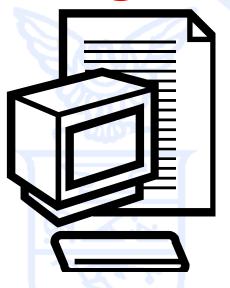
Guide to Preparing the LM-3



Office of Labor-Management Standards (OLMS) http://www.olms.dol.gov

ELECTRONIC FORMS SYSTEM (EFS) LM-3

EFS is a web-based system for completing and filing Form LM-3 Labor Organization Annual Report.

This tutorial demonstrates basic features and functionality of the EFS LM-3 form. It does not contain instructions for what information should be provided on your report.

You can download a complete set of LM-3 Instructions from the OLMS website at:

http://www.dol.gov/olms/regs/compliance/LM-3_Instructions_AR.pdf

System Requirements and Settings

To access and use the EFS, OLMS recommends you use one of the following browsers:

- Microsoft Internet Explorer Version 6 or higher
- •Firefox Version 3 or higher

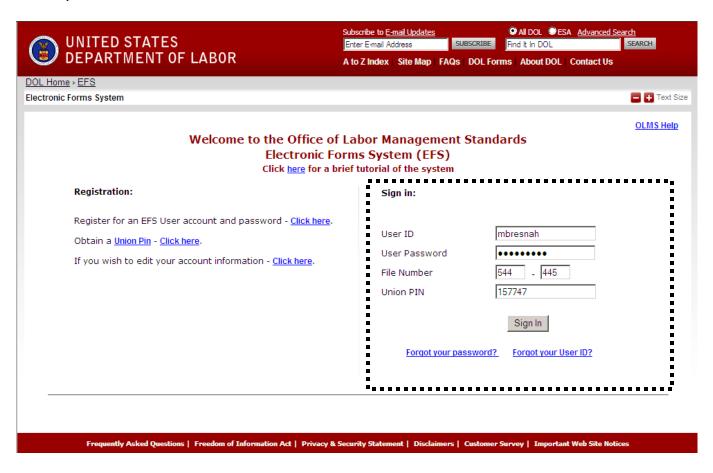
Screen Resolution:

For optimal viewing, set your screen resolution to 1280 x 1024 or greater. OLMS recommends that at a minimum you set your screen resolution to 1152 x 864 to avoid horizontal scrolling.

Accessing the System

Log into EFS using your user ID and password and the filing union's six-digit file number and unique union PIN.

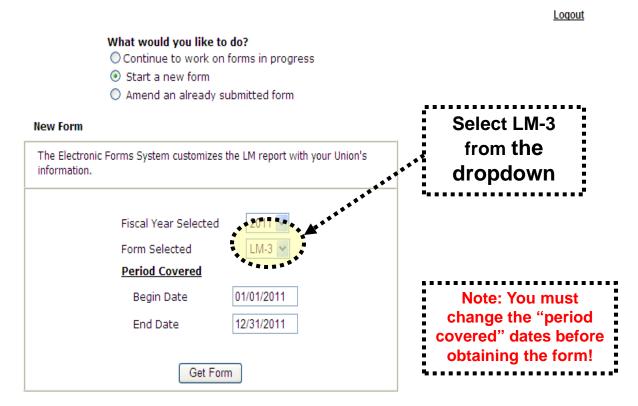
(Please see the tutorial on how to register if you do not have a user ID or a union PIN.)



Accessing the System

Select one of the options displayed on the screen.

(Please note that the only forms that you can amend in EFS are ones that were filed using EFS.)



