

# 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

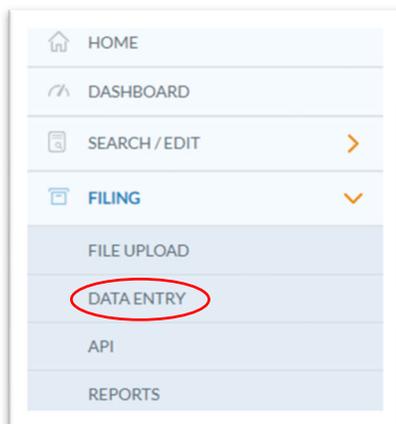
- Google Chrome
- Microsoft's Edge

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	
5995	TESTCANCELRX		Cancellation Reversal	04/18/2021	TESTPOST	\$0.00	
5995	TESTCANCELRX		Cancellation Reversal	04/18/2021	TESTPOST	\$1,468.95	
5995	TESTCANCELRX		Cancellation Amendment	04/18/2021	TESTPOST	\$0.00	
5995	TESTCANCELRX		Cancellation	04/18/2021	TESTPOST	\$-1,468.95	

### 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)

These steps may be used to create the following transactions: **Insurer / Company Change**  
**Endorsement**

### 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**.

<Previous Release> New or Renewal Policy or Binder, Cancellation, Reinstatement, Endorsement, Audit, and Installment

<Future Release> New Policy Replacing Binder

The screenshot shows a web interface for selecting a transaction type. At the top, there is a breadcrumb trail: Home / Filing / Data Entry / Transaction Type. Below this is the title 'Data Entry' and a sub-header 'Select Transaction Type'. On the right side, there are four buttons: 'Filing' (highlighted in blue), 'Update/Corrections', 'Reverse', and 'Delete'. The main content area contains seven transaction type tiles, each with a radio button and a description:

- Regular New Policy**  
Policy document that was issued.
- 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 of the screen, there are two buttons: 'Cancel' and 'Next' (highlighted in blue).

### Step 3:

Select the sub-type by clicking on the corresponding Sub-Type Tile: Insurer / Company Change. **<Future Release>** Inception Date Change or Non-Premium Endorsements; Audit, Cancellation, or Reinstatement Amendments.

Home / Filing / Data Entry / Transaction Type / Transaction Sub-Type

## Data Entry

Transaction Type: Endorsement      Report Date: 06/19/2022

Please select a transaction subtype:

- Premium Change  
Premium change endorsement or amendment to the Policy/Binder.
- Name Insured Change  
Non-premium endorsement changing the named insured of the Policy/Binder.
- Insurer / Company Change  
Non-premium endorsement changing the Insurer, Company, or Security that is insuring the risk on the Policy/Binder.
- Policy Number Change  
Non-premium endorsement changing the policy number of the Policy/Binder.
- Expiration Date Change  
Non-premium endorsement changing the Expiration Date of the Policy/Binder. Most often used to shorten the period. Date Extensions should be processed as a Renewal.
- Inception Date Change  
Non-premium endorsement changing the Inception/Effective Date of the Policy/Binder. May also be used to change both the Inception and Expiration Dates.
- Other Non-Premium Endorsement  
Other non-premium endorsement than those already listed.

### Find a Policy

Input the policy number and effective date of the Endorsement and then click Search to locate the Policy / Binder.

Policy No.       Effective Date

### Features

“Find a Policy” allows SMART 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” and allows the coverage code(s) to be automatically applied to your child transaction.

### Step 4:

Input the policy number and effective date of your transaction (i.e., cancellation, endorsement, audit, installment) and click SEARCH to locate the Policy/Binder transaction.

### Find a Policy

Input the policy number and effective date of the Cancellation and then click Search to locate the Policy / Binder.

Policy No.       Effective Date

1 result found for: Policy No. SLTX-1887

SELECT	POLICY NO.	TYPE	INSURED	EFFECTIVE DATE	ERRORS	HISTORY
<input checked="" type="radio"/>	SLTX-1887	New Policy	SLTX-1887 (F5)	07/16/2020	2	<a href="#">View</a>

### Features

You may click [VIEW](#) to see a listing of the policy/binder record displayed, along with any child (or non-policy) transactions already in the system. To view Errors, click [ERRORS](#) column.

### Step 5:

Select appropriate policy / binder, then click NEXT.

