

# 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

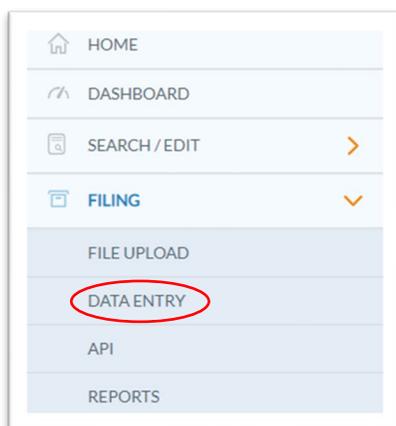
- Google Chrome
- Microsoft's Edge

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.

### 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: **Correct or Resolved Errors / Tags**

**<Feature>** Access the [Outstanding Errors \(Tags\)](#) page to view a full list of outstanding errors (tags) for your agency.

**<Note>** This allows correction (or resolution) of any errors / tags as represented by a pending transaction (placeholder when an API (or legacy) filing was not accepted). This feature should not be used to attempt to “correct” errors (tags) from manual paper filings to SLTX.

**<Restriction>** Current version does not allow for correction of the following errored (or tagged) transactions: Reversals, or API Updates.

### 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 “Update/Correction” from category section then select type of transaction by clicking on corresponding Transaction Type Tile. Click NEXT.

The screenshot shows the 'Data Entry' interface with the following elements:

- Breadcrumb: Home / Filing / Data Entry / Transaction Type
- Section: Data Entry
- Section: Select Transaction Type
- Instruction: Please select a transaction type to file.
- Transaction Type Tiles (each with a radio button):
  - New**: Policy document that was issued.
  - Renewal**: Policy issued in subsequent policy terms, to extend an existing policy, or as the next anniversary period for multi-year policies paid in installments.
  - 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, and/or certificates to a master policy.
  - Installment**: Used to let the insured pay out the premium. Usually set up in equal amounts. It may be monthly, quarterly, semi-annually, etc.
  - Reinstatement**: If there was a Cancellation and premium was returned there would be additional premium for the reinstatement.
  - Pending**: Tagged or Pended Item, representing an item that was returned to the agent or agency unprocessed.
- Buttons: Filing, Update/Corrections (highlighted with a red circle and arrow), Reverse, Delete
- Footer: Cancel, Next

### Step 3:

Input policy number of pending transaction (to be corrected) and click SEARCH to locate transaction.

### Features

**Search field** provides identification of pending to be corrected (by inputting policy number of record).

Home / Filing / Data Entry / Transaction Type / Find a Policy

## Update Transaction

Transaction Type: Pending      Report Date: 02/08/2023

Input the policy number of the Pending and then click Search to locate the Pending to be Updated/Corrected.

Policy No.

1 result found for: Policy No. 123456.

SELECT	POLICY NO.	TYPE	INSURED	REPORT DATE	BATCH	ERRORS	HISTORY
<input checked="" type="radio"/>	123456	Pending	SLTX CONSTRUCTION	02/08/2023	5323	3	<a href="#">View</a>

### Features

You may click [VIEW](#) to see further details for record(s) displayed. To view Errors, click [ERRORS](#) column.

### Step 4:

Select appropriate transaction, then click NEXT.

Home / Filing / Data Entry / Transaction Type / Find a Policy

## Update Transaction

Transaction Type: Pending      Report Date: 02/08/2023

Input the policy number of the Pending and then click Search to locate the Pending to be Updated/Corrected.

Policy No.

1 result found for: Policy No. 123456.

SELECT	POLICY NO.	TYPE	INSURED	REPORT DATE	BATCH	ERRORS	HISTORY
<input checked="" type="radio"/>	123456	Pending	SLTX CONSTRUCTION	02/08/2023	5323	3	<a href="#">View</a>

**Step 5:**

Previously reported type and sub-type information, including error (tag) descriptions, is copied from errored transaction being corrected into the initial Correction entry screen so that you may make any necessary corrections before moving forward.

Click NEXT to continue with Correction.

[Home](#) / [Filing](#) / [Data Entry](#) / [Transaction Type](#) / [Find a Policy](#) / [Transaction Type \(Pended\)](#)

### Data Entry

Originally Assigned Errors (Tags)

ERROR CODE	ERROR DESCRIPTION	ERROR REASON
FQ	Total Tax does not match computed total tax.	Total Tax does not match computed total tax.
FR	Stamping Fee does not match computed Stamping Fee.	Stamping Fee does not match computed Stamping Fee.
S2	Gross Premium is incorrect.	Computed gross premium does not match gross premium on transaction.

