

# Introduction

This is a supplemental User Guide intended to describe the following SMART features, which will replace Batch Management, Transaction Entry, and Batch Edit Report features within EFS:

## Filing>Data Entry

### Broker Landing page>File>Data Entry

This guide is a sub section of the SMART User Guide. You may contact our Tech Support team via [email](#) to obtain a complete version of the Smart User guide.

Note: Development of this application is in progress; this guide may be updated as new releases are in place.

## Prerequisites

You must have an authorized account with active credentials to SLTX's Online Filing System or SMART application. SMART utilizes the user credentials from the existing Electronic Filing System (EFS); therefore, separate credentialing is not necessary. Prior to being granted access to the SMART application and/or utilizing the API, each user is required to accept the necessary licensing agreements from within SMART: Privacy Policy, Terms of Use, and SMART Connector and/or API User Licensing Agreement (when applicable).

## Environments

The following URLs are used for SMART:

**Test:** <https://test.sltx.org/> **Production:** <https://smart.sltx.org/>

## Site Navigation

To navigate back one or more pages, you may use your browser's back button, the clickable breadcrumbs at the top of each page, or the left navigation panel.

## Supported Browsers

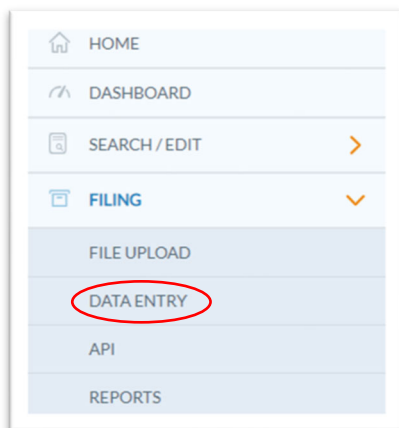
- Google Chrome
- Microsoft's Edge

NOTE: Internet Explorer (IE), regardless of the version, is not supported

## Primary Navigation

**Step 1:** Select the Filing menu and click Data Entry.

\*This will allow you to make Manual Web-Entry or Data Entry Filings, and includes the ability to Reverse, Update / Correct, or Delete previously filed transactions.



## Data Entry landing page

Once you click Data Entry from the Filing menu, you will see the Data Entry landing page.

Home / Filing / Data Entry

## Data Entry

**Get Started**

What would you like to do today?

### New Filing

Used to make a new filing with SLTX, such as a new or renewal policy / binder, audit, cancellation, premium endorsement, name change, etc.

[New Transaction](#)

### Search / Edit

Used to search for and review the detail of any previously submitted transaction, and/or to make corrections to or edit a submitted transaction.

[Go to Search / Edit](#)

**Recent Filings - Last 20 filings**

BATCH	POLICY NO.	REFERENCE	TYPE	EFFECTIVE DATE	USER ID	TOTAL GROSS	SAVE AS
5995	TESTCANCELRX		New Policy Reversal	01/18/2021	TESTPOST	\$-1,468.95	<a href="#">PDF</a>
5995	TESTCANCELRX		Cancellation Reversal	04/18/2021	TESTPOST	\$0.00	<a href="#">PDF</a>
5995	TESTCANCELRX		Cancellation Reversal	04/18/2021	TESTPOST	\$1,468.95	<a href="#">PDF</a>
5995	TESTCANCELRX		Cancellation Amendment	04/18/2021	TESTPOST	\$0.00	<a href="#">PDF</a>
5995	TESTCANCELRX		Cancellation	04/18/2021	TESTPOST	\$-1,468.95	<a href="#">PDF</a>

### Features

[New Transaction](#) – allows user to navigate to the [Data Entry Transaction page](#) to make a filing with SLTX

[Recent filings](#) – allows user to see a summary of the last 20 transactions filed by your agency and includes transactions made by all filing methods (SLTX processed, SMART Data Entry, or SMART API). Click the Policy Number link to view details of the transaction.

