# 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).

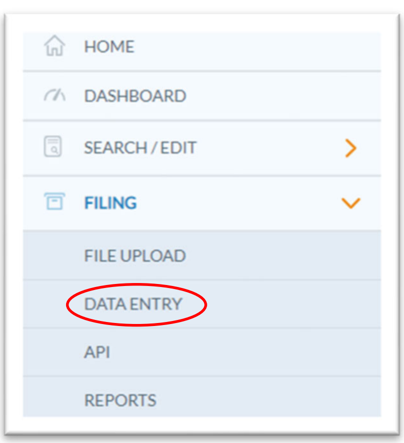
### Environments
The following URLS are used for SMART:
**Test:** https://test.sltx.org/ **Production:** https://smart.sltx.org/

### 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.

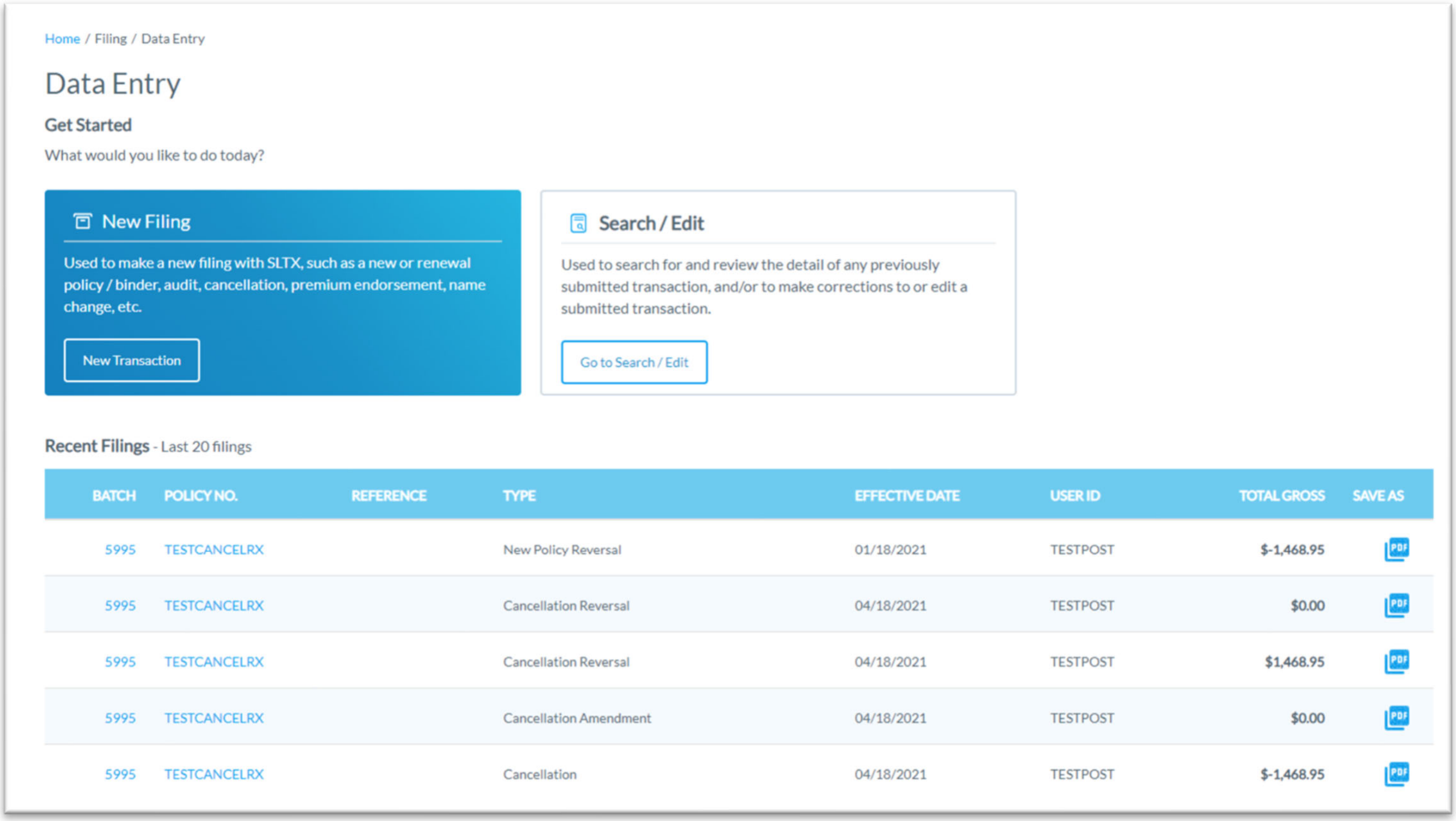
***Supported Browsers***
- Google Chrome
- Microsoft's Edge

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.




