 5) Type 'I' in the "Violation Status" field to inactivate the violation.
- 6) Press [F5] to save.
- 7) The message "Record updated successfully" will appear, press [ENTER].
- 8) Press [F4] to quit to the Main Menu.

SECTION G: EVALUATE AN APPLICATION OR ENTITY

Introduction

The primary purpose of the Applicant/Violator System is to provide regulatory authorities with a centrally-maintained database of violation records and information on ownership and control of mining operations. Permitting authorities check AVS when evaluating an applicant's mining history and to assist in determining eligibility for new permits. The AVS also is used as a tool when determining the eligibility of potential recipients of Abandoned Mine Land reclamation contracts.

This option allows you to evaluate an entity, a permit application, or the most current issued permit to assist your eligibility determinations. When you request an evaluation from AVS, you will be provided with a report to use in your review of pending applications to assist you in determining permit eligibility.

Permitting authorities should request the evaluation report from AVS based on an application rather than an entity. We, the AVS Office, recommend that you evaluate each permit application in AVS on at least two occasions:

- 1) The first evaluation report should be requested soon after a pending application is determined to be administratively complete and the application record has been created in the AVS.**
- 2) A final evaluation report should be requested within 5 days prior to issuing a permit. This is especially important if the application has remained pending for several months, because changes in ownership or control or violation status may occur. You should also request additional evaluation reports periodically if any compliance problems were identified in the first report, and/or to determine if any new problems are identified.**

EVALUATE AN APPLICATION

- 1) Select **EVALUATE AN APPLICATION OR ENTITY** from Main Menu and press [ENTER];
- 2) Enter State code;
- 3) Press [TAB] until you reach Appl. No. data field;
- 4) Enter application number and press [F2];
- 5) Use arrow keys, if applicable, to select application and press [ENTER];
- 6) A message will appear, "Evaluation to be run for application: _____, Do you wish to continue (Y/N)?"
- 7) Type "Y" for yes and press [ENTER];

***NOTE:** The ability to request an OSMRE data evaluation report is restricted by login ID and is available to only a few permitting authorities in each State and Federal Office.

- 8) If you have the ability to request an OSMRE data evaluation report, a message will appear, "Do You Want an OSMRE data evaluation report for Application: _____(Y/N)?"
- 9) Type "Y" for yes or "N" or no;

***NOTE:** If your login ID restricts you from requesting an OSMRE data evaluation report, you will not follow steps 8-9 listed above. Proceed with step 10 and an "APPLICATION EVALUATION REPORT" will appear.

- 10) A window will appear that tracks the status of the evaluation process. [No action is required by the user during this process.];
- 11) The Application Evaluation Report will appear;

***NOTE:** If no violations are retrieved by the system, press [F3] twice to quit to main menu.

- 12) To view violation information, use arrow keys, if more than one violation exists, to select violation and press [F4];
- 13) Press [F3] to return to previous menu;
- 14) To view the evaluated entity OFT press [F5];

***NOTE:** To view any entity's ownership/control relationship to the evaluated application, use arrow keys to select entity and press [ENTER].

- 15) Press [F3] to return to previous menu;
- 16) To view the violation OFT, use arrow keys, if more than one violation exists, to select violation and press [F6];

***NOTE:** An "*" beside an entity listed in a violation OFT denotes a link to the evaluated application.

***NOTE:** To view any entity's ownership/control relationship to the evaluated application, use arrow keys to select entity and press [ENTER].

- 17) Press [F3] three times to quit to the Main Menu.

EVALUATE AN ENTITY

- 1) Select **EVALUATE AN APPLICATION OR ENTITY** from Main Menu and press [ENTER];
- 2) Press [F5] to evaluate entity and the entity search screen will appear;
- 3) Enter entity ID number or name of entity you wish to evaluate and press [ENTER];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER].

- 4) A message will appear "Evaluation to be run for Entity. Do you wish to continue (Y/N)?"
- 5) Type "Y" for yes and press [ENTER];
- 6) A window will appear that tracks the status of the evaluation process. [No action is required by the user during this process.];
- 7) The Entity Evaluation Report will appear;
- 8) A list of the violations that relate directly or indirectly to the entity will appear.

***NOTE:** If no violations are retrieved by the system, press [F3] twice to quit to main menu.

- 9) To view violation information, use arrow keys, if more than one violation exists, to select violation and press [F4];
- 10) Press [F3] to return to previous screen;
- 11) To view the evaluated entity OFT press [F5];

***NOTE:** To view any entity's relationship to the violation, use arrow keys to select entity and press [ENTER].

- 12) Press [F3] to return to previous screen;
- 13) To view the violation OFT, use arrow keys, if more than one violation exists, to select violation and press [F6];

***NOTE:** An "*" beside an entity listed in a violation OFT denotes the link to the violation.

***NOTE:** To view any entity's relationship to the violation, use arrow keys to select entity and press [ENTER].

- 14) Press [F3] three times to quit to Main Menu.

EVALUATION REPORT MAINTENANCE

This option is designed to allow the permitting authorities and the AVS Office to enter comments regarding the status of violations, settlement agreements, hearings, injunctions, etc. This is the only area that users may view OSMRE comments/analysis from conducting a quality check of data.

The ability to request an OSMRE Data Evaluation Report is restricted by login ID and is available to only a few permitting authorities in each State and Federal office. However, all users have the ability to view OSMRE comments/analysis given on a specific application. The results of the OSMRE analysis is derived from research into the existence of payment plans, settlement agreements and reclamation agreements and is provided to assist permitting authorities in making permitting and eligibility decisions.

VIEW AN OSMRE APPLICATION EVALUATION REPORT

The process for viewing an OSMRE Application Evaluation Report is the same for both View Only and Full Maintenance users.

- 1) Select **EVALUATE AN APPLICATION OR ENTITY** from the Main Menu and press [ENTER];
- 2) Enter the State code and press [TAB];
- 3) Enter the application number and press [F2];
- 4) Use arrow keys, if applicable, to select the appropriate application sequence and press [F7];
- 5) The Application Evaluation Report screen containing OSMRE comments/analysis will appear for viewing;
- 6) Press [F4] to quit to Main Menu.

ADD/UPDATE COMMENTS TO APPLICATION EVALUATION REPORT

Federal and State permitting authorities and the Lexington AVS Office are the only users able to add comments using the evaluation report function key. Users are restricted to adding/updating comments/reasons for their respective organizational titles. (For example, the RA's can only provide comments/reasons in the SRA data field. They would not be able to provide feedback in the OSMRE data field.)

- 1) Select **EVALUATE AN APPLICATION OR ENTITY** from Main Menu and press [ENTER];
- 2) Enter State code;
- 3) Press [TAB] and enter application number;
- 4) Press [F2];
- 5) Use arrow keys, if applicable, to select appropriate application sequence and press [F7];
- 6) Application evaluation report screen will appear;
- 7) Use space provided to enter analysis results. Press [F5] to save;
- 8) A message will appear "Record updated successfully."
- 9) Press [ENTER];
- 10) Press [F4] to quit to Main Menu.

SECTION H: OPERATORS/CONTRACTORS/CONTROLLERS

PERMIT SPECIFIC RELATIONSHIPS

The following relationships are all application/permit specific and are not a part of a permittee's organizational family tree:

- Operator
- Contractor
- Controller
- Mineral Controller
- Financial Controller
- Auger Operator

These relationships must be loaded into AVS on an application/permit, not on the applicant's organizational family tree. These business organizations should have their own OFT.

VIEW PERMIT SPECIFIC RELATIONSHIPS

The process for viewing Permit Specific Relationships is the same for both View Only and Full Maintenance Users.

Permit specific relationships may be viewed in several different ways. The following procedure is one way to view these relationships.

- 1) Select APPLICATION/PERMIT MAINTENANCE from the Main Menu and press [ENTER];
- 2) Enter State code;
- 3) Enter Permit No. or Appl. No. And press [F2];
- 4) Press [F7];
- 5) If more than one sequence exists, use arrow keys to highlight the sequence you wish to view and press [ENTER];
- 6) Permit or application information will appear for viewing;
- 7) Press [F4] to quit to Main Menu.

ADD PERMIT SPECIFIC RELATIONSHIPS

- 1) Select APPLICATION/PERMIT MAINTENANCE from Main Menu and press [ENTER];
- 2) Enter State code;
- 3) Enter Permit No. or Appl. No. and press [F2];
- 4) Press [F7];
- 5) If more than one sequence exists, use arrow keys to highlight the sequence on which you want to add a relationship and press [ENTER];
- 6) Press [TAB] until you reach the "Desc" field in permit specific relationship box;
- 7) Press [F6] to insert a new relationship;
- 8) Enter appropriate relationship description code and press [TAB];
- 9) Enter entity id number or name of the relationship you are adding and press [ENTER];

***NOTE:** If a name or partial name is entered, a list of matching entities may appear. Select appropriate entity using arrow keys and press [ENTER].

- 10) Enter the begin date (mmddyr) and press [ENTER];
- 11) Enter the end date (mmddyr), if applicable, press [ENTER];

***NOTE:** An ending date should only be entered after a permit specific relationship has ended.

- 12) Press [F5];
- 13) A message will appear "Update Successful." Press [ENTER];
- 14) Press [F3] three times to quit to Main Menu.

UPDATE PERMIT SPECIFIC RELATIONSHIPS

- 1) Select APPLICATION/PERMIT MAINTENANCE from Main Menu and press [ENTER];
- 2) Enter State code;
- 3) Enter Permit No. or Appl. No. and press [F2];
- 4) Press [F7];
- 5) If more than one sequence exists, use arrow keys to highlight the sequence you wish to update the permit specific relationship information and press [ENTER];
- 6) Press [TAB] until you reach the "Desc" field in permit specific relationship box;
- 7) Make necessary updates as needed;

***NOTE:** When cursor is in permit specific relationship box, press [ENTER] to move around the various fields.

***NOTE:** An ending date should only be entered after a permit specific relationship has ended.

- 8) Press [F5];
- 9) A message will appear "Update Successful," press [ENTER];
- 10) Press [F4] to quit to Main Menu.

