

Introduction

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

Filing>Data Entry

Broker Landing page>File>Data Entry

This is a sub section of the SMART User Guide. You may contact TechSupport via [email](#) to obtain a complete version of the User Guide.

Note: Development 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 Electronic Filing System (EFS) or SMART application. SMART utilizes EFS credentials; therefore, separate credentialing is not necessary. Prior to accessing SMART and/or utilizing the API, you are required to accept any licensing agreements: Privacy Policy, Terms of Use, 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 or clickable breadcrumbs at the top of each page, or the left navigation panel.

Supported Browsers

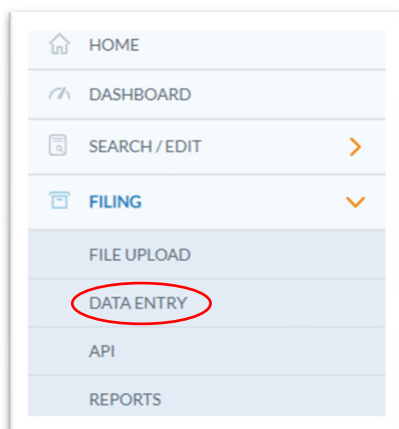
- Google Chrome
- Microsoft's Edge

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

Primary Navigation

Step 1: Select Filing menu and click Data Entry.

*This allows for Manual Web-Entry or Data Entry Filings, and includes ability to Reverse, Update / Correct, or Delete previously filed transactions.



Data Entry landing page

Once you click Data Entry from 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	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

Features

[New Transaction](#) – allows navigation to [Data Entry Transaction page](#) to make filings with SLTX

[Recent filings](#) – allows access to 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 transaction details.

[Save as PDF](#) – allows filing confirmation page to be printed in PDF format

[Go to Search / Edit](#) – allows navigation to Policies Search/Edit page

[Notable changes between SMART Data Entry and EFS Filings](#) – based on feedback provided by 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 facilitate the following: **Agent / Broker of Record changes**

<Note> This allows changes to agent (or broker) of record for any non-policy filings, such as endorsement, cancellation, audit, name change, etc.

Step 1:

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

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

Step 2:

Select type of transaction by clicking on corresponding non-policy Transaction Type Tile. Click NEXT.

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'. In the top right corner, there are four buttons: '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 of the screen, there are two buttons: 'Cancel' and 'Next'.

Step 3:

Select sub-type by clicking on corresponding Sub-Type Tile.

<Note> Screen shot below is a demonstration only and may be different depending on the non-policy Transaction Type selected in [Step 2](#).

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

Data Entry

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

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**” provides identification of record to be reversed (by inputting policy number and effective date of record). This eliminates necessity to search for and/or input the “policy ID” or other pertinent criteria.

Step 4:

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

If matching policy/binder records are NOT found under your agency’s license, you will be presented with option to “Change Agent/Broker of Record”.

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

0 results found for: Policy No. SLTX1234
No records to show

Step 5:

Click "Change Agent/Broker of Record".

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

0 results found for: Policy No. SLTX1234
No records to show

Step 6:

Input Original Agent/Broker information. Click "Search with Broker" to identify the policy/binder transaction filed under the agent/broker with policy number (in which effective date aligns within policy's period). A type-ahead feature is available, allowing user to type TDI license number, broker name, or National Producer Number (NPN).

<Note> As new agency, you will not be allowed to access or view detail of the original agent's data and/or records; however, the pertinent data (for your non-policy) will be copied to the record in order to complete filing.

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

Select Broker

0 results found for: Policy No. SLTX1234
No records to show

Step 7:

Select appropriate transaction and click check box to confirm "Change Agent/Broker of Record". 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. SLTX1234

SELECT	POLICY NO.	TYPE	INSURED	EFFECTIVE DATE	ERRORS	HISTORY
<input type="radio"/>	SLTX1234	New Policy	PLUMBING CO, BOB SMITH DBA	01/01/2022	0	View

Change Agent/Broker of Record. From **TEST LICENSE** to **SLTX TEST AGENCY**

Features

You may click [VIEW](#) to see a listing of policy/binder record(s) displayed, along with any child (or non-policy) transactions already in the system. To view Errors, click [ERRORS](#) column. To protect data confidentiality, a "You Need Permission" message will appear if you are not the original agent of record of the **detailed** record you are attempting to view.

Step 8:

Data, including named insured, policy number, and coverage code(s), are copied from the parent policy into your child / non-policy transaction entry screen. Input appropriate data from insurance document.

