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.

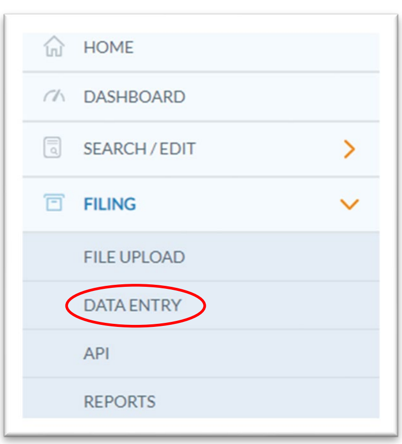
Supported Browsers

- Google Chrome
- Microsoft's Edge

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

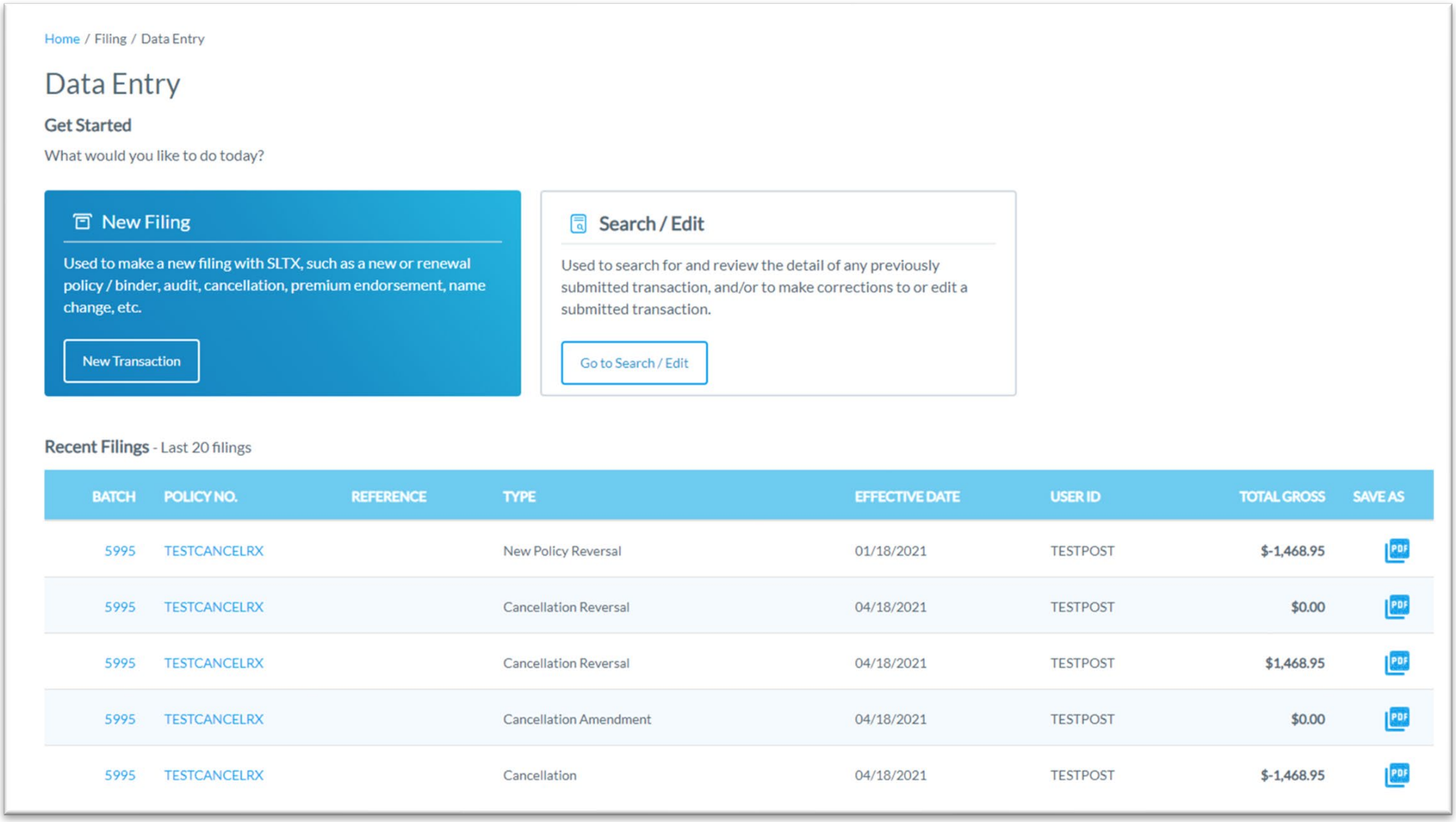
Primary Navigation

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

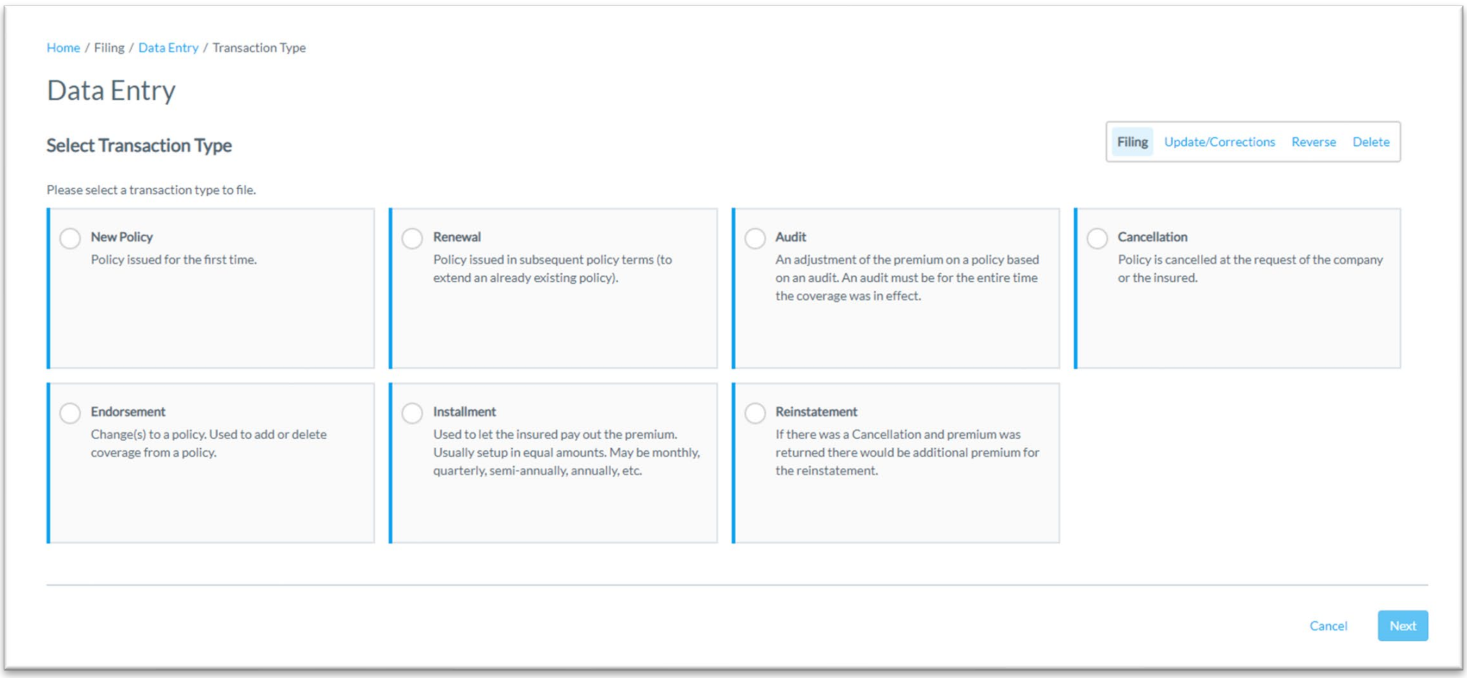
Notable changes between SMART Data Entry and EFS Filings – based on feedback provided by users during focus group sessions, several changes have been made to improve overall filing workflow

