



NORTH CAROLINA SURPLUS LINES STAMPING OFFICE

# SLIP GUIDE

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## 1. SURPLUS LINES INFORMATION PORTAL (SLIP)

The NCSLSO uses the Surplus Lines Information Portal (SLIP) to collect policy data and calculate surplus lines taxes, fees, and assessments. SLIP can be accessed on the [NCSLA website](#) by selecting the SLIP Login button under File or directly access [SLIP here](#).

### 1.1. INITIAL SLIP SETUP

#### 1.1.1. LOG IN

To log into SLIP, enter the SLIP account username and password and click the *Login* button.

In the event of a forgotten password, the SLIP login page allows the user to request his or her password be reset by clicking the *Forgot Password* link, entering the email address associated with his or her account, and clicking the *Submit* button. The system will automatically send an email to the email address associated with that account with a SLIP password reset link.

In addition, the user can view the SLIP terms and conditions on the login page. By logging into SLIP, users are agreeing to the terms and conditions.

#### 1.1.2. SLIP HOME PAGE

The SLIP Home page is the main screen of SLIP. The username and the agent's name associated with the account is displayed above the menu bar. This is to ensure the user is logged into the correct account.

To access the functions in SLIP, use the navigation menu tabs located at the top of the screen. The navigation menu tabs and its purpose are as follows:

- *Home* brings the user to the SLIP home page.
- *Policy* allows the user to search for existing policies, file new policies, file renewals, add endorsements, upload batch files, file new multistate policies, and manage TIQs (transactions that have been received by NCSLA but questioned).
- *Reports* provides SLIP reports and Billing reports.
- *Payment* is the portal where users will make payments on open invoices for that specific account holder.
- *Invoices* allows the user to view invoices and view payment history.
- *User Admin* allows the user to go to the Settings screen, change a password and add or edit user data.
- *Help* provides the user with links to SLIP Help, the NCSLA website, NCSLSO Contacts and SLIP Tutorials.
- *Logout* will end the SLIP session.

The **SLIP Inbox**, located in the upper right, top corner of SLIP (envelope), is designed solely for the NCSLSO to send communications to the policy filer. It does not function like an email system, so the user will not be able to send information back to the NCSLSO through the inbox.

### 1.1.3. SLIP SETTINGS

To get started you will need to complete the following information found under the *Settings* page before submitting your initial filing. To complete these steps, hover over the *User Admin* tab on the menu bar and select *Settings*.

TO ASSIGN INSURERS:

1. The first section of the *Settings* page is *North Carolina Eligible Insurer Assignment*
2. In this section you will see *Available Insurers* (on the left) and *Selected Insurers* (on the right). Click the *Edit* button under the *Selected Insurers* box.
3. In the *Available Insurers* box highlight each insurer you place business with, move it to *Selected Insurers* by clicking the right arrow (>), and click *Save*. Please note: only one insurer can be moved at a time using this method.
4. If you would like to select all insurers, click *Edit* and click the right double arrows (>>). This will move all the insurers over to the *Selected Insurers* box, click *Save*. To undo this selection, click the left double arrows (<<), click *Save* when complete.

TO ASSIGN AN AGENCY:

1. Scroll down to *Agency Assignment*. If your agency name appears in the *Selected Agencies* box, disregard the following steps.
2. If your agency name does not appear in the *Selected Agencies* box, click the *Edit* button.
3. In the *Available Agencies* box, locate and highlight your agency name.
4. Click the right arrow (>) to move your agency name to the *Selected Agencies* box. Click the *Save* button.

Please note: if you do not see your agency, contact NCSLSO staff at [contact@ncsla.com](mailto:contact@ncsla.com).

TO ADD A BILLING CONTACT:

1. Click the *Edit* button in the bottom right corner of the *Billing Contact* section.
2. Enter all *Billing Contact* Information and click *Save*.

You are now ready to make your first filing in SLIP.

## 1.2. FILING A NEW POLICY

To file a new policy, select *New Policy* from the *Policy* tab on the menu bar.