DELETE PERMIT SPECIFIC RELATIONSHIPS

- 1) Select APPLICATION/PERMIT MAINTENANCE from Main Menu and press [ENTER];
- 2) Enter State code;
- 3) Enter Permit No. or Appl. No. And press [F2];
- 4) Press [F7];
- 5) If more than one sequence exists, use arrow keys to highlight the sequence on which you wish to delete a permit specific relationship and press [ENTER];
- 6) Press [TAB] until you reach the "Desc" field in permit specific relationship box;
- 7) Cursor must be placed in "Desc" field of the entity you wish to delete. Press [F7] to delete the permit specific relationship. CAUTION: Do not press [F8] instead of [F7] as [F8] will delete the entire permit or application, not just the permit specific relationship.

***NOTE:** If there is more than one permit specific relationship listed, you will have to press [ENTER] until you reach the Desc. Field of the entity you wish to delete.

- 8) A message will appear, "Update Successful." Press [ENTER];
- 9) Press [F4] to quit to Main Menu.

ADD A REBUTTAL OR FINAL AGENCY DECISION HOLD CODE (AVSO ONLY)

The REB code is used to identify entities that have successfully rebutted an ownership/control link.

The FAD code is used to identify entities that have been issued a written final agency decision upholding an ownership/control link.

The ability to add a rebuttal or final agency decision code to an application/permit is restricted to AVSO; however, state regulatory authorities may request these codes be entered on an application/permit by contacting an AVS User Liaison at (800) 643-9748.

To add REB/FAD code to the Application/Permit:

- 1) Select APPLICATION/PERMIT MAINTENANCE from the Main Menu. Press [ENTER];
- 2) Enter the State code, permit number and press [F2];
- 3) Press [F7];
- 4) If more than one sequence exists, use arrow keys to highlight the appropriate sequence and press [ENTER];
- 5) Press [TAB] until you reach the "Hold" column of the permit specific relationship that requires a REB or FAD code and type in appropriate code;
- 6) Press [F5] to save. A message will appear "Update successful." Press [ENTER].
- 7) Press [F4] to quit to Main Menu.

DELETING A REBUTTAL/FINAL AGENCY DECISION HOLD CODE
(AVSO ONLY)

The ability to delete a rebuttal or final agency decision code from an application/permit is restricted to AVSO; however, state regulatory authorities may request these codes be deleted from an application/permit by contacting an AVS User Liaison at (800) 643-9748.

- 1) Select APPLICATION/PERMIT MAINTENANCE from the Main Menu. Press [ENTER];
- 2) Enter the State code, permit number and press [F2];
- 3) Press [F7];
- 4) If more than one sequence exists, use arrow keys to highlight the appropriate sequence and press [ENTER];
- 5) Press [TAB] to reach HOLD CODE you wish to delete. Using your space bar, space over the existing code. The code will disappear;
- 6) Press [F5] to save. A message will appear "Update successful." Press [ENTER];
- 7) Press [F4] to quit to the Main Menu.

SECTION I: MSHA R31 QUERY

The MSHA R31 query option is not an AVS database. The information in the Mine Safety and Health Administration (MSHA) database is maintained by the Department of Labor and updated in AVS on a monthly basis.

The information contained in this database includes mine status, type of mine, operator/controller ID numbers, and beginning and ending dates of an MSHA ID. It is important to recognize that codes and descriptions of operators/controllers used by MSHA do not necessarily have the same meaning as applied by AVS. The operator/controller ID numbers are not AVS related and are only used to access other MSHA databases.

There are two ways to retrieve information from the MSHA R31 database. You can conduct a search by a particular MSHA legal ID number or conduct a search by using a company/individual name.

Doing a query by MSHA legal ID number will allow the user to view the history of all operators/controllers which have held that MSHA ID number.

QUERY MSHA R31 INFORMATION BY MSHA ID NUMBER

- 1) Select MSHA R31 QUERY from Main Menu and press [ENTER];
- 2) Enter MSHA ID number and press [F2];
- 3) A listing will appear of all individuals/companies that have been associated with that MSHA ID number;
- 4) Use arrow keys to select appropriate controller/operator you wish to view and press [ENTER];
- 5) MSHA information will appear for viewing;
- 6) Press [F4] twice to quit to Main Menu.

QUERY MSHA R31 INFORMATION BY NAME

- 1) Select MSHA R31 QUERY from Main Menu and press [ENTER];
- 2) Press [TAB] and enter company name or individual name and press [F2];
- 3) A listing will appear of all individuals/companies that match your specified search criteria. Use arrow keys to select appropriate entry you wish to view and press [ENTER];
- 4) MSHA information will appear for viewing;
- 5) Press [F4] twice to quit to Main Menu.

SECTION J: DATA ENTRY STANDARDS

This section of the AVS Users Guide is designed to provide guidance to users as they prepare to enter data into the AVS and presents data entry standards, developed by OSM. Proper use of the data entry processing concepts will minimize data entry errors and omissions.

General Information

Each SRA should refer to their respective MOU agreements and their regulations concerning their use of the AVS. Highlighted below are some terms of agreement concerning data to be entered into AVS.

- o Review the ownership and control information in an application for completeness using available automated and manual data sources. Some examples of automated sources include State databases and the MSHA R31 query option in AVS. Examples of manual sources may include documents on file with Secretary of State and MSHA Legal Identity Reports.
- o Determine whether the ownership/control information for the permit application, the identity of the on-site operator and the ownership/control information for the operator is complete prior to querying AVS.
- o Notify the applicant of any potential omissions or inaccuracies in the ownership/control information as listed on the application, for the applicant and on-site operator as identified. All questions should be resolved and updated concerning the ownership/control information provided by the applicant before a final decision is made on the permitting action.
- o Update AVS within thirty days of a decision on a permit application (including unconditional issuance, conditional issuance, or denial of the permit) or within thirty days of the applicant's withdrawal of the application.
- o Enter and update information in AVS in a timely manner, within thirty days of receipt of new or updated ownership/control data for applicants, permittees, operators or controllers.

CREATING A NEW ENTITY

General Standards

1. **Before creating a new entity in the AVS, use the Entity Maintenance Option and check to see if the entity already exists in the system. While searching, use short character strings and variations in spellings. For an individual, you might search the system under the first and last name. Also, if available, check to see if EIN or SSN provided is already used in the AVS by searching in the EIN/SSN search option F(11) in Entity Maintenance.**
2. **When entering a new entity in the system, utilize the entire legal name for the company or individual. For a company, this might include the use of a definite article as in the case of "The Coastal Corporation," which is the legal name of the entity.**
3. **Sole Proprietorships: In the case of a sole proprietorship, two entities should be created. One entity should be for the sole proprietorship and one for the individual owner. The individual entity should then be included on the company OFT (organization family tree) as an owner (OWN) of the sole proprietorship.**

Example: David A. Johnson (sole proprietorship). The entire name should be entered as such on the "LAST NAME/CO" field.

Johnson, David A. (individual). Johnson should be entered on the "LAST NAME/CO" field; David on the "FIRST NAME" field; and A should be entered in the "MID" field.

4. **Individual Name Changes: If an established entity in the AVS for an individual incurs a name change (due to marriage, divorce, etc.), do not create a new entity. Instead, update the existing entity to reflect the current name and enter a comment in the comment field about the entity's name change.**

Example:

**Existing entity id: 122016
Last name: Diamond-Sanders
First name: Becky**

Becky divorces and now goes by her maiden name "Becky Sanders"

AVS should be updated as follows:

**Entity id: 122016
Last Name: Sanders
First Name: Becky
Comment field: Formerly went by the name "Becky Diamond-Sanders"**

5. **Company Name Changes and Mergers in AVS:** 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. The comment field in the entity record for the company should also be used to record the name change or merger activity. All owners/controllers would have ending dates established for the "old" company and you would re-enter owner/controller information with begin dates for the "new" company. All permits would be transferred from the "old" company to the "new" company using A/R/Ts.

A link should be left between the old company and the new for correct violation associations. All active permits in the old company name should be transferred in AVS to the new company.

Example:

Old Coal Co.			New Coal Co.		
	<u>Begin</u>	<u>End</u>		<u>Begin</u>	<u>End</u>
New Coal Co. SH	1/1/97				
John Doe PRS		1/1/97	John Doe PRS	1/1/97	
Sara Smith SEC		1/1/97	Sara Smith SEC	1/1/97	
Comment: Name changed to New Coal Co. 1/1/97.			Comment: Old Coal Co. changed name to New Coal Co. 1/1/97.		

Lock:

Entity ID :

Mode: ADD

Last Name / Co. : SMITH SR

First Name : MICHAEL

Mid : N

Alias :

EIN or SSN : 400000000

Comments :

Address Details

Addresses retrieved :

Street	City	St	Zip	Phone
PO BOX U10689	PARIS FRANCE	FN	99999	

SAVE(F5)

INS_ADDR(F6)

DEL_ADDR(F7)

PRV_SCR(F3)

QUIT(F4)

CHOICES(F10)

CREATING A NEW INDIVIDUAL IN THE AVS

General: Do not use any punctuation in Name, Address, EIN/SSN Fields

- LAST NAME/CO:** This field should contain the last name of the individual. In addition to the surname, this field should contain identifiers such as Junior, Senior, II, etc.

Professional titles (Dr., PhD., CPA) should not be used.

Conventional titles (Mr., Mrs., Ms.) should not be used.

Hereditary titles (Lord, Sir) should not be used unless they are part of the person's legal name.

- FIRST NAME:** This field is for the first name of an individual.
- MID:** This field is for the middle name or initial of an individual.
- ALIAS:** This field may be used for another name an individual may be known as such as a maiden name. This is not a required field.
- EIN OR SSN:** This field is for an individual's social security number. Do not enter dashes or spaces. This is not a required field. If available, enter the social security number as these numbers provide a simple method to distinguish between entities which have the same or similar names.
- COMMENTS:** This field is designed to give users a place to record a comment about the entity. For example, if an individual has had a legal name change, i.e., marriage, it would be appropriate to enter a comment referring to the original name in this section. This is not a required field.

7. **STREET:** This field should contain the individual's street address. In the case of an individual with a foreign address, the street address as well as any postal codes (PO Box) should be entered in this field.
8. **CITY:** This field should contain the name of the city where the individual lives. In the case of a foreign address, the city and country of the address both should be entered in this field.
9. **STATE:** This field should contain the two letter U.S. Postal Service abbreviation for the State. If the address is in a foreign country, the abbreviation FN (foreign nation) should be used in this field.
10. **ZIP:** This field should contain the zip code for the individual. The number 99999 should be entered for a foreign address.
11. **PHONE:** This field should contain the area code and phone number of the individual. The phone number should be entered without dashes or spaces. This is not a required field.