**Find a Policy**  
Input the policy number and effective date of the Endorsement and then click Search to locate the Policy / Binder.

Policy No.  Effective Date

1 result found for: Policy No. SLTX-1887

SELECT	POLICY NO.	TYPE	INSURED	EFFECTIVE DATE	ERRORS	HISTORY
<input checked="" type="radio"/>	SLTX-1887	New Policy	SLTX PLUMBING INC	07/16/2020	2	<a href="#">View</a>

### Features:

Once a parent policy (policy or binder) is already cancelled, the record will not be available for selection.

### Step 6:

The pertinent data, including named insured, policy number, and existing insurer(s)/syndicate(s), are copied from the parent policy into your child / non-policy transaction entry screen.

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

[Home](#) / [Filing](#) / [Data Entry](#) / [Transaction Type](#) / [Transaction Sub-Type](#) / [Endorsement](#)

## Insurer Change Endorsement

Basic Information

Policy No.  Insured Name  Report Date

Dates

Effective Date  Expiration Date  Continuous Until Cancelled  Issue Date

### Features

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

Insurers & Contracts  
Please add a contract or individual insurers.

Contracts ⓘ

Insurers [Clear All](#)

INSURER	TDI LICENSE NO.	NAIC NO.	PREMIUM %	DELETE
UNDERWRITERS AT LLOYD'S LONDON	90102091	AA1122000	<input type="text" value="100"/>	<input type="button" value="DELETE"/>
 332 - LLOYD'S OF LONDON SYNDICATE	101133	N/A	N/A	<input type="button" value="DELETE"/>
<input type="text" value="Enter Name or TDI License No."/>			N/A	<input type="button" value="DELETE"/>
<input type="text" value="Search by Insurer or TDI License No. or NAIC No. ..."/>				<input type="button" value="DELETE"/>

Total: 100.000000%

Reference Number  
Reference ⓘ

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	90102091	100.000000	<input type="checkbox"/>
<input type="text" value="33"/>		N/A	<input type="checkbox"/>
332 - LLOYD'S OF LONDON SYNDICATE	TDI License No. 101133		<input type="checkbox"/>
33A LLOYD'S OF LONDON SYNDICATE	TDI License No. 9051806	Total: 100.0000000%	
334 - LLOYD'S OF LONDON SYNDICATE	TDI License No. 13454797		

## Step 7:

Click **POST** to submit or file the transaction with SLTX.

Home / Filing / Data Entry / Transaction Type / Transaction Sub-Type / Endorsement

### Insurer Change Endorsement

Basic Information

Policy No. SLTX-1887	Insured Name SLTX PLUMBING INC	Report Date 06/19/2022
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Dates

Effective Date <input type="text" value="07/16/2021"/> Effective Date is not a valid calendar date.	Expiration Date 07/16/2021	Continuous Until Cancelled No	Issue Date <input type="text"/>
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Insurers & Contracts

Please add a contract or individual insurers.

Contracts

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

Insurers

INSURER	TDI LICENSE NO.	NAIC NO.	PREMIUM %	DELETE
<input type="text" value="Search by Insurer or TDI License No. or NAIC No. ..."/>			Total: 0.000000%	<input type="button" value="DELETE"/>

No Securities were provided for this transaction.

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 8:

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

**Good Job!**  Save as PDF

Policy No. SLTX-1887 has been endorsed.  
**How do you want to proceed?**

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' section of a web application. 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' (blue) and 'Search / Edit' (white). The 'New Filing' card includes a 'New Transaction' button. The 'Search / Edit' card includes a 'Go to Search / Edit' button. Below these cards is a section titled 'Recent Filings - Last 20 filings' which contains a table of transaction data. 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 last row of the table.

