Introductory Guide to SLIP Enhanced
California’s Electronic Filing System

Prepared by the SLA Education and Compliance Department
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Introduction

The Surplus Line Association of California’s (SLA) electronic filing system has been enhanced. The system was developed to assist users in complying with the state’s surplus line filing requirements, and a first step towards a paperless environment. The new features provide further assistance in regulatory compliance.

For new SLIP users, this guide will introduce you to the various features in SLIP. The wizards provide step by step instructions on how to create a new policy, link a renewal to its prior policy, create a renewal from scratch, link an endorsement to its initiating policy, or create an endorsement from scratch.

Users also have the ability to respond to tags, review their transaction histories, pay their broker account balance and generate reports.

For experienced multi-state SLIP users, it is important to remember that each state has its own insurance laws and regulations. The SLIP system in California focuses on assisting filers in compliance with California rules and regulations.

Key Advantages to Using SLIP:

- Promotes a paperless environment
- Reduces tags and increases compliance with California surplus line filing regulations
- Ability to upload batches up to 100MB in TIFF, PDF, PNG, PDF/A, or JPG/JPEG
- Ability to make online payments via credit card or ACH, and set up automatic payments
- Ability to view all previously submitted (historical) data
- Access to detailed reports to review, analyze, and verify submitted data
- Color coded messages:
  - **Green** = Success (policy successfully saved, submitted)
  - **Yellow** = Warning (returned items, missing required documents)
  - **Red** = Error (trouble saving information, unexpected error, crash)
  - **Pink** = Alert (possibility of getting a tag)

New Features

For experienced SLIP users there are some new features in this version of SLIP:

- Transactions do not need to be submitted in a batch.
- Transactions can no longer be submitted with alerts.
- Payments will be applied to the oldest outstanding balance.
- Some terminology will be different, such as account statement instead of invoice, registered transaction instead of processed transaction, backout instead of ORO.
Getting Started

SLIP website: https://slip.slacal.org/

Login Screen

For first time SLIP master users, please contact the SLA for your user name and password. You will be required to change your password after the first login. Master users can create users for their brokerages.

Users Filing for Multiple Locations Screen

If your brokerage has multiple branches, the locations screen allows you to access the different branches without logging out. You can change locations by:

1) Entering values in one or more fields at the top of the grid, or
2) Clicking on a link under the Location column.
Tabs

At the top of the home page welcome screen there are tabs to access different areas of SLIP, such as policies, submissions, tags, accounts, reports, analytics, users and contacts.

Wizards

The middle section of the screen contains wizards to guide you through the steps of creating a new business policy, a renewal, and an endorsement/cancellation. There are wizards to walk you through submitting in bulk.

Quick Info Table

The Quick Info table provides an immediate reference to the number of unsubmitted transactions, transactions with alerts, open and informational tags and transactions pending review or returned for your account. Selecting the number hyperlink next to each item will navigate to the corresponding screen page.
About the Policy Wizards

The policy wizards provide a step by step guide to create a new business policy, a renewal, and an endorsement/cancellation. Creating a new business policy, a renewal, and an endorsement/cancellation follow a similar process.

To create a new business policy, the process is as follows:
- Select the type of policy in the Policy Options screen. This will determine what sections of SLIP need to be displayed. (For example: if master policy is chosen, the certificates section will be enabled so you can enter the certificate information.)
- Enter the policy details; the required fields are identified by an asterisk.
- Enter the policy period, invoice date, insurer, coverage, premium and fees (if applicable) on the transaction details.
- Complete the online SL-1 and SL-2 form or upload the forms.
- Upload a copy of the policy declaration page, binder, or cover note and a list of multiple insurers, if applicable.
- Correct all alerts.
- Submit to the SLA.

To create a renewal, search for the prior policy on the search screen and select from the results:
- Select the type of policy in the Policy Options screen.
- In the policy details, the insured name and insured address zip code will populate from the previous policy.
- If the prior policy was registered, the insurer and coverage will populate in the transaction details. If information differs from the initiating policy, click the Edit button at the bottom of the screen to update information. Complete the policy period, invoice date, premium and fees (if applicable).
- Complete the online SL-1 and SL-2 form or upload the forms.
- Upload a copy of the renewal policy declaration page, binder, or cover note and a list of multiple insurers, if applicable.
- Correct all alerts.
- Submit to the SLA.

To create an endorsement/cancellation, search for the initiating policy and select from the results:
- Select the type of policy in the Policy Options screen.
- In the policy details, the insured name and insured address zip code will populate from the previous policy.
- If the prior policy was registered, the insurer and coverage will populate in the transaction details. If information differs from the initiating policy, click the Edit button at the bottom of the screen to update information. Complete the endorsement effective date, invoice date, premium and fees (if applicable).
- Upload a copy of the endorsement.
- Correct all alerts.
- Submit to the SLA.

If you are unable to find the prior policy for the renewal or the initiating policy for the endorsement/cancellation, you can click on the Create a Renewal from Scratch or Create an Endorsement from Scratch links on the Policy Search Criteria screen. (Please note that this may trigger a tag.)
Create New Business Policy Wizard

Options Screen

Policy Options

- Enter the policy/binder number. The asterisk indicates this is a required field.

- The Standard Policy radio button is selected as a default for all new policies. If the policy is a master policy, select the Master Policy radio button.

- If the policy also contains one of the other conditions listed, check the applicable box. For example, if you select the Multiple Insurers checkbox, the layering tab will be visible and the system will guide you through the fields to complete.

- After you have made your selection, click on the Next button to create your new policy details.