PAGE 1

PAGE 2 ITEM 24

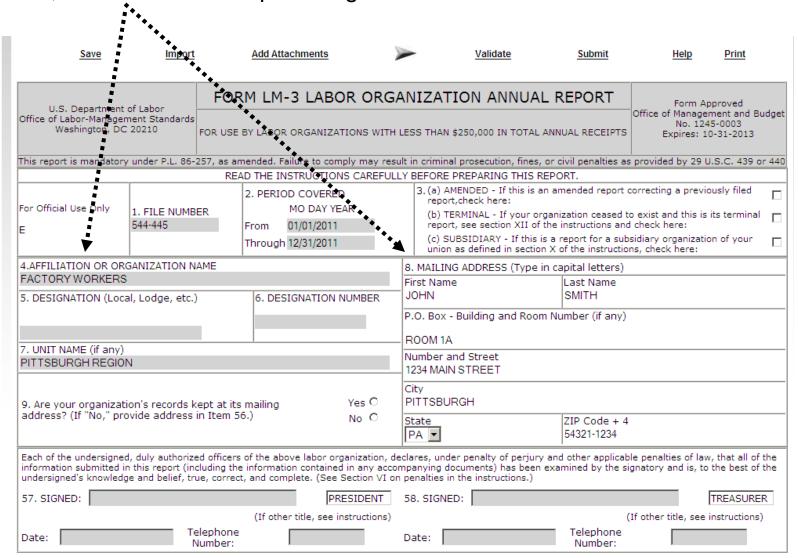
STMT A & B

ADDNL INFO

VALIDATION SUMMARY

LM-3 Page 1

The EFS form looks similar to the old Adobe form. Your union information is pre-filled, as are the start-of-period figures on Statement A.



Navigation

PAGE 1

PAGE 2
ITEM 24
STMT A & B

VALIDATION SUMMARY

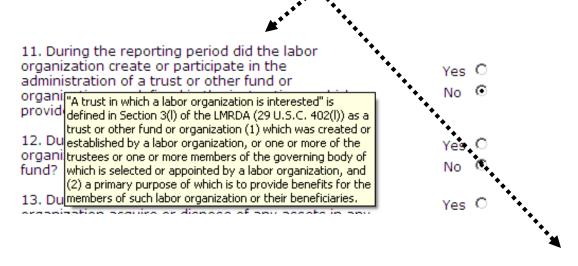
You can easily move through the form by using the navigation links to the left to go directly to a page or by scrolling through pages using the arrows at the top.

•••		****				
Save	<u>Import</u>	Add Attachments	Validate	Submit	Help Print	
U.S. Departmen Office of Labor-Manage Washington, Di	t of Labor ment Standards	ORM LM-3 LABOR ORG			Form Approved Office of Management and Bud No. 1245-0003 Expires: 10-31-2013	
This report is mandator	ry under P.L. 86-257, as	amended. Failure to comply may re	sult in criminal prosecution,	fines, or civil penalties as	s provided by 29 U.S.C. 439 or	
		READ THE INSTRUCTIONS CAREFU	LLY BEFORE PREPARING T	HIS REPORT.		
For Official Use Only E	1. FILE NUMBER 544-445	2. PERIOD COVERED MO DAY YEAR From 01/01/2011 Through 12/31/2011	report, check here: (b) TERMINAL - If y, report, see section) (c) SUBSIDIARY - I	our organization ceased t XII of the instructions and	sidiary organization of your	
4.AFFILIATION OR OF			8. MAILING ADDRESS (Type in capital letters)		
FACTORY WORKERS 5. DESIGNATION (Local, Lodge, etc.) 6. DESIGNATION NUMBER			First Name Last Name JOHN SMITH			
			P.O. Box - Building and Room Number (if any) ROOM 1A			
7. UNIT NAME (if any) PITTSBURGH REGIO			Number and Street 1234 MAIN STREET			
9. Are your organiza	tion's records kept at		City PITTSBURGH			
address? (If "Ño," provide address in Item 56.) No C			State PA 🔻	ZIP Code + 4 54321-1234		
information submitted	in this report (including	ers of the above labor organization, of the information contained in any acc rect, and complete. (See Section VI of	ompanying documents) has	been examined by the si		
57. SIGNED:		PRESIDENT	58. SIGNED:		TREASURER	
		(If other title, see instructions)		((If other title, see instructions)	
Date:	Telepho Numbe		Date:	Telephone Number:		

Getting Help Within the Form

The form has several built-in help functions.

Mouse-over text that displays information on what to report or how to enter data into a field is available on many items.