Lock:

Entity ID :

Mode: ADD

Last Name / Co. : RED BARN COAL CO INC

First Name : Mid :

Alias :

EIN or SSN : 123456789

Comments : FORMERLY KNOWN AS RED BARN COAL COMPANY

Address Details

Addresses retrieved :

Street	City	St	Zip	Phone
135 HIGH ST	SALT LAKE CITY	UT	12345	8013986701

SAVE(F5)

INS_ADDR(F6)

DEL_ADDR(F7)

PRV_SCR(F3)

QUIT(F4)

CHOICES(F10)

CREATING A NEW COMPANY IN THE AVS

General: Do not use any punctuation in the Name, Address, or EIN/SSN Fields

1. **LAST NAME/CO:** This field should contain the entire legal name of the company. Do not use abbreviations. Certain words such as "Incorporated" have abbreviations which are automatically entered by the system.
2. **ALIAS:** This field may be used for another name a company may be known as, such as a dba (doing business as) name. This is not a required field.
3. **EIN OR SSN:** This field is for a company's employer identification number. Do not use dashes or spaces. This is not a required field.
4. **COMMENTS:** This field is designed to give users a place to record a comment about the entity. For example, if a company undergoes a legal name change, it would be appropriate to enter a comment referring to the original company name in this section. This is not a required field.
5. **STREET:** This field should contain the company's street address. In the case of a company with a foreign address, the street address as well as any postal codes (PO Box) should be entered in this field.
6. **CITY:** This field should contain the name of the city where the company is incorporated or does business. In the case of a foreign address, the city and country of the address both should be entered in this field.
7. **STATE:** This field should contain the two letter U.S. Postal Service abbreviation for the State. If the address is in a foreign country, the abbreviation FN (foreign nation) should be used in this field.

8. **ZIP:** This field should contain the zip code for the company. The number 99999 should be entered for a foreign address.
9. **PHONE:** This field should contain the area code and phone number of the company. The phone number should be entered without dashes or spaces. This is not a required field.

CREATING AN ENTITY OFT
(ORGANIZATIONAL FAMILY TREE)

General Standards

- 1. All new entities added to AVS should be associated with an existing OFT or added as a part of a newly established entity OFT.**
- 2. Permit specific relationships as defined in 30 CFR 773.5, such as operators, financial controllers and mineral controllers, are not part of an OFT. They should be associated with specific applications/permits. However, these entities must have their own ownership or control information.**
- 3. Prior to entering a permit application or making an amendment, renewal or transfer to an existing permit, all users should compare ownership information on the application to ownership and control information in AVS.**
- 4. Should any additions or changes be made to an entity OFT (i.e., end dates, adding a new officer to an OFT), any violation OFT linked to that entity OFT must be rebuilt to process the new data. These VOFTs are rebuilt nightly. If you need a VOFT rebuilt immediately, please contact your AVS User Assistance Liaison to rebuild the violation OFT. Failure to do so may cause an inaccurate AVS system recommendation.**
- 5. The Lexington AVS Office will perform maintenance of entity OFTs for all interstate companies. An interstate company is any business entity that has coal mining permits in more than one State. In cases where a parent company is an interstate company or where any subsidiary is an interstate company, the AVS Office will be responsible for performing such entity OFT maintenance.**
- 6. The Regulatory Authorities shall maintain the entity OFTs for all intrastate companies. An intrastate company is any business entity that has coal mining permits in only one State.**

LOCK : MODE : UPDATE

Entity	:	143411 (RED DEVIL COAL RESERVES)
Related Entity	:	143412 (WEE DIG COAL CO)
Description	:	SH Shareholder (Owning 10% or More)

Begin Date	:	05/08/92
End Date	:	
Percent Owner	:	100
Source	:	trnky01
Hold Code	:	
Hold Source	:	

SAVE(F5)

DELETE(F8)

PRV_SCR(F3)

QUIT(F4)

ENTITY(F6)

CHOICES(F10)

BUILDING AN ENTITY OFT

1. **ENTITY:** This field should include the entity identification number of the entity OFT being built.
2. **RELATED ENTITY:** This field should include the entity identification number of the individual or company, as defined in 30 CFR 773.5, that owns or controls the subject entity.
3. **DESCRIPTION:** This field should contain the description code that best describes that entity's title within the business structure. A listing of authorized relationship description codes appear in Appendix 1 of the Appendices Section of this Users Guide. To retrieve a list of the relationship descriptions codes in AVS press F(10). Select the appropriate code and press enter.
4. **BEGIN DATE:** This field should be used to record the actual date that this specific ownership or control relationship began. The begin date should be entered month/day/year. In the absence of information on the actual date from sources such as contracts and corporate minutes, the user can use the earliest date on which the relationship is known to exist or leave it blank.
5. **END DATE:** This field should be used to record the actual date that an entity ended this specific ownership or control relationship. Ending dates should be entered month/day/year. Ending dates for an entity should remain blank in the OFT until acceptable documentation is provided to indicate that a relationship no longer exists. End dates cannot pre-date date of entry.
6. **PERCENT OWNER:** This field should be used to record the percentage of ownership and should only be used if an entity has been defined as a shareholder. An entity identified as a shareholder must also own more than 10% of the total shares to be considered an owner.

7. **SOURCE:** This field is automatically filled in by the system with the AVS login identification number of the individual who is entering the data. The source will not appear until the record has been saved.
8. **HOLD CODE:** This field is restricted for use by the Lexington AVS Office only. Any user requesting the use of the REB or FAD code on an entity OFT should contact their AVS User Assistance Liaison.

The REB code is used for entities that have successfully rebutted an ownership/control link. The entity will remain on the OFT but the REB code will exclude that entity from the linkage process on that specific OFT.

The FAD code is used for entities where an agency decision has upheld the ownership/control link. This code is for informational purposes. If any Regulatory Authority would like a copy of an agency decision, please contact your AVS User Liaison.

9. **HOLD SOURCE:** This field is automatically filled in by the system with the AVS login identification number of who performed the data entry. The source code will not appear until the record has been saved.

APPLICATION AND PERMIT RECORDS

Introduction

The AVS is a nationwide database that contains information on surface coal mining applications and permits; including permit amendments, renewals, and transfers; operators; contractors; and a range of ownership and control information.

At the heart of AVS are the application and permit records which are entered and maintained by the appropriate Regulatory Authorities. However, data storage is only a small part of what AVS does with the application, permit and related records. The ownership and control information in the application and permit records and their appended records are critical to the "matching scheme" -- the programming evaluates applicants against permits with violations and violation time frames.

For AVS to perform effectively, these application and permit records must be accurate and current. The creation and maintenance of these records must be performed in accordance with established procedures. A pending application is submitted to the regulatory authorities and, once the RA determines it to be administratively complete, the application is entered into the AVS (within 30 days). Once the RA has completed their technical review, another entry is made in AVS, the permit record.

The existence of a permit record indicates that a permitting decision has been made on an application and a permit has been issued. The permit record contains the permit issue date and is a record of the status of the performance bond. You can think of the permit record as the starting point for post-issuance permitting activity, including amendments, renewals, and transfers as well as changes in the bond status.

We recommend that the Regulatory Authorities evaluate each permit application in AVS on at least two occasions. The first OSM data evaluation report should be requested for a pending application soon after the application record has been created and relevant ownership or control information has been entered or updated in AVS. Another OSM data evaluation report should be requested within five business days prior to issuing a permit. This should be done as changes in ownership, control and status of violations may occur which can significantly alter the results of the first evaluation.

State : OH	Appl No : U0738/1	SeqNo : 0
Applicant : 143412 (DOMAN CONSTR LLC)		

Application Data

Mine Name	: BLACK HOLE #3	
County	: MADISON	
Status	: I	Appl Type : A
		Indian Land : N
Action Date	: 03/12/1998	Mine Life : 5
		MSHA IDs 0100000
Prev Appl No :	(1)	
Acres	: 100.00	Lat/Long : 37°34'49" / 082°46'10"

Desc	Entity (OPR, B6, CON, ...)	Beg Date	End Date	Hold	Hold Src	Source
OPR	093844 (SHAG CONSTR CO)	03/02/1992		FAD	trnky01	trnky01
OPR	012345 (XYZ COAL CO)	03/02/1992	03/31/1992	REB	trnky01	trnky01

SAVE (F5) DELETE (F8) ENTITY (F11)
OFT (F2) PRV_SCR (F3) QUIT (F4) PERMIT (F9) CHOICES (F10)

Following are required data and standard definitions for the data elements in the application record:

BUILD APPLICATION RECORD

- STATE CODE:** The State Code field is encrypted into the AVS software used by the States and cannot be changed. Federal permitting authorities in charge of permitting Federal land do not have a State Code encrypted. If this applies, enter the two letter U.S. Postal Service abbreviation for the State (where the permit is being issued).
- APPLICATION NUMBER:** This field is used for the identifying number assigned to an application for a surface coal mining permit by the regulatory authority.
- SEQNO:** AVS assigns a sequence number to an application record when it is created. It is critical to system performance that the sequence number is correct. For new applications, the sequence number is always zero. If the application is an amendment or renewal of a permit already held by the permittee or a transfer of a permit from one permittee to another, the sequence number cannot be zero, it must always be greater than zero.
- APPLICANT:** Enter the applicant entity identification number or name. This is a required field.
- MINE NAME:** Enter the mine name if available. This is not a required field.
- COUNTY:** Enter the name of the county where the mine is located. If a permitted area extends across more than one county, you may enter all county names. Previously, this data field was used to identify the location of

the hard copy of the application/permit file. This is not a required field.