Option Descriptions

- A master policy is a single contract issued on a group basis with certificates of insurance issued to the policyholders.
- A multi-state policy covers a risk that resides in more than one state.
An exempt commercial purchaser/commercial insured (ECP/CI) is an insured that meets three requirements and the policy is exempt from a diligent search. The three requirements are:

1. Employs or retains a qualified risk manager
2. Paid an aggregate nationwide property and casualty premium of at least $100,000 in the immediately preceding 12 months.
3. Meets one of the following:
   - Possesses a net worth in excess of $20 million
   - Generates annual revenues over $50 million
   - Employs more than 500 full time employees per individual insured, or is a member of an affiliated group employing more than 1,000 employees in the aggregate
   - Is a non-profit or public entity generating annual budget over $30 million
   - Is a municipality with a population in excess of 50,000 persons

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1 Bulletin 1230 states that under the NRRA a qualified risk manager must meet three requirements: 1) Must be an employee of, or a third party consultant retained by, a commercial policy holder, and 2) Provides skilled services in loss prevention, loss reduction, or risk and insurance coverage analysis, and purchase of insurance, and 3) A bachelor's degree or higher from an accredited college or university in risk management, business administration, finance, economics, or any other field determined by a state insurance commissioner or other state regulatory official or entity to demonstrate minimum competence in risk management; and three years of experience in risk financing, claims administration, loss prevention, risk and insurance analysis, or purchasing commercial lines of insurance, or holds one of the designations below:

CPCU or ARM or CRM or RF or any other designation, certification, or license determined by a state insurance commissioner or other state regulatory official or entity to demonstrate minimum competence in risk management, or has seven years of experience in risk financing, claims administration, loss prevention, risk and insurance coverage analysis, or purchasing commercial lines of insurance; and any one of the following designations: CPCU or ARM or CRM or RF or any other designation, certification, or license determined by a state insurance commissioner or other state insurance regulatory official or entity to demonstrate minimum competence in risk management, or has at least ten years of experience in risk financing, claims administration, loss prevention, risk and insurance coverage analysis, or purchasing commercial lines of insurance, or has a graduate degree from an accredited college or university in risk management, business administration, finance, economics, or any other field determined by a state insurance commissioner or other state regulatory official or entity to demonstrate minimum competence in risk management.
Policy Details

Enter the insured information in the policy details section. If the insured is a person, enter the last name first, then first name (for example: SMITH JOHN). This makes it easier for future searches of the policy because last names are less common and the results will be easier to sort through.

The asterisk * identifies required fields, such as primary insured name and the zip code of the insured’s address.

*The SIC type and SIC Code are strictly optional fields.*

If there are notes you would like to add to this specific transaction, select the Add Policy Notes hyperlink. This displays the Policy Notes field.

Click Next to continue to the transaction details.
Transaction Details

Enter the transaction effective date, expiration date and invoice date. If the transaction is open ended (without an expiration date), select the Open Ended checkbox and the expiration date field will be disabled.

If the policy is written with one insurer, select the insurer from the drop-down. **If the insurer does not appear on the drop-down, you can type in the insurer name.**
Coverages & Fees

In the Coverages section, enter the coverage description. If there is more than one coverage, once you type in a coverage description another row will display.

Enter the premium amount(s).

For policies that contain taxable fees, check the box next to the applicable fee and enter the fee amount. The system calculates the state tax and stamping fee based on the premium and checked fees entered. You can verify the stamping fee calculation matches the stamping fee that was charged to the insured at the bottom of the screen.

Bottom of Transaction Details Screen

Click the Next button to go to the Documents page.
Documents Tab

You upload your files under the documents tab. You can also complete the online forms or upload the forms.

Documents Page

California requires that the policy declaration page/certificate/binder accompany the policy on all new business submissions. To attach the required documents in SLIP, select the file.
**Uploading Documents**

After you have selected a file, the document type(s) checklist displays. Check the box(es) next to the types of documents you will be uploading before clicking the Upload button. **Remember that the upload will only be successful if the documents are less than 10MB in size and in a TIFF, PDF, PNG, PDF/A, or JPG/JPEG format.**

You can select more than one checkbox for each uploaded document if the uploaded document is associated with more than one of the document types. For example, if the pdf contains the declaration page, syndicate list, SL1 and SL2 forms, you would select the pdf and check the boxes for declaration page, syndicate list, SL1 and SL2 form.

Click the Upload button to upload the document(s).
The Transaction Documents section lists the uploaded file(s) and document types you have checked off for this attachment. If there is a missing document type(s) that is included in the attachment, click on the Edit icon next to the file name and the document type list will display again.

If the SL1, SL2 and/or GAP form were not checked on the Document Type(s) list, the Complete SL1 Form, Complete SL2 Form and Complete GAP Form buttons are enabled. Click on the corresponding button and begin completing the online form.

(Note: Original copies of the signed forms must still be maintained by your brokerage per Section 2190.3 of the California Code of Regulations.)
**Section 1**
When you select the Complete SL1 Form button, you have the option of entering the broker’s first and last name or selecting a transactor from a drop-down list of transactors created by your master user. If you select a transactor from the drop-down list, the broker’s name and license number or organization name and license number will populate the corresponding fields.

**Section 2**
The information entered on the policy details screen will be transferred over to the corresponding fields on this form. You will need to enter any information not entered in the policy entry screen, such as the description of risk and location of risk.

If the location of risk is the same as the insured’s address, check the Same as Above box. However, if the insured address is a P O Box, do not check the Same as Above checkbox. The location of risk must be a physical location.

If there is more than one location of risk, check the Various Locations box.

**Section 3**
The information for coverage and insurer will be carried forward from the policy details screen.

Once the form has been completed, you will need to complete both the Date of Signature field and check the box under the Signature line. The SLA analyst will only be notified that the form has been electronically signed if the date of signature and check box has been completed in SLIP.

The alert badge will notify you of alerts. The user can save the information but must correct the alerts before submitting the transaction to the SLA.

Click the Save Form button to save the information. You will then be returned to the Documents screen.
Section 1
If you have selected the Complete SL2 Form button, you have the option of entering the broker/agent’s first and last name or selecting a transactor from a drop-down list of transactors created by your master user. If
you select a transactor from the drop-down list, the broker/agent’s license number or organization name and license number will populate the corresponding fields.

**Section 2**
The information entered on the SL1 form will be transferred over to the corresponding fields on this form.

**Sections 3**
This section only needs to be completed if the coverage pertains to private passenger automobile liability.
**Online SL-2 Form (Sections 3 through 7(B))**

(C) If YES, has this risk been submitted to and found to be insurable by CURE?

4. (A) If health insurance is identified on line 2(B), does the insured qualify as a "Small Employer" under Section 10700(a) of the California Insurance Code?