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

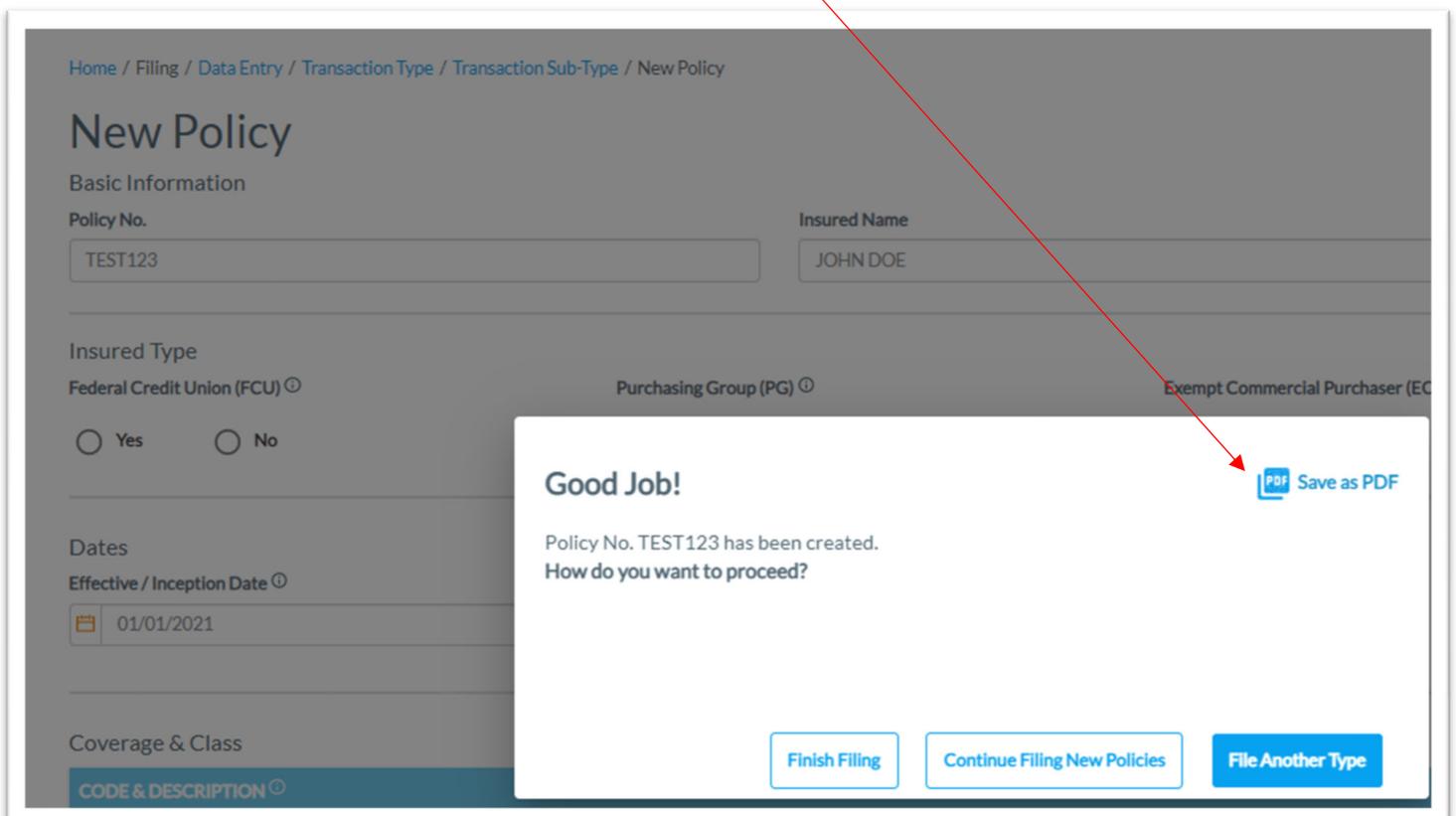
### Step 1:

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		
5995	TESTCANCELRX		Cancellation Reversal	04/18/2021	TESTPOST	\$1,468.95		
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 trail 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 with 'Yes' and 'No' radio buttons. The 'Dates' section has 'Effective / Inception Date' (01/01/2021). The 'Coverage & Class' section has a 'CODE & DESCRIPTION' dropdown. 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'.

## View History

### Step 1:

From **Find a Policy** results, you may click **VIEW** to see a listing of policy/binder record being displayed along with any child (or non-policy) transactions already in the system.

Home / Filing / Data Entry / Transaction Type / Transaction Sub-Type

### Data Entry

Transaction Type: Audit      Report Date: 01/25/2022

Please select a transaction subtype:

**Audit**  
An adjustment of the premium on a policy. For SLTX purposes, an Audit must be for the entire time that coverage was in effect.

**Amendment**  
Amending an existing audit, most often to revise audit's premium and MUST have the same effective date.

### Find a Policy

Input the policy number and effective date of the Audit and then click Search to locate the Policy / Binder.