***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

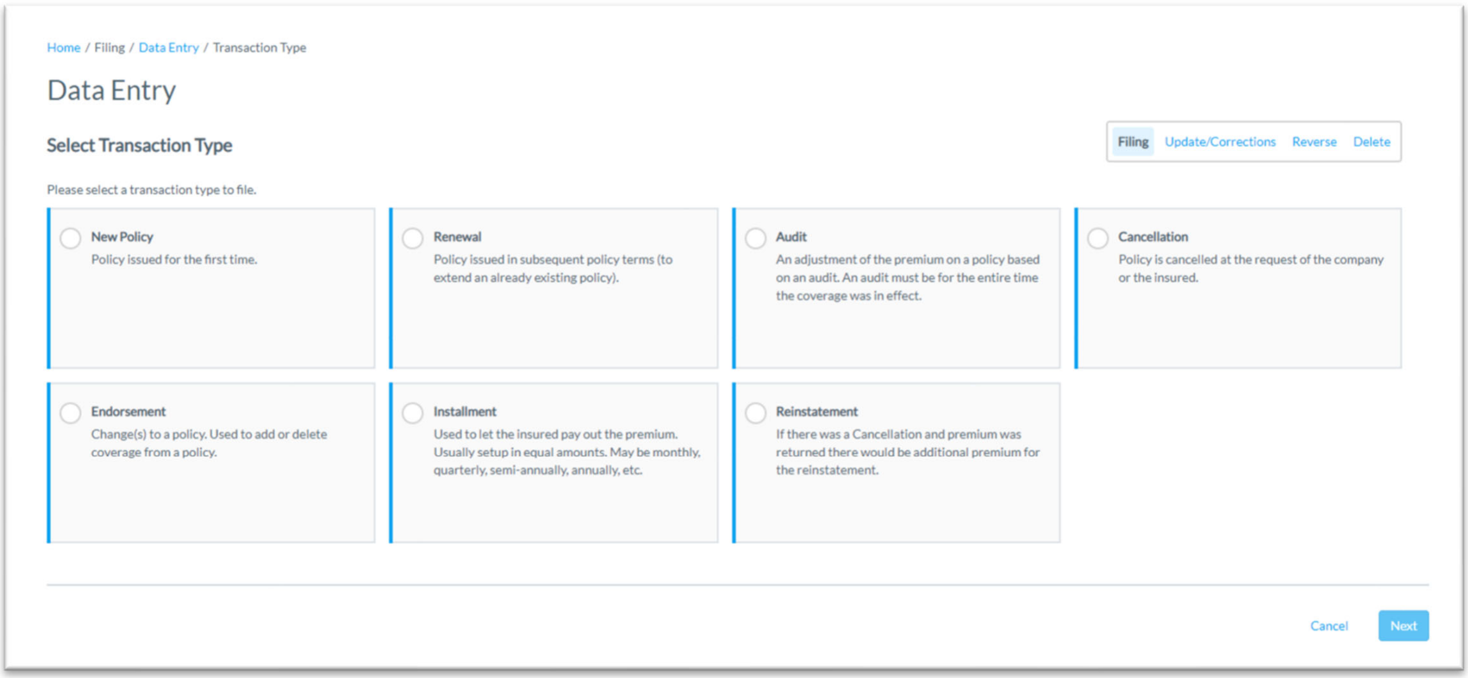
## Data Entry (Manual Filing)

**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.

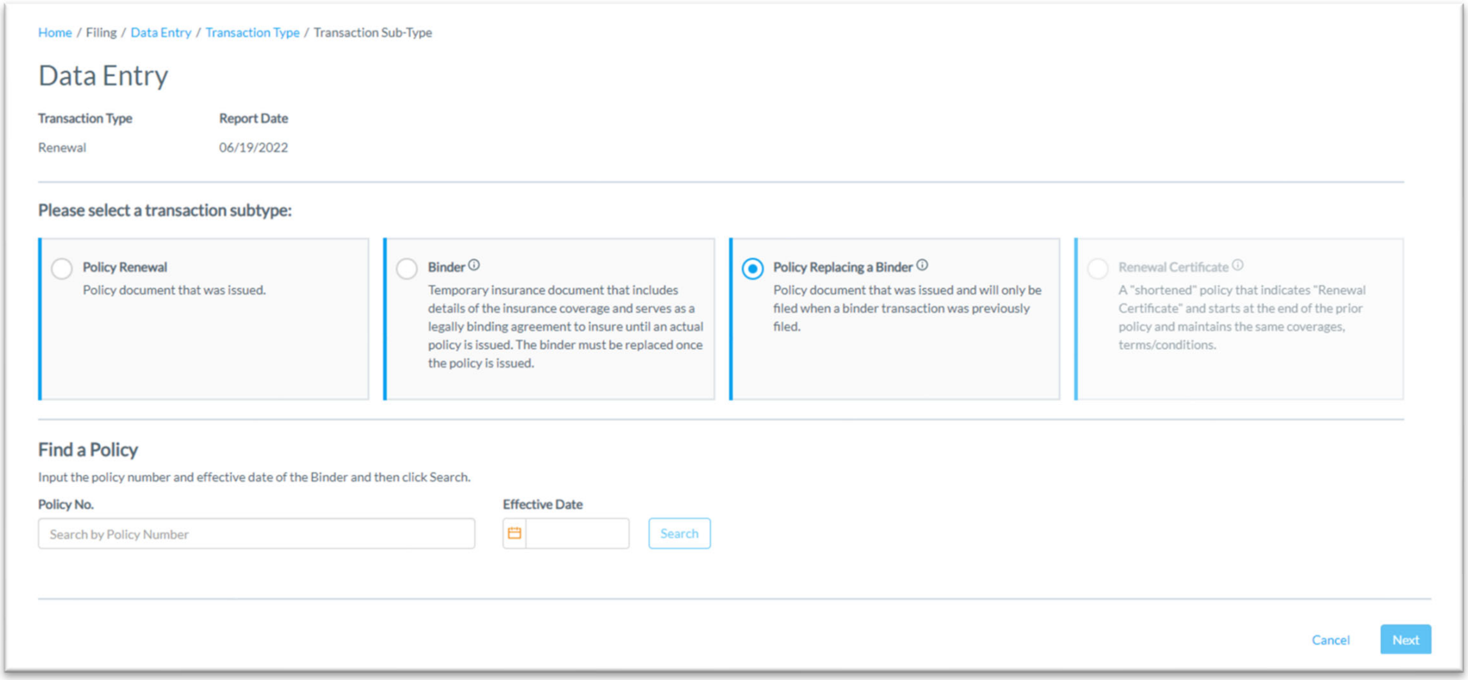
**Step 2:**

Select the type of transaction by clicking on the corresponding Transaction Type Tile, then click NEXT.
**<Previous Release>** New or Renewal Policy or Binder, Cancellation, Reinstatement, Endorsement, Audit, and Installment
**<Future Release>** New Policy Replacing Binder



