

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, 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 or clickable breadcrumbs at the top of each page, or left navigation panel.

Supported Browsers

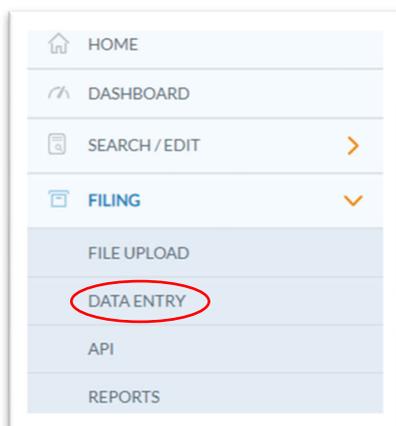
- Google Chrome
- Microsoft's Edge

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	
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 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 create the following transactions: **Inception Date Change Endorsement**

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 delete or update (correct) an existing filing.

Step 2:

Select type of transaction by clicking on corresponding Transaction Type Tile, then 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'. On the right side, there are four buttons: 'Filing' (highlighted in blue), 'Update/Corrections', 'Reverse', and 'Delete'. Below the sub-header, there is a prompt: 'Please select a transaction type to file.' The main 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 sub-type by clicking on corresponding Sub-Type Tile: **Inception Date Change**.

Note: Date Extensions should be processed as Renewal which allows SLTX to apply correct tax, stamping rates, and confirm insurer eligibility.

<Future Release> Audit, Cancellation, or Reinstatement Amendments.

The screenshot shows a web application interface for data entry. At the top, there is a breadcrumb trail: Home / Filing / Data Entry / Transaction Type / Transaction Sub-Type. Below this, the page title is "Data Entry". There are two fields: "Transaction Type" with the value "Endorsement" and "Report Date" with the value "12/31/2021".

The main section is titled "Please select a transaction subtype:" and contains seven radio button options arranged in two rows:

- 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. (This option is selected with a blue dot.)
- Other Non-Premium Endorsement**: Other non-premium endorsement than those already listed.

Below the selection area is a section titled "Find a Policy". It includes the instruction: "Input the policy number and effective date of the Endorsement and then click Search to locate the Policy / Binder." There are two input fields: "Policy No." with a placeholder "Search by Policy Number" and "Effective Date" with a calendar icon. A "Search" button is located to the right of the "Effective Date" field. At the bottom right of the form, there are "Cancel" and "Next" buttons.

Features

"Find a Policy" provides identification of parent policy first (by inputting policy number and effective date of child transaction). This eliminates necessity to search for and/or input the "parent policy ID" and allows coverage code(s) to be automatically applied to your child transaction.

Step 4:

Input 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 Endorsement and then click Search to locate the Policy / Binder.

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	New Policy Replacing Binder	SMITH CONSTRUCTION, JOHN SMITH DBA	01/01/2021	0	View

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.

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. ABC1234

SELECT	POLICY NO.	TYPE	INSURED	EFFECTIVE DATE	ERRORS	HISTORY
<input checked="" type="radio"/>	ABC1234	New Policy Replacing Binder	SMITH CONSTRUCTION, JOHN SMITH DBA	01/01/2021	0	View

Step 6:

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 the insurance document.

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

Inception Date Change Endorsement

Basic Information

Policy No. ABC1234	Insured Name SMITH CONSTRUCTION, JOHN SMITH DBA	Report Date ⓘ 11/28/2022	Optional - Upload Transaction ⓘ Drag & Drop your files or Browse
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Powered by PQNA

Dates

Effective Date ⓘ 01/01/2021	Expiration Date 01/03/2021	Continuous Until Cancelled ⓘ No	Issue Date ⓘ <input type="text"/>
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New Inception Date ⓘ Is the Expiration Date also changing? ⓘ
 Yes No

Reference Number

Reference ⓘ

Go back [POST](#)

Features

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

As an option, you may **upload a PDF copy** of your insurance document. This will automatically notify TechSupport via email for review, providing additional feedback or to document an indeterminate or questionable transaction.

Note: Use of this feature is NOT required to complete a "filing" with SLTX.

Step 7:

Click POST to submit or file transaction with SLTX.

The screenshot shows a web form titled "Inception Date Change Endorsement" with a breadcrumb trail: Home / Filing / Data Entry / Transaction Type / Transaction Sub-Type / Endorsement. The form is divided into sections: "Basic Information" (Policy No. ABC1234, Insured Name SMITH CONSTRUCTION, JOHN SMITH DBA, Report Date 11/28/2022, and an "Optional - Upload Transaction" button), "Dates" (Effective Date, Expiration Date 01/03/2021, Continuous Until Cancelled No, and Issue Date), and "Reference Number" (Reference). Two red boxes highlight errors: the "Effective Date" field has an error message "Effective Date is not a valid calendar date," and the "New Inception Date" field has an error message "The inception date change endorsement has an invalid new inception date. It is either missing or it is an invalid date." Below the errors is a question "Is the Expiration Date also changing?" with "Yes" and "No" radio buttons. At the bottom right, there are "Go back" and "POST" buttons.