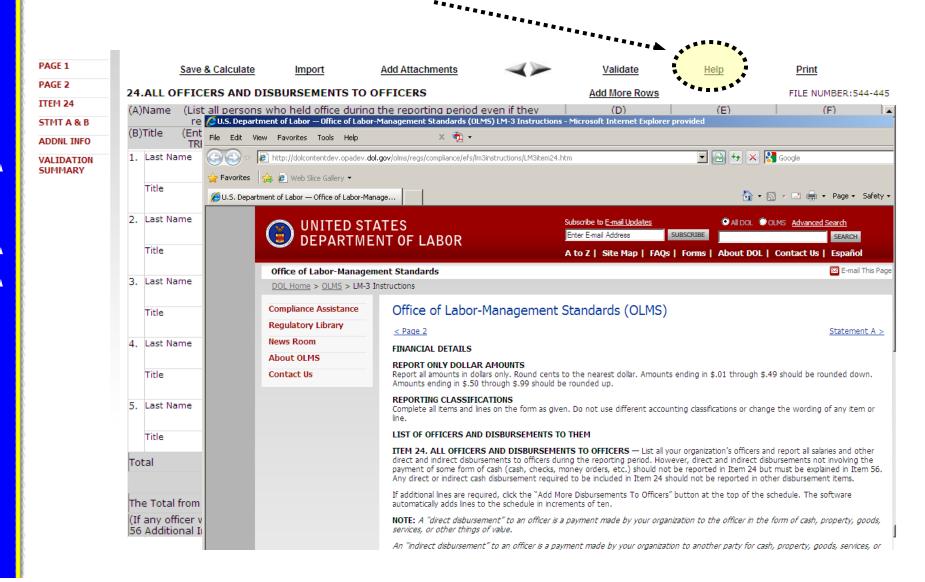


22. What is the date of your organization's next regular election of officers?

MM/YYYY

Getting Help Within the Form

Click the "Help" link at the top of each page to open the form instructions for the current page in a new window.



Menu Items

The menu across the top of the form contains the following items:

Save & Calculate

Import

Add Attachments



Validate

Help

Print

- 1. Save and Calculate Click this item to save the current page and perform all mathematical calculations. Calculations are not performed automatically because doing so would dramatically reduce the speed of the application. It is important to click Save and Calculate at regular intervals when entering data in the form. If you do not save, you will be prompted to do so when you navigate away from a page.
- 2. Import Click this item to open the Import page for importing schedule data. You can import into any schedule by clicking this link. You do not need to have a schedule open to import data for its completion.
- 3. Add Attachments Click this item to open the Add Attachments page where supplemental information (like a constitution and bylaws or audit report) can be uploaded. The uploaded data can then be submitted with the form.
- 4. Validate Click this item to run the form validation routine, which checks the form for missing data. Each page has its own set of validations, and you will be prompted to fix these items before leaving the page if you wish. All validations must be satisfied before the form can be signed and submitted.
- **5. Help** Click this item to take you to page-specific instructions for completing the form. You can navigate through the instructions page by page, or download/print a copy from our website at: http://www.dol.gov/olms/regs/compliance/LM-3 Instructions AR.pdf
- 6. **Print** Click this item to open a facsimile of the electronically completed LM-3. You can save a copy of this report to your computer and share it with others who may need to prepare or review the document. You may save a copy of the final signed report prior to submission.

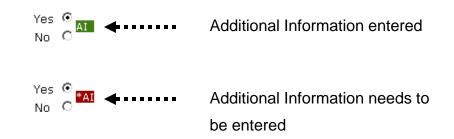
Additional Information

Throughout the form, there are places where the system will prompt you to enter additional information. You have the option to check a box to enter the information later, and the Additional Information prompt will remain red to remind you that you will need to enter additional information before submitting your report.