5. If this insurance was placed pursuant to Section 128 of the California Insurance Code governing transactions with risk purchasing groups authorized by the Federal Liability Risk Retention Act of 1985, complete the following:

6. Provide the name and address of the purchasing group of which the insured is a member.

7. Describe the diligent efforts made to place this coverage with admitted insurers and describe how the search was performed (please add additional pages if necessary).

8. If search was performed by someone other than the person named on line 1, please provide full name of that individual.

9. Was the risk described in Section 3 submitted by you or by someone under your supervision to at least 2 insurers that are admitted in California and who actually wrote the type of insurance described on lines 4(C) and 4(F)?

10. If YES, please complete all sections of the following table; if NO, skip to Section 8.

<table>
<thead>
<tr>
<th>Submitted Company</th>
<th>— SELECT —</th>
</tr>
</thead>
<tbody>
<tr>
<td>Company Representative</td>
<td>FIRST NAME LAST NAME</td>
</tr>
<tr>
<td>or Destination Website</td>
<td>DECISION WEBSITE</td>
</tr>
<tr>
<td>Decision Date</td>
<td>MM/YYYY</td>
</tr>
<tr>
<td>Decision Code</td>
<td>— SELECT —</td>
</tr>
</tbody>
</table>
**Section 5**
If the policy was placed with a risk purchasing group (RPG), enter the name and address of the RPG. You will need to determine if the RPG was registered with California, and if the insurer writing the risk was authorized under the RPG.

**Section 6(A)**
Enter the diligent search effort to place the risk with an admitted carrier.

**Section 6(B)**
If someone other than the person named on line 1 performed the diligent search, the first and last name of the individual(s) should be entered here.

**Section 7(A) and (B)**
If 7(A) is answered yes because the risk was submitted to at least three admitted carriers, you will need to complete section 7(B). The Yes button is selected by default and section 7(B) is enabled. Complete the fields for each admitted insurer.

**Section 8(A) through (C)**
If 7(B) is answered no because the risk was not submitted to at least three admitted carriers, section 7(B) will be disabled and section 8(A) is enabled. Depending on how you answer 8(A), either section 8(B) or 8(C) will be enabled.

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**Online SL-2 Form (Sections 8 through Date of Signature)**

Once the form has been completed, you will need to complete both the Date of Signature field and check the box under the Signature line. The SLA analyst will only be notified that the form has been electronically signed if the date of signature and check box has been completed in SLIP.

The alert badge will notify you of alerts. The user can save the information but must correct the alerts before submitting the transaction to the SLA.

Click the Save Form button to save the information. You will then be returned to the Documents screen.
If you selected to complete the SL1 and SL2 forms online, the transaction documents section will list the online forms.

If you wish to edit either form, click on the Edit SL Form button, make the necessary changes and save the form.

Click the Next button to view the summary page.
Verify and Submit

Review the policy information. If the information is correct and there are no alerts displayed, click on the Submit to SLA button. If there are alerts, a pink banner will display at the top of the screen with a link to the list of alerts. In addition, each section will have alert badges displaying the number of alerts in each section. The Submit to SLA button is disabled until all the alerts have been corrected.
You can choose to enter the broker reference number and date and any notes that pertain to the transactions contained in this submission.

If the effective date of the transaction or any one transaction within the submission is past 60 days, the Late Filing with Explanation box will display and you must enter the reason for the late filing before submission to the SLA. The Submit button is disabled until a reason for the late filing is provided.
**Policy Options**
Depending on what option is selected, certain tabs will be enabled in the wizard process.

**Options Page**

**Multi-State Policy Option**
When you select the multi-state policy option, the multi-state tab is enabled.
The required fields on the multi state page are the total premium for all states and US territories and California percentage of risks.
Layering Tab
When you select the Multiple Insurers option, the layering tab is enabled.

Options Screen

If you had selected the Multiple Insurer box in the Options tab, the Layering tab will be visible to the user.

Policy Details Screen

Enter the details for this new Policy.
You can upload the multiple insurer/syndicate list on this page. If you choose, you can enter each insurer and their respective percentage of participation and upload the multiple insurer/syndicate list.
To create a renewal, select the Renewal link on the home page. The link will bring you to a search screen to find the prior initiating transaction.
Searching for Prior Policy

Policy Search Page

Search for the prior policy by entering information in any or all of the fields by policy number, name of insured, and/or effective date. For individual names, search by last name because the SLA enters last name first name. For businesses with DBAs, search by the dba because the SLA enters the DBA name.

Search Results Screen

Based on the information entered in the search criteria, the search results display at the bottom. If the prior policy is listed, click on the checkbox next to the policy number to enable the Create Renewal button at the bottom of the screen. *(If the prior policy is not listed you will need to click on the Create a Renewal from Scratch link.)*
The Standard Policy button is selected by default for all transactions. If the renewal policy you are creating is a master policy, click on the radio button for master policy. If the renewal is a multi-state policy, multiple insurer policy, and/or the insured qualifies as an exempt commercial purchaser (commercial insured), mark the applicable checkbox. Specific tabs and fields are enabled based on your selection. For example, if you select master policy, the system will display the certificates tab where you can enter the information for certificates to the master policy.

Click on the Next button to move to the Policy Details screen.

**Option Descriptions**

- A master policy is a single contract issued on a group basis with certificates of insurance issued to the policyholders.

- A multi-state policy covers a risk that resides in more than one state.

- An exempt commercial purchaser/commercial insured (ECP/CI) is an insured that meets three requirements and the policy is exempt from a diligent search. The three requirements are:
  
  1. Employs or retains a qualified risk manager²

² Bulletin 1230 states that under the NRRA a qualified risk manager must meet three requirements: 1) Must be an employee of, or a third party consultant retained by, a commercial policy holder, and 2) Provides skilled services in loss prevention, loss reduction, or risk and insurance coverage analysis, and purchase of insurance, and 3) A bachelor’s degree or higher from an accredited college or university in risk management, business administration, finance, economics, or any other field determined by a state insurance commissioner or other state regulatory official or entity to
2. Paid an aggregate nationwide property and casualty premium of at least $100,000 in the immediately preceding 12 months.
3. Meets one of the following:
   - Possesses a net worth in excess of $20 million
   - Generates annual revenues over $50 million
   - Employs more than 500 full time employees per individual insured, or is a member of an affiliated group employing more than 1,000 employees in the aggregate
   - Is a non-profit or public entity generating annual budget over $30 million
   - Is a municipality with a population in excess of 50,000 persons

Policy Details

The system will carry forward the data from the prior policy, such as primary insured name and zip code. If the information on the renewal has not changed, click on the Next button. Users may also search for a policy and select it, then change the renewal policy number. This will also copy over the select information. This feature is useful when the renewal is related to the new business but has a unique policy number.