**Step 3:**
Select the sub-type by clicking on the corresponding Sub-Type Tile: **Policy Replacing a Binder.**

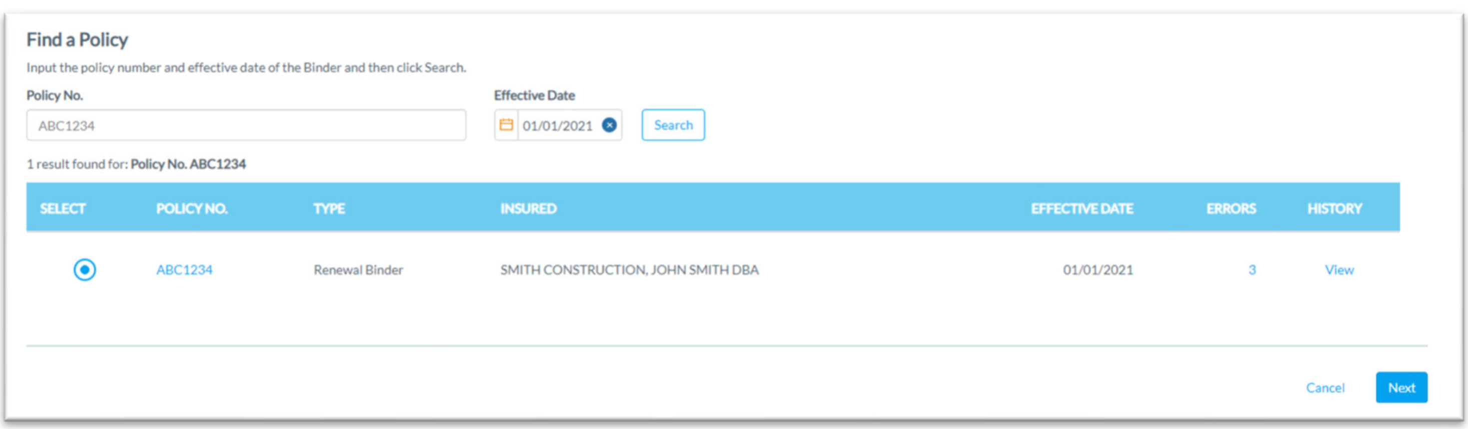
*Note: Per [28 TAC 15.105](), you are required to replace a temporary confirmation (binder)* ***as promptly as possible*** *with a policy or certificate stating the complete terms / conditions (policy replacing binder).*




***Features***
**"Find a Policy"** allows SMART to identify the binder first (by inputting the policy number and effective date of the binder). This eliminates the need to manually re-enter the data from the policy, allowing the user to solely focus on any changes from the binder to the policy.

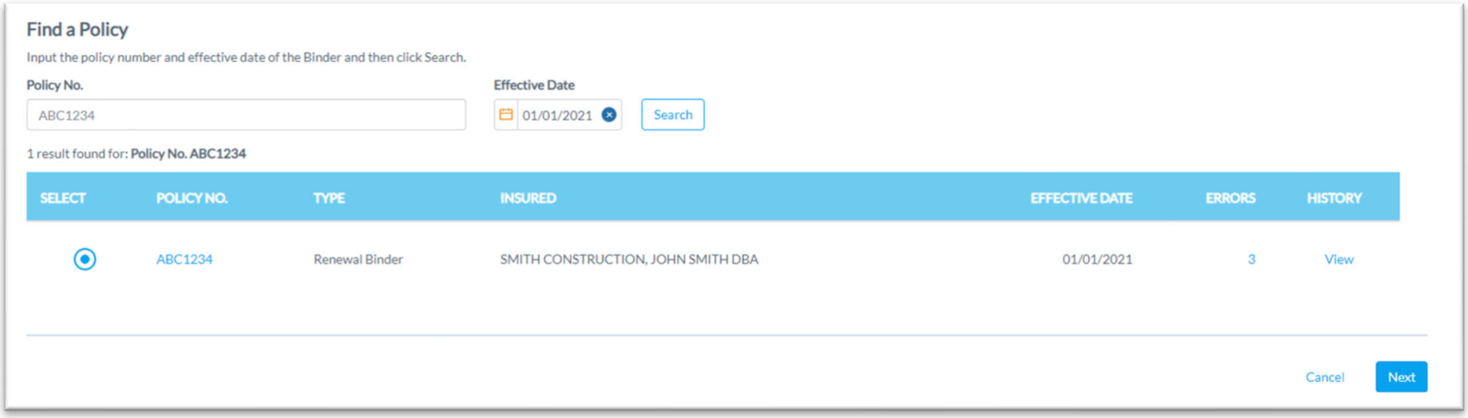
Coach mark(s) are available to provide additional situational context to users. Click the ⓘ icon.