Data Entry (Manual Filing)

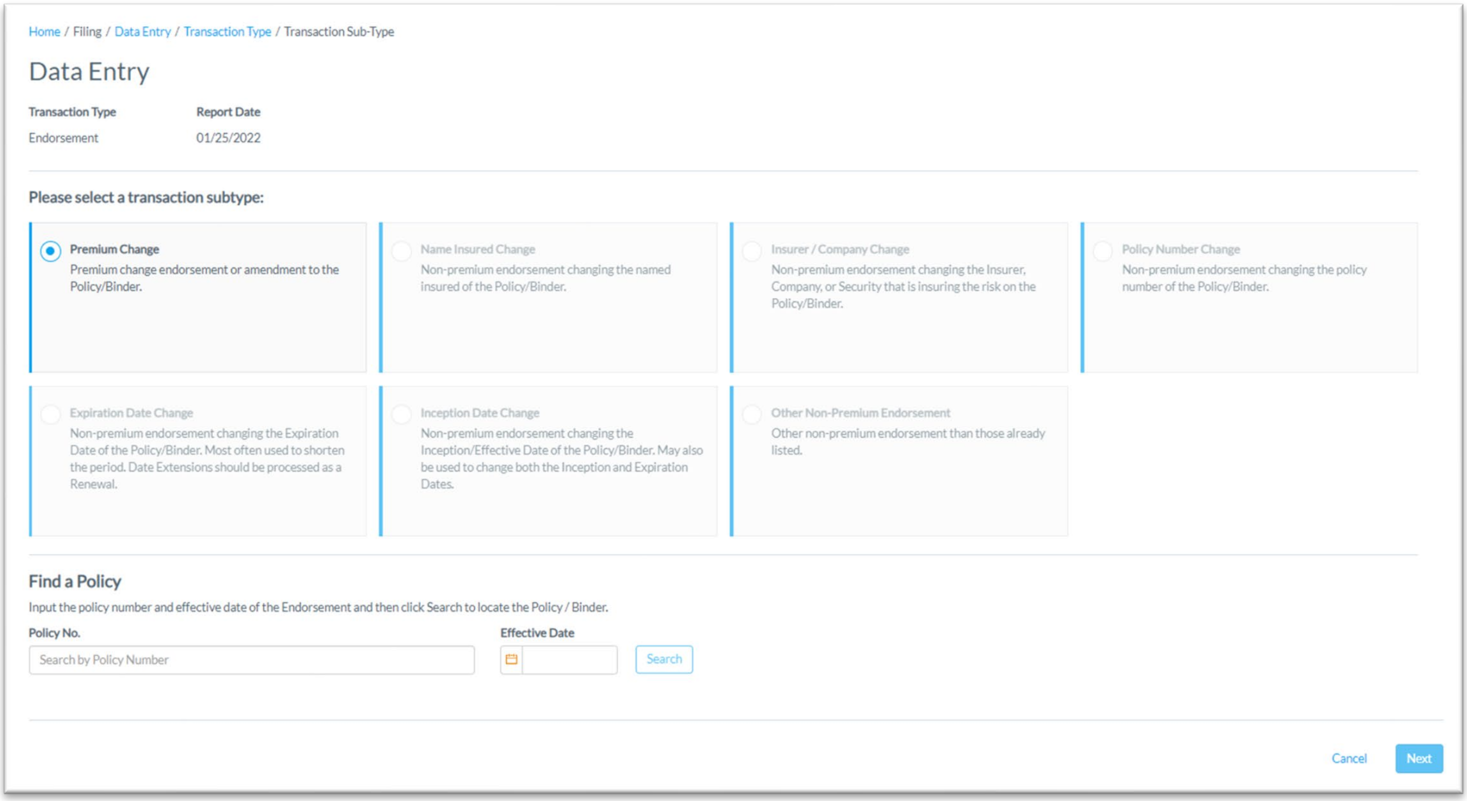
These steps may be used to facilitate the following: **Agent / Broker of Record changes**
<Note> This allows changes to agent (or broker) of record for any non-policy filings, such as endorsement, cancellation, audit, name change, etc.

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.



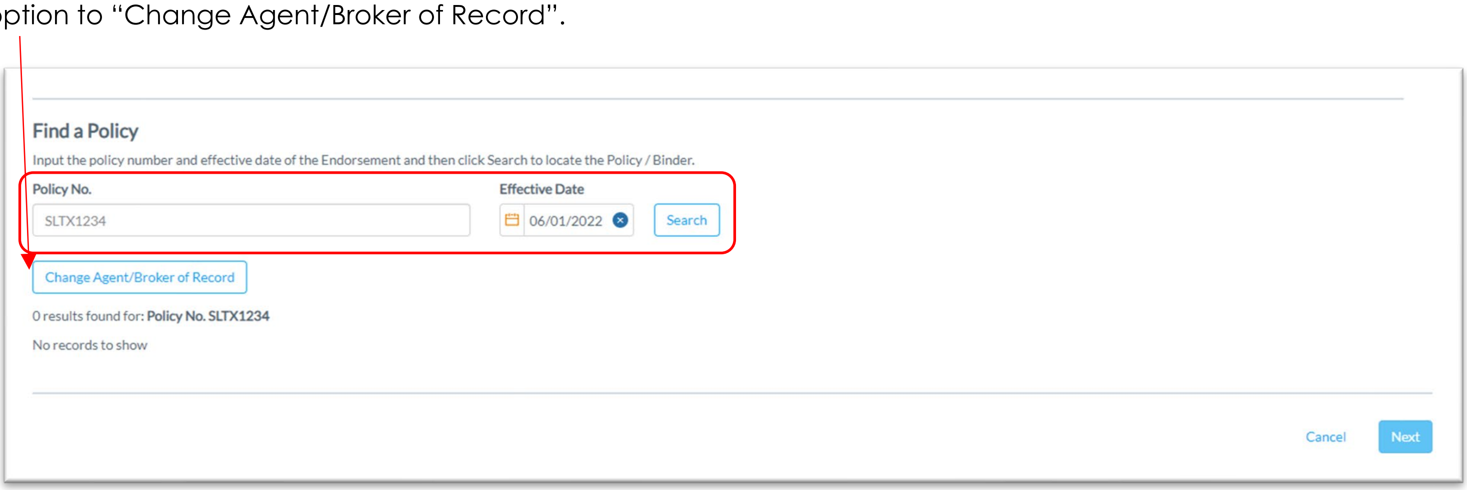
Step 3:
Select sub-type by clicking on corresponding Sub-Type Tile.
<Note> Screen shot below is a demonstration only and may be different depending on the non-policy Transaction Type selected in Step 2.