<Note> Because Agent/Broker of Record changes may be applied to non-policy transactions, the screen shots below are for demonstration only (and do not represent all available data points). For detailed information specific to an individual transaction type, please view user guide directly.

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

Premium Endorsement

Basic Information

Policy No. SLTX1234	Insured Name PLUMBING CO, BOB SMITH DBA	Report Date ⓘ 10/01/2022
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Dates

Effective Date ⓘ 06/01/2022	Expiration Date 01/01/2023	Continuous Until Cancelled ⓘ No	Issue Date ⓘ <input type="text"/>
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Coverage & Class

Coverage Clear All

CODE & DESCRIPTION ⓘ	PREMIUM CHANGE	DELETE
9334 - GEN LIAB - PREMISES LIAB COMM	\$ <input type="text"/>	
9515 - PROP-COMMERCL FIRE/ALLIED LINE	\$ <input type="text"/>	

Fees

Total Premium ⓘ \$0.00	Total Policy Fee(s) ⓘ \$ <input type="text"/>	Tax ⓘ \$0.00	Stamping Fee ⓘ \$0.00	Total Gross ⓘ \$0.00
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Multi-State Transaction Clear All

STATE & TERRITORY ⓘ	AMOUNT	DELETE
<input type="text" value="Search by State and Territory"/>	\$ <input type="text"/>	

Summary Amount: \$0.00

Exempt Premium ⓘ
\$

Reference Number

Reference ⓘ

[Go back](#) [POST](#)

Features

Coach mark(s) are available for additional situational context. Click the ⓘ icon.

Step 9:

Click POST to submit or file transaction with SLTX.

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

Premium Endorsement

Basic Information

Policy No. SLTX1234	Insured Name PLUMBING CO, BOB SMITH DBA	Report Date 10/01/2022
------------------------	--	---------------------------

Dates

Effective Date <input type="text" value=""/> Effective Date is not a valid calendar date.	Expiration Date 01/01/2023	Continuous Until Cancelled No	Issue Date <input type="text" value="12/12/2022"/> Issue date cannot be greater than today's date.
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Coverage & Class

Coverage


CODE & DESCRIPTION	PREMIUM CHANGE	DELETE
9334 - GEN LIAB - PREMISES LIAB COMM	\$	

Clear All

Note: If any errors are detected, you will see a notification and the transaction will not post. Make necessary corrections and click on REVERSE to ensure filing is submitted.

Step 10:

Once transaction is complete and filing is accepted, a "Good Job" confirmation window will display (as demonstrated below).

Good Job!  Save as PDF

Policy No. SLTX1234 has been endorsed.
How do you want to proceed?

[Finish Filing](#) [Continue Filing Endorsements](#) [File Another Type](#)

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

Recent Filings

Step 1:

After completing STEP 1 from [Primary Navigation](#), find the Recent Filings section on [Data Entry Landing page](#). This section allows access to 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 an in-depth search or locate a specific transaction, click "Go to Search / Edit".

The screenshot displays the 'Data Entry' interface. At the top, there is a breadcrumb trail: 'Home / Filing / Data Entry'. Below this, the title 'Data Entry' is followed by a 'Get Started' section with the prompt 'What would you like to do today?'. Two main action cards are visible: 'New Filing' (blue background) and 'Search / Edit' (white background). The 'Search / Edit' card contains a button labeled 'Go to Search / Edit', which is highlighted with a red box and a red arrow pointing to it from the text above. Below these cards, a section titled 'Recent Filings - Last 20 filings' is enclosed in a red box. This section contains a table with the following data:

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 Policy Number link to view details of a specific transaction.