**Step 4:**
Input the policy number and effective date of the binder and click SEARCH to locate the Binder transaction.




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

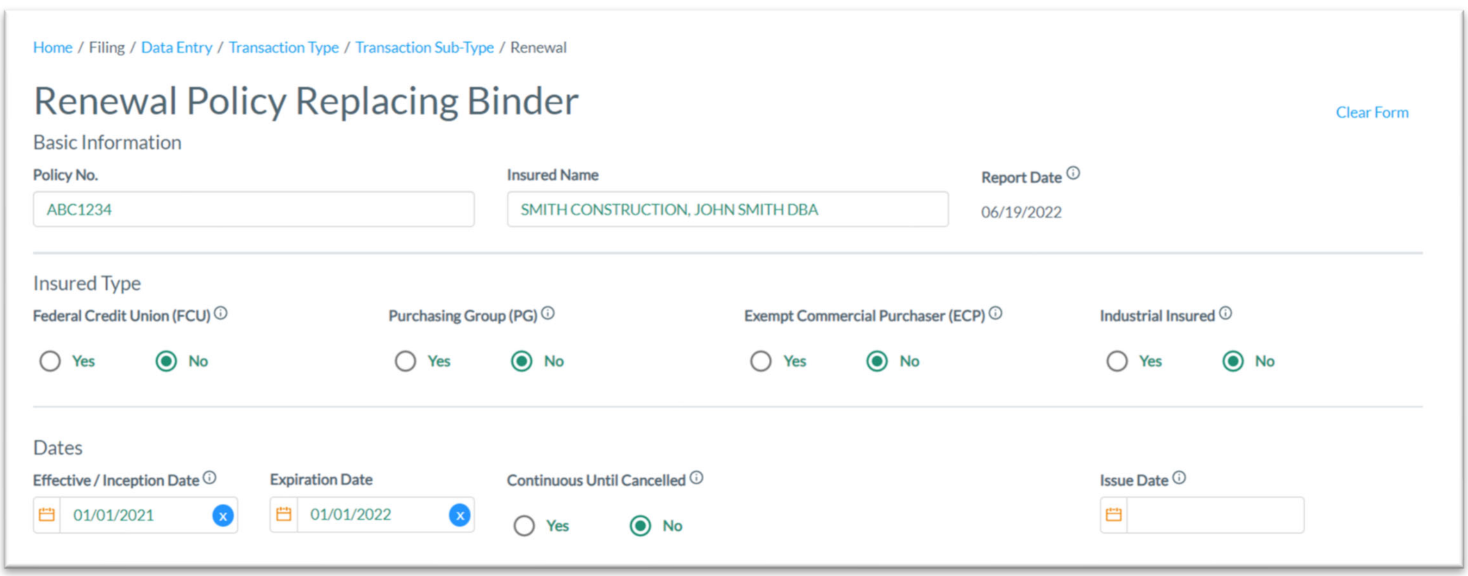
**Step 5:**
Select appropriate binder, then click NEXT.



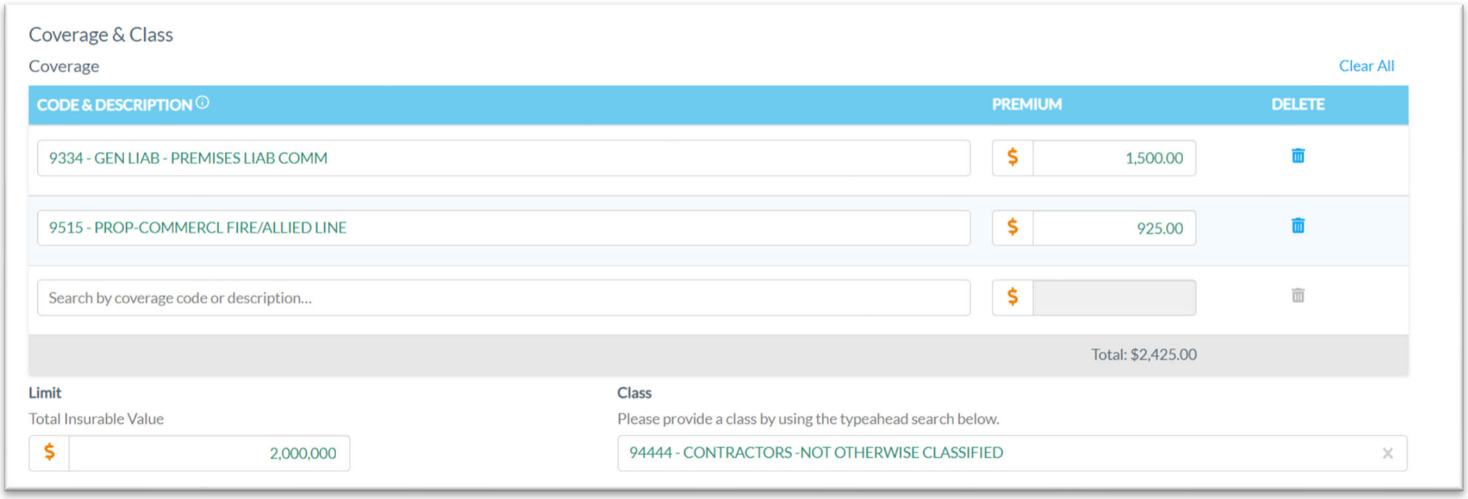

***Features:***
Once a binder is flat cancelled (effective at inception), the record will not be available for replacement.

**Step 6:**
The pertinent data, including named insured, policy number, and coverage code(s), are copied (pre-filled in green) from the binder into your policy replacing binder transaction entry screen. It will be necessary to review all data points, updating as necessary based on the Policy Replacing Binder document. *The following data points are not copied (pre-filled) from the binder: Issue Date, Correct Original ID, Reference.*

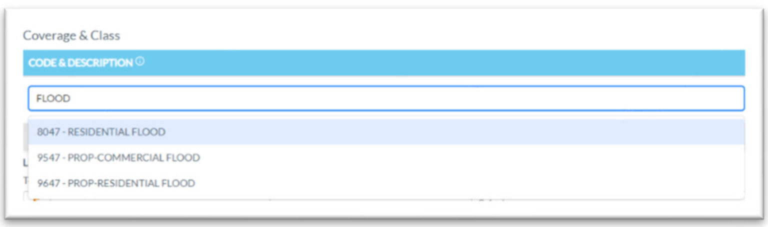
Coach mark(s) are available to provide additional situational context to the user. Click the ⓘ icon.