Transaction Type and Sub-Type Update

New Transaction Type:

New Sub-Type:

[Cancel](#) [Next](#)

## Step 6:

Previously reported data, including error (tag) descriptions, is copied from errored transaction corrected into your Correction entry screen so that you may make any necessary corrections before re-submitting. Correction entry screens will be based on the specific type of transaction being corrected. To learn more about the different types of transactions, please visit SLTX's [SMART Training Videos and Guides](#) page.

It is necessary to input additional data or correct existing data as necessary, from the insurance document.

Home / Billing / Data Entry / Transaction type / Find a Policy / Updates/Corrections

### Correct - New Policy

Originally Assigned Errors (Tags)

ERROR CODE	ERROR DESCRIPTION	ERROR REASON
FQ	Total Tax does not match computed total tax.	Total Tax does not match computed total tax.
FR	Stamping Fee does not match computed Stamping Fee.	Stamping Fee does not match computed Stamping Fee.
S2	Gross Premium is incorrect.	Computed gross premium does not match gross premium on transaction.

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

Coverage & Class

CODE & DESCRIPTION	PREMIUM	DELETE
9515 - PROP-COMMERCL FIRE/ALLIED LINE	\$ 5,000.00	<input type="button" value="X"/>
<input type="text" value="Search by coverage code or description..."/>	\$	<input type="button" value="X"/>
Total: \$5,000.00		

Limit

Total Insurable Value

Class

Please provide a class by using the typeahead search below. For best results select coverage code(s) first.

Primary Risk Location

Insured Zip  County  Excludes Wind Coverage  Yes  No Extended Coverage Territory

Fees

Tax, Stamping Fee, and Total Gross are automatically calculated even if different values were originally provided.

Total Premium <input type="text" value="\$5,100.00"/>	Total Policy Fee(s) <input type="text" value="\$ 100.00"/>	Tax <input type="text" value="\$247.35"/>	Stamping Fee <input type="text" value="\$3.83"/>	Total Gross <input type="text" value="\$5,351.18"/>
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Clear All

INSURER	TDI LICENSE NO.	NAIC NO.	PREMIUM %	DELETE
COLONY INSURANCE COMPANY	80101036	39993	100.000000	
Search by Insurer or TDI License No. or NAIC No. ...				
			Total: 100.000000%	

Multi-State Transaction Clear All

STATE & TERRITORY	AMOUNT	DELETE
Search by State and Territory	\$	
		Summary Amount: \$0.00

Exempt Premium  ⓘ

\$ 0.00

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References

Reference  ⓘ API Custom ID

Correct Original Filing  ⓘ

✕

Go back Correct

## Features

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.

## Step 7:

Click CORRECT to submit or file corrected transaction with SLTX.

**<Note>** All efforts will be made to prevent further or false positive late filings by automatically utilizing the Report Date of the Pending when calculating the "lateness" of a policy or binder filing (using "Correct Original Filing" field).

Correct Original Filing  ⓘ

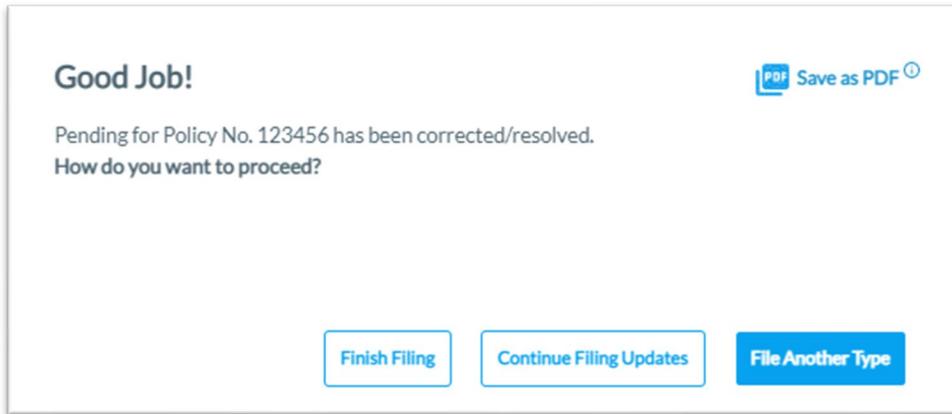
✕

Go back Correct

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

**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 [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' page with a breadcrumb trail 'Home / Filing / Data Entry'. Below the title is 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 'Search / Edit' card has a red arrow pointing to its 'Go to Search / Edit' button. Below these cards is a section titled 'Recent Filings - Last 20 filings' (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, with the first row having a red arrow pointing to the 'POLICY NO.' link.