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.

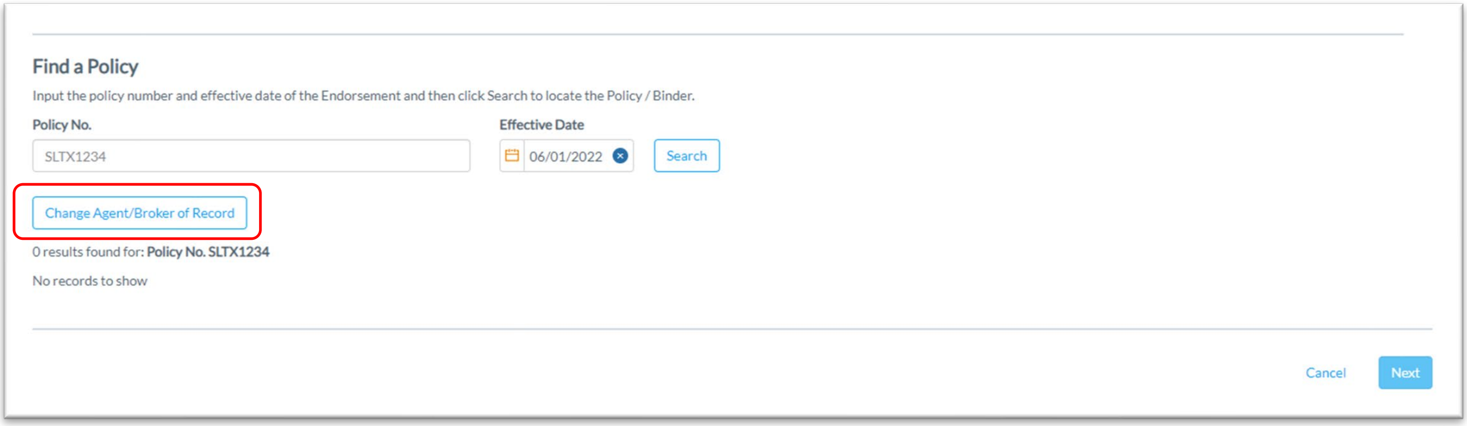
Step 4:
Input policy number and effective date of your transaction (i.e., endorsement, cancellation, audit, name change, etc.) and click SEARCH to locate the Policy/Binder transaction.

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".



Step 5:

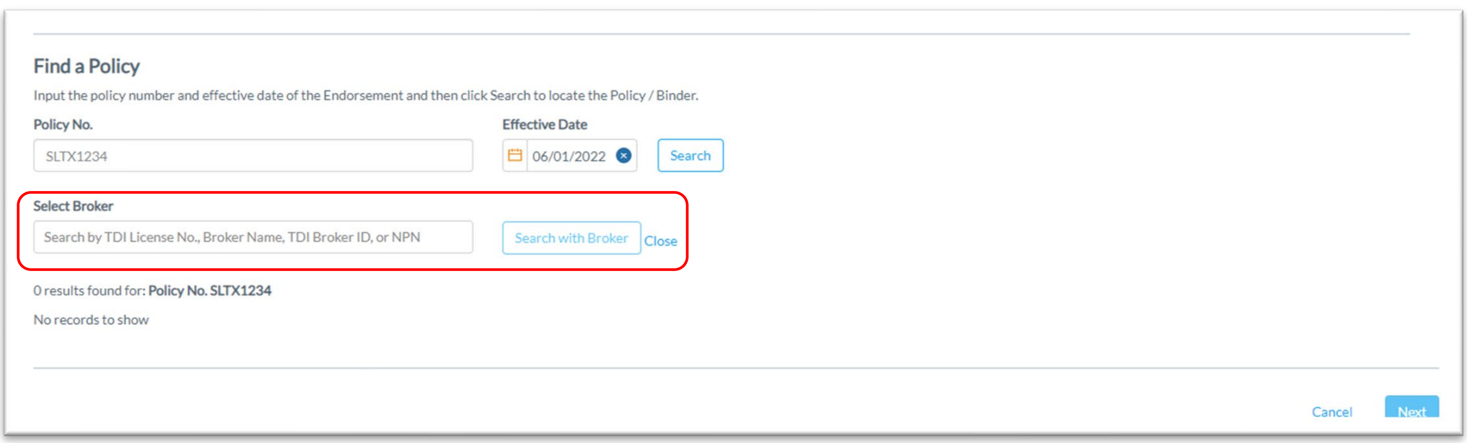
Click “Change Agent/Broker of Record”.