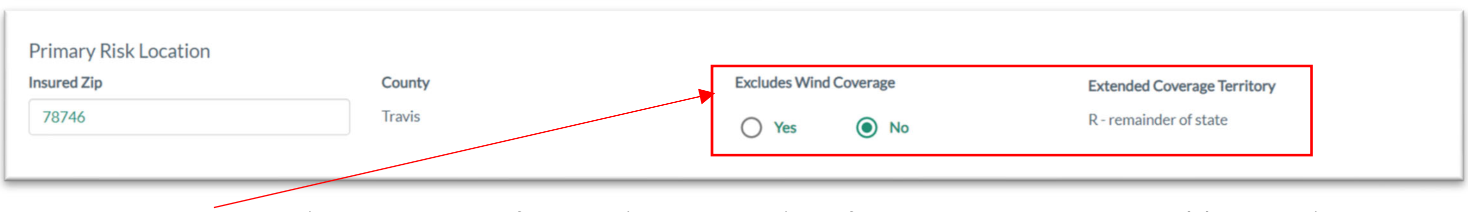


*CAUTION: If the original coverage or class code(s) have been restricted since the creation of the binder, the restricted code(s) will not be shown. This will require the user to input and/or select new coverage and/or class codes as appropriate.*



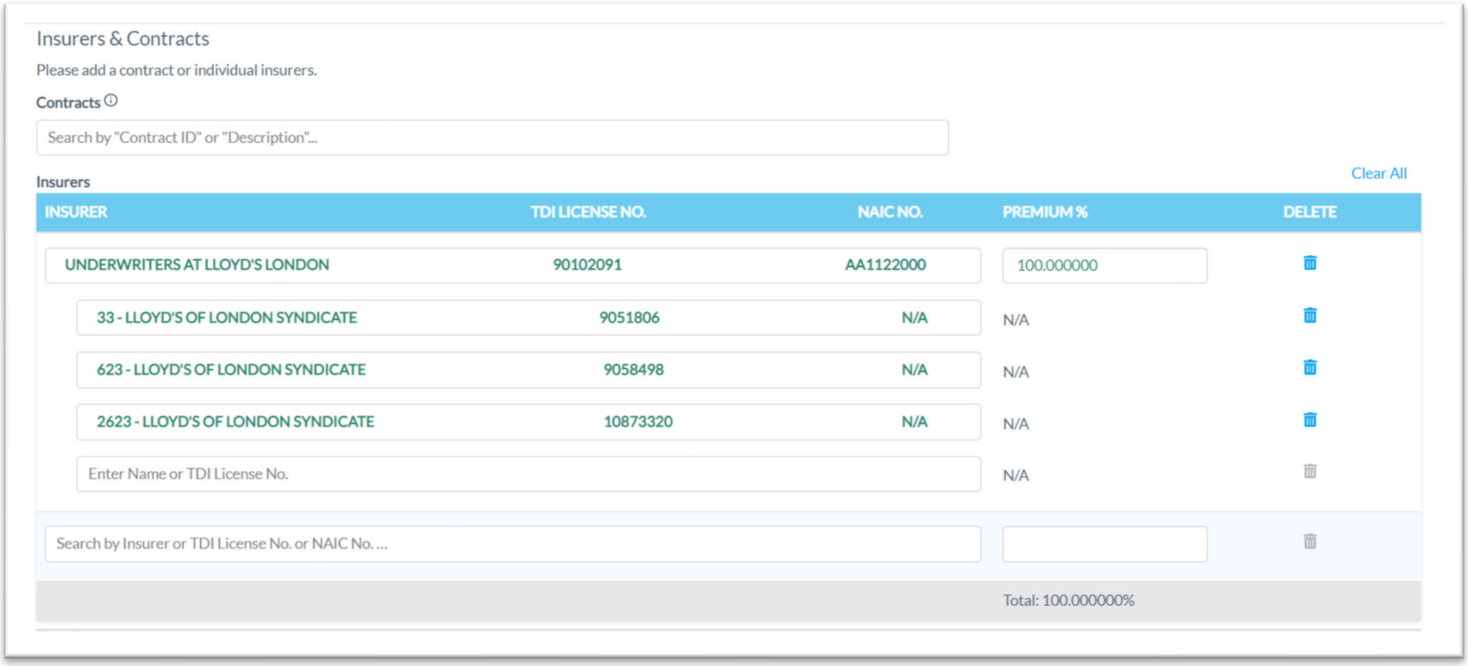

Note: If the coverage or class code should be updated, a type-ahead feature is available, allowing users to type the coverage (or class) code, description, or keyword.




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.