[Save as PDF](#) – allows user to print a confirmation of the filing in a PDF format

[Go to Search / Edit](#) – allows user to navigate to the Policies Search/Edit page

[Notable changes between SMART Data Entry and EFS Filings](#) – based on feedback provided from external users during focus group sessions, several changes have been made to improve overall filing workflow

## Data Entry (Manual Filing)

### Step 1:

Click New Transaction from the Data Entry landing page to make a new filing with SLTX, such as a new or renewal policy / binder, audit, cancellation, premium endorsement, name change, etc.

<Future Release> You may also file a reversal, delete, or update (correct) an existing filing.

### Step 2:

Select the type of transaction by clicking on the corresponding Transaction Type Tile, then click NEXT.

<Future Release> Audit, Cancellation, Endorsement, Installment, and Reinstatement.

The screenshot shows the 'Data Entry' page with the breadcrumb 'Home / Filing / Data Entry / Transaction Type'. The main heading is 'Data Entry'. Below it is the section 'Select Transaction Type' with a sub-heading 'Please select a transaction type to file.' In the top right corner, there are buttons for 'Filing', 'Update/Corrections', 'Reverse', and 'Delete'. The main content area contains seven transaction type tiles, each with a radio button and a description:

- New Policy**: Policy issued for the first time.
- Renewal**: Policy issued in subsequent policy terms (to extend an already existing policy).
- Audit**: An adjustment of the premium on a policy based on an audit. An audit must be for the entire time the coverage was in effect.
- Cancellation**: Policy is cancelled at the request of the company or the insured.
- Endorsement**: Change(s) to a policy. Used to add or delete coverage from a policy.
- Installment**: Used to let the insured pay out the premium. Usually setup in equal amounts. May be monthly, quarterly, semi-annually, annually, etc.
- Reinstatement**: If there was a Cancellation and premium was returned there would be additional premium for the reinstatement.

At the bottom right, there are 'Cancel' and 'Next' buttons.

### Step 3:

Select the sub-type by clicking on the corresponding Sub-Type Tile, then click NEXT.

<Future Release> Policy Replacing Binder.

The screenshot shows the 'Data Entry' page with the breadcrumb 'Home / Filing / Data Entry / Transaction Type / Transaction Sub-Type'. The main heading is 'Data Entry'. Below it, there is a table with 'Transaction Type' and 'Report Date' columns, showing 'New Policy' and '04/30/2021'. Below the table is the section 'Please select a transaction subtype:'. The main content area contains three transaction subtype tiles, each with a radio button and a description:

- Regular New Policy**: Policy document that was issued. (This option is selected with a blue dot.)
- Binder**: Temporary insurance document that includes details of the insurance coverage and serves as a legally binding agreement to insure until an actual policy is issued. The binder must be replaced once the policy is issued.
- Policy Replacing a Binder**: Policy document that was issued and will only be filed when a binder transaction was previously filed. (This option has a coach mark icon.)

At the bottom right, there are 'Cancel' and 'Next' buttons.

## Features

Coach mark(s) are available to provide additional situational context to users. Click the ⓘ icon.

**Step 4:**

Input the appropriate data from the insurance document, then click POST to submit or file with SLTX.

Coach mark(s) are available to provide additional situational context to the user. Click the ⓘ icon.

The screenshot shows the 'New Policy' form with the following sections:

- Basic Information:** Policy No., Insured Name, Report Date (04/30/2021).
- Insured Type:** Federal Credit Union (FCU), Purchasing Group (PG), Exempt Commercial Purchaser (ECP), Industrial Insured. Each has Yes/No radio buttons.
- Dates:** Effective / Inception Date, Expiration Date, Continuous Until Cancelled (Yes/No), Issue Date.
- Coverage & Class:** A table with columns for CODE & DESCRIPTION, PREMIUM, and DELETE. A dropdown menu is open for CODE & DESCRIPTION. Below the table are fields for Limit (Total Insurable Value) and Class (Please provide a class by using the typeahead search below).

Note: A type-ahead feature is available for both coverage and class fields, allowing users to type the coverage (or class) code, description, or keyword. Once coverage code(s) are selected, the Limits sub-title will automatically update to provide additional contextual guidance about which policy limits that should be entered.