Policy No.       Effective Date

2 results found for: Policy No. TEST

SELECT	POLICY NO.	TYPE	INSURED	EFFECTIVE DATE	ERRORS	HISTORY
<input type="radio"/>	TEST	New Policy	TEST	01/01/2021	0	<a href="#">View</a>
<input type="radio"/>	TEST	New Policy	TEST	01/01/2021	0	<a href="#">View</a>

Home / Filing / Data Entry / Transaction Type / Transaction Sub-Type

### Data Entry

Transaction Type: Audit      Report Date: 01/25/2022

Please select a transaction subtype:

**Audit**  
An adjustment of the premium on a policy. For SLTX purposes, an Audit must be for the entire time that coverage was in effect.

**Amendment**  
Amending an existing audit, most often to revise audit's premium and MUST have the same effective date.

### Find a Policy

Input the policy number and effective date of the Audit and then click Search to locate the Policy / Binder.

Policy No.       Effective Date

2 results found for: Policy No. TEST

SELECT	POLICY NO.	TYPE	INSURED	EFFECTIVE DATE	ERRORS	HISTORY
<input type="radio"/>	TEST	New Policy	TEST	01/01/2021	0	<a href="#">View</a>

#### History for Policy No. TEST

SLTX ID ↑	NAMED INSURED	TRANSACTION TYPE	EFFECTIVE DATE	ORIGINATED BY	ORIGINATED DATE
11248410	TEST	New Policy	01/01/2021	CHEYENNE	12/10/2021
11253305	TEST	Premium Endorsement	01/01/2021	CHEYENNE	01/25/2022

Displaying records 1 - 2 of 2.

Click the **SLTX ID** link to view details of that transaction.

## View Errors

### Step 1:

From **Find a Policy** results, you may click the **ERRORS** column to a listing of any errors (or tags) which were applied to the policy/binder record being displayed. NOTE: Based on the current and former procedures, only manually paper filed transactions will reflect ERRORS on a *filed* transaction.

Home / Filing / Data Entry / Transaction Type / Transaction Sub-Type

### Data Entry

Transaction Type: Audit      Report Date: 01/25/2022

Please select a transaction subtype:

- Audit**  
An adjustment of the premium on a policy. For SLTX purposes, an Audit must be for the entire time that coverage was in effect.
- Amendment**  
Amending an existing audit, most often to revise audit's premium and MUST have the same effective date.

### Find a Policy

Input the policy number and effective date of the Audit and then click Search to locate the Policy / Binder.

Policy No.       Effective Date

1 result found for: Policy No. SLTX-1887

SELECT	POLICY NO.	TYPE	INSURED	EFFECTIVE DATE	ERRORS	HISTORY
<input type="radio"/>	SLTX-1887	New Policy	SLTX-1887 (F5)	07/16/2020	2	<a href="#">View</a>

Home / Filing / Data Entry / Transaction Type / Transaction Sub-Type

### Data Entry

Transaction Type: Audit      Report Date: 01/25/2022

Please select a transaction subtype:

- Audit**  
An adjustment of the premium on a policy. For SLTX purposes, an Audit must be for the entire time that coverage was in effect.
- Amendment**  
Amending an existing audit, most often to revise audit's premium and MUST have the same effective date.

### Find a Policy

Input the policy number and effective date of the Audit and then click Search to locate the Policy / Binder.

Policy No.       Effective Date

1 result found for: Policy No. SLTX-1887

SELECT	POLICY NO.	TYPE	INSURED	EFFECTIVE DATE	ERRORS	HISTORY
<input type="radio"/>	SLTX-1887	New Policy	SLTX-1887 (F5)	07/16/2020	2	<a href="#">View</a>

#### Errors for Policy No. SLTX-1887

ERROR CODE	ERROR DESCRIPTION	ERROR REASON
&	NEW TAG Complaint Notice missing/altered	The Notice of Toll-Free Telephone Numbers and Information and Complaint Procedures was not found with the policy information submitted to our office or it was altered in some way. Please be sure this is attached to the insured's copy of the policy. NO RESPONSE IS REQUIRED ON THIS TAG.
X	Tax and Stamping Fee must be shown on Item	Both tax and stamping fee must be shown on each item submitted to this office. This tag is for your information only. No response is required.

Error Resolved: No      Date: 07/16/2020

## 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 of a Batch Edit Report, 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 prompted to correct the errors to complete the transaction.