

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

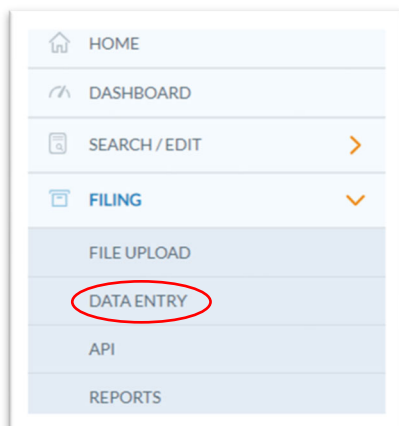
- Google Chrome
- Microsoft's Edge

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)

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 left, 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'. In the top right corner, there are four buttons: 'Filing' (highlighted in blue), 'Update/Corrections', 'Reverse', and 'Delete'. Below the sub-header, a prompt reads 'Please select a transaction type to file.' There are seven transaction type tiles arranged in two rows. Each tile contains a radio button, a title, and a brief description. The tiles are: '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.), and 'Reinstatement' (If there was a Cancellation and premium was returned there would be additional premium for the reinstatement.). At the bottom right, there are two buttons: 'Cancel' and 'Next' (highlighted in blue).

Home / Filing / Data Entry / Transaction Type

Data Entry

Select Transaction Type

Filing Update/Corrections Reverse Delete

Please select a transaction type to file.

- 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.

Cancel Next

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).

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

Data Entry

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

Please select a transaction subtype:

- Policy Renewal
Policy document that was issued.
- 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.
- Renewal Certificate ⓘ
A "shortened" policy that indicates "Renewal Certificate" and starts at the end of the prior policy and maintains the same coverages, terms/conditions.

Find a Policy
Input the policy number and effective date of the Binder and then click Search.

Policy No. Effective Date

Search by Policy Number Search

Cancel Next

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.

Find a Policy

Input the policy number and effective date of the Binder and then click Search.

Policy No. Effective Date

ABC1234 Search

1 result found for: Policy No. ABC1234

SELECT	POLICY NO.	TYPE	INSURED	EFFECTIVE DATE	ERRORS	HISTORY
<input checked="" type="radio"/>	ABC1234	Renewal Binder	SMITH CONSTRUCTION, JOHN SMITH DBA	01/01/2021	3	View

Cancel Next

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.

Find a Policy

Input the policy number and effective date of the Binder and then click Search.

Policy No. Effective Date

1 result found for: Policy No. ABC1234

SELECT	POLICY NO.	TYPE	INSURED	EFFECTIVE DATE	ERRORS	HISTORY
<input checked="" type="radio"/>	ABC1234	Renewal Binder	SMITH CONSTRUCTION, JOHN SMITH DBA	01/01/2021	3	View

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.

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

Renewal Policy Replacing Binder

[Clear Form](#)

Basic Information

Policy No. Insured Name Report Date ⓘ

Insured Type

Federal Credit Union (FCU) ⓘ Yes No

Purchasing Group (PG) ⓘ Yes No

Exempt Commercial Purchaser (ECP) ⓘ Yes No

Industrial Insured ⓘ Yes No

Dates

Effective / Inception Date ⓘ Expiration Date ⓘ Continuous Until Cancelled ⓘ Yes No

Issue Date ⓘ

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.

Coverage & Class

Coverage Clear All

CODE & DESCRIPTION	PREMIUM	DELETE
9334 - GEN LIAB - PREMISES LIAB COMM	\$ 1,500.00	
9515 - PROP-COMMERCL FIRE/ALLIED LINE	\$ 925.00	
Search by coverage code or description...	\$	
Total: \$2,425.00		

Limit
Total Insurable Value
\$ 2,000,000

Class
Please provide a class by using the typeahead search below.
94444 - CONTRACTORS - NOT OTHERWISE CLASSIFIED

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.

Coverage & Class

CODE & DESCRIPTION

FLOOD

- 8047 - RESIDENTIAL FLOOD
- 9547 - PROP-COMMERCL FLOOD
- 9647 - PROP-RESIDENTIAL FLOOD

Primary Risk Location

Insured Zip: 78746

County: Travis

Excludes Wind Coverage: Yes No

Extended Coverage Territory: R - remainder of state

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.	NAIC NO.	PREMIUM %	DELETE
UNDERWRITERS AT LLOYD'S LONDON	90102091	AA1122000	100.000000	
33 - LLOYD'S OF LONDON SYNDICATE	9051806	N/A	N/A	
623 - LLOYD'S OF LONDON SYNDICATE	9058498	N/A	N/A	
2623 - LLOYD'S OF LONDON SYNDICATE	10873320	N/A	N/A	
Enter Name or TDI License No.			N/A	

Search by Insurer or TDI License No. or NAIC No. ...