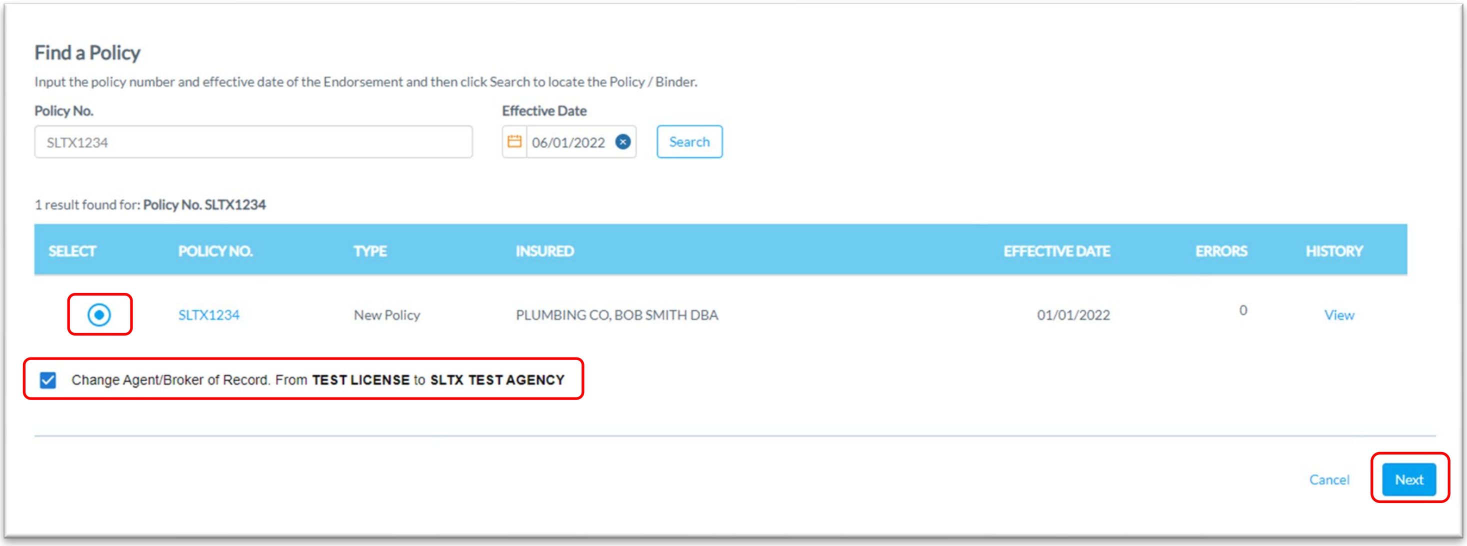
Step 6:

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.



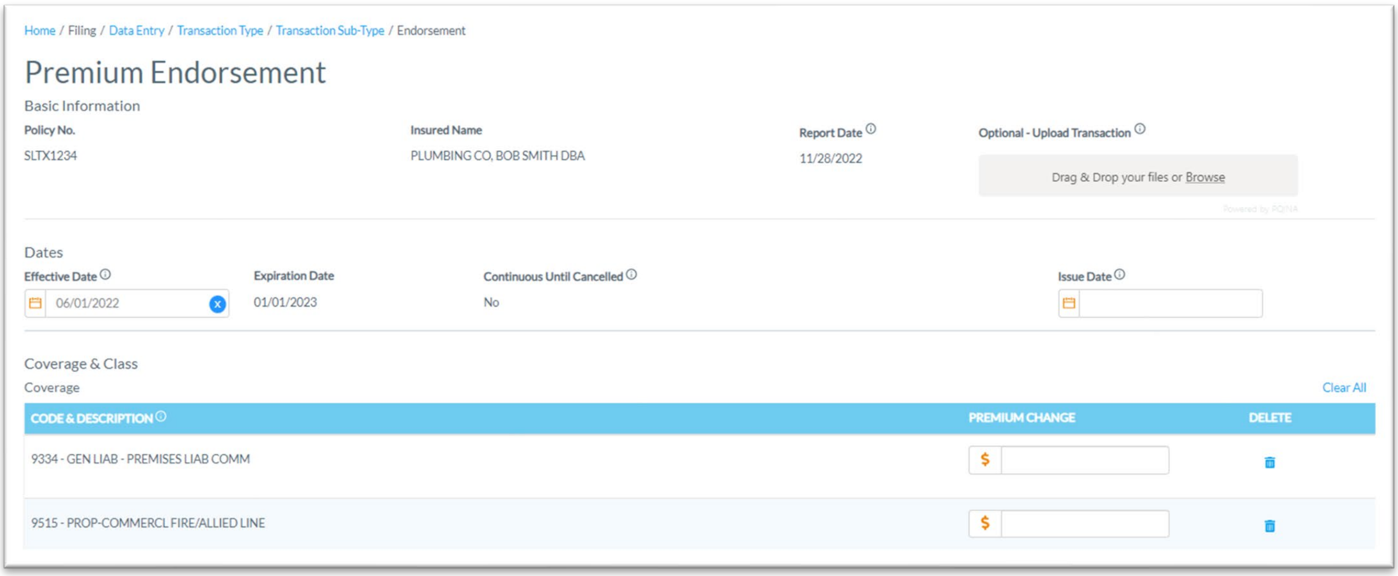
Step 7:
Select appropriate transaction and click check box to confirm "Change Agent/Broker of Record". Click NEXT.

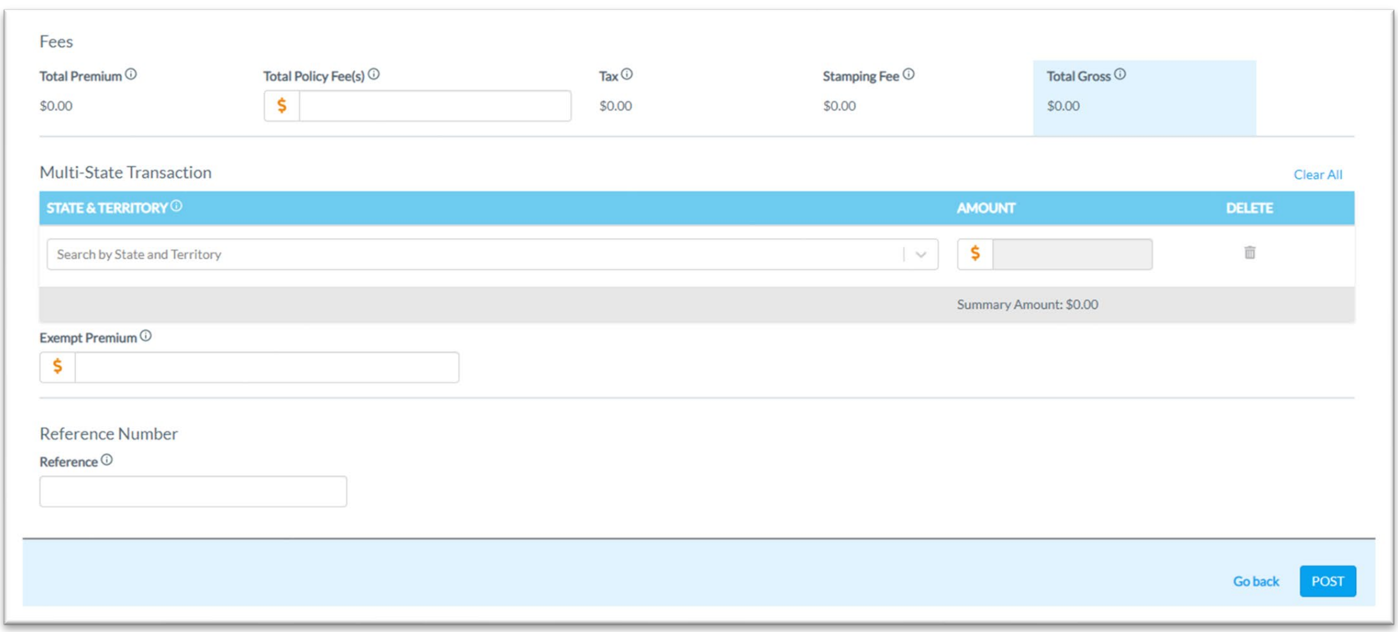


Features
You may click VIEW to see a listing of policy/binder record(s) displayed, along with any child (or non-policy) transactions already in the system. To view Errors, click ERRORS column. To protect data confidentiality, a "You Need Permission" message will appear if you are not the original agent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



