

# 2019 Rate Filing Exhibits: Technical Controls

## Overview

NYS DFS will continue to implement the technical controls in the 2019 Rate Exhibits that were previously introduced in the 2017 and 2018 Rate Exhibits. With the implementation of these controls, the Exhibits are now considered “data solicitation instruments”. DFS has continued the previous years’ work and modified some of the user functionality of the 2019 Rate Exhibit instruments to try and improve the use experience.

## Introduction

DFS will not be implementing any new technical controls in the 2019 Rate Exhibits. An explanation of the controls that will be implemented in the 2019 Rate Exhibits can be found in [Appendix A](#) beginning on page 3. DFS has tried to accommodate some of the suggestions from carriers by making the rate exhibits more user friendly, while still maintaining the integrity of DFS internal processes.

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## Modifications to 2019 Rate Exhibits Based on Carrier Feedback

The 2019 Rate Exhibit's set of Technical controls will remain largely the same from previous years. Some modifications have been made to enhance the user experience of the Rate Exhibits while still maintaining the integrity of the instruments and enabling efficient processing of exhibit data by DFS. A brief list of modifications is found below:

1. Column widths will be increased to correctly display values
2. Ability to select Locked and Unlocked Cells
3. Removed superfluous decimal spaces in numeric values
4. Added commas to numeric data types for easier viewing of data
5. Similar data elements will now have consistent names across exhibits

## Overview of Existing Technical Controls in 2019 Rate Exhibits

List of Controls in the 2019 Rate Exhibits that were first implemented in 2018 Rate Exhibits:

1. Microsoft Excel 2013 or Higher
2. Macros/VBA- Please Enable Content
3. Locked Cells
4. Cell Drag and Drop Disabled
5. Automatic Calculation Option Enabled (by default)
6. Drop Down Lists
7. Auto populated Fields
8. Cell Data Type Masks

For a more information on these controls please see Appendix A beginning on page 3.

## Appendix A: Controls Introduced in 2018 Exhibits

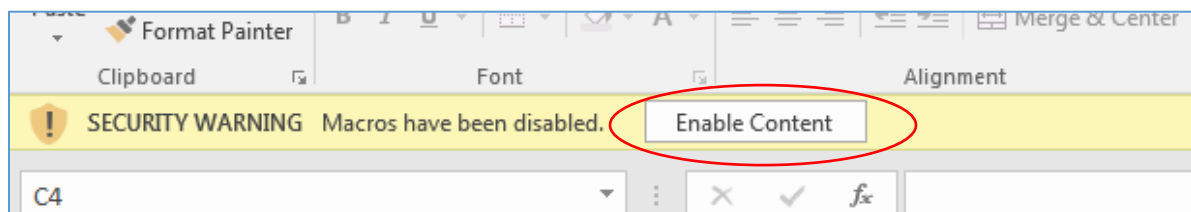
This year DFS will be implementing new controls into the exhibits for the 2018 Plan year Rate Review cycle. In the 2017 Plan year DFS, first implemented some basic controls into the Rate exhibits. For the 2018 Plan year we will continue the efforts from last year by adding more Rate exhibit controls to help ensure data quality and reduce processing time.

### Microsoft Excel 2013 or Higher

The controls that are implemented are best to be used with Microsoft Excel 2013 for Windows or higher. For this reason, DFS will require carriers to use Excel 2013 or higher to fill out each of the exhibits and submit.

### Macros/VBA- Please Enable Content

One of the enhancements of this year's controls is the introduction of Macros/VBA. Each of the 2018 Rate exhibits have macros/VBA code that helps enable DFS to manage data inputs. DFS asks that you please click the 'Enable Content' button before inputting any data into the Rate exhibits.

