

# 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 the left navigation panel.

## Supported Browsers

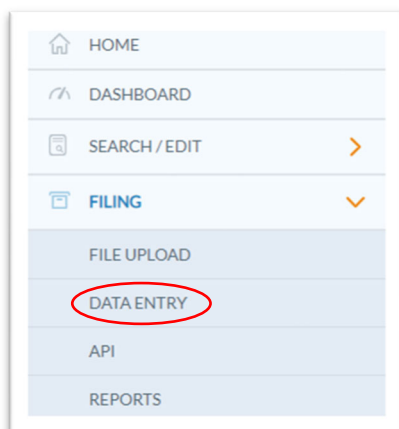
- Google Chrome
- Microsoft's Edge

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	
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: **Insurer / Company Change**  
**Endorsement**

### Step 1:

Click **New Transaction** from Data Entry landing page to create new filings with SLTX, such as a 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 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' (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: **Insurer / Company Change**.

<Future Release> Inception Date Change Endorsements; Audit, Cancellation, or Reinstatement Amendments.

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

## Data Entry

Transaction Type: Endorsement | Report Date: 06/19/2022

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 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 Cancellation 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 checked="" type="radio"/>	SLTX-1887	New Policy	SLTX-1887 (F5)	07/16/2020	2	<a href="#">View</a>

### 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. SLTX-1887

SELECT	POLICY NO.	TYPE	INSURED	EFFECTIVE DATE	ERRORS	HISTORY
<input checked="" type="radio"/>	SLTX-1887	New Policy	SLTX PLUMBING INC	07/16/2020	2	<a href="#">View</a>

## Step 6:

Data, including named insured, policy number, and existing insurer(s)/syndicate(s), are copied from 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

## Insurer Change Endorsement

Basic Information

Policy No. SLTX-1887	Insured Name SLTX PLUMBING INC	Report Date ⓘ 06/19/2022
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Dates

Effective Date ⓘ <input type="text" value="07/01/2020"/>	Expiration Date 07/16/2021	Continuous Until Cancelled ⓘ No	Issue Date ⓘ <input type="text"/>
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## Features

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

### Insurers & Contracts

Please add a contract or individual insurers.

Contracts ⓘ

Insurers Clear All

INSURER	TDI LICENSE NO.	NAIC NO.	PREMIUM %	DELETE
UNDERWRITERS AT LLOYD'S LONDON	90102091	AA1122000	<input type="text" value="100"/>	<input type="button" value="DELETE"/>
<span style="color: red;">▲</span> 332 - LLOYD'S OF LONDON SYNDICATE	101133	N/A	N/A	<input type="button" value="DELETE"/>
<input type="text" value="Enter Name or TDI License No."/>			N/A	<input type="button" value="DELETE"/>
<input type="text" value="Search by Insurer or TDI License No. or NAIC No...."/>				<input type="button" value="DELETE"/>

Total: 100.000000%

Reference Number  
Reference ⓘ

Note: A type-ahead feature is available, allowing user to type 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 a software interface for managing insurers. At the top, there is a header with the word 'INSURERS' and a 'Number' field. Below this is a table with columns for 'INSURER', 'TDI LICENSE NO.', 'PREMIUM %', and 'DELETE'. The first row shows 'UNDERWRITERS AT LLOYD'S LONDON' with TDI License No. '90102091' and Premium % '100.000000'. Below this is a search input field containing '33'. The search results show three rows for Lloyd's syndicates: '332 - LLOYD'S OF LONDON SYNDICATE' (TDI License No. 901133), '33A LLOYD'S OF LONDON SYNDICATE' (TDI License No. 9051806), and '3334 - LLOYD'S OF LONDON SYNDICATE' (TDI License No. 12454797). A 'Total: 100.0000000%' is displayed at the bottom right of the table area.

INSURER	TDI LICENSE NO.	PREMIUM %	DELETE
UNDERWRITERS AT LLOYD'S LONDON	90102091	100.000000	[Delete Icon]
33		N/A	[Delete Icon]
332 - LLOYD'S OF LONDON SYNDICATE	TDI License No. 901133		[Delete Icon]
33A LLOYD'S OF LONDON SYNDICATE	TDI License No. 9051806	Total: 100.0000000%	
3334 - LLOYD'S OF LONDON SYNDICATE	TDI License No. 12454797		

## Step 7:

Click POST to submit or file transaction with SLTX.

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

### Insurer Change Endorsement

Basic Information

Policy No. SLTX-1887	Insured Name SLTX PLUMBING INC	Report Date 06/19/2022
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Dates

Effective Date <input type="text" value="07/16/2021"/> <small>Effective Date is not a valid calendar date.</small>	Expiration Date 07/16/2021	Continuous Until Cancelled No	Issue Date <input type="text"/>
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Insurers & Contracts

Please add a contract or individual insurers.

