

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

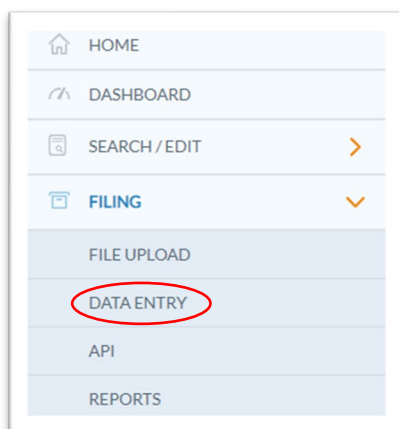
- Google Chrome
- Microsoft's Edge

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 create the following transactions: **New or Renewal Policy Replacing Binder**

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 reversal, 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 displays a web interface for selecting a transaction type. At the top left, there is a breadcrumb trail: Home / Filing / Data Entry / Transaction Type. The main heading is 'Data Entry'. Below it, the section is titled 'Select Transaction Type'. In the top right corner, there are four buttons: 'Filing' (highlighted in blue), 'Update/Corrections', 'Reverse', and 'Delete'. Below the heading, a prompt reads 'Please select a transaction type to file.' There are 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 interface, there are two buttons: 'Cancel' and 'Next' (highlighted in blue).

Step 3:

Select sub-type by clicking on 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

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.

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

Step 4:

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

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

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 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:

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

Coach mark(s) are available 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.

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

Renewal Policy Replacing Binder

[Clear Form](#)

Basic Information

Policy No. Insured Name Report Date ⓘ Optional - Upload Transaction ⓘ

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 original coverage or class code(s) have become restricted since creation of the binder, restricted code(s) will not be shown. This requires user to input 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 coverage or class code(s) require updates, a type-ahead feature is available, allowing user to input coverage (or class) code, description, or keyword.

Reminder: If you need assistance in selecting the correct coverage/class, email a full copy of the policy to techsupport@sltx.org. As a reminder, coverage may change from the binder to policy issuance.

Coverage & Class

CODE & DESCRIPTION

FLOOD

- 8047 - RESIDENTIAL FLOOD
- 9547 - PROP-COMMERCIAL 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: Excludes Wind Coverage feature is required for **PROPERTY** coverage(s) and will only be displayed when required. The Extended Coverage Territory, as related, will automatically populate.

Based on the zip code, the County automatically populates.

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 insurer(s) and/or syndicate(s) require updates, a type-ahead feature is available, allowing user to input TDI license number, insurer name, or syndicate number (when applicable).

Alternately, you may select predefined Contract (or regularly used group of insurers and/or syndicates) you normally use when creating policy filings by typing name or contract ID in Contracts field. Any insurers, percentages of participation, and syndicates will populate based on Contract selection. Contracts can be created or edited within Filing/Contracts tab from Broker Search/Edit.

Lloyd's Syndicate(s)

If searching or selecting Lloyd's syndicates, first select Underwriters at Lloyd's London. It's not necessary to input percentage of participation for any Lloyd's syndicate, but info must be included on 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. 101133)
- 333A - LLOYD'S OF LONDON SYNDICATE (TDI License No. 9051806)
- 3334 - LLOYD'S OF LONDON SYNDICATE (TDI License No. 13454797)

The table also shows a 'Total: 100.0000000%' at the bottom right.

Multi-State Transaction Clear All

STATE & TERRITORY [Ⓞ]	AMOUNT	DELETE
AR - Arkansas v	\$ 150.00	
Search by State and Territory v	\$	
Summary Amount: \$150.00		

Exempt Premium [Ⓞ]
 \$ 200.00

Correct Original ID [Ⓞ]
 Search by policy no.

Reference Number
Reference [Ⓞ]

Go back POST

Note: If any non-Texas exposure or premium allocation requires updates, a type-ahead feature is available, allowing the user to input state or territory name or code.

Step 7:

Click POST to submit or file transaction with SLTX.

The screenshot shows a web form for entering a transaction. It is divided into several sections:

- Dates:** Contains fields for 'Effective / Inception Date' (06/01/2022), 'Expiration Date' (01/01/2022), 'Continuous Until Cancelled' (radio buttons for Yes/No, with 'No' selected), and 'Issue Date'.
- Coverage & Class:** A table with columns for 'CODE & DESCRIPTION', 'PREMIUM', and 'DELETE'. The 'CODE & DESCRIPTION' field contains 'Select...' and has an error message: 'A Coverage Code is required, even when there is no premium for this transaction.' The 'PREMIUM' field is empty with a '\$' symbol. The 'DELETE' column has a trash icon. A 'Total: \$0.00' is shown at the bottom right of the table.
- Limit:** A field for 'Total Insurable Value' with a '\$' symbol and the value '10,000'.
- Class:** A field with the instruction 'Please provide a class by using the typeahead search below.' and a dropdown menu containing 'Select...' with an error message: 'Required class code was not provided'.

Red boxes highlight the error messages in the 'Effective / Inception Date' field, the 'CODE & DESCRIPTION' field, and the 'Class' dropdown menu.

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.