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

Errors represented here are for demonstration purposes only and in no way represent scope of business rules and/or requirements for all filing types.

Step 8:

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

The screenshot shows a confirmation window titled "Good Job!" with a "Save as PDF" button. The text reads: "Policy No. ABC1234 has been endorsed. How do you want to proceed?" Below this are three buttons: "Finish Filing", "Continue Filing Endorsements", and "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 the [Data Entry Landing page](#). This section allows users access 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 'Data Entry' title 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 is a section titled 'Recent Filings - Last 20 filings', which is also highlighted with 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

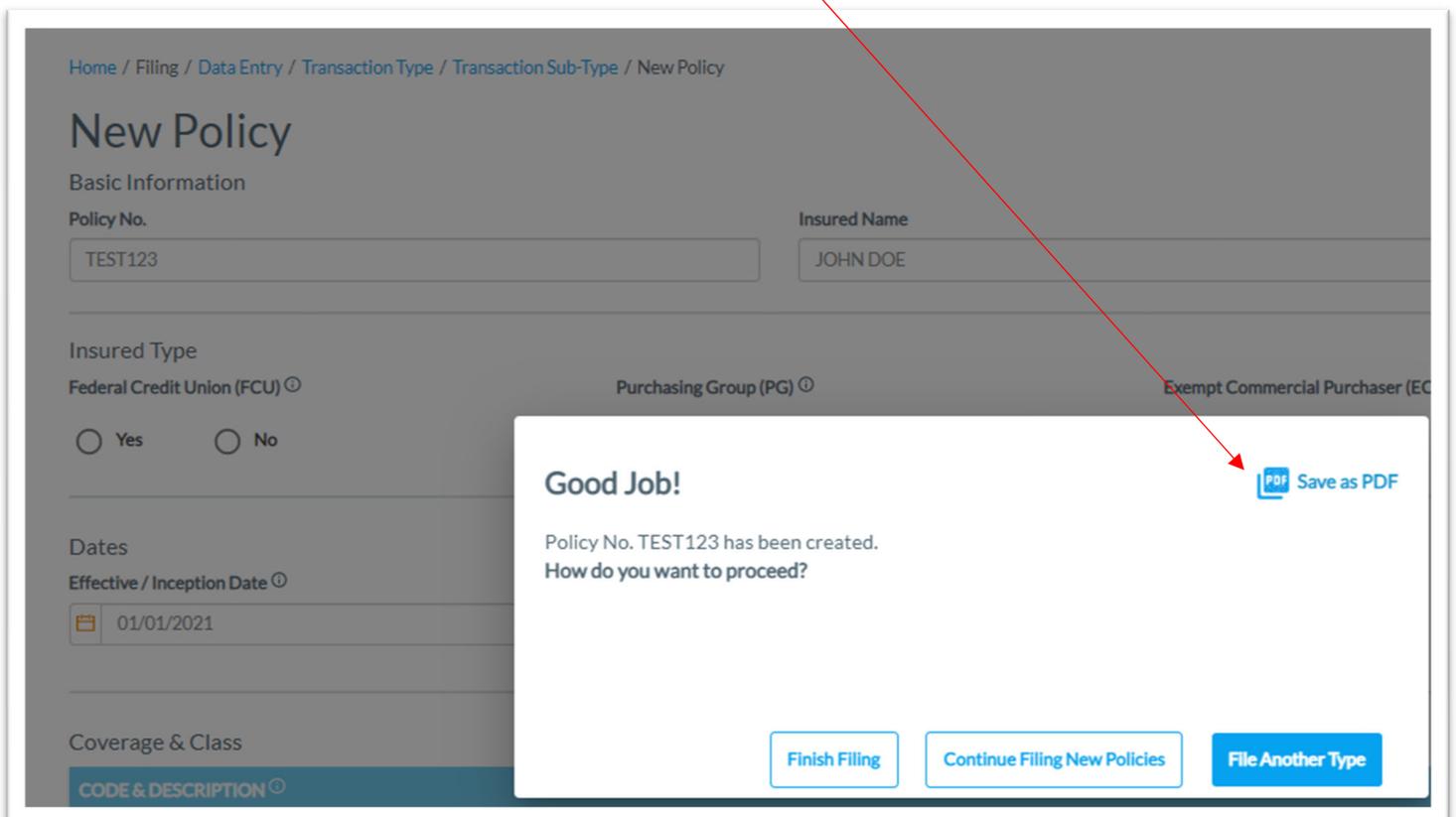
Step 1:

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 bottom of your browser window. To open document, 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.



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

New Policy

Basic Information

Policy No. Insured Name

Insured Type
Federal Credit Union (FCU) Yes No

Purchasing Group (PG) Exempt Commercial Purchaser (EC)

Dates
Effective / Inception Date

Coverage & Class

Good Job!

Policy No. TEST123 has been created.
How do you want to proceed?

 Save as PDF

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:

From "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: 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, you will be notified immediately on any errors preventing acceptance of a submission. You will be prompted to correct the errors to complete the transaction.