This close-up shows the dropdown menu for the Coverage & Class field. The search term 'FLOOD' is entered, and the following results are displayed:

- FLOOD
- 8047 - RESIDENTIAL FLOOD
- 9547 - PROP-COMMERCIAL FLOOD
- 9647 - PROP-RESIDENTIAL FLOOD

This screenshot shows the 'Primary Risk Location' and 'Fees' sections. The 'Primary Risk Location' section includes fields for Insured Zip, County (N/A), and two checkboxes: 'Excludes Wind Coverage' (Yes/No) and 'Extended Coverage Territory'. A red box highlights these two checkboxes, with a red arrow pointing to the 'Excludes Wind Coverage' 'Yes' radio button. The 'Fees' section includes fields for Total Premium (\$0.00), Total Policy Fee(s) (\$0.00), Tax (\$0.00), Stamping Fee (\$0.00), and Total Gross (\$0.00).

Note: The Excludes Wind Coverage feature is only required for PROPERTY coverage(s) and will only be displayed if/when required. The Extended Coverage Territory, as related to this selection, will automatically populate.

Based on the zip code, the County will automatically populate.

Insurers & Contracts

Please add a contract or individual insurers.

Contracts ⊙

Search by "Contract ID" or "Description"...

Insurers Clear All

INSURER	TDI LICENSE NO.	PREMIUM %	DELETE
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Total: 0.000000%			

Note: A type-ahead feature is available for Insurers, allowing users to type the TDI license number, insurer name, or syndicate number (when applicable).

Alternately, you may select a predefined Contract (or regularly used group of insurers and/or syndicates) that you normally use when making policy filings by typing the contract ID or name in the Contracts field. Any insurers, percentages of participation, and syndicates will automatically be populated based on your Contract selection. Contracts can be created or edited within the Filing/Contracts tab from Broker Search/Edit.

**Lloyd's Syndicate(s)**

When searching for or selecting one or more Lloyd's syndicates, it is necessary to first select Underwriters at Lloyd's London. It is not necessary to input a percentage of participation for any Lloyd's syndicate; however, that information must be included on the insurance document (per [6 TIC 981.101\(c\)\(5\)](#)).

INSURER	TDI LICENSE NO.	PREMIUM %	DELETE
UNDERWRITERS AT LLOYD'S LONDON	9102091	100.000000	
<input type="text"/>		N/A	
332 - LLOYD'S OF LONDON SYNDICATE	TDI License No. 101133	<input type="text"/>	
33A LLOYD'S OF LONDON SYNDICATE	TDI License No. 905306	<input type="text"/>	
3334 - LLOYD'S OF LONDON SYNDICATE	TDI License No. 1345477	<input type="text"/>	
Total: 100.000000%			

Multi-State Transaction Clear All

STATE & TERRITORY <span>⊙</span>	AMOUNT	DELETE
Search by State and Territory	\$ <input type="text"/>	
Summary Amount: \$0.00		
Exempt Premium <span>⊙</span>	<input type="text"/>	
Reference Number	<input type="text"/>	
Reference <span>⊙</span>	<input type="text"/>	
Go back <span style="margin-left: 20px;">POST</span>		

Note: A type-ahead feature is available for any non-Texas exposure, allowing users to type the state or territory name or code.

**Step 5:**

Click POST to submit or file the transaction with SLTX.