### 1.2.1. POLICY INFORMATION

Follow the instructions below:

1. Enter the *Policy Number*.

2. Enter the *Insured Name*.
3. Enter the *Zip Code of Risk*.
4. Select the *Agency*. If only one agency has been selected under the *Settings* tab, this field is prefilled.

The *Comments* field is optional.

Once the *Policy Information* section is complete, click *Next*.

### 1.2.2. COVERAGE AND TRANSACTION INFORMATION

After the required policy level information has been entered, the user will enter coverage and transaction information.

1. *Coverage Code* – To view a complete list of coverage codes, please go to the end of this document.
2. *Tax Status*
  - a. Tax exempt policies are required to be submitted to NCSLA.
  - b. Below is a list of all tax statuses available in the NCSLA SLIP platform:
    - i. *Tax Status 0 – Taxable*
    - ii. *Tax Status 1 – Non-Taxable* – Applicable to Commercial Airport/Aircraft coverages (coverage codes 9000 – 9004). Not applicable to personal and pleasure aircraft (coverage code 9005).
    - iii. *Tax Status 2 – Non-Taxable* – Applicable to all coverage codes for governmental entities (this applies only to risks of state government agencies and local government risk pools created and operating under Article 23 of Chapter 58).
    - iv. *Tax Status 3 – Non-Taxable* – Applicable to certain ocean cargo coverages (Coverage codes 3000\*, 3001\*, 3002, 3003, 3004, 3005, 3007, 3008). Not applicable to personal and pleasure boats and yachts. \*Can also be taxable.
  - c. *Note: Tax Status 2 - Governmental should only be selected if the insured is a risk of the state government, its agencies or a member of a local government risk pool operating under Article 23 of Chapter 58.*
3. *Transaction Type*

Select the transaction type from the drop-down menu. SLIP performs a check and balance to ensure that transactions are filed in the correct order. For that reason, the NCSLA uses transaction types to define the type of transaction filed and to allow the system to determine whether the transaction will result in positive or negative amounts. The transaction types for new policies are as follows:

  - Type 1 – New Business
  - Type 5 – Renewal
4. *Transaction Effective Date*

Enter the effective date of the new business or renewal transaction. The *Policy Expiration Date* automatically prefills one year from the effective date entered. This date can be edited.

#### 5. *Billing Contact*

The billing is prefilled from the information entered on the *Settings* page. If the billing contact is incorrect and needs to be updated, click the *Add/Edit Billing Contact* link, complete the required information, and click *Save*.

The *Comment* field is optional.

#### 6. *Insurer*

Select the insurer from the drop-down menu. Remember, only insurers that you added in the *Settings* page will display in the drop-down list. If the insurer on the policy is not available in the drop-down menu, they may be added by selecting the *Modify Insurer List* link. If the insurer is not on North Carolina's Eligible Insurer List, please contact our office at (919) 746.8415.

#### 7. *Premium*

Enter the premium amount for the transaction. Do not use the dollar sign (\$) or commas (,).  
*Note: The premium should not include the premium receipts tax, service fee. These charges are calculated automatically by SLIP.*

#### 8. *Company Fees*

Enter the company fee amount for the transaction. Do not use the dollar sign (\$) or commas (,). *Note: the company fees include any policy or inspection fees.*

*Note: If you are entering a layered policy with multiple insurers, you can enter all layers in one submission. Add the first insurer, premium and company fees. Then click the Add Insurer link below the insurer drop down menu. This will add an additional layer for a separate insurer, premium and company fees. You can add as many layers as needed.*

Once the *Coverage and Transaction Information* section is complete, click *Next*.

### **1.2.3. COMPLIANCE**

The NCSLA requires that each new policy and renewal entered into the system by an agent must agree to the *NC Surplus Lines Compliance Acknowledgement*. The user will need to review the electronic affidavit and then agree to the terms by clicking the check box at the bottom of the screen and then click *Next*.

### **1.2.4. REVIEW & COMPLETE**

Prior to submitting the policy and transaction information, SLIP will display the *Review & Complete* page. This page allows the user the opportunity to review policy and transaction data for accuracy.