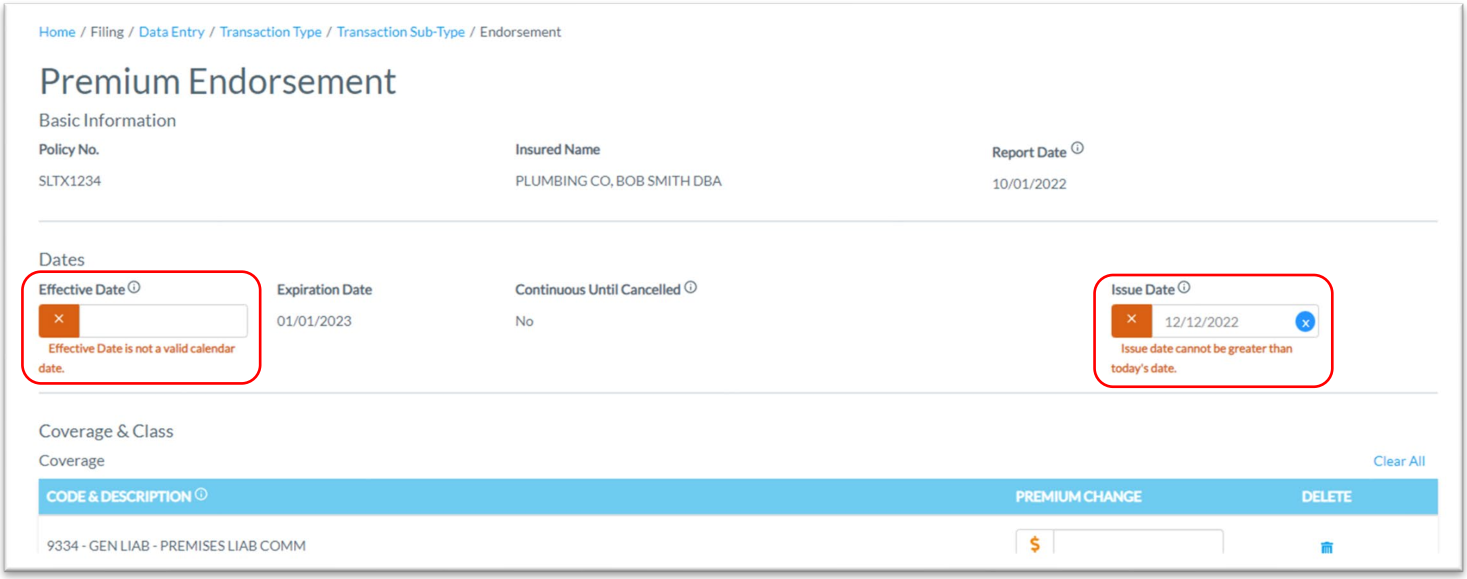


Features
Coach mark(s) are available for additional situational context. Click the ⓘ icon.

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.

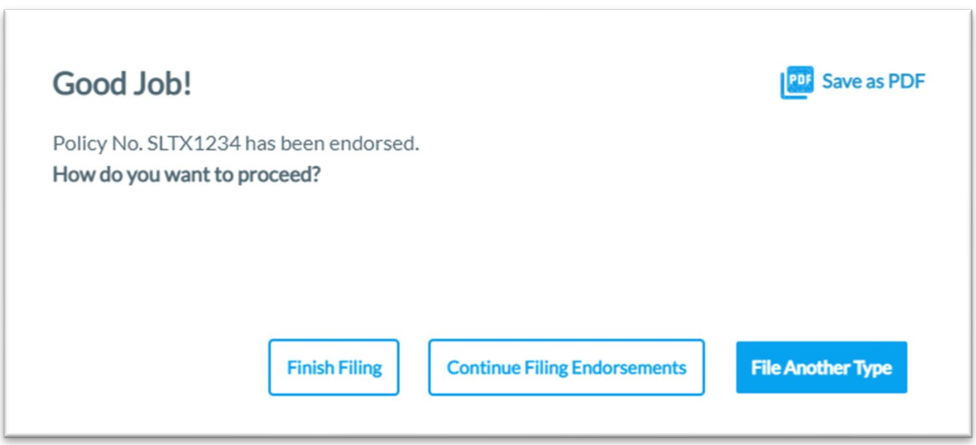
Note: Use of this feature is NOT required to complete a “filing” with SLTX.

Step 9:
Click POST to submit or file transaction with SLTX.



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).



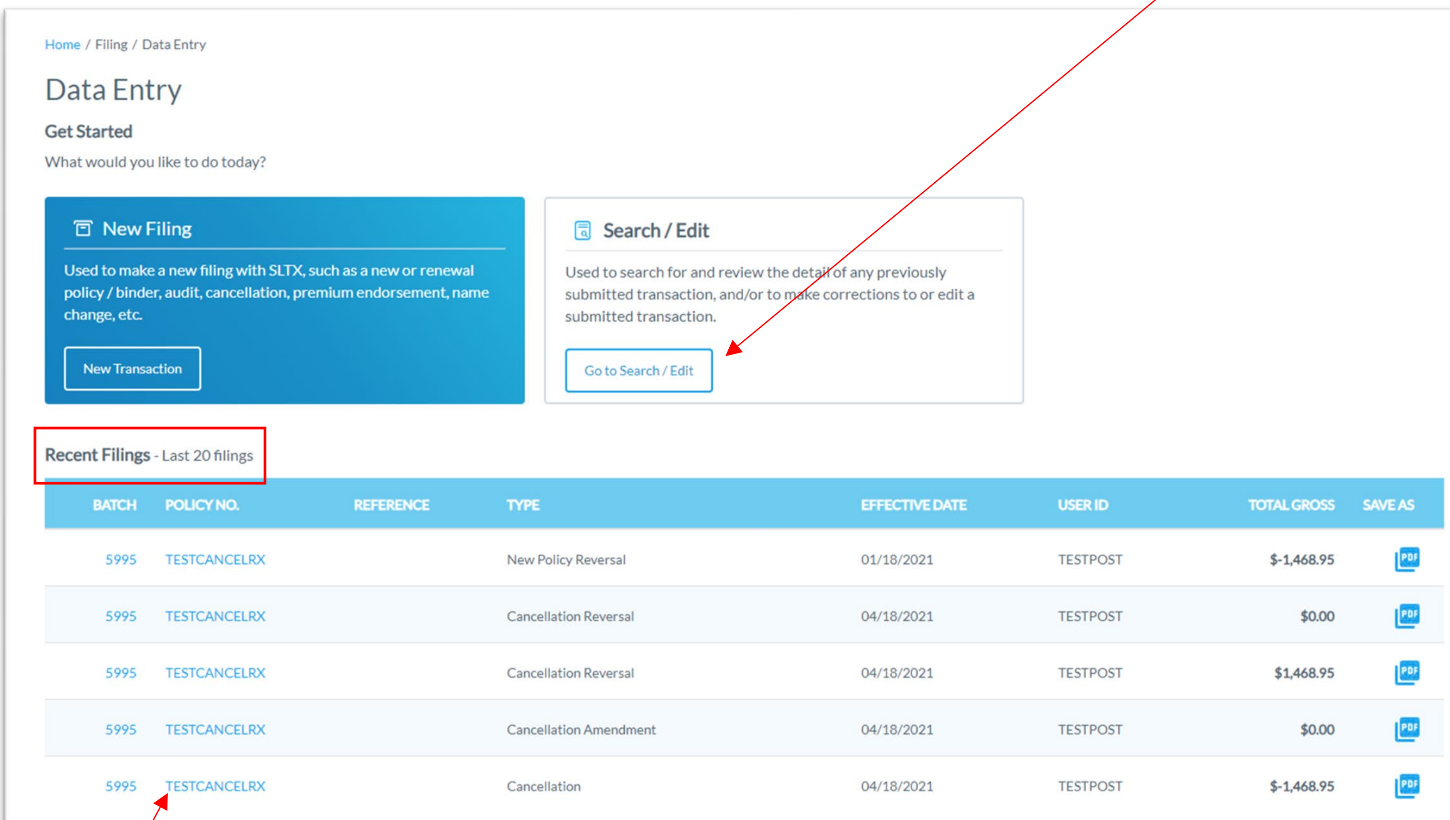
You may print a confirmation of the filing by clicking Save as PDF. You may continue filing by clicking File Another Type or Continue Filing, or simply click Finish Filing to be returned to the Broker Landing page.

