



EHP Release Notes

Version 1.11

26 November 2021

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1 General information

Reference:

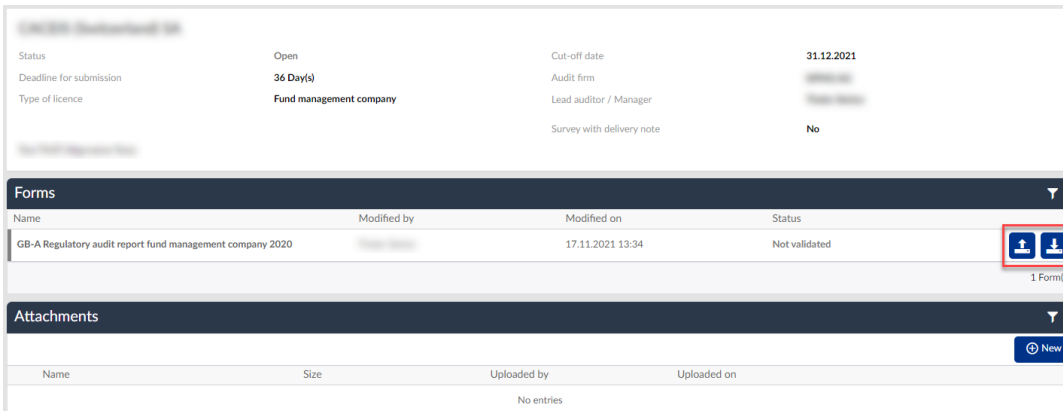
FINMA's survey and application platform (EHP) is updated on a regular basis. Any major changes and corrections are bundled together in the form of releases. Between three and four releases of this kind are installed every year. The following points highlight the changes associated with the latest release.

2 Improvements

2.1 General improvements

2.1.1 Optimised data transfer to the EHP


A new function allows the online form in the EHP to be exported as an Excel file, edited offline, automatically filled out with the assistance of formulae or macros where necessary, and then reimported into the online form. At the individual survey level there are two new buttons – an export and an import button. These buttons can be used to export or import the online form in Excel format. If FINMA has already entered certain values in the online form, these will also be exported. The latest version of the online form will always be exported, including all existing values.



The screenshot shows a survey form with the following details:

Status	Open	Cut-off date	31.12.2021
Deadline for submission	36 Day(s)	Audit firm	
Type of licence	Fund management company	Lead auditor / Manager	
		Survey with delivery note	No

Below the form is a table titled "Forms":

Name	Modified by	Modified on	Status	
GB-A Regulatory audit report fund management company 2020		17.11.2021 13:34	Not validated	

Below the table is an "Attachments" section with a "New" button and a table with columns: Name, Size, Uploaded by, Uploaded on. The table currently has "No entries".

Detailed instructions for the Excel export and import can be found in the [instructions for the export/import function](#).

2.1.2 Changes to the support function

Reference:

If the user activates the support mode in the EHP, they will now be automatically redirected to the [FINMA support page](#). The answers to frequently asked questions can be found on this page and users can submit an enquiry to FINMA using the support form.

2.1.3 Bug fix for bulk download

Due to a problem with the browser cache, in the past there were repeatedly cases where the download button for files in surveys and applications remained “inactive” after the download was complete. This error is corrected with the release.

2.2 Improvements in the “Surveys” area

2.2.1 Display balance sheet and income statement (insurance area)

For chart of accounts-based surveys, the correspondence in the chart of accounts between the balance sheet (annual profit or annual loss [account: 215 100 200]) and the income statement (profit/loss [account: 733 000 000]) will be checked. The information considered during this check can be found in the first three rows of the chart of accounts.

No correspondence check (display):

- This check will not be performed for Swiss branches of foreign insurance companies and general health insurers, insurance groups and conglomerates.

Account name	Account number	Function	31.12.2021 USD
▼ BALANCE SHEET			
> Assets	100'000'000	Σ	
> Liabilities and shareholders' equity	200'000'000	Σ	
> BORROWED CAPITAL			
> SHAREHOLDERS' EQUITY			
▼ P&L ACCOUNT			
OPERATIONAL RESULT			
> Underwriting result	300'000'000	Σ	
> Financial result	400'000'000	Σ	

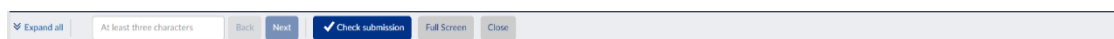
2.2.2 Survey of quantitative data via the EHP

Reference:

In future, it will be possible for direct and indirect surveys as well as for surveys, applications and reports, to collect quantitative data using different file formats. Data can now be uploaded to the EHP via Excel and XML files. When the file is uploaded, it is validated on the basis of a stored XSD file. This checks the formal validity of the Excel or XML.

2.2.3 Full screen mode for the chart of accounts (insurance area)

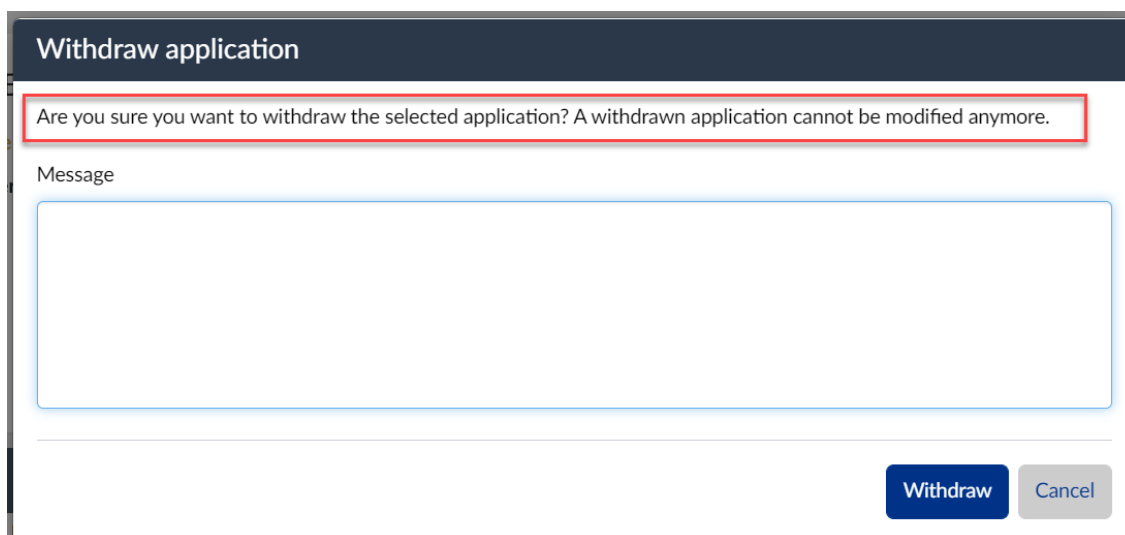
The “full screen mode” function is now available in the EHP for chart of accounts-based surveys. This function allows the full screen to be used.



2.3 Improvements in the “Applications/reports” area

2.3.1 Withdraw application

Before an application can be withdrawn, an information box now appears stating that the application concerned will be cancelled and can subsequently no longer be edited. The aim of this is to prevent applications from being mistakenly withdrawn.



2.3.2 Wrong info box displayed after repeated application submission

Reference:

If applicants submitted their application again and, correctly in this case, without a delivery note, up to now an info box was erroneously displayed asking for a delivery note. This info box will now no longer be displayed in this situation.