The *Review & Complete* page is comprised of four sections: Submitter Contact Information, Policy Information, Coverage Information and Transaction Information. The user may edit data within any of the sections by selecting *Edit* in the applicable section. If all information is correct, click the *Submit* button. **Please note that the policy data is not saved or submitted until you click Submit.** A *Task Accomplished* window will display, click *OK* to proceed.

### 1.2.5. CONFIRMATION OF FILING

Following the submission of the policy transaction data, the *Policy Information and Transaction Details* screen displays your newly reported policy information and transaction details.

In the *Transaction Details* section, the confirmation number for the new business or renewal transaction is displayed. The confirmation number is proof that the filing was received by the NCSLA.

The confirmation number indicates whether the transaction has been accepted or questioned. Confirmation numbers that begin with the letter "A" are accepted while those starting with the letter "Q" are received but questioned because they did not meet one or more system business rules. These transactions are known as transactions in question (TIQs). Certain transactions that are questioned will not be invoiced or credited until they are corrected. This type of transaction needs to be addressed as soon as possible and corrected.

### 1.3. FILING AN ENDORSEMENT

To file an endorsement on a previously reported new or renewal policy, follow the instructions below.

1. Select *Endorsement/Other* from the *Policy* tab.
2. Enter the previously reported policy number or other search criteria in the applicable field(s) and click *Search* or use the *enter* key.
3. Click the *Add Transaction* link next to the applicable policy.
4. If only one coverage code and tax status has previously been filed for the policy, these fields will automatically populate. If you need to select a new coverage code or tax status, simply click the down arrow next to the previously filed coverage code and choose the applicable coverage code and tax status. To view a list all coverage codes, see the full list at the end of this document.
5. Select the *transaction type*.
  - Type 2 - Additional Premium
  - Type 3 - Return Premium
  - Type 4 – Cancellation
  - Type 6 – Reinstatement
    - Only use this transaction type when a cancellation transaction has been filed and there was time out of force.
6. Enter the *effective date* of the endorsement, not the original effective date of the policy. The *policy expiration date* is prefilled based on the new business or renewal transaction. This date can be edited.
7. *Billing Contact* is prefilled from the information entered on the *Settings* tab. Should the billing contact's information need to be updated, select the *Add/Edit Billing Contact* link, make the necessary modifications, and click *Save*.

The *Comment* field is optional.

8. The insurer field will prefill with the previously filed insurer on the new business or renewal transaction. This can be edited if necessary.

- a. If the insurer listed on the policy is not available in the drop-down menu, they may be added by selecting the *Modify Insurer List* link. If the insurer is not on Florida's Eligible Insurer List, please contact our office at 800.562.4496.

*Note: If you are entering a layered policy with multiple insurers, you can enter all layers in one submission. Add the first insurer, premium and company fees. Then click the Add Insurer link below the insurer drop down menu. This will add an additional layer for a separate insurer, premium and company fees. You can add as many layers as needed.*

9. Enter the endorsement *premium*
10. Enter any applicable *company fees* charged to the insured such as an inspection fee.
11. Click *Submit*.
12. A *Task Accomplished* window will display, select *OK* to proceed.

The Policy Information and Transaction Details screen will appear displaying the recently filed transaction and previously filed transaction(s).

#### **1.4. FILING A RENEWAL**

A renewal occurs when the conditions of a previous policy remains in effect for another specified period of time. To file a renewal on an existing policy, follow the instructions below.

1. Select *Renewal* from the *Policy* tab.
2. Enter the previously reported policy number and click *Search* or use the *enter key*.
  - a. If you do not know the exact policy number, click the *Advanced Search* link to locate the previously submitted policy using a number of search criteria. Click the *Search* button or use they *enter key*.
3. If necessary, update any of the *Policy Information* fields that have changed for the renewal. Click *Next*.
4. If only one coverage code and tax status has previously been filed for the policy, these fields will automatically populate.
  - a. Since this is a renewal of a previously filed policy, the coverage code and tax status should remain the same. Verify that the coverage code and tax status are correct. If you need to select a new coverage code or tax status, simply click on the down arrow and choose the applicable coverage code and/or tax status.
5. Enter the *effective date* of the renewal. The policy expiration date automatically prefills one year from the effective date entered. This date can be edited.
6. *Billing Contact* is prefilled from the information entered on the *Settings* tab. Should the billing contact's information need to be updated, select the *Add/Edit Billing Contact* link, make the necessary modifications, and click *Save*.