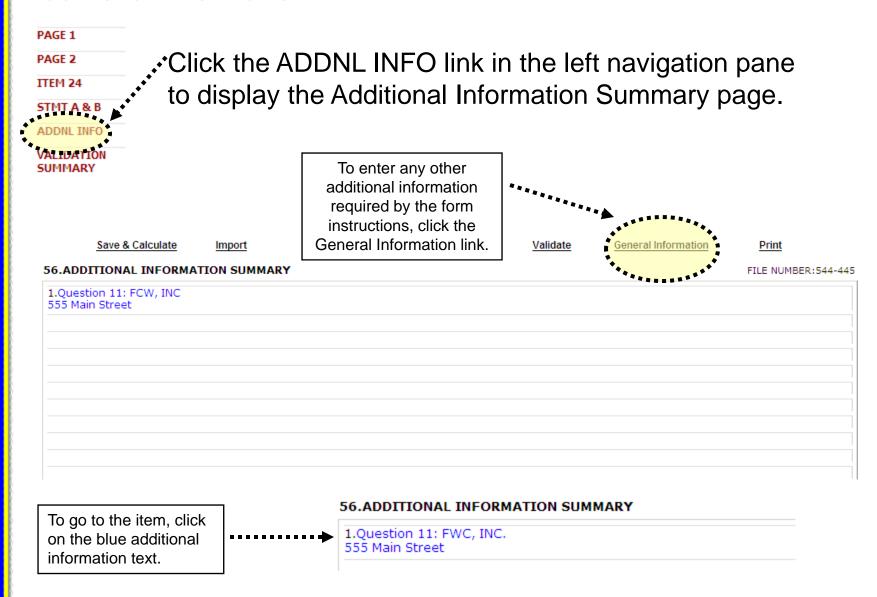
To go back and enter the additional information, double-click on the AI icon and enter the additional information. The prompt will turn green, indicating that additional information has been entered.

The Additional Information Summary can be found in the left navigation pane.





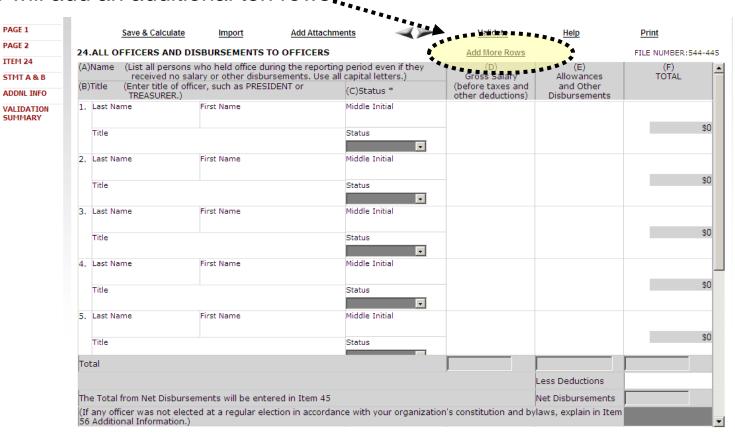
Additional Information



Entering Data into the Form

There are two ways to enter schedule data in the form: manually entering data and importing data.

Manual entry may require you to add more rows to a schedule. A blank schedule in EFS has ten rows. If you need more than ten rows, click the "Add More Rows" link located at the top of the schedule. This will add an additional ten rows,



Entering Data into the Form

After entering data in a schedule, click the "Save & Calculate" link to perform calculations.



The calculated totals will display in the Totals fields:

Total	\$1,000	\$0	\$1,000				
		Less Deductions					
The Total from Net Disbursements will be entered in Item 45	Net Disbursements	\$1,000					
(If any officer was not elected at a regular election in accordance with your organization's constitution and bylaws, explain in Item 56 Additional Information.)							

Entering Data into the Form

The schedule data carries forward to the statements.

CASH DISBURSEMENTS	AMOUNT
Item	
45. To Officers (from Item 24)	\$1,000
46. To Employees (less deductions)	******
47. Per Capita Tax	
48. Office & Administrative Expense	
49. Professional Fees	
50. Benefits	
51. Contributions, Gifts & Grants	
52. Purchase of Investments & Fixed Assets	
53. Loans Made	
54. Other Disbursements	
55. TOTAL DISBURSEMENTS	\$1,000

IMPORT ITEM24

To import data into the form, click the "Import" link on the top menu bar.

Item 24, All Officers and Disbursements to Officers, can be imported into Form LM-3. Select the import source from the dropdown menu.