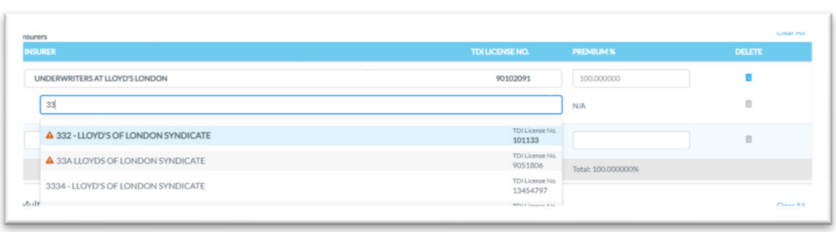


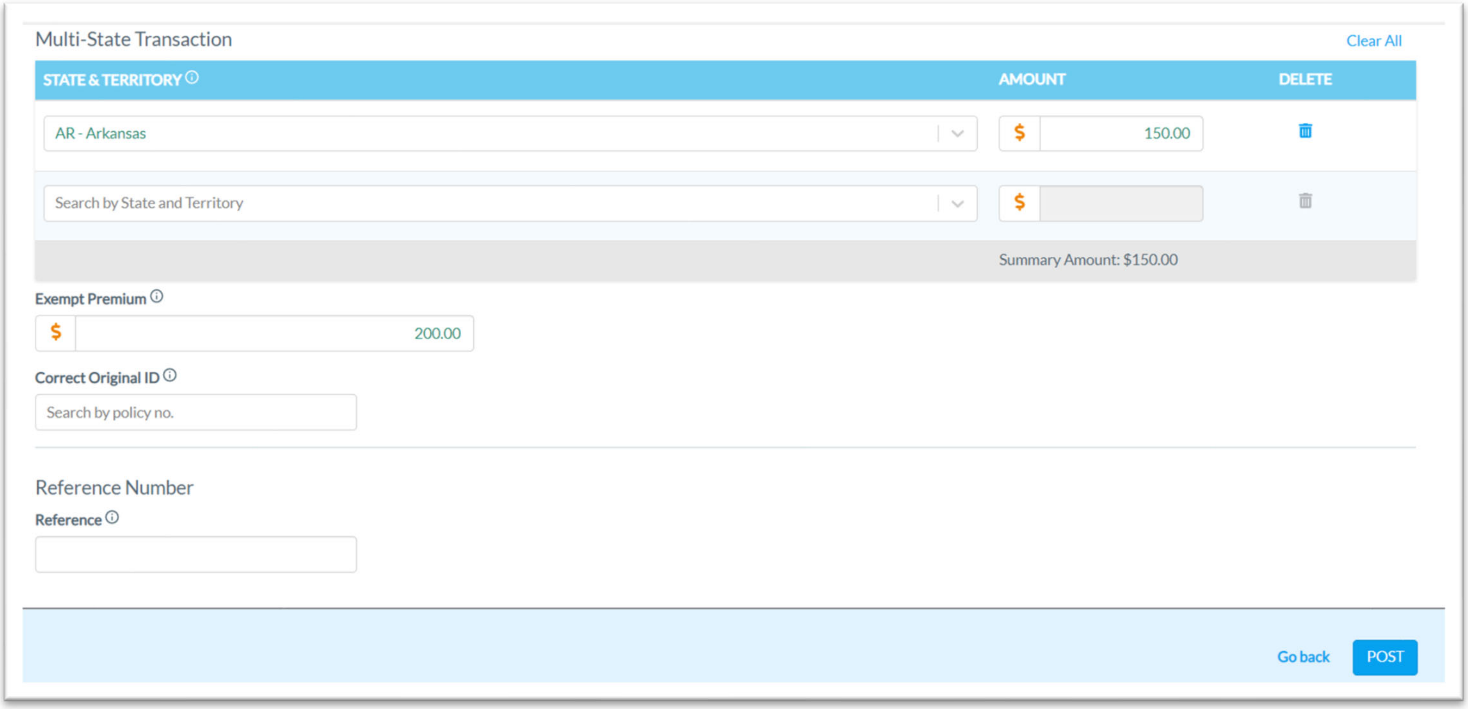

Note: If the insurer(s) and/or syndicate(s) should be updated, a type-ahead feature is available for Insurers, allowing users to type the TDI license number, insurer name, or syndicate number (when applicable).

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)***

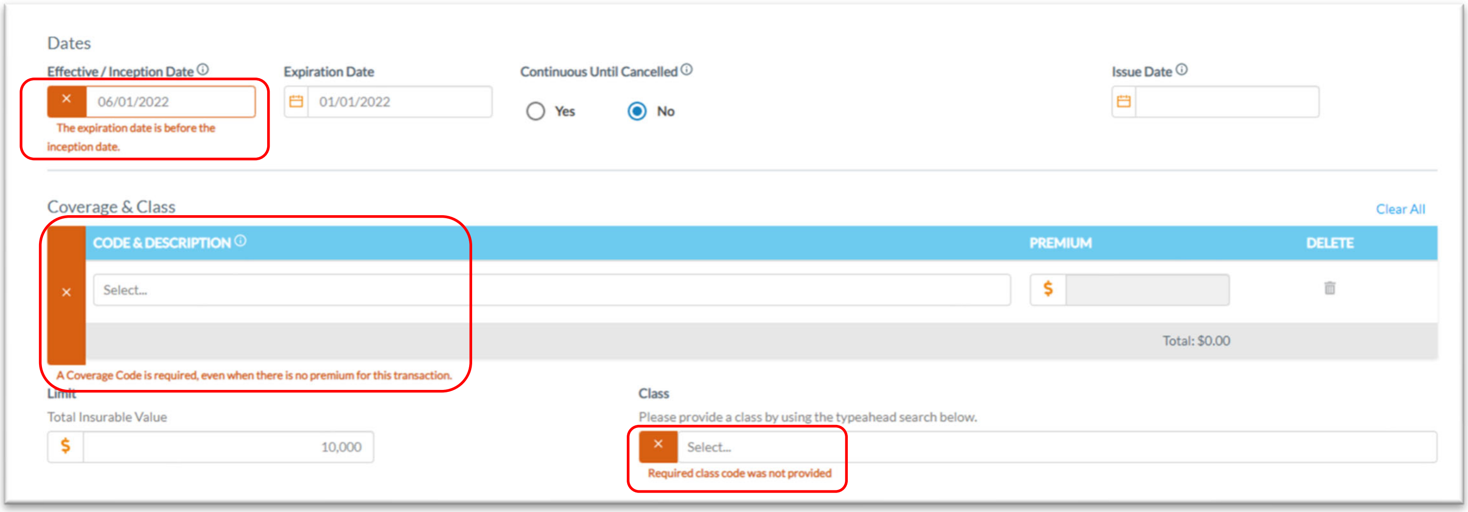
When searching for or selecting one or more Lloyd's syndicates, it is necessary to first select Underwriters at Lloyd's London. It is not necessary to input a percentage of participation for any Lloyd's syndicate; however, that information must be included on the insurance document (per [6 TIC 981.101(c)(5)]).