7. **STATUS:** The application status is a required field. Enter the status code P for "pending" for a new application. Update the application status once it is approved or conditionally approved and a permit is issued. Alternatively, if the application is rejected, returned or withdrawn, enter the applicable status code. Definitions of all application status codes are listed in Appendix 2 under the Appendices Section of this Users Guide. In AVS, press F(10) choices for a list of the available status codes.
8. **APPL TYPE:** Enter the correct application type. This is a required field. Definitions of the codes for application type are listed in Appendix 2 under the Appendices Section of this Users Guide. In AVS, press F(10) choices for a list of the codes.
9. **INDIAN LAND:** This field is encrypted in the AVS software as "N" which indicates that Indian Land is not part of the application/permit area. Any user can change the "N" to "Y" to indicate Indian Land.
10. **ACTION DATE:** This field is encrypted in the AVS software. This is the most recent date the application record was updated.
11. **MINE LIFE:** This field is used to define the life of the permit (i.e., 5 years). If left blank, "0" will be automatically entered as a default value. This is not a required field.
12. **MSHA IDS:** MSHA IDENTIFICATION NUMBERS are numbers assigned by the Mine Safety and Health Administration, U.S. Department of Labor, usually to a minesite. Every application in AVS should have at least one associated MSHA identification number. Enter the MSHA identification number(s) without any dashes.
13. **PREV APPL NO:** This field is automatically filled in by the system with the application number from which the pending application is being built. A new application should not have a previous application number.
14. **ACRES:** This field is to be used to enter the total acres to be permitted. This is not a required field.
15. **LAT/LONG:** This field is to indicate the proposed location of the operation. Enter the degrees, minutes and seconds. This is not a required field.
16. **DESC:** This field is to be used to enter the description code of any permit specific relationships for the proposed application. A permit specific relationship may include operators, contractors, mineral controllers, financial controllers and general controllers as defined at 30 CFR 701.5. Other permit specific relationships include agents and non-mineral controllers, which are used for informational purposes only. For more information on permit specific relationships, refer to Section H of your AVS Users Guide. In AVS, press F(10) choices for a listing of description codes.

A non-mineral controller is a mineral owner or entity who has the right to mine through leases, contracts and must also meet the following criteria: (1) own and/or lease 10% or greater of the mineral estate for a given permit (2) is not known to meet the criteria established under 30

CFR 701.5 and (3) has a high potential for being in the coal business.

All known permit specific relationships must be entered in this field when the application is created with the exception of an agent or non-mineral controller. If no operator is identified in the application, enter the applicant as the operator. If more than one permit specific relationship is submitted for approval in the application, you should enter all proposed relationships (example: multiple operators).

NOTE: Permit specific relationships will only be associated with violations that occur on that permit during the time they were associated with the permit (begin/end dates).

If an operator different from the applicant is submitted for approval after permit issuance, then the change of operator should be treated as a permit revision and processed in AVS as an amendment.

- 17. **ENTITY:** Enter the entity identification number of the permit specific relationship.
- 18. **BEG DATE:** Enter the beginning date for the permit specific relationship. Enter the earliest known date that the permit specific relationship began on the site. Begin date should be entered month/day/year.
- 19. **END DATE:** When a permit specific relationship ceases activity on a minesite, the ending date for that relationship should be promptly entered. Ending date should be entered month/day/year. End dates cannot pre-date the date of entry.
- 20. **HOLD:** This field is restricted for use by the Lexington AVS Office only. Any user requesting the use of the REB or FAD code on a permit specific relationship should contact their AVS User Assistance Liaison.

The REB code indicates the permit specific relationship has been successfully rebutted. The permit specific relationship will remain on the permit and application in AVS, but the REB code will exclude that entity from any violation linkage process involving that permit.

The FAD code indicates the permit specific relationship has been upheld in an agency decision. This code is for informational purposes. If any Regulatory Authority would like a copy of an agency decision, please contact your AVS User Assistance Liaison.

- 21. **HOLD SOURCE:** This field is automatically filled in by the system with the AVS login identification number of who performed the data entry. The source code will not appear until the record is saved.
- 22. **SOURCE:** This field is automatically filled in by the system with the AVS login identification number of the individual who input the permit specific relationship. The source will not appear until the record has been saved.

State : OH	Permit No : U0738/1	SeqNo : 0
Appl No : U0738/1		
Permittee : 143412 (DOMAN CONSTR LLC)		

Permit Data

Issue Date : 03/01/1992	Previous Permit No :
Expiration Date : 05/02/1996	Total Acres Permitted : 100.00
Bond Status : A	
Bond Forfeiture Date :	MSHA IDs 0100000 Suspend: N
Bond Forfeiture Amount : \$0.00	(1) Revoke: N

Desc	Entity (OPR, B6, CON, ...)	Beg Date	End Date	Hold	Hold Src	Source
OPR	093844 (SHAG CONSTR CO)	03/02/1992		FAD	trnky01	trnky01
OPR	012345 (XYZ COAL CO)	03/02/1992	03/31/1992	REB	trnky01	trnky01

SAVE (F5) DELETE (F8)
 ENTITY (F2) PRV_SCR (F3) QUIT (F4) APPL (F9) CHOICES (F10)

Following are criteria for building a permit record, including required data and standard definitions for the data elements in the permit record.

BUILD A PERMIT RECORD

1. **STATE CODE:** The State Code in the permit record is automatically retrieved by AVS from the application record.
2. **PERMIT NO:** This is a required field. The Permit Number entered should conform to the conventions established by the State creating the permit record. In some States the application number and the permit number are the same and in some States they differ. This field will allow the use of punctuation, such as dashes, slashes, etc.
3. **SEQNO:** The sequence number is automatically retrieved by AVS from the application record.
4. **APPL NO:** The application number is automatically retrieved by AVS from the application record.
5. **PERMITTEE:** AVS will automatically retrieve the permittee entity identification number and name from the application record. The permittee will always be the same as the applicant identified in the application record.
6. **ISSUE DATE:** The date entered in this field should be the date of permit issuance for new, special or interim permits. Enter the date month/day/year.

AMENDMENT/RENEWAL DATE: Enter the issue date related to the amendment or renewal. This will more accurately record the history of the permit.

TRANSFER DATE: Enter the date the transfer is approved or the date the transfer permit is issued.

7. EXPIRATION DATE:

The expiration date is the date the ORIGINAL permit is scheduled to expire. Enter the expiration date month/day/year.

RENEWALS: For renewals, permit expiration date should be extended to reflect the new permit expiration date. These transactions must be processed using A/R/T.

TRANSFERS: Do not change the expiration date on a transferred permit. However, prior to issuing the transferred permit in AVS, the expiration date for the previous sequence should be updated to reflect the day prior to the date of transfer.

Example:

	<u>Seq.</u>	<u>Application Type</u>	<u>Issue Date</u>	<u>Expiration Date</u>
Old Coal Co.	0	N	1-1-95	1-31-97*
New Coal Co. 1		T	2-1-97	1-1-2000

*This field was originally 1-1-2000

8. BOND STATUS: This is a required field. The bond status for all active permits should be "A" for active. When the status of a performance bond changes, promptly update using the status code for release (R), forfeited (F) or settlement (S), as appropriate.

9. BOND FORF. DATE: This field is to be used to record the date of bond forfeiture. Note: This date should reflect the date the bond forfeiture order is signed. After the bond forfeiture order is signed a chain of events normally occurs: bond company is notified of forfeiture; bond company agrees or disagrees with payment of the bond; bond company sends money to the State. These dates should not be used as the bond forfeiture date. Enter the date month/day/year.

10. BOND FORF. AMOUNT: This field is to be used to record the actual amount of the forfeited bond.

11. PREVIOUS PERMIT NO: Permit records for amendments, renewals or transfers also must contain the Previous Permit Number. AVS will automatically retrieve the previous permit number from the application record.

12. TOTAL ACRES PERMITTED: AVS will automatically retrieve the acres permitted from the application record.

13. **MSHA IDS:** AVS will automatically retrieve the MSHA IDs from the application record.
14. **SUSPEND/
REVOKED** This field is to be used to indicate whether a permit has been suspended or revoked and the date of such action.
15. **DESC:** This field is to be used to enter the description code of any permit specific relationships for the permit. AVS will automatically retrieve any permit specific relationships from the application record. For more information about permit specific relationships, refer to Build an Application Record, Item 16, on page J-14.
16. **ENTITY:** AVS will automatically retrieve this information from the application record.
17. **BEG DATE:** AVS will automatically retrieve this information from the application record.
18. **END DATE:** AVS will automatically retrieve this information from the application record.
19. **HOLD:** AVS will automatically retrieve this information from the application record.
20. **HOLD SOURCE:** AVS will automatically retrieve this information from the application record.
21. **SOURCE:** AVS will automatically retrieve this information from the application record.

CREATING VIOLATIONS IN AVS

Introduction

Violations contained in AVS currently consist of the following:

- **AML Fee violations,**
- **AML Audit Debt,**
- **CMIS (Federal civil penalties and unabated cessation orders),**
- **State Cessation Orders,**
- **State Civil Penalties,**
- **State Bond Forfeitures,**
- **Non-respondent violations (failure to submit OSM-1 form),**
- **EPA Clean Water Act Violations, and**
- **Suspended/Revoked permits**

Cessation Order Violation			
State Code	: OH		
Permit Number	: U0738/1	Permit Seq Number	: 0
Cessation Order Number		: 0032-870	

Violation Date(MMDDYY)	: 04/03/91	Violation Status	: A
State Viol Name:			
State EIN/SSN:			
Violator ID/Name:			

Permittee ID/Name	: 143412 (WEE DIG COAL CO)		
Permit Issue Date	: 03/01/92	Permit Expiration	: 05/02/96

SAVE(F5)

PRV_SCR(F3)

QUIT(F4)

ENTITY(F6)

PERMIT(F7)

CHOICES(F10)

Following this section is a table that illustrates how these violations get in AVS, how they are updated, and what violation date AVS establishes for each of these violations.

CREATING A STATE CIVIL PENALTY OR CESSATION ORDER

1. **STATE CODE:** The State code is the two letter postal abbreviation for the State name (where the violation is being issued). This is a required field.
2. **PERMIT NUMBER:** This field should contain the permit number on which the violation was written. This permit number must be identical to the permit number as it appears in AVS. If the permit number is unknown (i.e., a wildcat site), enter "NONE" in this field. This is a required field.
3. **PERMIT SEQ NUMBER:** This field should reflect the correct permit sequence number according to the AVS permit sequence and timeframe when the violation occurred. After selecting the correct sequence, AVS will automatically retrieve the information from the permit record.