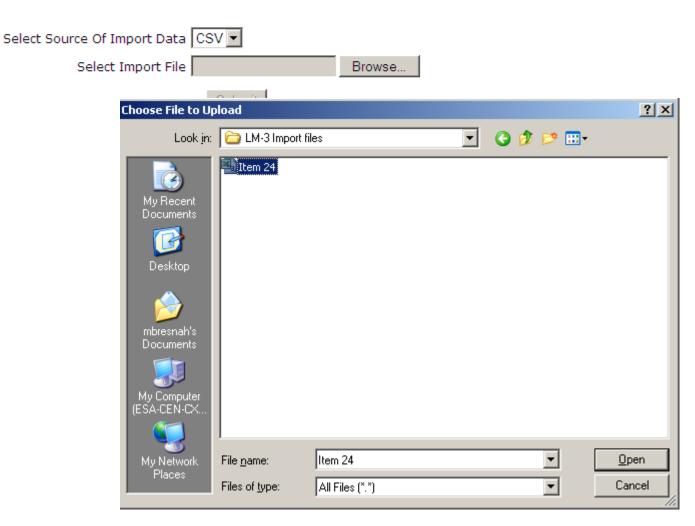
Select Source Of Import Data CSV Select Import File Browse...

A file in CVS or XML format is required to import data. These are the same formats used in the previous Form LM-3 system. For detailed information on creating import files, download the Data Specification Document found on the OLMS website at:

http://www.dol.gov/olms/regs/compliance/dsd.htm

Click "Browse" to select the file to be imported.

IMPORT ITEM24



Click "Submit" to import the data file. If the import is successful, the data will display in the schedule. Click the "Save & Calculate" link before moving to the next schedule.

Note:

Large import files will import quickly, but saving the imported files to the database will take some time. An hourglass icon or the "Please wait" indicator bar shown below will let you know the system is working to save the data. Please be patient when working with large amounts of data.

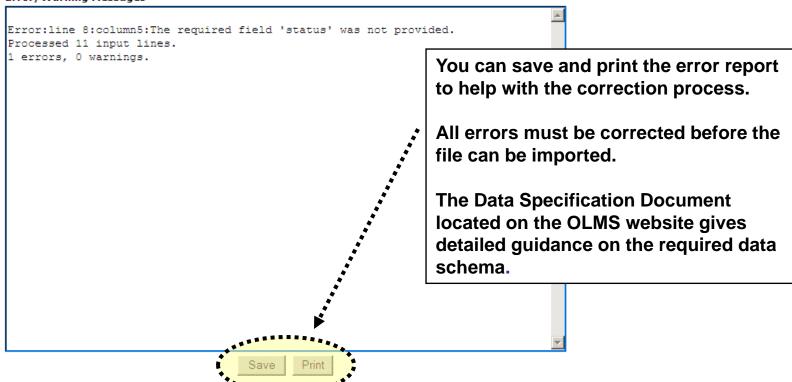
If any formatting problems are found in the data file during import, a list of errors needing correction will display.

The import operation failed to complete. Import file has following errors.

Source Of Import Data: CSV

Import File: C:\FAKEPATH\IMPORTCSV.CSV

Error/Warning Messages



Attachments: Attaching Supplemental Data

As with the previous forms system, EFS allows you to attach data, such as constitutions and bylaws, that may be required to be submitted with the report.

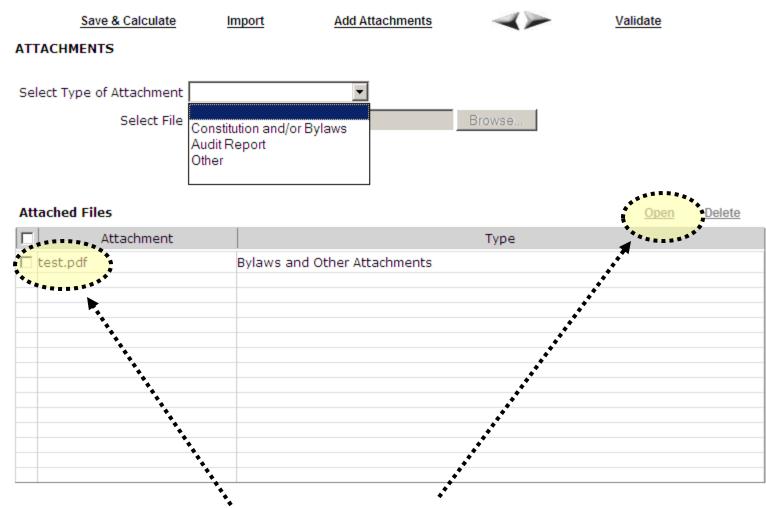
To begin the process of adding an attachment, click the "Add Attachments" link on the top menu bar.