Note: If any non-Texas exposure or premium allocation should be updated, a type-ahead feature is by state or territory name or code.

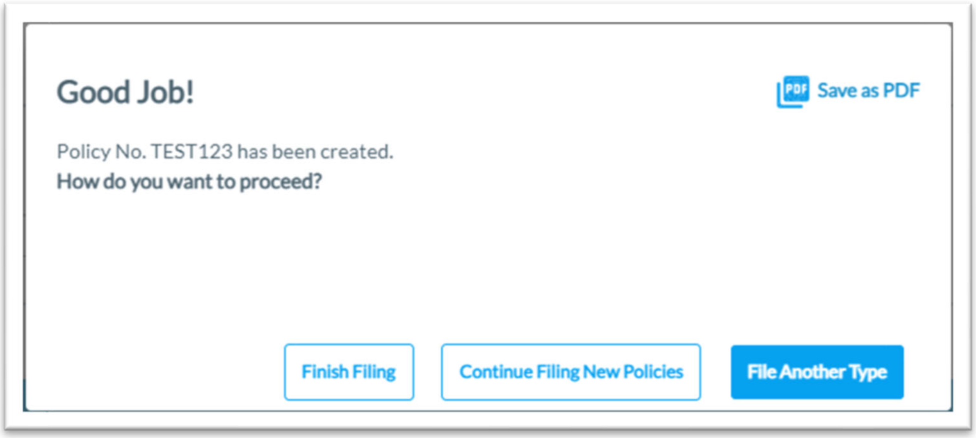
**Step 6:**
Click POST to submit or file the transaction with SLTX.




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.

***System Procedure:***
*Upon acceptance of the Policy Replacing Binder transaction, a flat cancellation will automatically be applied to the existing Binder (creating a credit for the binder's premium). The Policy Replacing Binder's premium amount will also be applied, creating a net zero premium when there is not a change in premium / policy from the binder to the policy ( if there is a premium / policy fee change, the net difference from the binder to the policy).*

**Step 7:**
Once the transaction is complete and the filing is accepted by SLTX, the user will be presented with a "Good Job" confirmation page.