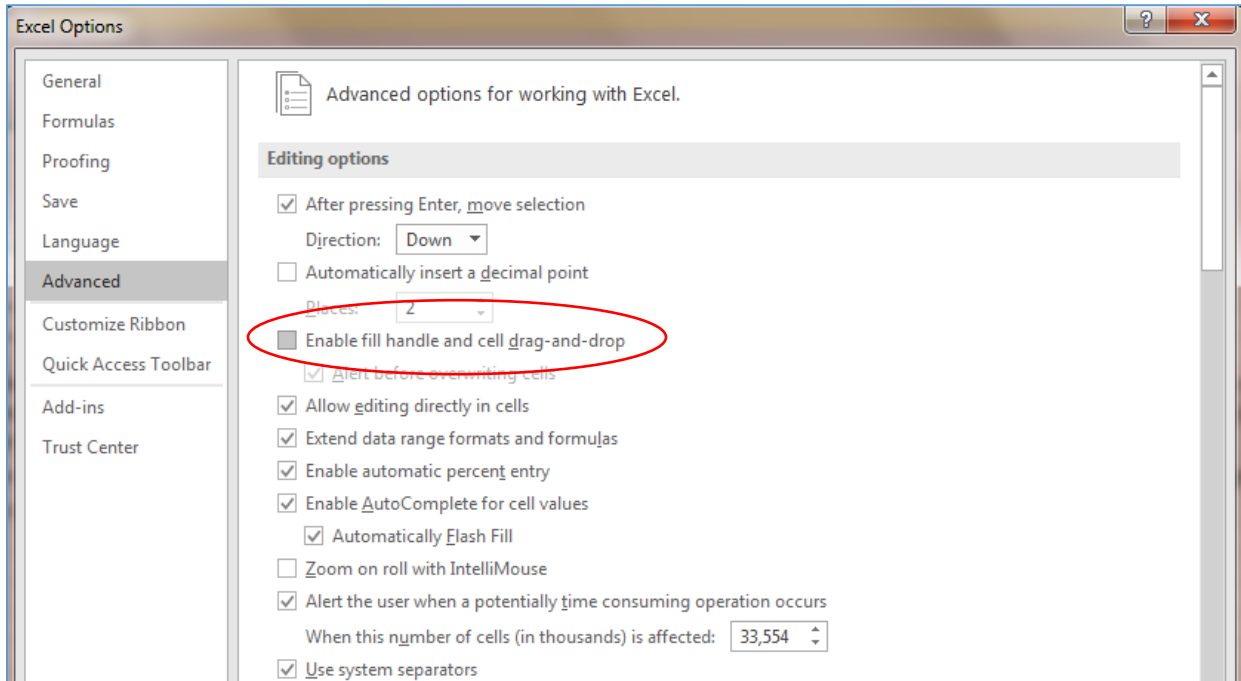


### Locked Cells

Many of the cells in the worksheet are defaulted to "Locked". This prevents the user from making any inadvertent changes to the formatting of cells. Only the cells that users should interact with are set to "Unlocked", enabling input of data.

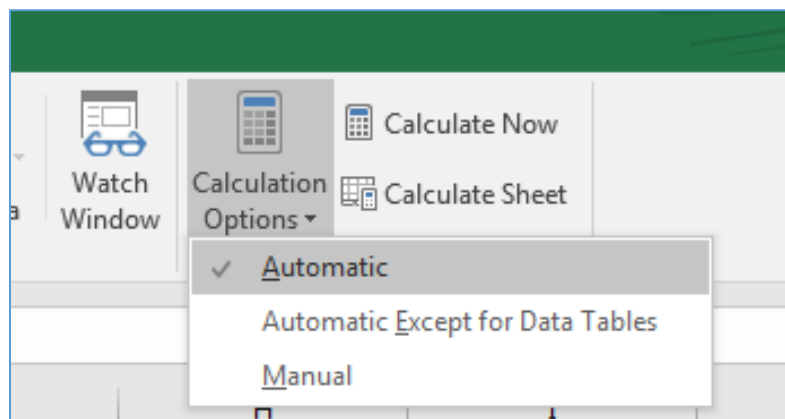
### Cell Drag and Drop Disabled

Upon opening of the workbook, VBA code will run to disable 'Drag-and-Drop' functionality in the workbook. Please keep this function turned off and do not drag and drop cells within the exhibits. Cell Drag-and Drop will break any existing formulas and in turn causes data quality issues in DFS's systems.



### Automatic Calculation Option Enabled (by default)

Upon opening of the workbook, VBA code will run to switch Calculation Options to Automatic. The same code will run before user save the data, and before user closes the workbook.



### Drop Down Lists

Any fields with a finite list of responses will have a drop down list for users to choose from. Example: Market (Individual/SHOP), Level of Coverage (Catastrophic, Platinum, Gold, Silver, Bronze), etc...

### Auto populated Fields

Many fields are automatically populated based on user inputs into other related cells via formulas. Examples of some of these fields are below.

- NAIC code will be populated based on the company selected.
- Some fields that may be repeated with the same information will be automatically populated.

### Cell Data Type Masks

Cells will be locked to specific data type. Users will not be able to change the data type in the cell. These rules are then enforced through other Excel (native) data validations and VBA code.

## Appendix B: Process Overview from 2017 Exhibits

