



EHP Release Notes

Version 1.8

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1 General information

Reference:

FINMA's survey and application platform (EHP for short) is developed on an ongoing basis in order to take account of different user needs. Any major changes and corrections are bundled together in the form of releases. Between three and four releases of this kind are installed every year. The following points highlight the changes associated with the latest release.

2 Improvements

2.1 Improvements in the "Surveys" area

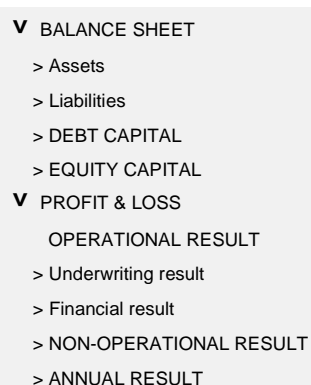
2.1.1 Sorting of surveys (for audit firms)

The presentation of surveys has been improved. The "Surveys" view can now be sorted on the basis of names.

2.1.2 Initial grouping of individual chart of accounts when selecting (for insurers)

The grouping of the chart of accounts has been modified to make it more user-friendly. The highest level is now capitalised in the individual chart of accounts. The functions "Expand all" and "Collapse all" have been preserved.

The following illustration shows the improvement:



```
V BALANCE SHEET
  > Assets
  > Liabilities
  > DEBT CAPITAL
  > EQUITY CAPITAL
V PROFIT & LOSS
  OPERATIONAL RESULT
  > Underwriting result
  > Financial result
  > NON-OPERATIONAL RESULT
  > ANNUAL RESULT
```

2.1.3 Transfer of account values to static accounts (for insurers)

Reference:

If an account value has to be broken down further, e.g. “ADC023 Breakdown in pillar 3a and pillar 3b (per type of unit-linked life insurance)” and “TDC008 Breakdown by currency”, the value already recorded (Row 7) is automatically carried over by the system (Row 9 and Row 13).

The following illustration shows the improvement:

1		Example – life insurer		Institution
2			Account no.	31.12.2020
3		BALANCE SHEET		
4	Σ	Liabilities	200 000 000	-1,000
5	Σ	Insurance reserves for unit-linked life insurance, direct business: Gross	202 200 100	-1,000
6	Title	Breakdown by type of unit-linked life insurance	ADC1DA	
7	Entry	Unit-linked endowment insurance (A2.1, A2.2); (CH)	ADILD02100	-1,000
8	Title	Breakdown into pillar 3a and pillar 3b (per type of unit-linked life insurance)	ADC023	
9	New: Value taken from Row (7)	Unit-linked endowment insurance (A2.1, A2.2); (CH)	ADILD02100	-1,000
10	Entry	Pillar 3a and group life insurance	ADI1530	-800
11	Entry	Pillar 3b	ADI1540	-200
12	Title	Breakdown by currency	TDC008	
13	New: Figure taken from Row (7)	Unit-linked endowment insurance (A2.1, A2.2); (CH)	ADILD02100	-1,000
14	Entry	CHF	TDI0510	-600
15	Entry	EUR	TDI0520	-200
16	Entry	USD	TDI0530	-100
17	Entry	GBP	TDI0540	0
18	Entry	Other	TDI0560	-100

2.1.4 Allocation of roles and authorisations (for insurers)

For the roles of accounting area manager, manager, and administrator, the names of the last survey of the same type are taken over for purposes of simplifying allocation. The coordinator can then make adjustments where necessary. The sign-off for the survey follows the hierarchy in each case:

The authorisation coordinator signs off access for the accounting area manager, the latter signs off access for the manager, and finally the manager signs off access for the administrator. In each case, the sign-off automatically triggers the sending of the notification to the party selected.

Reference:

2.1.5 Modification of the XML structure (for insurers)

In surveys based on charts of accounts, institutions must be able to break down a number of different, additional account values, e.g. "Paid-in share capital (account: 212 000 100) Breakdown by major shareholders (ADC105)".

XML structure

In the exported XML file of the individual chart of accounts, the possible values are now provided as <ListValue> tags.

Example:

```
<ValueRange id="184320" FullPath="212000100.ADC105" Value="">
  <ListValues Value="" Order="1" Description="" />
  <ListValues Value="" Order="2" Description="" />
  [...]
</ValueRange>
```

When exporting the individual chart of accounts in XML format, all accounts (including summary accounts) are now exported. The non-relevant accounts and titles are assigned an additional "read-only" tag, and are not relevant for purposes of later import. The data from these accounts is not taken over, even if it has been completed by the financial intermediary.

```
<Values>
  [...]
  <Value id="1" FullPath="PATH_1" Value="123.0000000000" />
  <Value id="2" FullPath="PATH_2" Value="456.0000000000" ReadOnly="true" />
  <Value id="3" FullPath="PATH_3" Value="789.0000000000" />
  <Value id="4" FullPath="PATH_4" Value="123.0000000000" />
  <Value id="5" FullPath="PATH_5" Value="456.0000000000" ReadOnly="true" />
  <Value id="6" FullPath="PATH_6" Value="789.0000000000" />
  [...]
</Values>
```