Add Attachments

Note: While the system does not prevent them from being uploaded, certain file formats cannot be read by our system. The following file formats **can** be read:

- Adobe PDF
- Microsoft Word
- Microsoft Excel
- Rich Text Format
- •HTML
- •Standard Picture formats JPEG, BMP, GIF
- Text files

Attachments: Attaching Supplemental Data

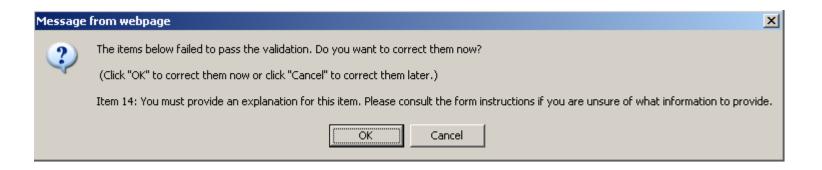


Select the type of attachment you want to upload. Reviewers can view attachments by selecting the check box to the left of the attachment name and clicking the open link.

Validation

There are two types of validations built into the form to help ensure that the correct data is being entered into the form: Page Level Validations and Form Level Validations.

<u>Page Level Validations</u> occur before you navigate away from a page. A pop up message will alert you of items that must be corrected before the form can be signed and submitted.

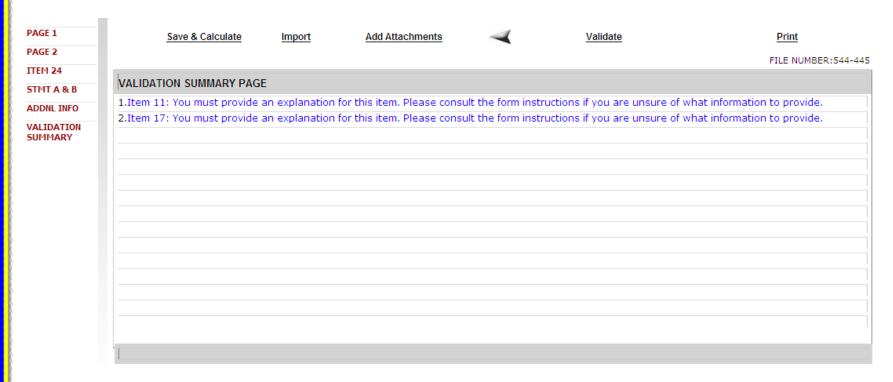


If you click **OK** you can correct the item before leaving the page.

If you click **Cancel**, you can correct the item later. You will be prompted to make the correction during form validation.

Validation

<u>Form Level Validations</u> occur as a final check before the form can be submitted. You must click the "Validate" link on the top menu bar.



The system will open the Validation Summary Page containing a list of items that must be corrected.

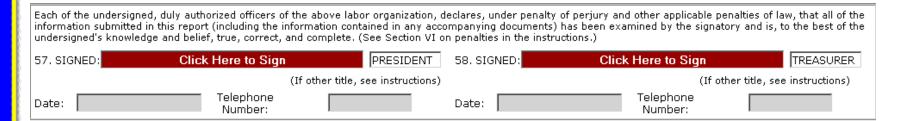
You can click on each item and be taken to the page where the item can be corrected. For more information on what should be provided for these items, consult the form instructions.

Signing the Form

Once all of the validation items have been corrected, the form is ready to be signed.



The signature blocks will turn red, indicating the form can be signed.