The *Comment* field is optional

7. The *insurer* field will prefill with the previously filed insurer on the new business or renewal transaction. This can be edited if necessary.

- a. If the insurer listed on the policy is not available in the drop-down menu, they may be added by selecting the *Modify Insurer List* link. If the insurer is not on North Carolina's Eligible Insurer List, please contact our office at 800.562.4496.
8. Enter the *premium* amount.
9. Enter the *policy fees* amount for the renewal transaction, including any fees charged to the insured such as policy and inspection fees.
10. Click *Next*.
11. *NC Surplus Lines Compliance Acknowledgement*. The user will need to review the electronic affidavit and then agree to the terms by clicking the check box at the bottom of the screen and then click *Next*.
12. Use the Review screen to make modifications if necessary. If all information is correct, click the *Submit* button.
13. A *Task Accomplished* window will display, select *OK* to proceed.

The Policy Information and Transaction Details screen will appear displaying the recently filed renewal transaction.

## **2. EDITING AND CORRECTING DATA**

Since data entry errors can occur, SLIP allows users to correct policy and transaction information once a transaction has been filed for both multistate and single state.

### **2.1. EDITING AND CORRECTING POLICY DATA**

To edit policy data on a previously reported transaction, follow the instructions below.

1. Select *Search Policy* from the *Policy* tab.
2. Enter the previously filed policy number or other search criteria in the applicable field(s) and click *Search* or use the *enter* key.
3. Select the *View* link.
4. In the *Policy Information* section, click the *Edit* button and make the necessary changes.
5. Click the *Save* button.
6. A *Task Accomplished* window will display, select *OK*.

### **2.2. EDITING AND CORRECTING TRANSACTION DATA**

To edit data on a previously filed transaction, follow the instructions below.

1. Select *Search Policy* from the *Policy* tab.
2. Enter the previously filed policy number or other search criteria in the applicable field(s) and click *Search* or use the *enter* key.
3. Select the *View* link.
4. In the *Transaction Details* section, click the *Edit* button to the left of the confirmation number for the applicable transaction, which will take you to the *Transaction Information* screen.



5. Next, click the *Edit* button at the bottom right of the screen and make the necessary changes.
6. Click the *Submit* button.
7. A *System Warning* window will display, select *OK* to proceed.
8. A *Task Accomplished* window will display, select *OK* to proceed.

Modifications to transaction data will create a reverse transaction which is displayed in the *Transaction Details* section of the filing.

To remove a transaction from the policy that was filed in error, follow the instructions below.

1. Select *Search Policy* from the *Policy* tab.
2. Enter the previously filed policy number or other search criteria in the applicable field(s) and click *Search* or use the *enter* key.
3. Select the *View* link.
4. In the *Transaction Details* section, click the *Edit* button next to the confirmation number for the applicable transaction, which will take you to the *Transaction Information* screen.
5. Next, click the backout button in the bottom right corner of the screen.
6. A message will appear verifying the backout. Click *OK*.
7. A *Task Accomplished* window will display, select *OK* to proceed.

Backing out the transaction will create a reverse transaction which is displayed in the *Transaction Details* section of the policy.

### **3. TRANSACTIONS IN QUESTION (TIQS)**

A *Transaction in Question*, or TIQ, is a transaction that has been received by NLCSA but has not yet been accepted and possibly not invoiced. If you receive a confirmation number that begins with a "Q" please make the necessary corrections to the transaction filing or contact NCSLA if you need assistance.