Example:

Violation Date: January 10, 1994

Permit No: 123

Permittee		<u>Application Type</u>	<u>Issue Date</u>	<u>Expiration Date</u>
ABC Coal	Seq 0	New (N)	01/02/90	01/02/95
ABC Coal	Seq 1	Amendment (A)	03/04/93	01/02/95
XYZ Coal	Seq 2	Transfer (T)	12/06/93	01/02/95

Correct sequence - Permit No. 123, Sequence 2

NOTE: If incorrect sequence is selected, the AVS will match that permit information (o/c data) with the violation - thereby, linking the incorrect owners and controllers with the violation.

- 4. CESSATION ORDER OR CIVIL PENALTY NUMBER:** This field should contain the civil penalty or cessation order number as it appears on the violation. Utilize dashes, colons, etc., as appropriate. This is a required field.
- 5. VIOLATION DATE:** This field should contain the date of the violation and is entered month/day/year. For more guidance, please refer to the State Violation Table on page J-24. This is a required field.
- 6. VIOLATION STATUS:** This is a required field. This field identifies the status of the violation. The "A" code stands for active, unabated violations. The "C" code stands for conditional which denotes a settlement agreement, payment plan, or a violation under appeal. The "I" code stands for inactive and applies to any violations which have been resolved or abated.
- 7. STATE VIOL NAME:** This is not a required field. This field can be used to record the name of the party that is legally responsible for the violation (usually the permittee).
- 8. STATE EIN/SSN:** This is not a required field. This field can be used to record the employer identification number or social security number of the party responsible for the violation.
- 9. VIOLATOR ID/NAME:** This is a required field when the permit # entered in item 2 is "none". If required, this field should contain the entity identification number of the party that the regulatory authority considers responsible for the violation.
- 10. PERMITTEE ID/NAME:** There is no action required here by the user. The system automatically pulls this information from the permit record and sequence as selected in item number 2 and 3.
- 11. PERMIT ISSUE DATE:** There is no action required here by the user. The system automatically pulls the issue date from the permit record and sequence selected in item # 2 and 3.
- 12. PERMIT EXP. DATE:** There is no action required here by the user. The system automatically pulls the expiration date from the permit record where the violation occurred.

FEDERAL VIOLATION TABLE

AVS Description Code	Type of Violation	Date of Violation	Loaded or Updated in AVS	Source
AML	AML Fee	Last day of calendar quarter¹	Daily tape feed	OSM
AUD	AML Audit Debt	Last day of calendar quarter¹	Daily tape feed	OSM
NRSP	AML Non-Respondent to OSM-1	Last day of calendar quarter¹	Daily tape feed	OSM
CMIS	NOV (Civil Penalties)	Final order date	Daily tape feed	OSM
	Cessation Order (Failure to abate)	Inspection date of underlying NOV if still unabated (Issuance date)	Daily tape feed	OSM
	Cessation Order (Imminent Harm)	Inspection date (Issuance date) of Cessation Order if still unabated	Daily tape feed	OSM

¹ OSM is currently working towards establishing these dates as the “Date of Violation” for AVS Purposes.

STATE VIOLATION TABLE

AVS Description Code	Type of Violation	Date of Violation	Loaded or Updated in AVS	Source
STCO	State Cessation Order (Failure to Abate)	Date of issuance of underlying NOV	Occurs on-line within 30 days after State deems violation has occurred and after all appropriate court hearings have occurred and due process expired	State
STCO	State Cessation Order (Imminent Harm)	Date of issuance of Cessation Order		State
STCP	State Civil Penalty	Final order date or State equivalent		State
FORF	Bond Forfeiture	Date the bond forfeiture order is signed	Occurs on-line within 30 days of signed forfeiture order	State
SUSP	Suspended Permit	Date order is assigned	Occurs on-line within 30 days of signed order	State
REVK	Revoked Permit	Date order is assigned	Occurs on-line within 30 days of signed order	State

VIOLATION OFT

General Standards

A Violation Organizational Family Tree (VOFT) identifies all of the entities within an OFT who are associated with a surface mining violation. A violation usually enters AVS at the permit level. A VOF is simply a snapshot of who is on a permit record at the time of violation and thereafter. The VOF is built automatically from the entity OFT and permit specific ownership and control information in response to entry of a violation. VOFs for State violations are built on-line when the violation is created or updated. VOFs for Federal violations are built nightly from computerized tape feeds of violations. Any change in an entity OFT associated to a State or Federal violation will be updated nightly.

Information contained in the VOF can come from the following sources:

- a. the entity OFT
- b. the entity OFT and the permit record

The migration of the AVS to the Data General in October 1994, made manual loading of permit specific relationships to VOFs unnecessary. However, for violations which do not have a permit number, (i.e., some CMIS violations, and older AML and Audit debt) manual loading of permit specific relationships to VOFs is still required.

Note: Using the Violation OFT Maintenance option for manually building and updating VOFs is restricted to the users in the AVS Office only. Users requiring data management of VOFs should contact their AVS User Assistance Liaison.

Changes made to an entity OFT (i.e., an officer ends his association with a company) or the permit record (i.e., an operator ends its association with a permit) can directly affect any VOF linked to an entity or an application/permit record. The VOF is automatically rebuilt nightly to process these changes. If a user needs the VOF to be rebuilt immediately, please contact your AVS User Assistance Liaison, since VOFs can only be manually rebuilt by the AVS office.

Specific Coding for Violations – entered on the VOF:

1. **Settlement Code –** The settlement code is used to identify entities that have signed a settlement agreement with either OSM or the Regulatory Authority to settle violations contained in the AVS. Settlements can include either payment of monies or reclamation of sites. The settlement code is denoted by an “S” placed by the settled entity on the VOF. During the evaluation process, those entities with a settlement code will be listed in the Data Evaluation Report to assist the states with permitting decisions. The “S” code remains on the VOF until the settlement agreement is fully executed or the entity fails to comply with the settlement agreement. After the settlement is fully executed, the “S” code is replaced with the “E” code. If the entity fails to comply with the settlement agreement, simply remove the “S” code and the entity will again be permit ineligible.

2. **Exclusion Code – Indicated by an “E”, this code is used to identify entities that have settled in full their share of a particular violation, either related to monies owed or reclamation. In some cases this code can be used to exclude an entity from responsibility based on an ownership/control decision made by OSM or the Regulatory Authority. The violation itself will still remain in AVS, but the excluded entity will fall off the VOFT and will not be held responsible for the violation from which it has been excluded.**
3. **Temporary Relief Order Code – Indicated by a “T” preceding the entity on a VOFT. This code is used when a court awards a person or company protection from an adverse enforcement action, permitting decision, or other regulatory finding under a temporary relief order. During the evaluation process, those entities with a Temporary Relief Order code will be listed in the Data Evaluation Report to assist the states with permitting decisions. The “T” code will remain on the AVS until the court order expires.**
4. **Injunction Order Code – Indicated by an “I” preceding the entity on a VOFT. Refer to #3, Temporary Relief Order code for definition of when to use the code and other information.**

The ability to place codes on selected entities is restricted to use by the AVS Office. However, when a Regulatory Authority has the need to use one of these codes, please provide to your AVS User Assistance Liaison, documentation, i.e., settlement agreement, court order, etc. and an explanation as to how the document should be applied to the information in the AVS. For example: If the Regulatory Authority has entered into a settlement agreement with an individual (entity #123456) related to a violation (1234), the AVS Office would need a copy of the settlement agreement and a short explanation detailing a settlement code is requested on entity 123456 for violation #1234. The AVS Office would update the AVS and send a confirmation back to the Regulatory Authority. The Regulatory Authority should keep the AVS Office notified of any changes to the status of these requests.

SECTION K: OSM-1/402(c)

The OSM-1/402(c) database is an independent database and does not interact with the other AVS options. Data contained in this database is taken directly from information supplied by coal operators on quarterly OSM-1 forms called Coal Reclamation Fee Reports. Information contained in this database includes mineral owners, purchasers of coal and coal points of delivery. Only the last four quarters of data will be maintained in AVS. Information from other quarters may be made available in a hard copy report. Requests for such information should be directed to your AVS User Assistance Liaison by contacting 1-800-643-9748.

There are two ways to retrieve information from the OSM-1/402(c) database. You can conduct a search by permit number or search by entity name. If you decide to conduct a search using an entity name, it may generate an extensive list and can be very time consuming. These two searches may be further reduced inputting the State code and/or Year/Quarter.

QUERY OSM-1/402(c) INFORMATION BY PERMIT NUMBER

- 1) Select OSM-1/402(c) QUERY from Main Menu and press [ENTER];
- 2) Press [TAB] and type in permit number;
- 3) Press [F2] to begin search;
- 4) If more than one entry appears for viewing, using arrow keys, highlight the entry you wish to view and press [ENTER];
- 5) OSM-1/402(c) information will appear for viewing;
- 6) Press [F4] to quit to Main Menu.

QUERY OSM-1/402(c) INFORMATION BY ENTITY

- 1) Select OSM-1/402(c) QUERY from Main Menu and press [ENTER];
- 2) Press [TAB] three times and enter company name or individual name and press [F2];
- 3) If more than one entry appears for viewing, using arrow keys, highlight the entry you wish to view and press [ENTER];
- 4) OSM-1/402(c) information will appear for viewing;
- 5) Press [F4] to quit to Main Menu.

APPENDIX 1

AVS RELATIONSHIP DESCRIPTION CODES

ASC	ASSISTANT SECRETARY
AST	ASSISTANT TREASURER
CB	COMPANY - CHAIRMAN OF THE BOARD
CEO	COMPANY - CEO
CFO	CHIEF FINANCIAL OFFICER
COF	CORPORATE OFFICER
CON	COMPANY - CONTROLLER
COO	CHIEF OPERATING OFFICER
COP	COMPANY - COMPTROLLER
DIR	BOARD OF DIRECTORS
EVP	COMPANY - EXECUTIVE VICE PRESIDENT
GC	GENERAL COUNSEL
MBR	MEMBER - OWNER OF AN LLC
MER	COMPANY MERGER
MGR	MANAGER
NC	COMPANY NAME CHANGE
OWN	OWNER
PAR	PARTNER
PRS	COMPANY - PRESIDENT
SEC	COMPANY - SECRETARY
SH	SHAREHOLDER
SVP	SENIOR VICE PRESIDENT
TRS	COMPANY - TREASURER
TST	TRUSTEE
VP	COMPANY - VICE PRESIDENT
MBR	MEMBER

The Relationship Description Code list is accessible in AVS through the ENTITY OFT MAINTENANCE option by pressing [F10] for choices, highlighting Relationship Description Codes from the Help window, and pressing [ENTER].