Policy Details Page

demonstrate minimum competence in risk management; and three years of experience in risk financing, claims administration, loss prevention, risk and insurance analysis, or purchasing commercial lines of insurance, or holds one of the designations below:

CPCU or ARM or CRM or RF or any other designation, certification, or license determined by a state insurance commissioner or other state regulatory official or entity to demonstrate minimum competence in risk management, or has seven years of experience in risk financing, claims administration, loss prevention, risk and insurance coverage analysis, or purchasing commercial lines of insurance; and any one of the following designations: CPCU or ARM or CRM or RF or any other designation, certification, or license determined by a state insurance commissioner or other state insurance regulatory official or entity to demonstrate minimum competence in risk management, or has at least ten years of experience in risk financing, claims administration, loss prevention, risk and insurance coverage analysis, or purchasing commercial lines of insurance, or has a graduate degree from an accredited college or university in risk management, business administration, finance, economics, or any other field determined by a state insurance commissioner or other state regulatory official or entity to demonstrate minimum competence in risk management.
Click on the Next button to go to the Transaction Details screen.

**Transaction Details**

If the initiating policy was **registered**, the insurer and coverage description will be carried forward from the initiating transaction. If the initiating policy was not registered, you will need to enter the insurer and coverage.
Complete the effective and expiration date and invoice date fields. If the policy is open-ended, check the Open-Ended checkbox and the expiration date field is disabled.

Enter the premium amount.

If your transaction contains fees, enter the fee amount. If the fee is taxable, check the box next to the fee amount to include the fee in the stamping fee calculation.

Click on the Next button to continue to the Documents tab.

**Editing Information Carried Over From Initiating Policy**

If the information has changed from the registered transaction, there will be an Edit button at the bottom of the screen to enable the fields and allow the user to make the changes.

Save the renewal to your account if you are not ready to submit the transaction to the SLA or you can save the changes and continue with the wizard to the documents page. The Documents tab allows you to upload required documents and complete the online forms.
Adding and Uploading Documents

Select the file to be uploaded and the document type checklist will display below the selected file. After checking the associated forms, click the Upload button. You can associate more than one document to a pdf.
If you are uploading the SL forms, check the appropriate checkbox(es). **Remember that the upload will only be successful if the documents are less than 10MB in size and in a TIFF, PDF, PNG, PDF/A or JPG/JPEG format.**

The Transaction Documents section provides you with a list of documents uploaded with this transaction. To add document type(s), click on the Edit icon and the document type list will display again for additions/deletions.

If the SL checkboxes are not checked, the Complete SL1 Form, Complete SL2 Form or Complete GAP Form buttons are enabled. You will need to complete the required forms before submission to the SLA. **(Note: original copies of the signed forms must still be maintained by your brokerage per Section 2190.3 of the California Code of Regulations.)**

When the policy is complete and there are no alerts, click the Save for Later button to save the transaction to your SLIP account or you can click on the Next button to prepare submitting the transaction to the SLA. The Save for Later button allows the user to resolve alerts at a later time before submission because users can no longer submit transactions to the SLA with alerts.
After you click the Submit to SLA button, the Submit to SLA modal displays. The SLIP user can enter his/her broker reference number along with any notes they wish to submit to the analyst for the transactions submitted in this submission. If a transaction is late, the late filing explanation field displays and the Submit button is disabled. The user must provide the reason for the late filing before submitting the transaction to the SLA.
Create a Renewal from Scratch

If the search results do not show a prior policy, you can create a renewal from scratch.

*(Please note: this may generate a tag for no record of prior policy if the prior policy is not found. If you were not the broker responsible for the prior policy, add a note to the analyst on the Policy Details page.)*

To create a renewal policy from scratch, return to the Create Renewal Wizard screen and click on the *Create a Renewal from Scratch* link.

Creating a renewal from scratch begins with the same process as creating a new business policy by selecting any special conditions that apply to this transaction on the Options page.
**Policy Options**

**Options Screen**

The Standard Policy button is selected by default for all transactions. If the renewal policy you are creating is a master policy, click on the radio button for master policy. If the renewal is a multi-state policy, multiple insurer policy, and/or the insured qualifies as an exempt commercial purchaser (commercial insured), mark the applicable checkbox(es). Specific tabs and fields are enabled based on your selection. For example, if you select master policy, the system will display the certificates tab where you can enter the information for certificates to the master policy.

**Option Descriptions**

- A master policy is a single contract issued on a group basis with certificates of insurance issued to the policyholders.

- A multi-state policy covers a risk that resides in more than one state.

- An exempt commercial purchaser/commercial insured (ECP/CI) is an insured that meets three requirements and the policy is exempt from a diligent search. The three requirements are:
4. Employs or retains a qualified risk manager\(^3\)
5. Paid an aggregate nationwide property and casualty premium of at least $100,000 in the immediately preceding 12 months.
6. Meets one of the following:
   - Possesses a net worth in excess of $20 million
   - Generates annual revenues over $50 million
   - Employs more than 500 full time employees per individual insured, or is a member of an affiliated group employing more than 1,000 employees in the aggregate
   - Is a non-profit or public entity generating annual budget over $30 million
   - Is a municipality with a population in excess of 50,000 persons

After you have made your selection, click on the Next button to create your Renewal policy from scratch.