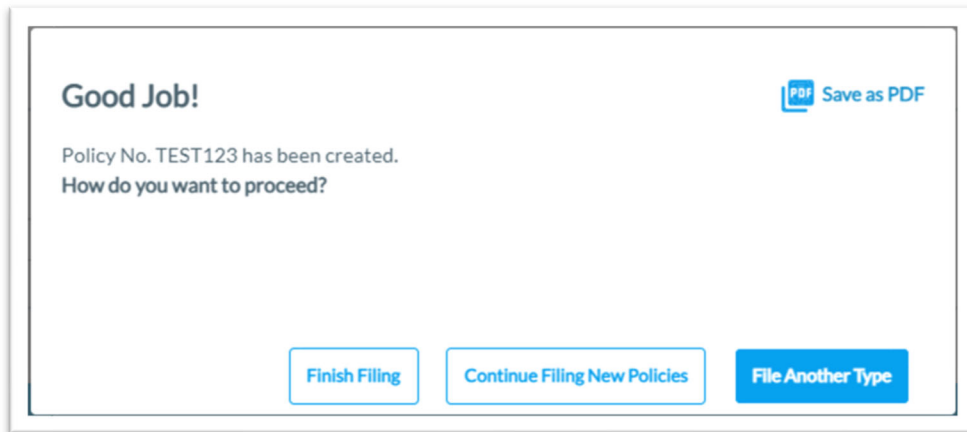
The screenshot shows a web form with several sections and error messages:

- Dates Section:**
  - Effective / Inception Date:** A dropdown menu with "06/01/2022" selected. A red box highlights this field with the error message: "The expiration date is before the inception date."
  - Expiration Date:** A date field with "01/01/2022" entered.
  - Continuous Until Cancelled:** Radio buttons for "Yes" and "No", with "No" selected.
  - Issue Date:** An empty date field.
- Coverage & Class Section:**
  - CODE & DESCRIPTION:** A dropdown menu with "Select..." selected. A red box highlights this field with the error message: "A Coverage Code is required, even when there is no premium for this transaction."
  - PREMIUM:** A field with a dollar sign and a value of "\$0.00".
  - DELETE:** A trash icon.
  - Total:** "Total: \$0.00"
- Limit Section:**
  - Total Insurable Value:** A field with a dollar sign and a value of "10,000".
- Class Section:**
  - Class:** A dropdown menu with "Select..." selected. A red box highlights this field with the error message: "Required class code was not provided".

Note: You will immediately be notified of any errors, which will prevent the filing from being accepted. Once the errors are resolved or corrected, it is necessary to click POST again. The errors represented here are for demonstration purposes only and in no way represent the full scope of business rules and/or requirements for all filing types.

**Step 6:**

Once the transaction is complete and the filing is accepted by SLTX, the user will be presented with a “Good Job” confirmation page.



From here, you may print a confirmation of the filing by clicking [Save as PDF](#). You may also continue with filings by clicking File Another Type or Continue Filing. You may also click Finish Filing to be returned to the Broker Landing page.

## Recent Filings

### Step 1:

After completing STEP 1 from [Primary Navigation](#), you will find the Recent Filings section on the [Data Entry Landing page](#). This section allows users to see a summary of the last 20 transactions filed by your agency and will include transactions made by all filing methods (EFS manual or automated submissions, SLTX processed, SMART Data Entry, or SMART API).

To perform a more in-depth search or to locate a specific transaction, click "Go to Search / Edit".

The screenshot shows the 'Data Entry' landing page. At the top, there is a breadcrumb trail: 'Home / Filing / Data Entry'. Below this is the 'Data Entry' title and a 'Get Started' section with the question 'What would you like to do today?'. There are two main action cards: 'New Filing' (described as used for making new filings with SLTX) and 'Search / Edit' (described as used for searching and reviewing transactions). Below these is a 'Recent Filings - Last 20 filings' section containing a table of transactions. Red arrows point from the text above to the 'Go to Search / Edit' button, the 'Policy No.' link in the first row of the table, and a PDF icon in the same row.

BATCH	POLICY NO.	REFERENCE	TYPE	EFFECTIVE DATE	USER ID	TOTAL GROSS	SAVE AS
5995	<a href="#">TESTCANCELRX</a>		New Policy Reversal	01/18/2021	TESTPOST	\$-1,468.95	
5995	<a href="#">TESTCANCELRX</a>		Cancellation Reversal	04/18/2021	TESTPOST	\$0.00	
5995	<a href="#">TESTCANCELRX</a>		Cancellation Reversal	04/18/2021	TESTPOST	\$1,468.95	
5995	<a href="#">TESTCANCELRX</a>		Cancellation Amendment	04/18/2021	TESTPOST	\$0.00	
5995	<a href="#">TESTCANCELRX</a>		Cancellation	04/18/2021	TESTPOST	\$-1,468.95	

Click the Policy Number link to view details of that transaction.