Total: 100.000000%

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\(c\)\(5\)](#)).

The screenshot shows the 'Insurers' table with a search filter '33' applied. A dropdown menu is open, showing the following options:

- 332 - LLOYD'S OF LONDON SYNDICATE (TDI License No. 901133)
- 33A LLOYD'S OF LONDON SYNDICATE (TDI License No. 9051806)
- 334 - LLOYD'S OF LONDON SYNDICATE (TDI License No. 13454797)

The table also shows a 'Total: 100.000000%' at the bottom right.

Multi-State Transaction Clear All

STATE & TERRITORY	AMOUNT	DELETE
AR - Arkansas	\$ 150.00	
Search by State and Territory	\$	

Summary Amount: \$150.00

Exempt Premium

Correct Original ID

Reference Number

Reference

Go back POST

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.

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

- Dates:**
 - Effective / Inception Date:** 06/01/2022. Error: "The expiration date is before the inception date."
 - Expiration Date:** 01/01/2022
 - Continuous Until Cancelled:** Radio buttons for Yes and No (No is selected).
 - Issue Date:** Empty field.
- Coverage & Class:**
 - CODE & DESCRIPTION:** Select... Error: "A Coverage Code is required, even when there is no premium for this transaction."
 - PREMIUM:** \$ [Empty field]
 - DELETE:** [Trash icon]
 - Total:** \$0.00
 - Limit:** Total Insurable Value: \$ 10,000
 - Class:** Please provide a class by using the typeahead search below. Error: "Required class code was not provided"

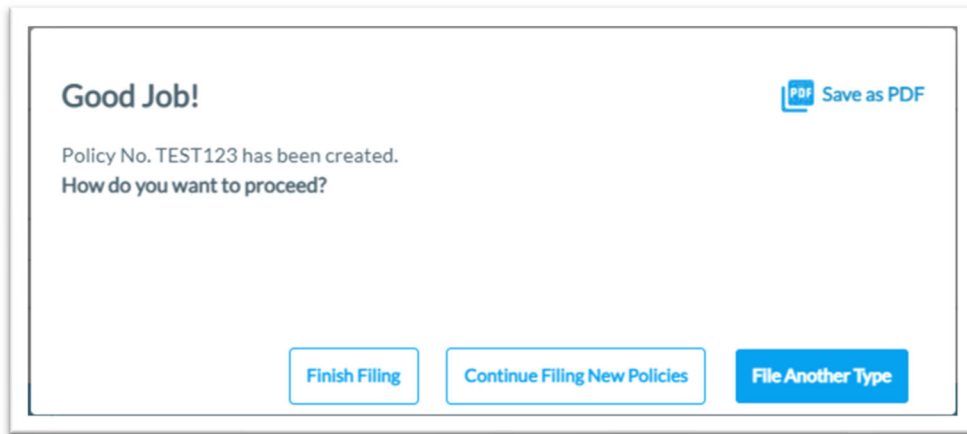
Note: You will immediately be notified of any errors, which will prevent the filing from being accepted. Once the errors are resolved or corrected, it is necessary to click POST again. The errors represented here are for demonstration purposes only and in no way represent the full scope of business rules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

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".

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' (with a 'New Transaction' button) and 'Search / Edit' (with a 'Go to Search / Edit' button). A red arrow points from the text above to the 'Go to Search / Edit' button. Below these cards is a section titled 'Recent Filings - Last 20 filings', which is highlighted with a red box. This section contains a table with columns: BATCH, POLICY NO., REFERENCE, TYPE, EFFECTIVE DATE, USER ID, TOTAL GROSS, and SAVE AS. The table lists five transactions, each with a PDF icon in the 'SAVE AS' column. A red arrow points from the text below to the 'POLICY NO.' link in the first row, and another red arrow points from the text below to a PDF icon in the last row.