AVS OWNERSHIP DESCRIPTIONS

The descriptors for owner (OWN), shareholder (SH) and partner (PAR) have been used interchangeably in the past.

The description code for Owner (OWN) is correctly used to describe the owner of a sole proprietorship.

Shareholder (SH) is correctly used to describe the owners of a corporation.

Partner (PAR) describes a member of a partnership or firm.

Corporate Officer (COF) is used to describe any entity in a corporation that has the ability to commit the corporation in applications to Federal, State or local governments, or in contracts, leases, etc. This description should only be used when the entity has no known title.

Member (MBR) is used to describe owners of a limited liability corporation.

Trustee (TST) should be used to describe court appointed trustees in bankruptcy cases.

APPENDIX 2

APPLICATION/PERMIT CODES

Application Status Codes

- H - Hold - Application process halted
- I - Issue - Application issued
- C - Condition - Application issued with conditions
- P - Pending - Application review ongoing
- R - Rejected - Application denied by issuing agency
- T - Returned - Application released to applicant
- W - Withdrawn - Application removed by applicant

Application Type Codes

- N - New
- R - Renewal
- T - Transfer
- A - Amendment
- S - Special - Could be used to define a reclamation permit, exploration permit, or a transfer of ownership/control where the permittee does not change.
- I - Interim*

Bond Status Codes

- A - Active
- F - Forfeited
- R - Released
- S - Settlement of Bond Forfeiture

*There are currently many interim permits loaded in the system. These interim permits are linked to outstanding violations. Even though there are no requirements to load interim permits not linked to outstanding violations into the system, someone could conduct an ownership/control investigation at any time that might link violations to an interim permit. If this occurs, the interim permit would need to be loaded into AVS, since AVS is a permit driven system.

APPENDIX 3

VIOLATION STATUS CODES/HOLD CODES/OTHER CODES USED BY AVS

<u>CODE</u>	<u>DEFINITION</u>
A	ACTIVE (UNABATED, NOT RESOLVED)
I	INACTIVE (RESOLVED OR ABATED)
C	CONDITIONAL ISSUE (CONTESTED, PAYMENT PLAN, SETTLEMENT, BANKRUPTCY)

HOLD CODES FOR FEDERAL CESSATION ORDERS AND CIVIL PENALTIES

<u>CODE</u>	<u>DEFINITION</u>
S	SETTLEMENT AGREEMENT
I	INFORMAL CONFERENCE
P	PENALTY HEARING PENDING (contests penalty or fact of the violation if no R Hearing was previously filed. Amount of penalty required in escrow.)
R	REVIEW HEARING PENDING (contests the fact of the violation only and must be filed within 30 days of violation issuance. No escrow required.)
B	IBLA HEARING PENDING (Appeal to Interior Board of Land Appeals.)
F	CASE IN COURT
O	OTHER

OTHER CODES USED BY THE AVS

REB CODE - The REB code is used for those entities that have successfully rebutted an ownership/control link. The REB code can be found on the ownership/control relationships on the OFT or the Application/Permit. The entity will remain in AVS on the OFT and/or the Application/Permit, but the REB code will exclude that entity from any violations linked to that specific OFT and/or Application/Permit.

FAD CODE - The FAD code is used for those entities that have been issued a written final agency decision upholding an ownership or control link. The FAD code can be found on the ownership/control relationships on the OFT or the Application/Permit.

EXCLUSION CODE - An exclusion code is denoted by an “E” code located in the left margin of the violation OFT. Entities that have completed settlements and/or payment of their share of the violation(s) will be processed through an exception menu that will exclude the entity from selected Violation OFT(s). When an entity has an exclusion code placed on it, the excluded entity will disappear from the selected Violation OFT(s). The "E" code cannot be used on direct violators. In these instances, the system has to be manually over ridden.

SETTLEMENT CODE - The settlement code is denoted by an “S” code located in the left margin of the violation OFT. An “S” code in Violation OFT(s) identifies individuals or companies linked to violations or debt and have executed a settlement agreement. The “S” code will remain on the AVS if the company/individual is in compliance with the settlement agreement or until the settlement agreement is completed.

TEMPORARY RELIEF ORDER CODE - A temporary relief order code is denoted by a “T” code located in the left margin of the violation OFT. The “T” code is used when a court awards a person or company protection from an adverse enforcement action, permitting decision, or other regulatory finding under a temporary relief order. The “T” code will remain on the AVS until the court order expires.

INJUNCTION ORDER CODE - An injunction order code is denoted by an “I” located in the left margin of the violation OFT. This code is used when a court awards a person or company protection from an adverse enforcement action, permitting decision or other regulatory finding by issuing an injunction. The "I" code will remain on the AVS until the injunction is lifted.

APPENDIX 4

AML/AUDIT BILL STATUS CODES

AML FEES BILL STATUS CODES IN AVS

- 01 - Billing is still in progress.¹
- 02 - Solicitor settlement agreement.²
- 03 - Fee Accounting and Collections Team East (FACT-E) payment plan agreement.²
- 04 - Referred to the Solicitor for collection.¹
- 05 - Referred to the U. S. Treasury for collection.¹
- 05A - Treasury Payment Plan.¹
- 06 - Referred to the U. S. Department of Justice (DOJ).¹
- 07 - Fee Accounting and Collections Team East (FACT-E) Inventory.¹
- 09A - Pre-petition bankruptcy.²
- 09B - Pre-petition bankruptcy.²
- 09C - Post-petition bankruptcy.¹
- 09D - Bankruptcy reorganization settlement agreement.²
- 09E - In default of bankruptcy settlement.¹
- 10 - Termination codes.¹

Reasons for Termination (These are subcodes not shown in AVS.)

- 11 - Inability to collect full amount.¹
 - 12 - Inability to locate debtor.¹
 - 13 - Cost will exceed recovery.¹
 - 14 - Compromise agreement.¹
 - 15 - Bankruptcy claim not discharged.¹
 - 16 - Statute of Limitations.¹
 - 20 - Lack of Litigation Potential.¹
 - 55 - Inability to collect (over two years)¹
 - 97 - Currently not collectable - all other¹
 - 98 - Currently not collectable - bankruptcy debt
(pre- and post-petition), over 2 years old.³
 - 99 - Currently not collectable - Solicitor referrals over 2 years old.¹
-
- 11 - Net worth determination ordered.¹
 - 12 - Awaiting Solicitor Approval for Reclassification.¹
 - 15 - NOV issued.¹
 - 18 - Payment Agreement initiated by DOJ.²
 - 20 - Awaiting DOJ approval.¹

¹Outstanding Debt

²Violation exists but bill status indicates one of the following actions has occurred: settlement agreement, payment plan, pre-petition bankruptcy.

³Violation exists but AVSO must determine whether bankruptcy debt is pre- or post-petition debt.

AML FEE STATUS CODES NOT IN AVS

- 00 - Non-delinquent debt, not billed.
- 00R - Delinquent Debt, not billed.
- 08 - Paid in Full.
- 16 - Delay in billing for unusual circumstances.

AUDIT BILL STATUS CODES IN AVS

- 01 - Billing is still in progress.¹
- 02 - Solicitor settlement agreement.²
- 03 - Fee Accounting and Collections Team East (FACT-E) payment plan agreement.²
- 04 - Referred to the Solicitor for collection.¹
- 05 - Referred to the U. S. Treasury for collection.¹
- 05A - Treasury Payment Plan.¹
- 06 - Referred to the U. S. Department of Justice.¹
- 07 - Fee Accounting and Collections Team East (FACT-E) Inventory.¹
- 09 - Pre-petition bankruptcy²
- 9A - Pre-petition bankruptcy.²
- 9B - Pre-petition bankruptcy.²
- 9C - Post-petition bankruptcy.¹
- 9D - Bankruptcy reorganization settlement agreement.²
- 9E - In default of bankruptcy settlement.¹
- 10 - Termination codes.¹

Reasons for Termination (These are subcodes not shown in AVS.)

- 11 - Inability to collect full amount.¹
 - 12 - Inability to locate debtor.¹
 - 13 - Cost will exceed recovery.¹
 - 14 - Compromise agreement.¹
 - 15 - Bankruptcy claim not discharged.¹
 - 16 - Statute of Limitations.¹
 - 20 - Lack of Litigation Potential.¹
 - 55 - Inability to collect (over two years)¹
 - 97 - Currently not collectable - all other¹
 - 98 - Currently not collectable - bankruptcy debt
(pre- and post-petition), over 2 years old.³
 - 99 - Currently not collectable - Solicitor referrals over 2 years old.¹
-
- 11 - Net worth determination ordered.¹
 - 12 - Awaiting Solicitor Approval for Reclassification.¹

¹Outstanding violation.

²Violation exists but bill status indicates one of the following actions has occurred: settlement agreement, payment plan, pre-petition bankruptcy.

³Violation exists but AVSO must determine whether bankruptcy is pre- or post-petition debt.

- 14 - Good faith settlement negotiations with Solicitor's Office.²
(45-day conditional issue)
- 15 - NOV issued.¹
- 18 - Payment Agreement initiated by DOJ.²
- 20 - Awaiting DOJ approval.¹

AUDIT BILL STATUS CODES NOT IN AVS

- 00 - Non-delinquent debt, not billed.
- 08 - Paid in Full.
- 16 - Audit awaiting appeal.
- 17 - Audit appealed.

CODES USED IN AML, AUDIT, AND FEDERAL CITATION DATA BASES

For user with access to other Federal databases. Knowledge of these codes is useful in the research of Federal violations.

NON-BLOCKABLE TERMINATION CODES

- 13 - Cost will exceed recovery; where principal due less than \$200.00.
- 21 - Claim without legal merit.
- 22 - Claim cannot be substantiated by evidence.
- 23 - Bankruptcy.
- 24 - Fee due as a result of rounding.
- 25 - Settlement Agreement.
- 26 - Fee Due less than \$30.00.
- 27 - Fee due between \$30.00 and \$199.00.
- 28 - Termination due to conversion.
- 30 - Compromise of debt – CPACS only. (AML citation compromise agreements only.)
- 51 - Collection agency write-off.
- 52 - Fees less than \$600.00 from quarters with termination dates earlier than 15 August 87.