You may print a confirmation of individual filings by clicking the PDF icon.



## Save as PDF

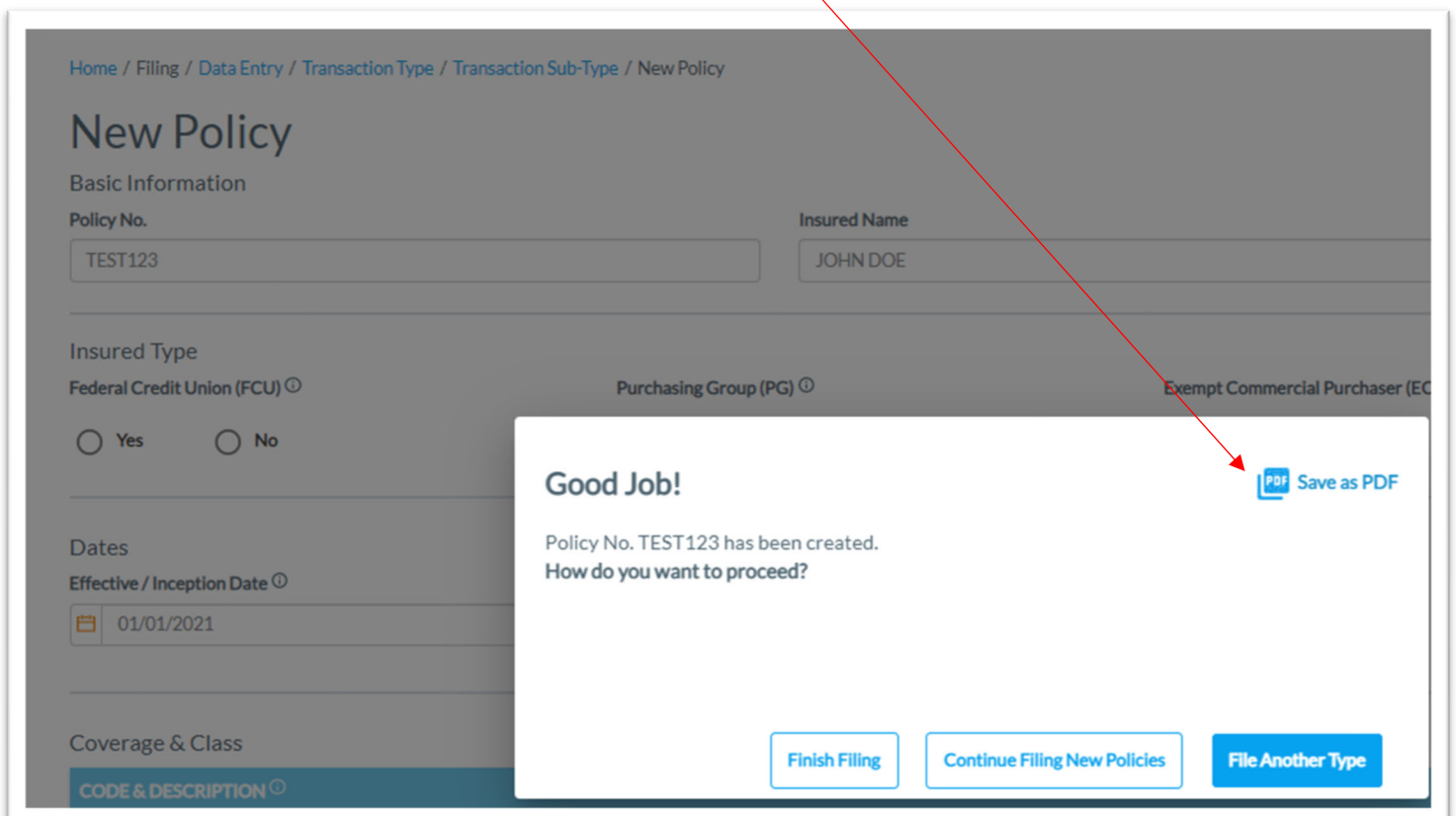
### Step 1:

Click the PDF icon from Recent Filings section on the [Data Entry Landing page](#) to print a confirmation of the individual filing by clicking the PDF icon. This confirmation page will include all data elements input on the transaction, including Report Date, Batch Number, and SLTX ID (Policy ID) assigned by SLTX, and will serve as an affirmation of the filing and acceptance by SLTX.