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".



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

Save as PDF

Step 1:

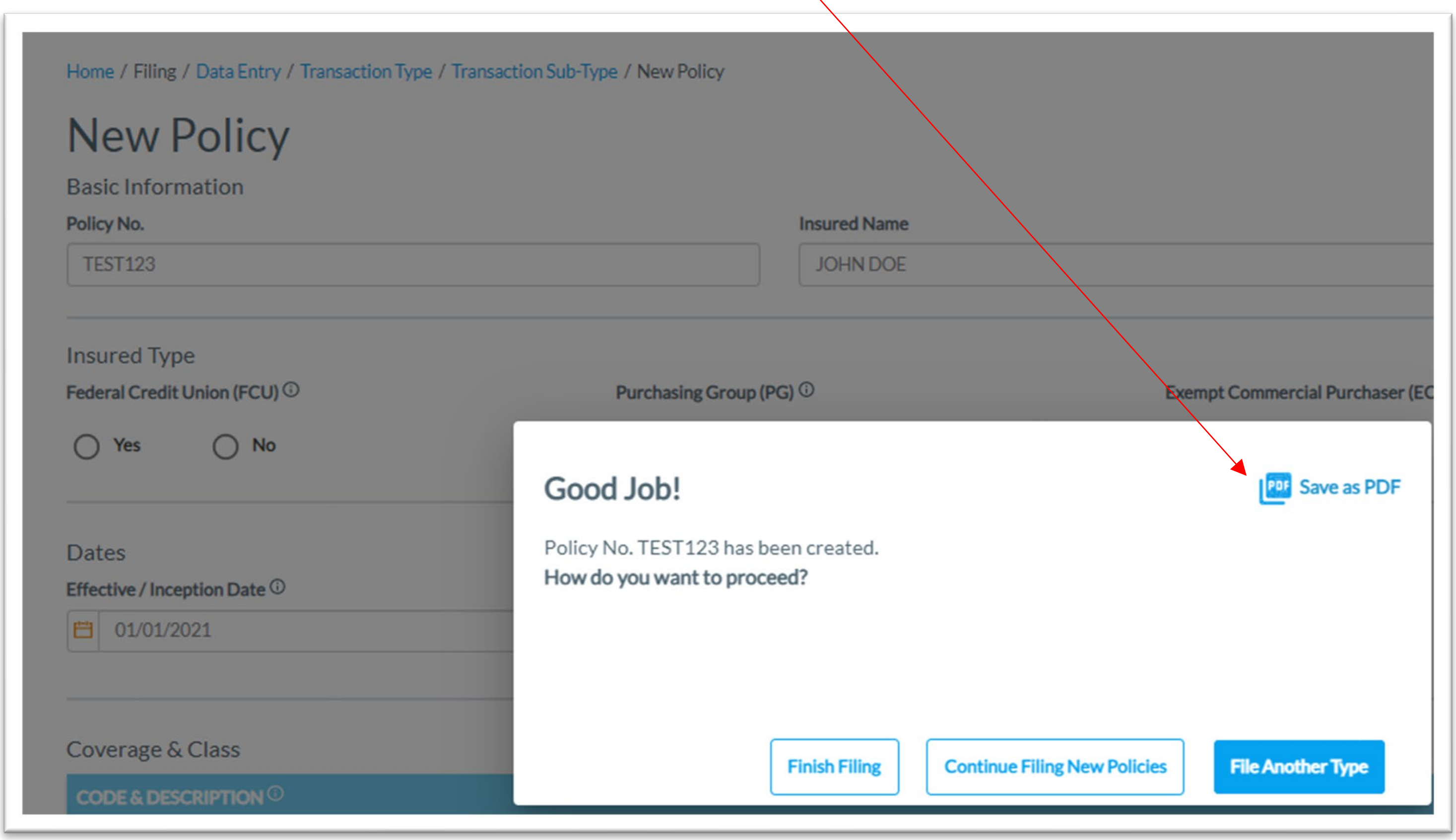
Click PDF icon from Recent Filings section on [Data Entry Landing page] to print a confirmation of individual filings. This confirmation page will include all data elements input on the transaction, including Report Date, Batch Number, and SLTX ID (Policy ID) assigned by SLTX. This will also serve as 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	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

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.