BLOCKABLE TERMINATION CODES USED IN FEDERAL CITATION DATABASE

The termination codes will not be seen in AVS but the Federal Notice of Violation and/or Cessation order will appear in AVS.

- 16 - Statute of Limitations. Citation sent to AVS.
- 20 - Lack of litigation potential. Citations sent to AVS.

¹Outstanding violation.

²Violation exists but bill status indicates one of the following actions has occurred: settlement agreement, payment plan, pre-petition bankruptcy.

³Violation exists but AVSO must determine whether bankruptcy is pre- or post-petition debt.

PERMIT STATUS CODES (AML)

- A - New add by AVS.**
- B - New add (Requested by Industry) Not in AVS or OSM - 1/402c.**
- C - New add (Requested by Industry) Issued in AVS, not in OSM - 1/402c.**
- D - New Add (Requested by Industry) Expired in AVS, Not in OSM - 1/402c.**
- E - New Add (Requested by Industry) Application pending in AVS.**
- F - New Add (Requested by Industry) Permit record in AVS showing Temporary Cessation or Not Start status.**
- G - Reactivated by AVS.**
- H - Inactivated (Requested by Industry) Copy of State inspection Report has been received from the company.**
- I - Inactivated by AVS - DFM does not have a copy of State Inspection Report.**
- J - Permittee change (Requested by Industry) Permit transfer not in AVS.**
- K - Permittee change (Requested by Industry) Permit transfer is in AVS but is not in OSM - 1/402c.**
- L - Operator Change (Requested by Industry) Change is not in AVS or OSM - 1/402c.**
- M - Change Permit Number (Requested by Industry) AVS and OSM - 1/402c are incorrect.**
- N - Change MSHA ID (Requested by Industry) AVS and OSM - 1/402c are incorrect.**
- O - Resequence MSHA Master Entity Change.**
- P - New add Msha tape comparison.**
- Q - Other.**
- T - Temporary cessation or non-start.**

AML NON-RESPONDENT CODES

- 00 - OSM-1 Not Received.**
- 01 - Non-respondent letter sent.**
- 03 - Referred Solicitor or Department of Justice.**
- 04 - Notice of Violation Requested.**
- 05 - Notice of Violation Issued.**
- 06 - Cessation Order Requested.**
- 07 - Cessation Order Issued.**
- 08 - OSM-1 Received On Time.**
- 09 - Audited Quarter.**
- 10 - Account Inactivated.**
- 11 - Responded Under Another OSM-1.**
- 12 - OSM Filed Late.**
- 13 - Audit Recommended.**

AUDIT WAIVER CODES

- 70 - RFAR's Forwarded to DFM.**
- 72 - Under Appeal.**
- 76 - No Report Required.**
- 80 - No Basis for Fees.**

- 81 - Out of Business.**
- 82 - Non Producing Facility.**
- 83 - No Production Under SMCRA.**
- 84 - Exempt - 2 Acre.**
- 85 - Exempt - Incidental Operator.**
- 86 - Exempt - Remining.**
- 90 - Audit Canceled.**
- 91 - Fees Paid.**
- 92 - System Error.**
- 93 - Fees Paid Under Another Permit.**
- 94 - Fees Paid by Another Company.**
- 95 - Miscellaneous.**
- 96 - Lack of Resources.**

COMPANY STATUS CODES

- 01 - Company actively in business.**
- 02 - Company bankrupt.**
- 03 - Company out of Business.**

APPENDIX 5

GLOSSARY OF TERMS

APPLICANT/VIOLATOR SYSTEM (AVS) – An automated information system of applicant, permittee, operator, violation and related data maintained by States and OSM. This information is used by Federal and State regulatory authorities in making permit eligibility decisions required by section 510(c) of SMCRA.

ENTITY - Every company or individual in the AVS is considered an entity.

ENTITY NUMBER - A number assigned by the system to identify each entity entered into the system.

INTERSTATE COMPANY - A company that has permits to mine in more than one State. The OFT maintenance on an interstate company is maintained by the Lexington AVS Office.

INTRASTATE COMPANY - A company that has permits to mine in only one State. The OFT maintenance on an intrastate company is maintained by the State Regulatory Agency.

NON-MINERAL CONTROLLER - Mineral owners or entities who have the right to mine through leases, contracts, etc., and who also:

- own and/or lease 10% or greater of the mineral estate for a given permit
- are not known to meet the criteria established under 30 CFR 701.5
- have a high potential for being in the coal business

OPERATOR - Any person, partnership, or corporation engaged in coal mining who removes or intends to remove more than 250 tons of coal from the earth by coal mining within twelve consecutive calendar months in any one location.

ORGANIZATIONAL FAMILY TREE (OFT) – An OFT is a listing of the principals and officers for a business organization.

PERMITTEE - An individual or business in whose name a permit to operate a mine is issued.

EVALUATION REPORT - A report generated by the system that provides information on outstanding violations on surface coal mining operations to assist regulatory authorities in making permit eligibility determinations.

VIOLATION ORGANIZATIONAL FAMILY TREE (VOFT) – A violation OFT is a listing of entities (businesses and individuals) associated with a violation at the time a violation is cited.

**APPENDIX 6
USER ASSISTANCE LIAISONS**

AVSO

10/5/2004

AVSO CONTACTS

**AVSO - LEXINGTON, KENTUCKY
2679 Regency Road
Lexington, KY 40503**

**Earl Bandy, Jr., Chief
(859) 260-8427**

AVSO - LEXINGTON, KENTUCKY USER LIAISONS

**Debbie J. Feheley
EMAIL**

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**Keith Harrison
EMAIL**

**(859) 260-8424, ext. 476
kharrison@osmre.gov**

**Linda Keene
EMAIL**

**(859) 260-8424, ext. 472
lkeene@osmre.gov**

**Ann Singleton
EMAIL**

**(859) 260-8424, ext. 475
asingleton@osmre.gov**

**AVSO LEXINGTON TELEFAX: (859) 260-8418
AVSO LEXINGTON TOLL FREE NO.: 1-800-643-9748**

**APPENDIX 6
OSM CONTACTS AND USERS
FIELD OFFICES, AREA OFFICES, OTHER OSM UNITS**

USER ASSISTANCE LIAISON	FIELD/AREA OFFICE/OSM UNIT ADDRESS	AVS CONTACT(S)
DEBBIE FEHELEY (859) 260-8424, ext. 477	ALBUQUERQUE FIELD OFFICE 505 Marquette, NW, Suite 1200 Albuquerque, New Mexico 87102	Rade Orell (505) 248-5086 (505) 248-5081 rorell@osmre.gov
DEBBIE FEHELEY (859) 260-8424, ext. 477	BIG STONE GAP FIELD OFFICE Powell Valley Sq. Shopping Center 1941 Neeley Road Suite 201, Compartment 116 Big Stone Gap, Virginia 24219	Debra Zirkle (276) 523-0000, ext. 12 (276) 523-5053 dzirkle@osmre.gov
KEITH HARRISON (859) 260-8424, ext. 476	BIRMINGHAM FIELD OFFICE Barber Business Park 135 Gemini Circle, Suite 215 Homewood, Alabama 35209	Jean O'Dell (205) 290-7282, ext. 21 (205) 290-7280 jodell@balgw.osmre.gov
KEITH HARRISON (859) 260-8424, ext. 476	CASPER FIELD OFFICE 150 East B Street, Federal Building Room 1018 Casper, Wyoming 82601-1018	Morris Elliott (307) 261-6539 (307) 261-6552 melliott@osmre.gov
DEBBIE FEHELEY (859) 260-8424, ext. 477	CHARLESTON FIELD OFFICE 1027 Virginia Street East Charleston, West Virginia 25301	Lynn McCauley (304) 347-7162, ext. 3020 (304) 347-7170 lmccaule@osmre.gov
DEBBIE FEHELEY (859) 260-8424, ext. 477	COLUMBUS AREA OFFICE 4605 Morse Road, Room 102 Columbus, Ohio 43230	Dave Agnor (614) 416-2238, ext. 112 (614) 416-2248 dagnor@osmre.gov
KEITH HARRISON (859) 260-8424, ext. 476	HARRISBURG FIELD OFFICE Harrisburg Transportation Center 415 Market Street, Suite 3C Harrisburg, Pennsylvania 17101	Ruthann Flentge (717) 782-4815, ext. 14 (717) 782-3771 rflentge@osmre.gov
DEBBIE FEHELEY (859) 260-8424, ext. 477	INDIANAPOLIS FIELD OFFICE Minton-Capehart Federal Building 575 North Penn Street, Room 301 Indianapolis, Indiana 46204	Vicki Huff (317) 226-6166 (317) 226-6182 vhuff@osmre.gov

USER
ASSISTANCE
LIAISON

FIELD/AREA OFFICE/OSM UNIT ADDRESS

AVS CONTACT(S)

KEITH HARRISON (859) 260-8424, ext. 476	JOHNSTOWN AREA OFFICE Richland Professional Building 334 Bloomfield Street, Suite 104 Johnstown, Pennsylvania 15904	TELEFAX EMAIL	Greg McDonnell (814) 533-4223, ext. 227 (814) 533-4383 gmcdonne@osmre.gov
DEBBIE FEHELEY (859) 260-8424, ext. 477	KNOXVILLE FIELD OFFICE 530 Gay Street, Suite 500 Knoxville, Tennessee 37902	TELEFAX EMAIL	Debbie Effler (865) 545-4103, ext. 144 (865) 545-4111 deffler@osmre.gov
DEBBIE FEHELEY (859) 260-8424, ext. 477	LEXINGTON FIELD OFFICE 2675 Regency Road Lexington, Kentucky 40503	TELEFAX EMAIL	Dave Beam (859) 260-8400 (859) 260-8410 dbeam@osmre.gov
	LONDON AREA OFFICE P.O. Box 1048 London, Kentucky 40741	TELEFAX EMAIL	Sharon Hall John Chedester (606) 878-6440 (606) 878-6049 shall@osmre.gov jchedest@osmre.gov
KEITH HARRISON (859) 260-8424, ext. 476	TULSA FIELD OFFICE 5100 East Skelly Drive, Suite 470 Tulsa, Oklahoma 74135	TELEFAX EMAIL	Jeff Zingo (918) 581-6431, ext. 31 (918) 581-6419 jzingo@osmre.gov