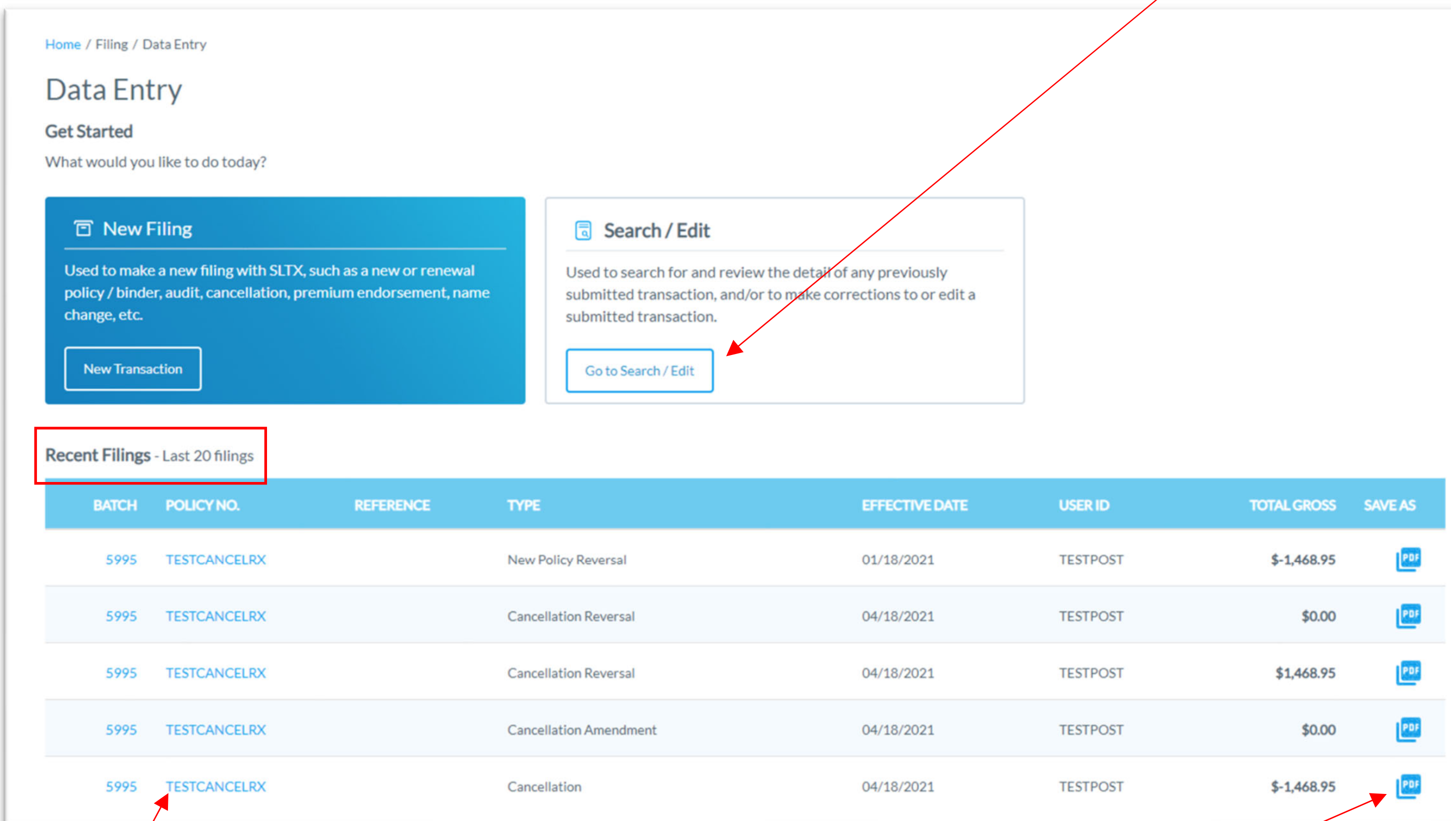

From here, you may print a confirmation of the filing by clicking Save as PDF. You may also continue with filings by clicking File Another Type or Continue Filing. You may also click Finish Filing to be returned to the Broker Landing page.

## 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".




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:

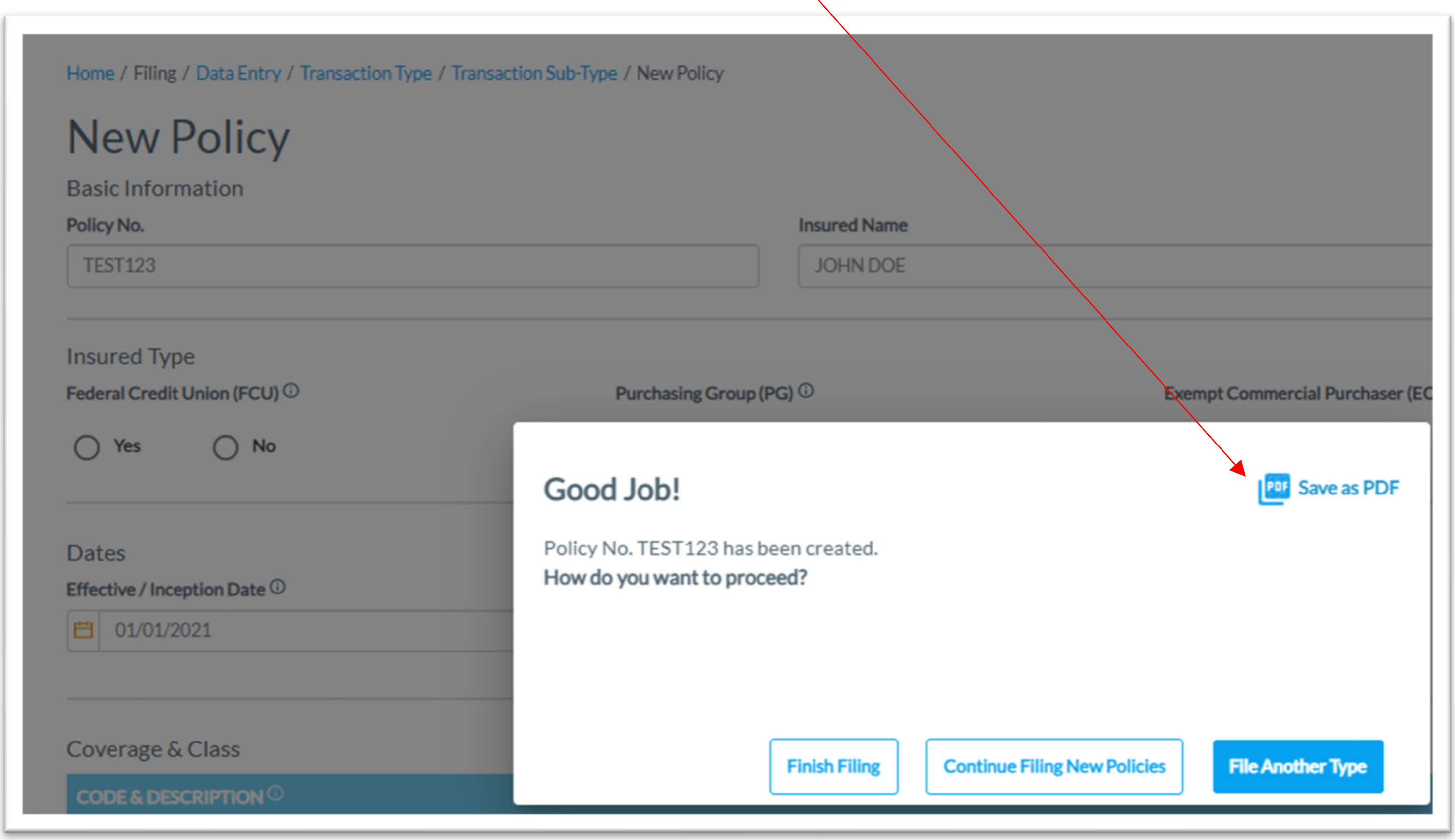
Click the PDF icon from Recent Filings section on the [Data Entry Landing page] to print a confirmation of the individual filing by clicking the PDF icon. This confirmation page will include all data elements input on the transaction, including Report Date, Batch Number, and SLTX ID (Policy ID) assigned 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 | PDF |
| 5995 | TESTCANCELRX | | Cancellation Reversal | 04/18/2021 | TESTPOST | $0.00 | PDF |
| 5995 | TESTCANCELRX | | Cancellation Reversal | 04/18/2021 | TESTPOST | $1,468.95 | PDF |
| 5995 | TESTCANCELRX | | Cancellation Amendment | 04/18/2021 | TESTPOST | $0.00 | PDF |
| 5995 | TESTCANCELRX | | Cancellation | 04/18/2021 | TESTPOST | $-1,468.95 | PDF |

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.



### **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.