BATCH	POLICY NO.	REFERENCE	TYPE	EFFECTIVE DATE	USER ID	TOTAL GROSS	SAVE AS
5995	<a href="#">TESTCANCELRX</a>		New Policy Reversal	01/18/2021	TESTPOST	\$-1,468.95	
5995	<a href="#">TESTCANCELRX</a>		Cancellation Reversal	04/18/2021	TESTPOST	\$0.00	
5995	<a href="#">TESTCANCELRX</a>		Cancellation Reversal	04/18/2021	TESTPOST	\$1,468.95	
5995	<a href="#">TESTCANCELRX</a>		Cancellation Amendment	04/18/2021	TESTPOST	\$0.00	
5995	<a href="#">TESTCANCELRX</a>		Cancellation	04/18/2021	TESTPOST	\$-1,468.95	

Click Policy Number link to view details of a specific transaction.

## Save as PDF

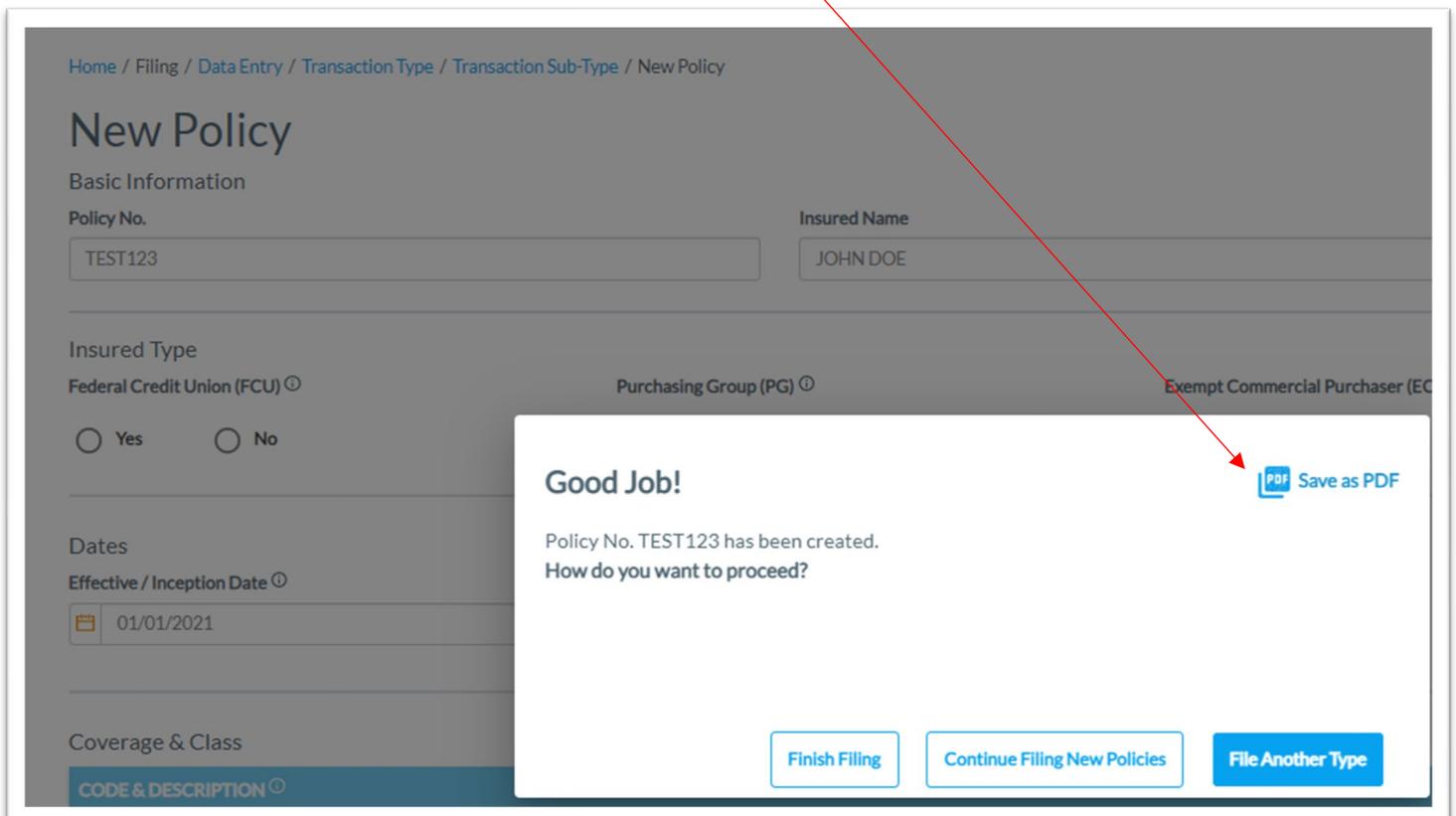
### Step 1:

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 the 'New Policy' confirmation window. The main content area displays a 'Good Job!' message: 'Policy No. TEST123 has been created. How do you want to proceed?'. Below the message are three buttons: 'Finish Filing', 'Continue Filing New Policies', and 'File Another Type'. A red arrow points from the 'Save as PDF' button in the 'Good Job!' message to the 'Save as PDF' icon in the table above.

# 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	<a href="#">View</a>
<input type="radio"/>	TEST	New Policy	TEST	01/01/2021	0	<a href="#">View</a>

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	<a href="#">View</a>

#### 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.

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### 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	<a href="#">View</a>

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.

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### 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	<a href="#">View</a>

#### 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

## List of Outstanding Errors (Tags)

### Step 1:

From Broker Landing page, click "View Error (Tags)" or "Outstanding Error (Tags)" to view list of all outstanding errors (tags).

How are you today, **Your Name Here?**  
 Broker: SLTX TEST AGENCY

**Pending Payment** ⓪  
 ⚠️ **\$43,603.98**  
[Pay Invoice](#)

**YTD OVERVIEW**

<b>Policy Premium</b> ⓪ <b>\$92,657,547.84</b> ↑ 6,315.46%	<b>Policies</b> ⓪ <b>6172</b> ↑ 2,493.28%	<b>Total Tax</b> <b>\$4,490,378.08</b> ↑ 6,074.33%	<b>Stamping Fee</b> <b>\$69,503.66</b> ↑ 5,914.77%
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**Outstanding Errors** ⓪ (Tags)  
 ⚠️ You have 16683 items that have one or more errors (tags).  
[View Errors \(Tags\)](#)

What would you like to do today?

<b>FILE</b> View and Upload API Filings Data Entry Policy Limits Upload	<b>PAY</b>	<b>REPORTS</b> Policies and Premium Dashboard View Reports <b>Outstanding Errors (Tags)</b>
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Settings & Help

[Manage Users](#) [Helpful Documents](#) [Need More Help?](#)

### Step 2:

View listing of all outstanding errors (tags) for your agency, sorted by age.

**<Future Release>** Ability to navigate to correct or delete errors workflow directly from this page.

Home / Search - Edit / Brokers / 99999

**SLTX TEST AGENCY** 🇺🇸 🇩🇪 🇫🇷

TDI License No. 99999 | TDI Broker ID 666666666 | NPN

LICENSE/CONTACT | MONTHLY TOTALS | **FILING / CONTRACTS** | LATE FILING | AUDIT | M&A | HISTORY | SECURITY

Filing Preference | Contracts | **Outstanding Errors (Tags)** | Previous Uploads | Coverage & Class Mappings

**Outstanding Errors / Tags**

REPORT DATE	BATCH NO	USER	POLICY NUMBER	STATUS	TRANSACTION TYPE	EFFECTIVE DATE	TOTAL GROSS	AGE	ERRORS	ACTIONS
05/29/2023	8279	CHEYENNE	SLTX-3562 NEWZ	PENDING	Cancellation Amendment	03/01/2022	1102.24	4	F0   An existing Cancellation/Reinstatement for this policy could not be found that matches this amended cancellation/reinstatement. The policy number and effective date must match when processing an amended cancellation/reinstatement.	N/A
05/29/2023	8279	CHEYENNE	SLTX-3562 NEWZ	PENDING	Reinstatement	03/01/2022	10308.36	4	<ul style="list-style-type: none"> <li>QC   Cannot file reinstatement because the policy is not cancelled</li> <li>SA   Effective date not between inception and expiration dates.</li> </ul>	N/A

## 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.