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\(^3\) Bulletin 1230 states that under the NRRA a qualified risk manager must meet three requirements: 1) Must be an employee of, or a third party consultant retained by, a commercial policy holder, and 2) Provides skilled services in loss prevention, loss reduction, or risk and insurance coverage analysis, and purchase of insurance, and 3) A bachelor’s degree or higher from an accredited college or university in risk management, business administration, finance, economics, or any other field determined by a state insurance commissioner or other state regulatory official or entity to demonstrate minimum competence in risk management; and three years of experience in risk financing, claims administration, loss prevention, risk and insurance analysis, or purchasing commercial lines of insurance, or holds one of the designations below:

- CPCU or ARM or CRM or RF or any other designation, certification, or license determined by a state insurance commissioner or other state regulatory official or entity to demonstrate minimum competence in risk management, or
- Has seven years of experience in risk financing, claims administration, loss prevention, risk and insurance coverage analysis, or purchasing commercial lines of insurance; and any one of the following designations: CPCU or ARM or CRM or RF or any other designation, certification, or license determined by a state insurance commissioner or other state regulatory official or entity to demonstrate minimum competence in risk management, or
- Has at least ten years of experience in risk financing, claims administration, loss prevention, risk and insurance coverage analysis, or purchasing commercial lines of insurance, or has a graduate degree from an accredited college or university in risk management, business administration, finance, economics, or any other field determined by a state insurance commissioner or other state regulatory official or entity to demonstrate minimum competence in risk management.
Before proceeding, the system will generate a message that warns you that this transaction may create a tag if it is not linked to an initiating transaction.

Standalone Transaction Message

Select the OK button to continue.

Policy Details

Complete the required fields with the asterisks: the primary insured name and zip code of the insured’s address in the policy details section. If you were not the broker responsible for the initiating policy, click on the Add Policy Notes hyperlink to notify the SLA. Click the Next button.
Transaction Details

Complete the effective and expiration date and invoice date fields. If the policy is open-ended, check the Open-Ended checkbox and the expiration date field is disabled.
**Insurer**

If the insurer is a single insurer you can select the insurer from the drop down menu. If the insurer is not listed, type in the insurer name.

If you selected the multiple insurers options on the Option screen, the layering tab would be enabled. You could either enter the layering information and upload the multiple insurer document, or just upload the multiple insurer document.

**Coverages & Fees**

You can select the coverage code from the drop down menu. If you have more than one coverage, the system generates a new row once you entered a coverage on the first row.

Enter the premium amount.

If your transaction contains fees, enter the fee amount. If the fee is taxable, check the box next to the fee amount to include the fee in the stamping fee calculation.

When you have completed this screen, click the Next button to upload your source documents.
Documents Tab

Documents Screen

Adding and Uploading Documents

Once the user selects a file, the document type(s) checklist displays. Check the appropriate box(es) for the associated documents contained in the selected file. If you uploaded electronic versions of the SL forms, check the applicable checkbox(es).

Document Type(s) List

- Declarations Page or Binder or Certificate
- Endorsement Document
- Syndicate List
- Coversheet
- Invoice Statement
- Bordereau

- Certificate to Master Policy
- Multi-State - Premium by State
- SL1 Form
- SL2 Form
- GAP Form
- Multiple

Click the Upload button.

Remember that the upload will only be successful if the documents are less than 10MB in size and in a TIFF, PDF, PNG, PDF/A or JPG/JPEG format.
The Transaction Documents section provides you with a list of documents uploaded with this transaction. To add documents, click on the Edit icon and the document type list will display again for changes.

If you did not upload the SL forms, the Complete SL1 Form, Complete SL2 Form and Complete GAP Form buttons are enabled. Complete the required forms and Save Form. *(Note: original copies of the signed forms must still be maintained by your brokerage per Section 2190.3 of the California Code of Regulations.)*

When the policy is complete and there are no alerts, click the Save for Later button to save the transaction to your SLIP account or you can click on the Next button to prepare submitting the transaction to the SLA. The Save for Later button also allows the user to resolve alerts at a later time before submission because users can no longer submit transactions to the SLA with alerts.
After you click the Submit to SLA button, the Submit to SLA modal displays. The SLIP user can enter his/her broker reference number along with any notes they wish to submit to the analyst for the transactions submitted in this submission. If a transaction is late, the late filing explanation field displays. The user must provide the reason for the late filing before submitting the transaction to the SLA.
Create Endorsement/Cancellation Wizard

To create an endorsement/cancellation, select the Create Endorsement link on the home page. The link will bring you to a search screen to find the initiating new or renewal transaction.

*Endorsement Search*

If searching by individual names, enter the last name first, then first name because the SLA enters the name in that order. For businesses with DBAs, the SLA enters the DBA name.
If there is only one initiating transaction in the search results, the system preselects it and you can click on the Create Endorsement button.

**Options Screen**

If there are special conditions associated with this endorsement, select the applicable conditions and click Next.
**Policy Details**

When the endorsement is linked to an initiating transaction, the required fields of primary insured name and zip code of the insured's address are carried forward in the Policy Details screen.

Click the Next button to go to the Transaction Details page.
If the initiating transaction has been registered by the SLA, the insurer and coverage information will be transferred over. Complete the required endorsement effective date and invoice date field and premium.

Click on the Next button.
Select a file. The document type checklist will display. Check the document types to be attached to the transaction and click the Upload button.
The uploaded document(s) will be shown under the Transaction Documents section.

Documents Tab

If you need to add or change any document types, click the Edit icon and the document type list will display.

You can disregard the SL and GAP form buttons unless your endorsement is an extension endorsement that exceeds 90 days in the aggregate in a rolling twelve month period.

Click the Next button.
**Submitting Transaction to the SLA**

Verify and Submit Page

If there are no alerts, your endorsement is now ready to submit to the SLA. Review the information for correctness and click on the Submit to SLA.

**Submission Modal**

Enter any notes to the SLA analyst and click on the Submit button.
Create an Endorsement/Cancellation from Scratch

If the search results do not show an initiating policy, you can create an endorsement from scratch. (*Please note: this may generate a tag for no record of initiating policy if the initiating policy is not found. If you took over the account on a broker of record, please make a note to the SLA analyst.*)

To create an endorsement from scratch, return to the Create Endorsement/Cancellation Wizard screen and click on the **Create an Endorsement from Scratch** link.
Policy Options

The Standard Policy button is selected as the default for all transactions. If the endorsement you are creating belongs to a master policy, select the master policy radio button. In addition, if the endorsement belongs to a multi-state policy, a multiple insurer policy, or the insured qualifies as an exempt commercial purchaser (commercial insured), mark one or more of the associated checkboxes. Selecting a particular option will enable certain tabs to display. For example, if you select master policy, the system will display the certificates tab where you can enter the certificate information.