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	

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

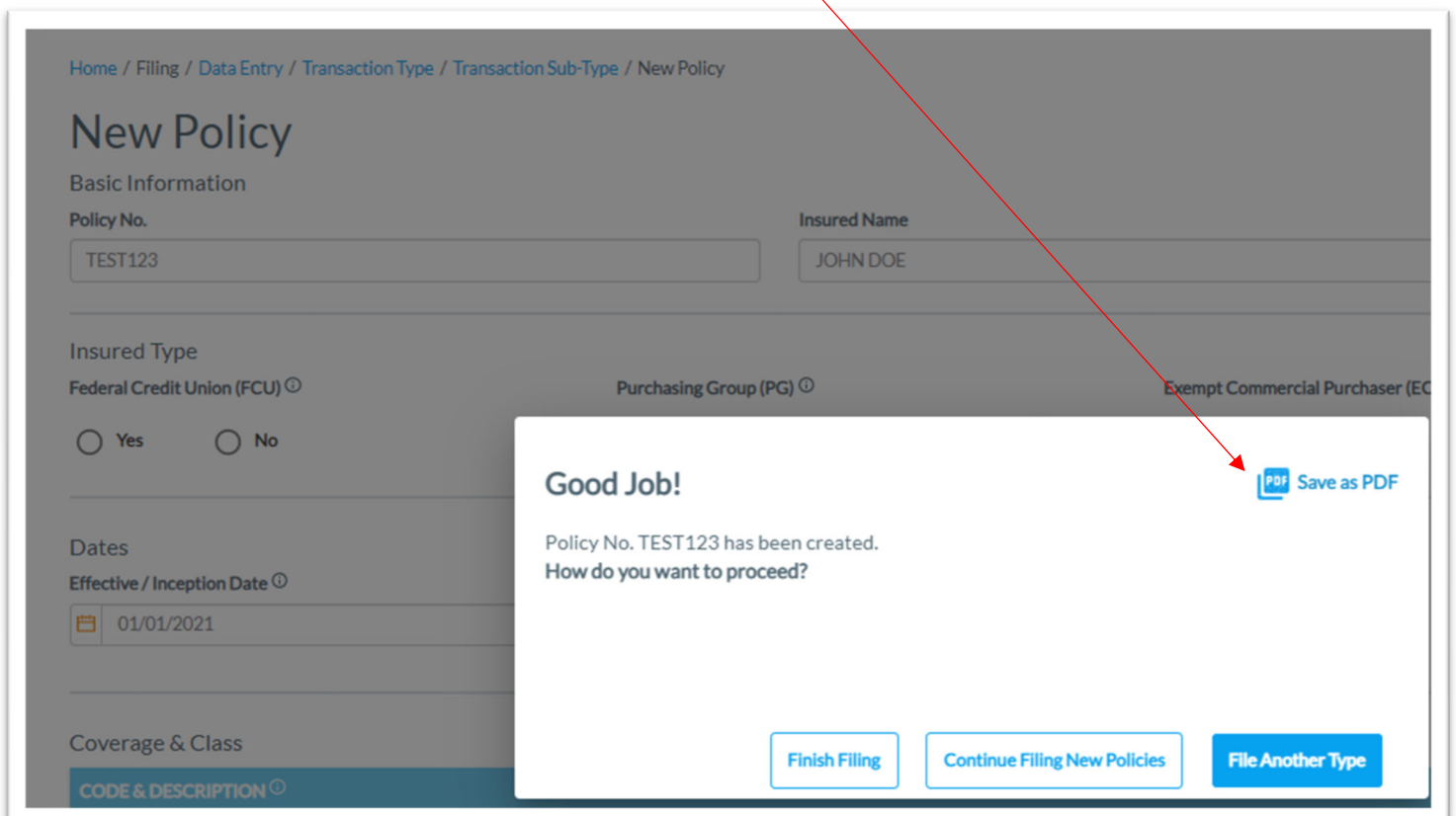
Step 1:

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.

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 is 'Home / Filing / Data Entry / Transaction Type / Transaction Sub-Type / New Policy'. The 'Basic Information' section shows 'Policy No.' as TEST123 and 'Insured Name' as JOHN DOE. The 'Insured Type' section shows 'Federal Credit Union (FCU)' with radio buttons for 'Yes' and 'No'. The 'Dates' section shows 'Effective / Inception Date' as 01/01/2021. The 'Coverage & Class' section shows '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 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.