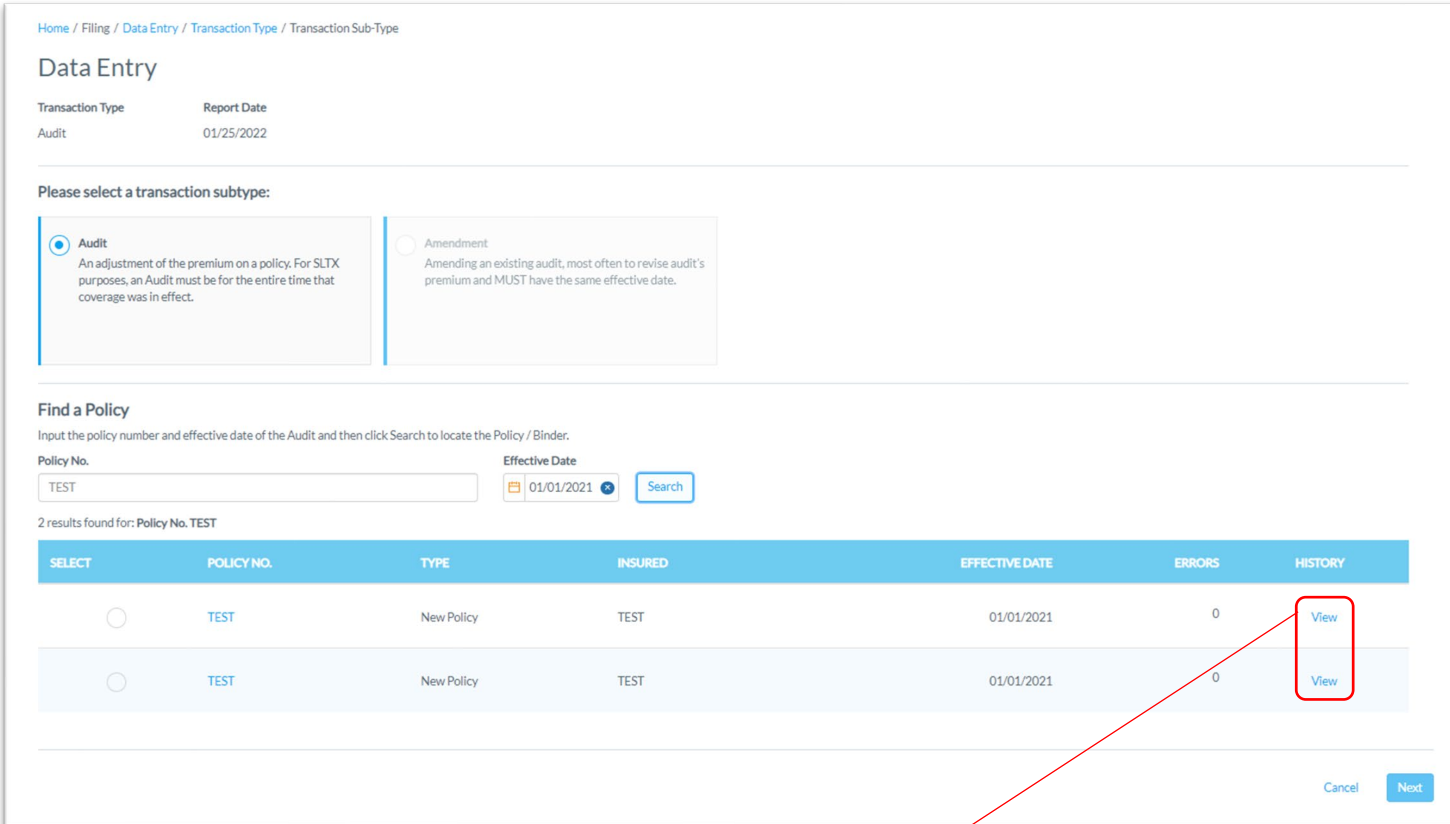
Alternately, the "Save as PDF" feature is available following POST or submission of filing from the "Good Job!" confirmation window.

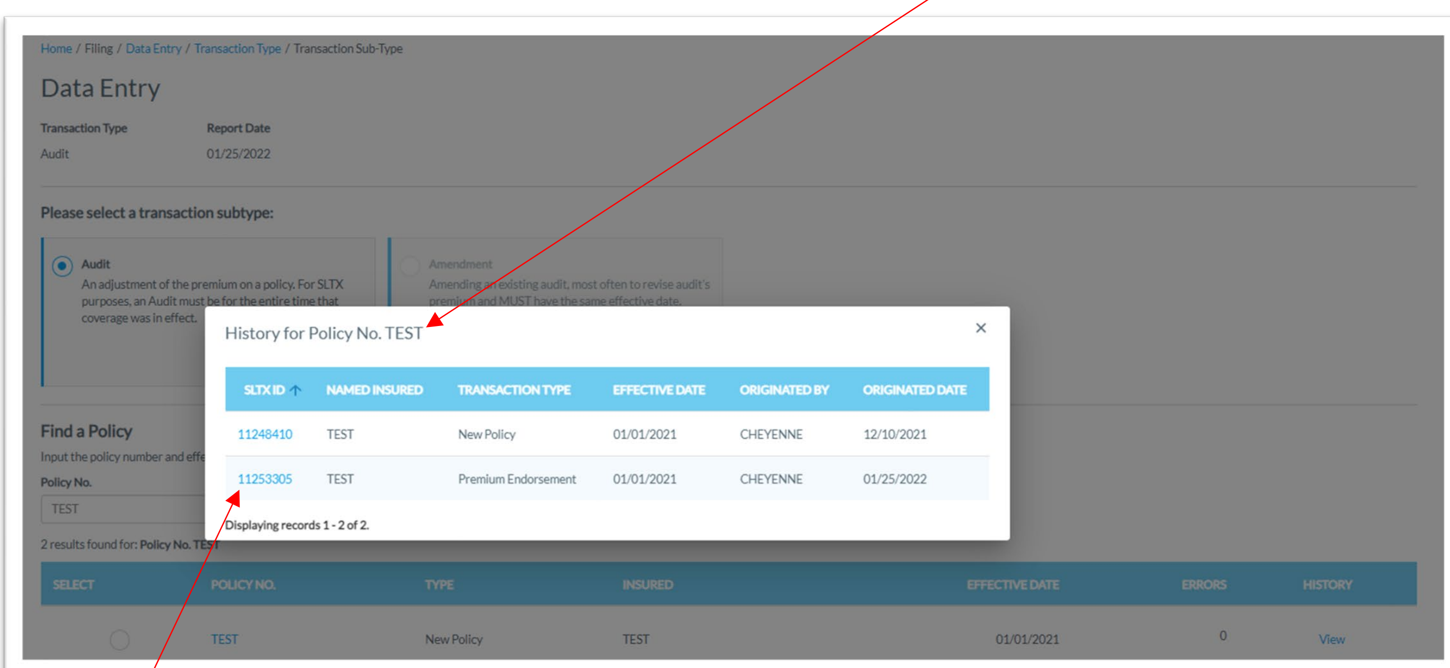


View History

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.