There are two categories of TIQs: financial and non-financial. A financial TIQ is one that is not invoiced or credited until corrected. There are only two financial TIQs, the Unbalanced Return Premium and the Unbalanced Return Fee. NCSLA staff members cannot manually accept financial TIQs, they can only be corrected and accepted by the user.

The Credit Verification (CV) TIQ has to be worked by a NCSLA staff member. Documentation of the credit will be required. A NCSLA staff member will email you for the documentation.

Future Effective Date (FED) TIQ: If you receive this questioned transaction verify the effective date of the transaction. Typically the user has made a simple error and entered the incorrect year. If this is so, edit the date. If the date is correct, contact a Specialist at NCSLA to advise the date is correct and we will manually accept the questioned transaction.

The New Business or Renewal (NBR) TIQ has to be corrected by the user before it can be manually accepted by a NCSLA staff member.

The Standalone Type 2 Transaction (SA2) TIQ is not considered a financial TIQ, but it too can only be corrected and accepted by the user.

Tax status 2 is exempt from the surplus lines premium receipts tax and the stamping fee. Due to this exemption status, all new business and renewal transactions (initiating transactions) are questioned when submitted to allow a NCSLA staff member the opportunity to verify the exemption. Documentation may or may not be requested from a NCSLA staff member. Once the staff member is satisfied the insured is in fact exempt from the tax and stamping fee, the questioned transaction will be manually accepted.

<b>Transactions in Question (TIQs)</b>	
<b>Credit Verification (CV)</b>	This TIQ occurs when a return premium or cancellation transaction has been submitted that meets certain guidelines set forth by FLSO.
<b>Eligible Agency Not Found (NAY)</b>	The TIQ occurs when a transaction, regardless of the transaction type, is submitted with an agency that is no longer active in RAPID.
<b>Extends Policy Expiration Date (EE2)</b>	This TIQ occurs when an endorsement is filed that extends the policy expiration date for more than 364 days.
<b>Future Effective Date (FED):</b>	Transactions that are submitted more than six months in advance of the effective date are questioned in order to verify the validity of the effective date.
<b>Invalid Coverage Code/Tax Status (CTS)</b>	A transaction will be questioned if a coverage code is submitted with a tax status that does not apply to that particular coverage code. Note: This TIQ type only occurs as a result of submissions made via batch filings. The SLIP environment is programmed so this will not occur.
<b>New Business or Renewal (NBR)</b>	This TIQ occurs when a new business and a renewal transaction have been filed with the same effective date.
<b>Standalone Type 2 Transaction (SA2):</b>	This TIQ occurs when an additional premium, return premium or cancellation endorsement has been filed and there is no existing new business or renewal transaction filing. This TIQ will also occur when the new business or renewal transaction has been backed out, leaving only endorsements.
<b>Tax Status 2 (TS2):</b>	Due to the tax and fee exemption status, transactions submitted with tax status 2 (non-taxable state/government) are questioned. Verification of exemption by an FLSO staff member is required before the questioned transaction can be accepted.
<b>Unbalanced Return Policy Fees (URF)</b>	A transaction will be questioned if the policy fees submitted with a return premium endorsement or a cancellation are greater than the total policy fees submitted for the policy.

<b>Unbalanced Return Premium (URP)</b>	This TIQ indicates that a return premium endorsement or cancellation transaction is submitted with a premium that is greater than the total premium submitted for the policy.
<b>Unknown Insurer or Ineligible Insurer (NIN)</b>	This TIQ can occur when the transaction has an incorrect insurer NAIC number or the insurer is not an eligible surplus lines insurer.
<b>Unknown Surplus Lines Agent (NAG)</b>	This TIQ will occur if the agent was not licensed and appointed during the effective date of a policy.
<b>Zero Premium (ZP)</b>	This TIQ can occur when a transaction is submitted with a 0 in the premium field and a dollar value in the policy fee field.

To correct a TIQ in SLIP, follow the instructions below.