Option Definitions

- A master policy is a single contract issued on a group basis with certificates of insurance issued to the policyholders.

- A multi-state policy covers a risk that resides in more than one state.

- An exempt commercial purchaser/commercial insured (ECP/CI) is an insured that meets three requirements and the policy is exempt from a diligent search. The three requirements are:
1. Employs or retains a qualified risk manager\(^4\)
2. Paid an aggregate nationwide property and casualty premium of at least $100,000 in the immediately preceding 12 months.
3. Meets one of the following:
   - Possesses a net worth in excess of $20 million, or
   - Generates annual revenues over $50 million, or
   - Employs more than 500 full time employees per individual insured, or is a member of an affiliated group employing more than 1,000 employees in the aggregate, or
   - Is a non-profit or public entity generating annual budget over $30 million, or
   - Is a municipality with a population in excess of 50,000 persons

After you have made your selection, click on the Next button to create your endorsement/cancellation policy from scratch.

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\(^4\) Bulletin 1230 states that a qualified risk manager must meet three requirements: 1) Must be an employee of, or a third party consultant retained by, a commercial policy holder, and 2) Provides skilled services in loss prevention, loss reduction, or risk and insurance coverage analysis, and purchase of insurance, and 3) A bachelor’s degree or higher from an accredited college or university in risk management, business administration, finance, economics, or any other field determined by a state insurance commissioner or other state regulatory official or entity to demonstrate minimum competence in risk management; and three years of experience in risk financing, claims administration, loss prevention, risk and insurance analysis, or purchasing commercial lines of insurance, or holds one of the designations below:

   CPCU or ARM or CRM or RF or any other designation, certification, or license determined by a state insurance commissioner or other state regulatory official or entity to demonstrate minimum competence in risk management, or has at least ten years of experience in risk financing, claims administration, loss prevention, risk and insurance coverage analysis, or purchasing commercial lines of insurance; or has a graduate degree from an accredited college or university in risk management, business administration, finance, economics, or any other field determined by a state insurance commissioner or other state regulatory official or entity to demonstrate minimum competence in risk management.
After clicking the Next button, the system will generate a warning that this transaction is not linked to an initiating transaction (which might generate a tag). Click OK to go to the Policy Details page.

**Standalone Transaction**

Please note: This filing may create a "standalone" transaction, which may receive a Tag if submitted to the SLA for review.

If your brokerage was not responsible for filing the prior year's policy, please provide the explanation in the Notes section.

Click OK to go to the Policy Details page.

**Policy Details Screen for Endorsement/Cancellation**

**Policy Details**

The user must complete the required fields identified by an asterisk: primary insured name and zip code of the insured’s address. Click the Next button.
The required fields are the endorsement effective date and invoice date. Enter the endorsement effective date and the invoice date. Because the endorsement was not linked to a registered transaction, you must also enter the insurer name, coverage and premium.

**Insurer**

If the policy is written with one insurer, select the insurer from the drop-down. If the insurer does not appear on the drop-down, you can type in the insurer name in the field.
**Coverages & Fees**

You can select the coverage code from the drop down menu. The system will generate a new row once you entered a coverage on the first row.

Enter the premium amount.

If your transaction contains fees, you can enter the fee amount. If the fee is taxable, check the box next to the fee amount to include the fee in the stamping fee calculation.

When you have completed this screen, click the Next button to upload your source documents.
Select the file you want to upload and check the box next to the type of documents you will be uploading. Remember that the upload will only be successful if the documents are less than 10MB in size and in a TIFF, PDF, PNG, PDF/A, or JPG/JPEG format.

The Upload button will enable. Click on the Upload button to upload your document.
The Transaction Documents section will list the document(s) that have been uploaded.

If you wish to add additional documents to the uploaded document, click on the Edit icon to display the Document Type(s) checklist.

When the transaction is complete and there are no alerts, click the Save for Later button to save the transaction to your SLIP account or you can click on the Next button to prepare submitting the transaction to the SLA. The Save for Later button also allows the user to resolve alerts at a later time before submission because users can no longer submit transactions to the SLA with alerts.
If there are no alerts, your endorsement is now ready to submit to the SLA. Review the endorsement and if it is correct click on the Submit to SLA button.

On the Submission Modal you can add notes to the SLA analyst and click on Submit.
Bulk Submission / Import Wizard

To upload data in bulk directly to the SLA, select the Bulk Submission/Import Wizard link.

Bulk Submission Options
There are three options to submit in bulk. For assistance with the XML upload contact our Tech support at support@slacal.org

To upload a group of document images, select the second option and click Next.
Click the Select Files…button and the type dropdown list displays. The default for the type is Entire Submission but you can also select another type from the list.

Click Next.

You can choose to enter information in any of the fields. Click the Submit button.

The SLIP BIF upload will appear on your submissions list.
Deleting/Editing or Backing Out Transactions

Depending on the status of the transaction, the SLIP user can delete, edit or back out an existing entry.

Deleting an Unsubmitted Transaction

To delete an unsubmitted transaction, select the transaction from your list of unsubmitted transactions. Click on the policy number hyperlink and scroll to the bottom of the Transaction Details page. Click on the Delete button to remove the transaction from your list.

Transaction Details Screen
Editing a Submitted Transaction

To edit a transaction with a submission status of ‘Submitted’, you can select the number hyperlink next to Transactions Pending Review on the Quick Info section of the home page.

Click on the View icon (magnifying glass) of the submission you wish to amend.
Click on the policy number hyperlink. This will take you to the transaction details screen.