USER
ASSISTANCE
LIAISON

FIELD/AREA OFFICE/OSM UNIT ADDRESS

AVS CONTACT(S)

OTHER OFFICE OF SURFACE MINING UNITS

LINDA KEENE (859) 260-8424, ext. 472	DIVISION OF FINANCIAL MANAGEMENT Denver Federal Center Building 25, Room 1501 P.O. Box 25065 Denver, Colorado 80225-0065	TELEFAX EMAIL	Nancy Sindt-Kneisley (303) 236-0330, ext. 306 (303) 236-0340 sindt@osmre.gov
DEBBIE FEHELEY (859) 260-8424, ext. 477	APPALACHIAN REGIONAL COORDINATING CENTER Three Parkway Center Pittsburgh, Pennsylvania 15220	TELEFAX EMAIL	Vacant (412) 937-3012
DEBBIE FEHELEY (859) 260-8424, ext. 477	WESTERN REGIONAL COORDINATING CENTER 1999 Broadway, Suite 3320 P.O. Box 46667 Denver, CO 80201-6667	TELEFAX EMAIL	Carl Johnston (303) 844-1400, ext. 1500 (303) 844-1538 cjohnsto@osmre.gov
KEITH HARRISON (859) 260-8424, ext. 476	MID-CONTINENT REGIONAL COORDINATING CENTER Alton Federal Building 501 Belle Street, Room 216 Alton, Illinois 62002	TELEFAX EMAIL	Perry Pursell (618) 463-6463, ext. 108 (618) 463-6470 ppursell@osmre.gov

DIVISION OF SURFACE MINING, OFFICE OF THE SOLICITOR

DEBBIE FEHELEY (859) 260-8424, ext. 477	KNOXVILLE OFFICE OF THE REGIONAL SOLICITOR 530 Gay Street, Room 308 Knoxville, Tennessee 37902	TELEFAX EMAIL	Betty Siegel (865) 545-4315, ext. 18 (865) 545-4314 betty_siegel@ios.doi.gov
DEBBIE FEHELEY (859) 260-8424, ext. 477	DENVER OFFICE OF THE REGIONAL SOLICITOR 755 Parfet Street Lakewood, Colorado 80215	TELEFAX EMAIL	DeAnn L. Owen (303) 231-5353, ext. 224 (303) 231-5363 deann_owen@ios.doi.gov
ANN SINGLETON (859) 260-8424, ext. 475	PITTSBURGH OFFICE OF THE REGIONAL SOLICITOR Three Parkway Center, Room 385 Pittsburgh, Pennsylvania 15220	TELEFAX EMAIL	Stephen Mahoney (412) 937-4000 (412) 937-4003 smahoney@osmre.gov

APPLICANT/VIOLATOR SYSTEM: COMPLIANCE MANAGEMENT AUDITORS

USER
ASSISTANCE
LIAISON COMPLIANCE MANAGEMENT AUDIT OFFICE AVS CONTACT(S)

DIVISION OF COMPLIANCE MANAGEMENT – REGION I

ANN SINGLETON (859) 260-8424, ext. 475 (ALL COMPLIANCE OFFICES)	Pittsburgh Office Ten Parkway Center Pittsburgh, Pennsylvania 15220	TELEFAX EMAIL	James K. Krawchyk (412) 937-2912 (412) 937-2920 jkrawchy@osmre.gov
	Beckley Area Audit Office 313 Harper Park Drive Beckley, West Virginia 25801	TELEFAX EMAIL	Richard Miller (304) 255-5265, ext. 19 (302) 255-4521 rcmiller@osmre.gov
	Lebanon Area Audit Office P.O. Box 487 Lebanon, Virginia 24266	TELEFAX EMAIL	Floyd Sutherland (276) 889-4035 (276) 889-5160 fsutherl@osmre.gov
	Morgantown Area Audit Office P.O. Box 886 Morgantown, West Virginia	TELEFAX EMAIL	Phil White (304) 291-4004, ext. 18 (304) 296-8897 pwhite@osmre.gov
	Wilkes Barre Area Audit Office The Stegmaier Building, Suite 308 7 North Wilkes-Barre Boulevard Wilkes Barre, Pennsylvania 18702	TELEFAX EMAIL	Robert Dymond (570) 830-1417 (570) 830-1421 rdymond@osmre.gov

DIVISION OF COMPLIANCE MANAGEMENT – REGION II

Lexington Area Audit Office
2677 Regency Road
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Nashville Area Audit Office
P.O. Box 291287
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Pikeville Area Audit Office
164 Main Street, Room 409
Pikeville, Kentucky 41501

Hagan Bush
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TELEFAX (606) 432-5041
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**APPLICANT/VIOLATOR SYSTEM OFFICE
SUMMARY: AVS USER ASSISTANCE LIAISON ASSIGNMENTS**

LIAISON	STATE	FIELD OFFICE	COMPLIANCE MGT.
LINDA KEENE	ALABAMA ALASKA COLORADO INDIANA NEW MEXICO OKLAHOMA VIRGINIA		

DIVISION OF FINANCIAL MANAGEMENT

DEBBIE FEHELEY	KENTUCKY MISSOURI MONTANA OHIO TENNESSEE TEXAS	ALBUQUERQUE BIG STONE GAP CHARLESTON INDIANAPOLIS KNOXVILLE LEXINGTON	
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APPALACHIAN REGIONAL COORDINATING CENTER
DENVER OFFICE OF THE REGIONAL SOLICITOR
KNOXVILLE OFFICE OF THE REGIONAL SOLICITOR
WESTERN REGIONAL COORDINATING CENTER

KEITH HARRISON	ARKANSAS ILLINOIS KANSAS LOUISIANA MARYLAND NORTH DAKOTA UTAH WEST VIRGINIA MISSISSIPPI	BIRMINGHAM CASPER HARRISBURG TULSA	
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MID-CONTINENT REGIONAL COORDINATING CENTER

**APPLICANT/VIOLATOR SYSTEM OFFICE
SUMMARY: AVS USER ASSISTANCE LIAISON ASSIGNMENTS**

LIAISON	STATE	FIELD OFFICE	COMPLIANCE MGT.
ANN SINGLETON	IOWA PENNSYLVANIA WYOMING		MORGANTOWN BECKLEY WILKES BARRE LEBANON LONDON LEXINGTON NASHVILLE PIKEVILLE PITTSBURGH

PITTSBURGH OFFICE OF THE REGIONAL SOLICITOR

APPLICANT/VIOLATOR SYSTEM: STATE USERS
AVSO TOLL FREE NUMBER 1-800-643-9748

STATE	POLICY CONTACT AND AVS USER(S)	USER ASSISTANCE LIAISON
ALABAMA	Alabama Surface Mining Commission 1811 2 nd Avenue, P.O. Box 2390 Jasper, Alabama 35501	LINDA KEENE (859) 260-8424, ext. 472
Policy Contact:	Carla Lightsey	(205) 221-4130
AVS User:	Kathy Box	(205) 221-4130
	TELEFAX	(205) 221-5077
	EMAIL	clightsey@asmc.state.al.us kbox@asmc.state.al.us
ALASKA	Alaska Department of Natural Resources Division of Mining, Land & Water 550 W 7 th Street, Suite 900D Anchorage, Alaska 99501-3577	LINDA KEENE (859) 260-8424, ext. 472
Policy Contact:	Justin Ireys	(907) 269-8603
AVS User:	Beth A. Pechota	(907) 269-8631
	Rhonda Holt	(907) 269-8633
	TELEFAX	(907) 269-8930
	EMAIL	justini@dnr.state.ak.us rhondah@dnr.state.ak.us beth.pechota.dnr.state.al.us
ARKANSAS	Arkansas Department of Environmental Quality Surface Mining and Reclamation Division 8001 National Drive Little Rock, Arkansas 72209	KEITH HARRISON (859) 260-8424, ext. 476
Policy Contact:	James Stephens	(501) 682-0803
AVS User:	Sammie Allen	(501) 682-0807
	TELEFAX	(501) 682-0880
	EMAIL	stephens@adeq.state.ar.us allen@adeq.state.ar.us

STATE	POLICY CONTACT AND AVS USER(S)	USER ASSISTANCE LIAISON
COLORADO	Colorado Department of Natural Resources Office of Mined Lands Reclamation Centennial Building, Room 215 1313 Sherman Street Denver, Colorado 80203	LINDA KEENE (859) 260-8424, ext. 472
Policy Contact:	Johanna Cramer	(303) 866-3968
AVS User:	Johanna Cramer	(303) 866-3968
	TELEFAX	(303) 832-8106
	EMAIL	johanna.cramer@state.co.us
ILLINOIS	Illinois Department of Natural Resources Office of Mines and Minerals 524 South Second Street Springfield, Illinois 62701-1787	KEITH HARRISON (859) 260-8424, ext. 476
Policy Contact:	Ernest Ashby	(217) 785-5199
AVS User:	Jim Schafer	(217) 785-5191
	TELEFAX	(217) 524-4819
	EMAIL	eashby@dnrmail.state.il.us jschafer@dnrmail.state.il.us
INDIANA	Indiana Department of Natural Resources Division of Reclamation RR 2, Box 129 Jasonville, Indiana 47438	LINDA KEENE (859) 260-8424, ext.472
Policy Contact:	Colleen Baughman	(812) 665-2207
AVS User:	Colleen Baughman	(812) 665-2207
	TELEFAX	(812) 665-5041
	EMAIL	cbaughman@reclamation.dnr.state.in.us
IOWA	Iowa Department of Agriculture and Land Stewardship Division of Soil Conservation Wallace State Office Building East 9 th Street and Grand Avenue Des Moines, Iowa 50319	ANN SINGLETON (859) 260-8424, ext. 475
Policy Contact:	Kenneth Tow	(515) 281-5851
AVS User:	Dharmvir Bhatnagar	(515) 281-7678
	TELEFAX	(515) 281-6170
	EMAIL	ken.tow@idals.state.ia.us Dharmvir.bhatnagar@idals.state.ia.us

STATE	POLICY CONTACT AND AVS USER(S)	USER ASSISTANCE LIAISON
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