Save as PDF

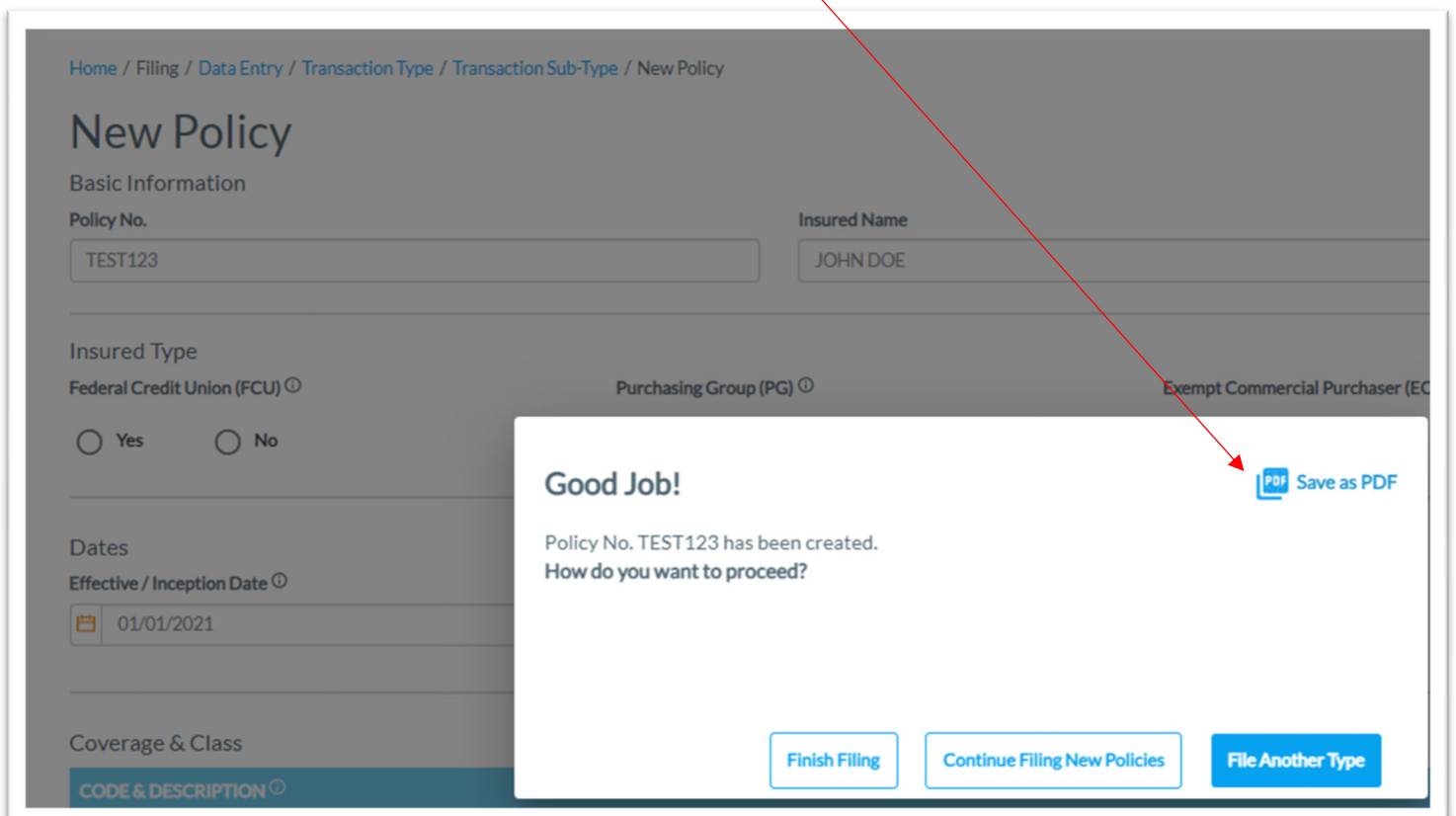
Step 1:

Click PDF icon from Recent Filings section on [Data Entry Landing page](#) to print a confirmation of individual filings. 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. This will also serve as confirmation and acceptance of submission.

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 an additional browser tab open displaying transaction details. This facilitates the PDF version and will be closed once document is complete. PDF file will be displayed at the top or bottom of your browser window (depending on browser settings). To open, double click on the PDF file.

Alternately, the "Save as PDF" feature is available following POST or submission of 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 has "Federal Credit Union (FCU)" selected. The "Dates" section shows "Effective / Inception Date" as 01/01/2021. The "Coverage & Class" section is partially visible. 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(s), 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	View
<input type="radio"/>	TEST	New Policy	TEST	01/01/2021	0	View

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	View

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 individual transactions.

View Errors

Step 1:

Under "Find a Policy" results, you may click the ERRORS column to a listing of any errors (or tags) applied to the policy/binder record displayed. NOTE: Based on 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	View

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	View

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	Date
No	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 filings).
2. It is no longer necessary to manually input tax, stamping fee, and/or total gross amounts. SMART will automatically calculate these amounts based on coverage premium(s) and policy fee entered and will display these 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, you 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 an 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, you will be notified immediately of any errors preventing acceptance of a submission. You will be prompted to correct the errors to complete the transaction.