Click on the Edit button. The transaction details screen is enabled to accept the changes. (Note: the Edit button is hidden and the Cancel and Save button are visible.) Click the Save button to save the changes.
You can see your changes in the Transactions section of the screen. When the analyst is ready to work on the transaction, only the amended transaction will be visible to the SLA.
Backing Out a Registered Transaction

To back out a registered transaction, select the Policy Search tab and enter the policy number of the transaction to be corrected. Select the transaction from the search results and click on the edit icon. Click on the Backout button.
If there are tags associated with the transaction, they must be responded to before continuing.

You will need to provide the reason for the backout before clicking the Backout button.

![Backout Transaction Modal]

After you back out the transaction, the green banner notifies you of the successful creation of the backout transaction.

![Successful Back Out Notification]

**Editing a Registered Transaction**

If the transaction has a status of ‘registered’ and the broker needs to edit data submitted in error, such as the effective date or insurer, they can edit the transaction by clicking the Edit button at the bottom of the Transaction Details screen. Saving any edits to the transaction notifies the broker the original transaction will be backed out and replaced with a new transaction. The broker will need to provide a reason for the backout.

**Note:** The replacement transaction is not automatically submitted. The broker should continue making any edits and then submit the replacement transaction to the SLA for review.
# Backing Out a Registered Transaction from a Tag Response

Click on From My Open Tags hyperlink on the home page:

<table>
<thead>
<tr>
<th>Tag Type</th>
<th>Tag Number</th>
<th>Policy Number</th>
<th>Insured Name</th>
<th>Transaction Type</th>
<th>Effective Date</th>
<th>Tag Status</th>
<th>Due Date</th>
<th>Submission Number</th>
<th>Submission Date</th>
</tr>
</thead>
</table>

Select the policy number hyperlink.

Click on Edit icon of tagged transaction.
Under Tag Summary, select the tag and Respond to Selected Tag. After submitting tag response to the SLA, the system returns you to the details screen. Select the form tag that was tagged.

Click the Edit button, complete the form and click Save.
Enter the reason you are editing the registered transaction and click on Backout and Replace.

Clear any alerts and create endorsement.

Follow the Wizard steps and recreate the endorsement.
Create Endorsement Wizard

<table>
<thead>
<tr>
<th>Policy / Binder Number:</th>
<th>201304-1200</th>
</tr>
</thead>
<tbody>
<tr>
<td>Previous Policy Number:</td>
<td>201103-1200</td>
</tr>
<tr>
<td>Policy Type:</td>
<td>Standard</td>
</tr>
<tr>
<td>Primary Insured Name:</td>
<td>DUPPA ENERGY</td>
</tr>
<tr>
<td>Insured Address:</td>
<td>101 Ash Street, HO-USA San Diego, CA 92101-1071 UNITED STATES</td>
</tr>
<tr>
<td>Transaction Type:</td>
<td>Endorsement</td>
</tr>
<tr>
<td>Effective Date:</td>
<td></td>
</tr>
<tr>
<td>Expiration Date:</td>
<td></td>
</tr>
<tr>
<td>Invoice Date:</td>
<td></td>
</tr>
<tr>
<td>Insurer:</td>
<td>ENERGY INSURANCE MUTUAL LIMITED (AA-318762) - LASU</td>
</tr>
<tr>
<td>Coverage Codes:</td>
<td>SS1 DIRECTIONS AND OFFICES - PROFESSIONAL LIABILITY/ERRORS &amp; OMISSION 50.00</td>
</tr>
</tbody>
</table>

Multiple Policy: NO  
Multiple Insurers: NO  
Exempt Commercial Purchased: YES  
SIC Code: ELECTRIC (NACE ELECTRIC, GAS, & SANITARY SERVICES)  
Insurer Name: ENERGY INSURANCE MUTUAL LIMITED (AA-318762) - LASU  
Total Premium: 50.00  
Estimated Ca Xl Rate Tax: 10.00  
Estimated Stamping Fees: 0.00  
Document Summary: 0 files included

Review the policy and transaction details for accuracy.

Please review the details shown above and ensure they accurately reflect the data you wish to submit. When satisfied, click the Submit to SLA button below to submit this transaction to the SLA. If you need more time, you can click the Save for Later button to save your progress without submitting.

* Indicates fields that are required for submission to the SLA.
There are ten categories under the Quick Info table. The number in each category represents the number of transactions in that category and the hyperlink navigates to the specific page related to the category.

Clicking on the number hyperlink next to My Unsubmitted Transactions takes the user to the My Unsubmitted Transactions tab. From this screen, the user can quickly view all the transactions he/she created but have not submitted to the SLA for review.

**My Unsubmitted Transactions/Total Unsubmitted Transactions**

The My Unsubmitted Transactions hyperlink navigates to a list of transactions created by the logged in user but not yet submitted to the SLA.
Selecting the Policy Search tab, allows the user to search for any policy that was processed by the SLA for your brokerage and for any policies created for your location. There are many parameters the user can search by.
If there are any returned transactions from the SLA they will be listed on this screen. The user has the capability of correcting and resubmitting the transactions by selecting the transaction and clicking on the enabled Resubmit Transactions button.

Selecting the Total Unsubmitted Transactions hyperlink takes the user to the Policy Search tab with a list of all unsubmitted transactions for your brokerage. The My Unsubmitted Transactions and Returned Transactions tabs are also viewable so the user can navigate to different tabs.

**My Unsubmitted Transactions with Alerts/Total Unsubmitted Transactions with Alerts**

Clicking on the number hyperlink next to My Unsubmitted Transactions with Alerts takes the user to the My Unsubmitted Transactions tab and displays all the transactions created by the logged in user that have alerts and cannot be submitted to the SLA until the alerts are corrected.

The tabs for policy search and returned transactions are also viewable.

Clicking on the number hyperlink next to Total Unsubmitted Transactions with Alerts takes you to the policy search tab, filtered to policies that contain transactions with alerts.
The Quick Info table shows the number of open tags for you under My Open Tags, the number of open tags for the brokerage under Total Open Tags, and the number of informational tags that need viewing. Click on the hyperlink next to My Open Tags and it will display the list of tags from transactions submitted by the logged in user that require attention. If you click on the number under Total Informational Tags, it will show a list of informational tags that need to be viewed before the tags are closed.