Contracts

Search by "Contract ID" or "Description"...

INSURER	TDI LICENSE NO.	NAIC NO.	PREMIUM %	DELETE
<input type="text" value="Search by Insurer or TDI License No. or NAIC No. ..."/>				<input type="text"/>
			Total: 0.000000%	

No Securities were provided for this transaction.

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).

### Good Job!

Policy No. SLTX-1887 has been endorsed.  
How do you want to proceed?

[Save as PDF](#)

[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 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 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) and 'Search / Edit' (white). 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	<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

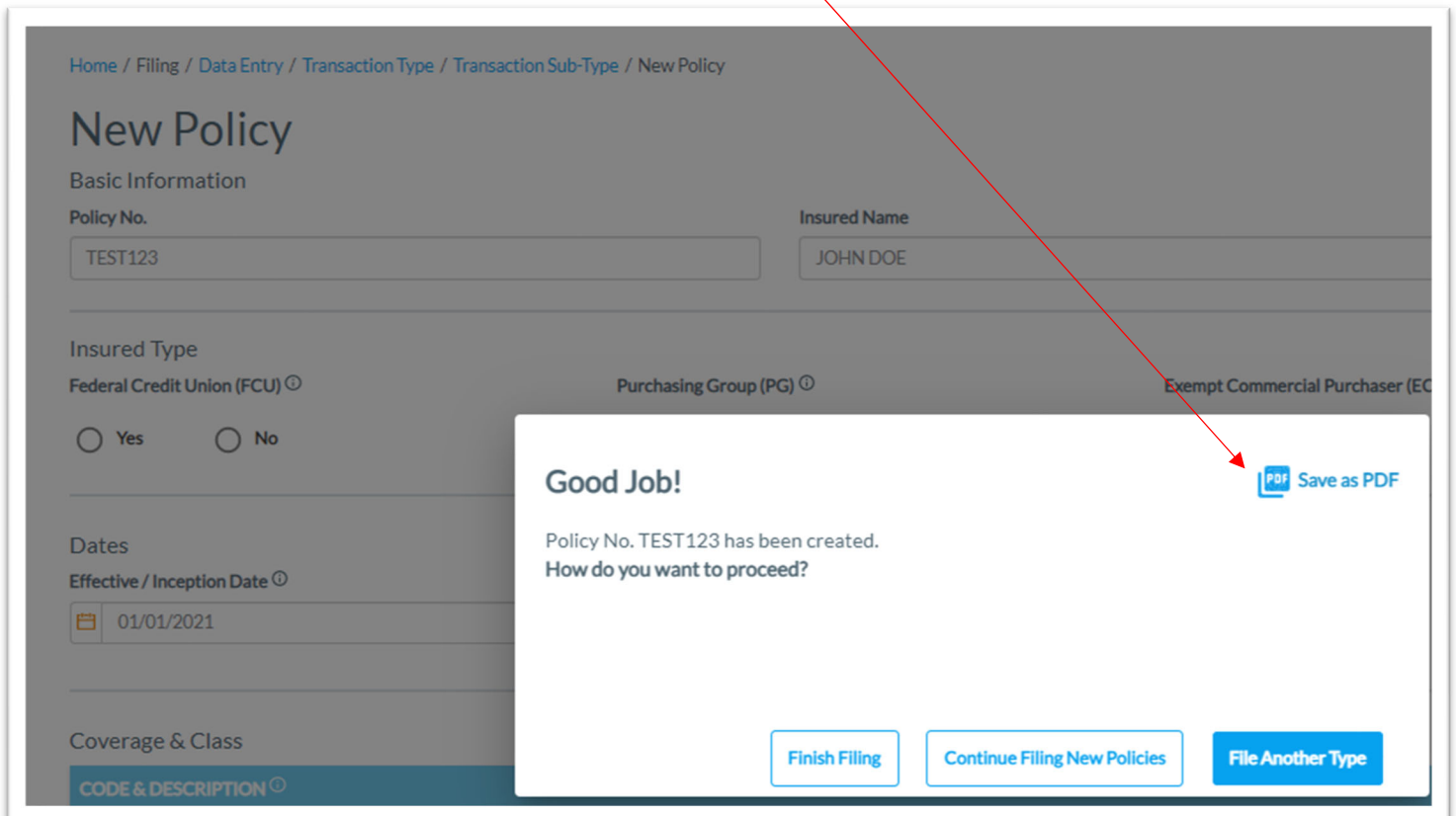
### Step 1:

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. To open, double click on the PDF file.

Alternately, the "Save as PDF" feature is also 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	<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

## 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.