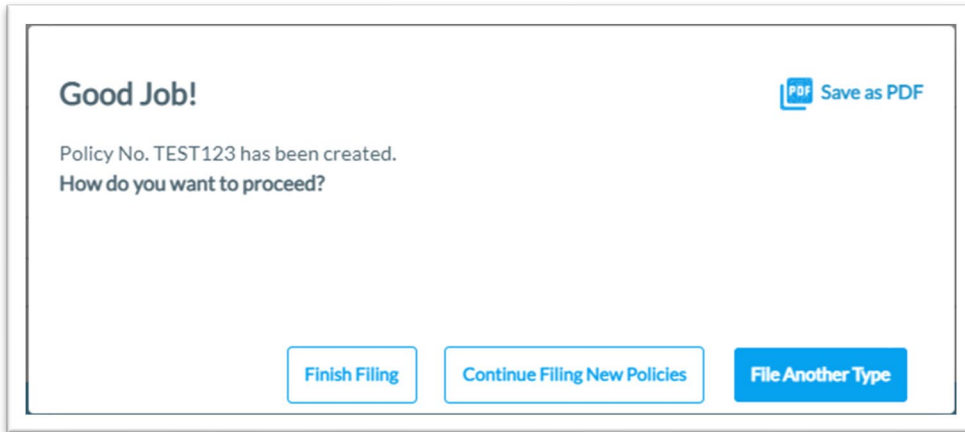
Errors represented here are for demonstration purposes only and in no way represent scope of business rules and/or requirements for all filing types.

System Procedure:

Once Policy Replacing Binder transaction is accepted, a cancellation will be applied to existing Binder (creating a credit for the binder's premium). The Policy Replacing Binder's premium amount will be applied, creating net zero premium when there is no change in premium / policy from binder to policy (if there is a premium / policy fee change, the net difference from the binder to the policy).

Step 8:

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



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 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 shows the 'Data Entry' interface. 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 has a 'New Transaction' button. The 'Search / Edit' card has a 'Go to Search / Edit' button, 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

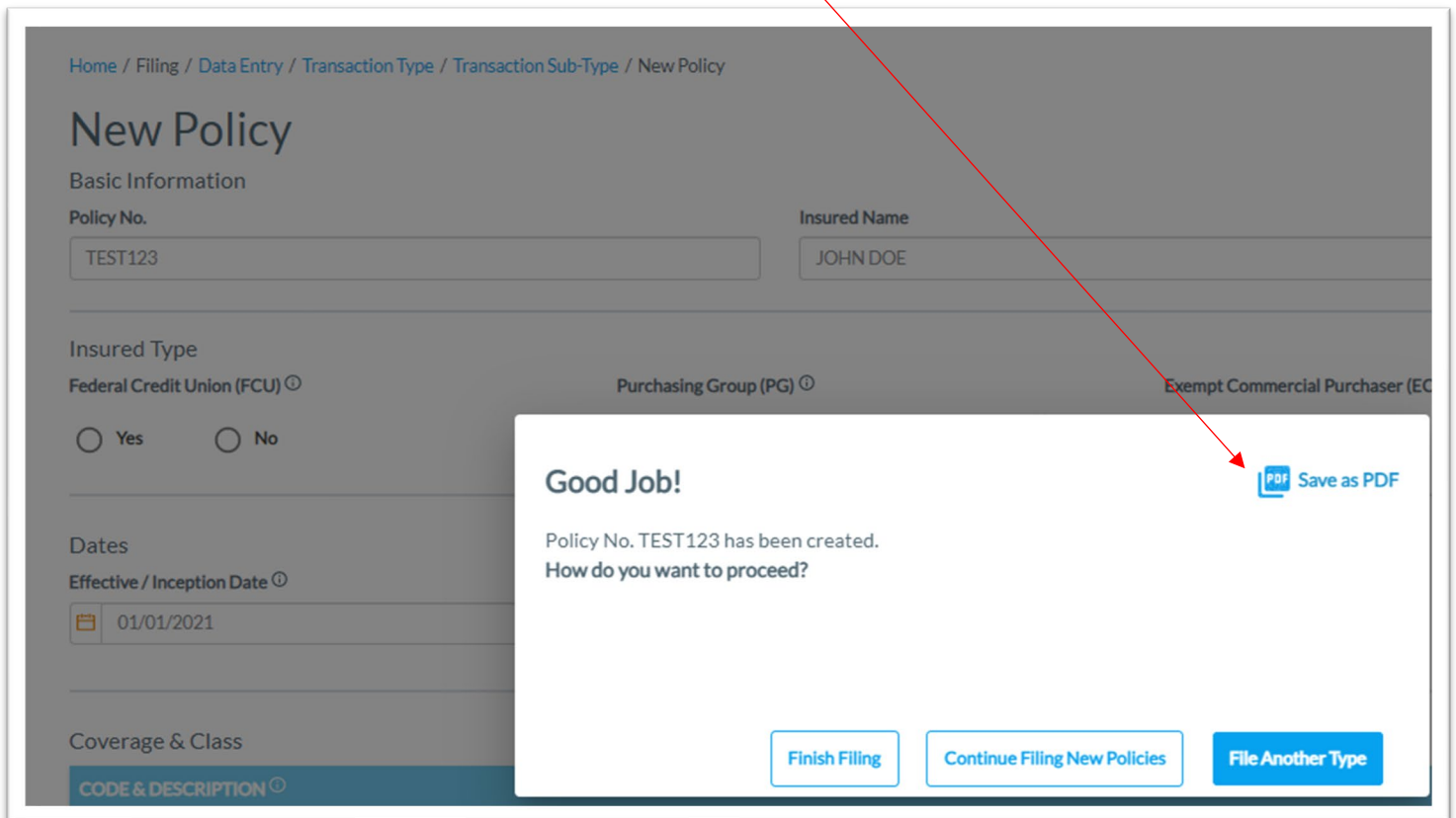
Step 1:

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 top or bottom of your browser window. 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.



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:

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.

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.