If the user has selected a hyperlink from the home page and wants to view unviewed informational tags without returning to the home page, the user can click on the Informational Tags tab to easily navigate to the corresponding screen. The tab that you are viewing will be the highlighted one.
Navigating to the tag search through the tabs differs from choosing the number hyperlink next to Total Open Tags because the screen does not display the tag information on the tag results grid.
Transactions Pending Review/Returned Transactions/Invalid Bulk Submission

Submissions List

Selecting the number hyperlink for transactions pending review, the submissions list displays all transactions submitted to the SLA but not yet registered.

Returned Transactions

Selecting the number hyperlink for returned transactions provide a list of transactions the SLA has returned to the user because of an issue with the transaction.
**Account Tab** (Permissions Based)

**Broker Account Screen**

Selecting the Account tab at the top of the home page allows you to search for your account statements, review your broker account balance, and/or pay your stamping fees through SLIP.

Users can choose payment by credit card or e-check/ACH,

For an initial user, you must review and check the payment agreement before proceeding to the payment screen.
Select the payment method. Depending on the payment method selected, required fields will be enabled. Complete the required fields and click on the Next button.
Payment to SLA

Review the payment summary and select the Submit Payment button to send the payment to the SLA. A confirmation notification will be generated to inform the user that the payment has successfully been transferred.
Reports Tab

SLIP offers several reports to assist you in identifying tagged transactions, submitted transactions, breakdown of premium by insurer for your annual statement, etc. The search criteria for each report will be determined by the report selection. The screen shot below is the search criteria for the Broker Statement report.

You can also choose your report format. The choices from the drop-down menu are PDF, Excel, and Word.
The Analytics tab allows users to view their statistics for premium, tags and stamping fees by month, quarter, or year at a glance.
The Users tab lists the created users in your SLIP account.

The SLA must create the master user for each location. The master user then creates new users, their user names, initial passwords, and permissions by selecting the Create New User button.

Based on permissions, each user can edit certain areas of their profile by clicking on the Edit My Settings button. The logged in user can also access their profile by clicking on the Settings tab.

The master user sets up the associated brokers and eligible insurers that appear on the drop down menus for their brokerage account.
### Associated Brokers

Click the arrow on the left to view contact information for your assigned brokers:

<table>
<thead>
<tr>
<th>Active</th>
<th>Broker Number</th>
<th>Broker Name</th>
<th>User Number</th>
<th>NFL</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0465</td>
<td>SUPP US INSURANCE BROKER</td>
<td>GA1111</td>
<td></td>
</tr>
<tr>
<td></td>
<td>0465</td>
<td>135 BROKER</td>
<td>GA 1125</td>
<td></td>
</tr>
</tbody>
</table>

### Email Notifications

- Receive Email Tag Notifications: 
  - All Tag notifications
  - Only my tag notifications
- Receive Email Submission Notifications: 
  - All submission notifications
  - Only my submission notifications

### Eligible Insurers

Select the insurers that will be available in the insurer selection drop-down when entering transaction data.

**Available Insurers:**

- [ ] LCGC INSURANCE COMPANY (WIXS) - LCGC
- [ ] ACE EUROPE INSURANCE COMPANY (WIXS) - ACE
- [ ] ACE EMERGENCY INSURANCE COMPANY (WIXS) - ACE
- [ ] ACE SPECIALTY INSURANCE COMPANY (WIXS) - ACE
- [ ] ACE SPECIALTY INSURANCE COMPANY (WIXS) - ACE
- [ ] ACE SPECIALTY INSURANCE COMPANY (WIXS) - ACE
- [ ] ACE SPECIALTY INSURANCE COMPANY (WIXS) - ACE
- [ ] ACE SPECIALTY INSURANCE COMPANY (WIXS) - ACE
- [ ] ACE SPECIALTY INSURANCE COMPANY (WIXS) - ACE
- [ ] ACE SPECIALTY INSURANCE COMPANY (WIXS) - ACE

**Selected Insurers:**

- [ ] LCGC INSURANCE COMPANY (WIXS) - LCGC
- [ ] ACE EUROPE INSURANCE COMPANY (WIXS) - ACE
- [ ] ACE EMERGENCY INSURANCE COMPANY (WIXS) - ACE
- [ ] ACE SPECIALTY INSURANCE COMPANY (WIXS) - ACE
- [ ] ACE SPECIALTY INSURANCE COMPANY (WIXS) - ACE
- [ ] ACE SPECIALTY INSURANCE COMPANY (WIXS) - ACE
- [ ] ACE SPECIALTY INSURANCE COMPANY (WIXS) - ACE
- [ ] ACE SPECIALTY INSURANCE COMPANY (WIXS) - ACE
- [ ] ACE SPECIALTY INSURANCE COMPANY (WIXS) - ACE
- [ ] ACE SPECIALTY INSURANCE COMPANY (WIXS) - ACE

### Transactions

- Click the broker agent name hyperlink to add a transaction. Delete a transaction by clicking the "X" in the appropriate row below. Add a new transaction by clicking the "Add New Transaction" button.

| Broker Agent Name | Broker Agent License Number | Organization Name | Organization License Number | Add New Transaction |
Frequently Asked Questions

Q: I submitted a transaction, but uploaded the wrong declaration page. Can I go back and attach it?
A: If the transaction is not under review by the SLA, you can make corrections.

Q. Can I submit more than one document on the same pdf to upload?
A. Yes. Be sure to check all the document types that are included in the pdf.

Q: I am the master user of one location and need to be added as the master user of a new location. What do I need to do?
A: Contact support@slacal.org to be added as the master user of the new location.

Q: Do I need to enter the SIC code?
A: No. The SIC field is optional.

Q. Is a backout the same as an ORO?
A. A backout can be used in place of an ORO for a registered transaction.

Q. What is the difference between the Add Policy Notes in the Policy Details section and the Policy Submission Notes field?
A. The notes you add to the Add Policy Notes field is specific to that policy. The notes entered in the Policy Submission Notes field will apply to all the transactions that were submitted under the one submission.

Q. Can I still submit an endorsement that we took over on a Broker of Record?
A. Yes, but you will have to create the endorsement from scratch.

Q. For bulk submissions, will the PDF format still be acceptable?
A. Yes.