

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

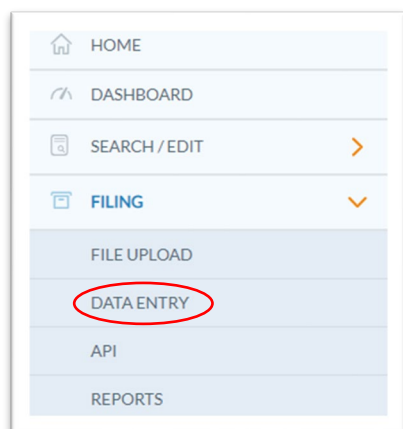
- Google Chrome
- Microsoft's Edge

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	
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 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.

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, the title 'Data Entry' is displayed. A section titled 'Select Transaction Type' contains a prompt: 'Please select a transaction type to file.' To the right of this section are four buttons: 'Filing' (highlighted in blue), 'Update/Corrections', 'Reverse', and 'Delete'. Below the prompt, 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 form, there are two buttons: 'Cancel' and 'Next' (highlighted in blue).

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](#).

The screenshot shows the 'Data Entry' screen with the breadcrumb 'Home / Filing / Data Entry / Transaction Type / Transaction Sub-Type'. The 'Transaction Type' is 'Endorsement' and the 'Report Date' is '01/25/2022'. Below this, a section titled 'Please select a transaction subtype:' contains seven tiles. The first tile, 'Premium Change', is selected with a blue radio button and a blue border. The other tiles are 'Name Insured Change', 'Insurer / Company Change', 'Policy Number Change', 'Expiration Date Change', 'Inception Date Change', and 'Other Non-Premium Endorsement'. Below the tiles is a 'Find a Policy' section with instructions to input the policy number and effective date and click Search. It includes a 'Policy No.' field with the placeholder 'Search by Policy Number', an 'Effective Date' field with a calendar icon and the date '06/01/2022', and a 'Search' button. At the bottom right are 'Cancel' and 'Next' buttons.

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”.

The screenshot shows the 'Find a Policy' screen with the same breadcrumb as the previous screen. The 'Policy No.' field contains 'SLTX1234' and the 'Effective Date' field contains '06/01/2022'. A red box highlights these fields and the 'Search' button. Below the search fields is a button labeled 'Change Agent/Broker of Record'. The search results section shows '0 results found for: Policy No. SLTX1234' and 'No records to show'. At the bottom right are 'Cancel' and 'Next' buttons.

Step 5:

Click "Change Agent/Broker of Record".

Find a Policy

Input the policy number and effective date of the Endorsement and then click Search to locate the Policy / Binder.

Policy No.
SLTX1234

Effective Date
06/01/2022

Search

Change Agent/Broker of Record

0 results found for: Policy No. SLTX1234
No records to show

CancelNext

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.

Find a Policy

Input the policy number and effective date of the Endorsement and then click Search to locate the Policy / Binder.

Policy No.
SLTX1234

Effective Date
06/01/2022

Search

Select Broker

Search by TDI License No., Broker Name, TDI Broker ID, or NPN

Search with BrokerClose

0 results found for: Policy No. SLTX1234
No records to show

CancelNext

Step 7:

Select appropriate transaction and click check box to confirm "Change Agent/Broker of Record". 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.
SLTX1234

Effective Date
06/01/2022

Search

1 result found for: Policy No. SLTX1234

SELECT	POLICY NO.	TYPE	INSURED	EFFECTIVE DATE	ERRORS	HISTORY
<input type="radio"/>	SLTX1234	New Policy	PLUMBING CO, BOB SMITH DBA	01/01/2022	0	View

☒ Change Agent/Broker of Record. From **TEST LICENSE** to **SLTX TEST AGENCY**

[Cancel](#) [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.

[Home](#) / [Filing](#) / [Data Entry](#) / [Transaction Type](#) / [Transaction Sub-Type](#) / [Endorsement](#)

Premium Endorsement

Basic Information

Policy No.
SLTX1234

Insured Name
PLUMBING CO, BOB SMITH DBA

Report Date ⓘ
11/28/2022

Optional - Upload Transaction ⓘ

Drag & Drop your files or [Browse](#)

Powered by PQN/A

Dates

Effective Date ⓘ

06/01/2022

Expiration Date
01/01/2023

Continuous Until Cancelled ⓘ
No

Issue Date ⓘ

Coverage & Class

Coverage

Clear All

CODE & DESCRIPTION ⓘ	PREMIUM CHANGE	DELETE
9334 - GEN LIAB - PREMISES LIAB COMM	<div>\$</div>	<div></div>
9515 - PROP-COMMERCL FIRE/ALLIED LINE	<div>\$</div>	<div></div>

Fees

Total Premium ⓘ
\$0.00

Total Policy Fee(s) ⓘ

\$

Tax ⓘ
\$0.00

Stamping Fee ⓘ
\$0.00

Total Gross ⓘ
\$0.00

Multi-State Transaction

Clear All

STATE & TERRITORY ⓘ	AMOUNT	DELETE
<div>Search by State and Territory</div>	<div>\$</div>	<div></div>
Summary Amount: \$0.00		

Exempt Premium ⓘ

\$

Reference Number
Reference ⓘ

[Go back](#) [POST](#)

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.

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

Premium Endorsement

Basic Information

Policy No. SLTX1234	Insured Name PLUMBING CO, BOB SMITH DBA	Report Date ⓘ 10/01/2022
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Dates

Effective Date ⓘ <div>✕</div> <div>Effective Date is not a valid calendar date.</div>	Expiration Date 01/01/2023	Continuous Until Cancelled ⓘ No	Issue Date ⓘ <div>✕</div> 12/12/2022 <div>Issue date cannot be greater than today's date.</div>
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Coverage & Class

Coverage

CODE & DESCRIPTION ⓘ	PREMIUM CHANGE	DELETE
9334 - GEN LIAB - PREMISES LIAB COMM	\$	

Clear All

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).

Good Job!

Policy No. SLTX1234 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 [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".

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	

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.

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

New Policy

Basic Information

Policy No.

TEST123

Insured Name

JOHN DOE


Insured Type

Federal Credit Union (FCU) ⓘ

☐ Yes ☐ No

Dates

Effective / Inception Date ⓘ

 01/01/2021

Coverage & Class

CODE & DESCRIPTION ⓘ

Purchasing Group (PG) ⓘ

Exempt Commercial Purchaser (EC)


Good Job!

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

Finish Filing

Continue Filing New Policies

File Another Type

 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.

☐ **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 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.