Note: All officers who must sign the form must have established user accounts and must log into EFS with their account information to sign the form.

Signing the Form



You must re-enter your password to sign the form. By doing so, you are legally attesting that you are the person identified by name in the signature block and a duly authorized officer of the union.

Treasurer's Signature							
By entering my name and password below, I attest that I am John Smith , a duly authorized officer of the above labor organization, and declare, under penalty of perjury and other applicable penalties of law, that all of the information submitted in this report (including the information contained in any attached documents) has been examined by me and is, to the best of my knowledge and belief, true, correct, and complete.							
First Name	John						
Middle Initial							
Last Name	Smith						
Date	03/03/2011						
Password	•••••						
Phone Number	2025551212						
		Sign Car	ncel				

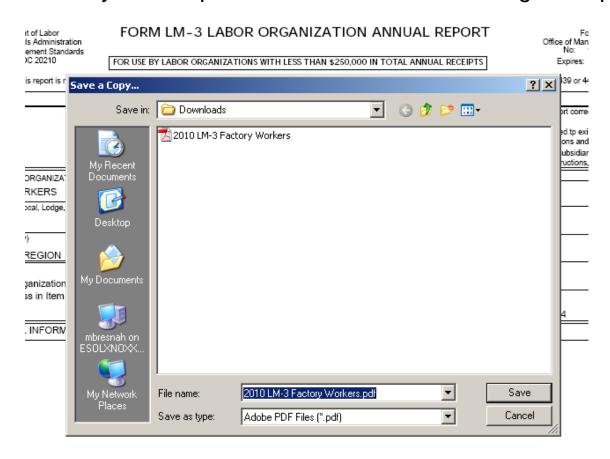
Signing the Form

A minimum of two signatures are required to submit the report.

Once the report has been signed, if any changes are made to any fields on the form, the signatures will be removed and the form must be validated and signed again.

Save a Signed Copy

Click the "Print" link and click "File → Save As" to save a signed copy of the report as a PDF to your computer. Do this before submitting the report.



Note: You can obtain a copy of the submitted report from the Online Public Disclosure site. Please see the next section for information on this.

Submitting the Form

Once the signatures have been applied, the form can be submitted.

Click the "Submit" link from the top menu bar. Once the form has been processed (this may take a few minutes) a confirmation message will display:

Logout

Your LM-3 Form has been successfully accepted for processing. Your confirmation number is: 544445-441031-20110303113425 Please make a note of this number for your records.

To view your submitted LM-3 report, visit the OLMS Online Public Disclosure Room OLMS Online Public Disclosure Room link:

http://www.dol.gov/olms/regs/compliance/rrlo/lmrda.htm

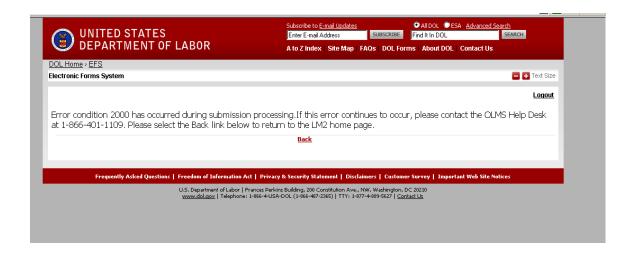
You can print this message by going to "File→ Print," or simply copy and paste the text from the page into an email or word processing document.

You should now be able to view your submitted report in the Online Public Disclosure Room, by using the link shown above.

Troubleshooting

During peak filing periods, you may experience a slowdown in saving and validating the report.

During these busy periods, you may see an error that looks like this:



Please wait a few minutes and try again. However, if you continue to experience the problem, please contact our technical support desk. See the next page for information on how to get help.

Getting Help

If you experience difficulty using EFS, please contact OLMS Form Technical Support toll-free at: 1-866-401-1109

This PowerPoint presentation and other information regarding EFS can be found on our website at the following URL:

http://www.dol.gov/olms/regs/compliance/efs/efsintro.htm

If you have additional questions or comments please contact OLMS: E-mail OLMS at olms-public@dol.gov or contact your local OLMS District Office