1. Select *Manage TIQs* from the *Policy* tab.
2. Select the *View* link for the applicable transaction in question.
3. In the *Transaction Details* section, click the *Edit* button next to the confirmation number for the applicable transaction.
4. Next, click the *Edit* button at the bottom of the screen and make the necessary changes.
5. Click the *Submit* button.
6. A *System Warning* window will display advising the edit will create a backout and correction transaction, select *OK* to proceed.
7. A *Task Accomplished* window will display, select *OK* to proceed.

## 4. REPORTS

### 4.1. SLIP REPORTS

Reports allow users to monitor a variety of information that is designed to help agents and their filers track their business and maintain compliance within the industry. Prior to generating SLIP reports, the user must have the pop-up blocker disabled to view the reports.

#### 4.1.1. LATE TRANSACTION

The *Late Transaction Report* provides a list of transactions submitted that exceed the 30-day filing requirement. To generate a *Late Transaction Report*, follow the instructions below.

1. From the *Reports* tab select *Generate Reports*.
2. Select *Late Transaction* from the drop-down menu.

3. Select the appropriate date period from the selections provided or enter a submission date range.
4. Next, select the transaction type(s).
5. Select the report type.
6. Click the *Print* button. Make sure your pop-up blocker is disabled prior to clicking *Print*.

#### **4.1.2. SUBMISSION RESPONSE**

The *Submission Response Report* provides a list of transactions filed during a specified submission date range. To generate a *Submission Response Report*, follow the instructions below.

1. From the *Reports* tab select *Generate Reports*.
2. Select *Submission Response* from the drop-down menu.
3. Select the appropriate date period from the selections provided or enter a submission date range.
4. Next, select the report type.
5. Click the *Print* button.

#### **4.1.3. TRANSACTION**

The *Transaction Report* provides a list of transactions, the associated premium, taxes and stamping fee submitted by the policy filer during a selected or specified submission date range. To generate a *Transaction Report*, follow the instructions below.

1. From the *Reports* tab select *Generate Reports*.
2. Select *Transaction* from the drop-down menu.
3. Select the appropriate date period from the selections provided or enter a submission date range.
4. Select whether the report will display the transactions by agency, billing contact, agent or insurer.
5. Next, select the report type.
6. Click the *Print* button.

#### **4.1.4. TRANSACTIONS IN QUESTION**

The *Transactions In Question Report* provides a list of questioned transactions during a specified submission date range or all questioned transactions. To generate a *Transactions In Question Report*, follow the instructions below.

1. From the *Reports* tab select *Generate Reports*.
2. Select *Transactions In Question* from the drop-down menu.
3. Enter a submission date range or select *All TIQs*.
4. Next, select the report type.
5. Click the *Print* button.

#### **4.1.5. ACCEPTED TIQS**

The *Accepted TIQs Report* provides a list of all transactions that were originally questioned and subsequently accepted. The report provides the date the transaction was accepted and the original reason(s) the transaction was questioned. To generate an *Accepted TIQs Report*, follow the instructions below.

1. From the *Reports* tab select *Generate Reports*.
2. Select *Accepted TIQs* from the drop-down menu.
3. Enter a submission date range.
4. Next, select the report type.
5. Click the *Print* button.

#### **4.1.6. BILLING REPORT**

The *Billing Report* provides a list of transactions filed and invoiced for a selected quarter. NOTE: Questioned transactions that are not invoiced are not included on the Billing Report. To generate a *Billing Report*, follow the instructions below.

1. From the *Reports* tab select *Generate Reports*.
2. Select *Billing Report* from the drop-down menu.
3. Select the applicable quarter.
4. Next, select the report type.
5. Click the *Print* button.

#### **4.1.7. QUARTERLY PRODUCTIVITY AND PERFORMANCE REPORT**

The *Quarterly Productivity and Performance Report* contains information and feedback concerning transaction submitted to the NCSLA for a selected quarter. To generate a *Quarterly Productivity and Performance Report*, follow the instructions below.

1. From the *Reports* tab select *Generate Reports*.
2. Select *Quarterly Productivity and Performance Report* from the drop-down menu.
3. Select the applicable quarter.
4. Next, select the report type.
5. Click the *Print* button.