Recent Filings - Last 20 filings								
BATCH	POLICY NO.	REFERENCE	TYPE	EFFECTIVE DATE	USER ID	TOTAL GROSS	SAVE AS	
5995	TESTCANCELRX		New Policy Reversal	01/18/2021	TESTPOST	\$-1,468.95		
5995	TESTCANCELRX		Cancellation Reversal	04/18/2021	TESTPOST	\$0.00		
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5995	TESTCANCELRX		Cancellation Amendment	04/18/2021	TESTPOST	\$0.00		
5995	TESTCANCELRX		Cancellation	04/18/2021	TESTPOST	\$-1,468.95		

Note: You may temporarily see another browser tab open and display the transaction's details. This is used to facilitate the print to PDF and will be closed once the PDF document is complete. The PDF file will be displayed at the bottom of your browser window. To open document, double click on the PDF file.

Alternately, the Save as PDF feature is also available immediately following the POST or submission of the filing from the "Good Job!" confirmation window.



The screenshot shows a 'New Policy' confirmation window. The window title is 'New Policy' and the breadcrumb is 'Home / Filing / Data Entry / Transaction Type / Transaction Sub-Type / New Policy'. The 'Basic Information' section includes 'Policy No.' (TEST123) and 'Insured Name' (JOHN DOE). The 'Insured Type' section has 'Federal Credit Union (FCU)' selected. The 'Dates' section has 'Effective / Inception Date' (01/01/2021). The 'Coverage & Class' section has 'CODE & DESCRIPTION'. A 'Good Job!' message is displayed, stating 'Policy No. TEST123 has been created. How do you want to proceed?'. A 'Save as PDF' button is visible in the top right corner of the confirmation window, with a red arrow pointing to it from the text above. At the bottom of the confirmation window, there are three buttons: 'Finish Filing', 'Continue Filing New Policies', and 'File Another Type'.

## Notable changes between SMART Data Entry and EFS Filings

1. It is no longer necessary to create a Batch. SMART will automatically add all transactions to your batch. SMART will create new batches as necessary to facilitate filing requirements; however, in almost all cases a single batch will be created for each day your agency reports filings and will contain all Data Entry filings made under your license (regardless of the user creating those filings).
2. It is no longer necessary to manually input (or type) the tax, stamping fee, and/or total gross amounts. SMART will automatically calculate these amounts based on the coverage premium(s) and policy fee that you enter and display the amounts on the entry screen. It is necessary that these amounts are shown on the insurance documentation (per [6 TIC 981.101\(c\)\(3\)](#) and [28 TAC 15.5\(a\)\(3\)](#)). You may use SMART's calculations to assist you in this confirmation.
3. Instead, users may [print a confirmation](#) of each filing at any time once the posting / filing is complete.
4. With non-Texas exposure, you are only required to enter individual state and corresponding premium. It is no longer necessary to separately enter Breakdown of States Summary premium.
5. For any non-policy or child transaction, you will be prompted to identify the parent policy first (by inputting the policy number and effective date of the child transaction. This eliminates the need to search for and/or input the "parent policy ID".
6. SMART will automatically display corresponding coverage codes (from the original policy filing) for any non-policy or child transactions. It will no longer be necessary to look-up that information prior to filing.
7. Pending transactions will no longer be created for Manual Data Entry transactions. Instead, users will be notified immediately on any errors, which will prevent the filing from being accepted. The user will be promoted to correct the errors to complete the transaction.