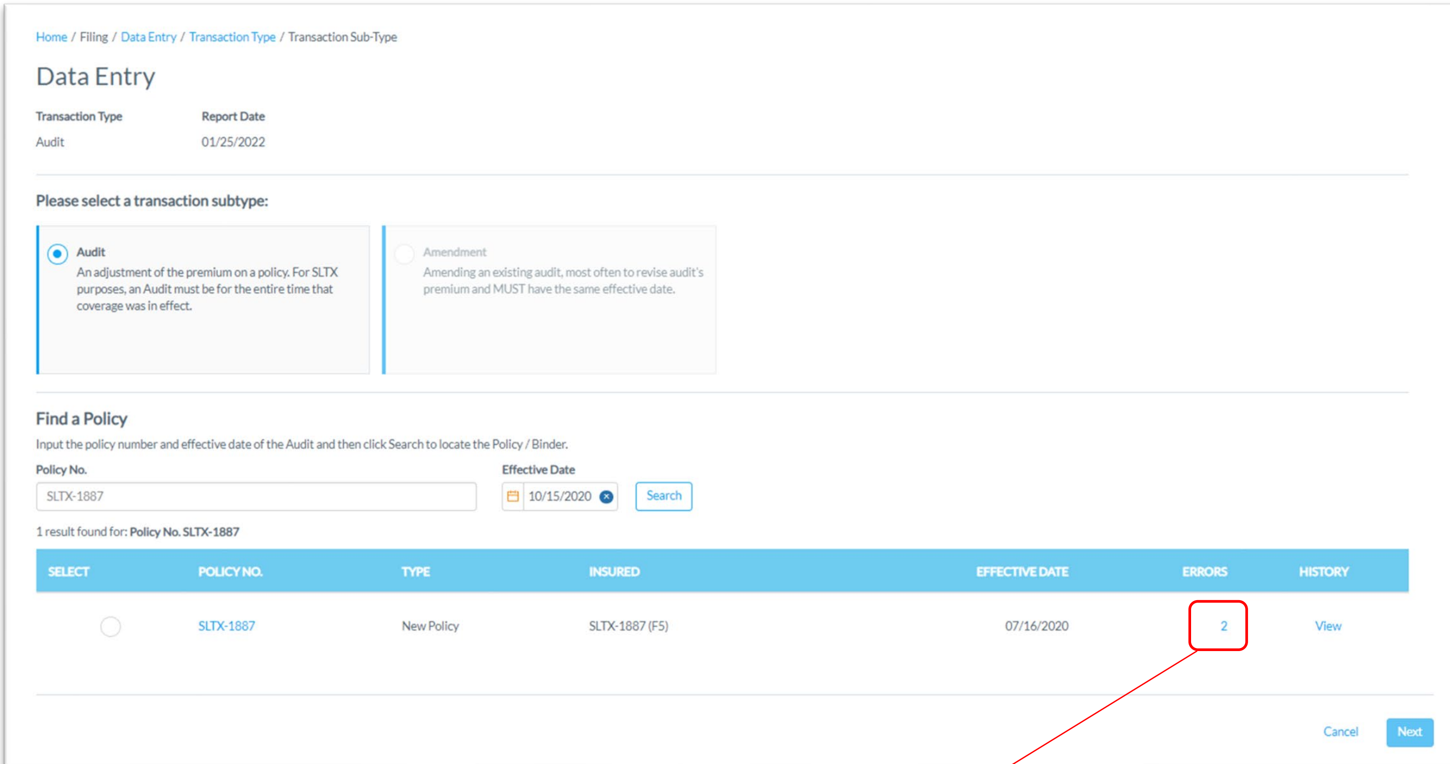


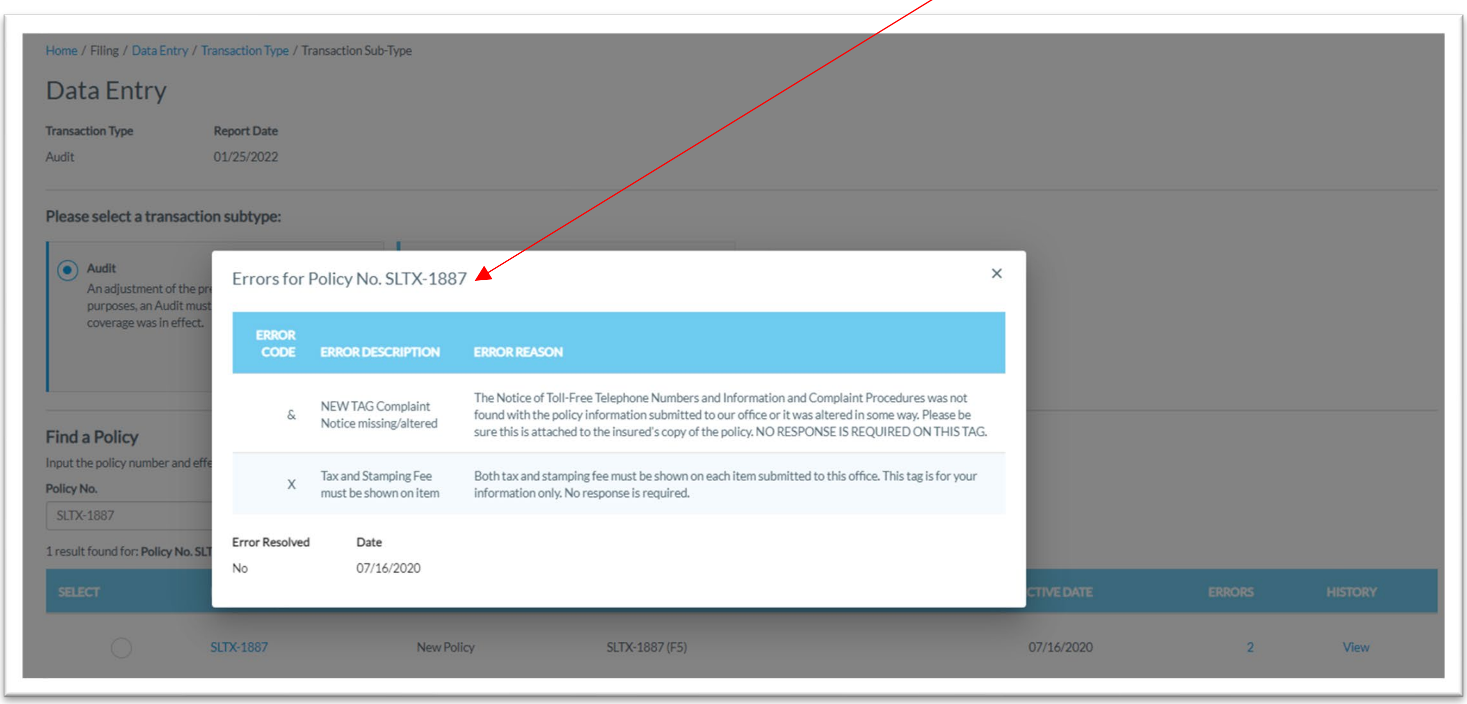
Click the **SLTX ID** link to view details of individual transactions.

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.





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.