

Survey and application platform (EHP)

Instructions for Excel export and import

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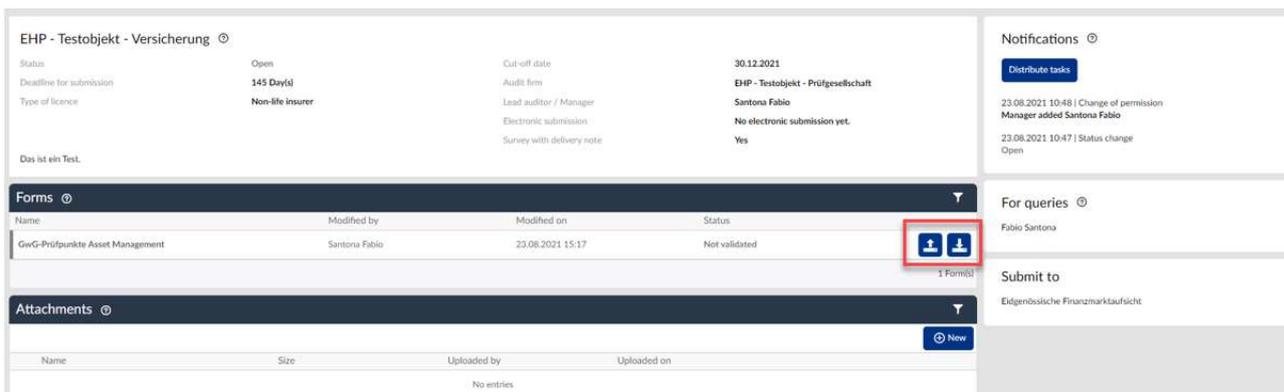
Reference:

1 Purpose of document

In the 2020/2021 year, FINMA expanded its survey and application platform (EHP) with new functions that make it possible for the online form on 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 EHP. This function should help to reduce the manual workload involved, particularly for audit companies. This document illustrates how this function is to be used.

2 Exporting the online form

In the individual survey there are two new buttons – an export and an import button.



The screenshot shows the EHP interface for a survey titled "EHP - Testobjekt - Versicherung". The main content area is divided into several sections:

- Survey Details:** Status (Open), Deadline for submission (145 Day(s)), Type of licence (Non-life insurer), Cut-off date (30.12.2021), Audit firm (EHP - Testobjekt - Prüfgesellschaft), Lead auditor / Manager (Santona Fabio), Electronic submission (No electronic submission yet), Survey with delivery note (Yes).
- Forms:** A table with columns: Name, Modified by, Modified on, Status. One entry is visible: "GwG-Prüfpunkte Asset Management" by "Santona Fabio" on "23.08.2021 15:17" with status "Not validated". A red box highlights the "Export" (downward arrow) and "Import" (upward arrow) buttons next to this entry.
- Attachments:** A section with columns: Name, Size, Uploaded by, Uploaded on. It currently shows "No entries".
- Notifications:** A section with a "Distribute tasks" button and two notification items: "23.08.2021 10:48 | Change of permission Manager added Santona Fabio" and "23.08.2021 10:47 | Status change Open".
- For queries:** A section with the name "Fabio Santona".
- Submit to:** A section with the text "Eidgenössische Finanzmarktaufsicht".

 **Export button:** The online form is exported as an Excel file (.xlsx) and can be saved on the desktop.

 **Import button:** Once it has been filled out, the Excel file (.xlsx) can be reimported into the EHP.

Takeaway no. 1: These buttons will only appear if the Excel export and import function has been made available for the corresponding survey by FINMA.

2.1 Language of the Excel export

Reference:

The Excel export file will be produced in the language selected by the user on the EHP. The language can be selected and adjusted under the personal settings.



3 Editing the Excel export file

Following the export, an Excel file (.xlsx) will open, which can be saved and edited locally. In order for the importing of the data from this Excel file into the EHP to function, certain criteria must be observed when completing the Excel file.

3.1 Overview of the Excel export

The following illustration is an example of how such an Excel export file from the online form looks.

GwG-Prüfpunkte Asset Management	
Master data	
PDF language	
(de) German	
(fr) French	
(it) Italian	
(en) English	
de	
Name of institution	* Authorisation of institution
	(Fondsleitung) Fund management company
	(Investmentgesellschaft mit variablem Kapital (SICAV))
	(Kommanditgesellschaft für kollektive Kapitalanlagen) Limited
	(Verwalter von Kollektivvermögen) Managers of collective assets
EHP - Testobjekt - Versicherung	
Supervisory category	Audit firm
	EHP - Testobjekt - Prüfgesellschaft
* Contact at audit firm / lead auditor	Audit year
* Is it an institution without business relationships subject to the Anti-Money-Laundering Act	
(true) Yes	
(false) No	
FALSCH	
* The institute is not subject to the obligations in connection with collective investment schemes	
(true) Yes	
(false) No	
FALSCH	

- Section titles:** The various (thematic) sections in the Excel export have a grey background and are double underlined.
- Input fields:** The fields with a blue background in the Excel export are the relevant input fields, which can be edited and filled out with the relevant values. These are then taken over into the online form when importing.
- Drop-down menus:** Many of the fields in the online forms are so-called drop-down menus. In the Excel export, the relevant drop-down options are shown below one another (cf. Section 3.2).
- Pre-completed fields:** The fields that have already been completed by the system or cannot be edited (locked fields) have a dark-grey background.

3.2 Drop-down menus

Reference:

The options that can be selected from a drop-down menu are illustrated below one another (marked in yellow). It is important that the wording is taken over exactly as it appears in brackets (consistent use of uppercase and lowercase, i.e. capitals and non-capitals).

* E7. How quickly are the names of newly included persons on sanction lists compared against the	
(Within a week)	Within a week
(Within a month)	Within a month
(More than a month)	More than a month
	Within a week 1
* E8. How quickly are the names of newly included persons on sanction lists updated in the	
(Within a week)	Within a week
(Within a month)	Within a month
(More than a month)	More than a month
	Within the corresponding month 2

- 1** This entry is taken over with the import, as it precisely matches the drop-down option selected.
- 2** This entry will **not** be taken over with the import, as it does not exactly match the wording given in brackets. The words "the corresponding" do not appear in the drop-down option selected.

Takeaway no. 2: With drop-down menus, please ensure that the selection entered in the input field matches the drop-down menu option precisely. This includes being consistent with uppercase and lowercase letters.

3.3 Multi-select fields

The various survey forms on the EHP also contain so-called multi-select fields, i.e. a number of values for the response may be selected from a predefined list. In the Excel export file, multi-select fields are designated by square brackets.

The values must be **separated from one another by a space** in the input field for the values to be correctly imported. In the following example, the sanctions list is compared with that of Switzerland, the EU, and other non-specified countries.

* E3. Which sanction lists/regimes are used for comparison purposes?	
[CH]	CH
[EU]	EU
[US]	US
[Others]	Others
	CH EU Others

Takeaway no. 3: Multi-select fields are designated by square brackets. The values selected must be separated from one another in the input field with a space in order for the different values to be recognised during import.

Reference:

3.4 Repeating grids and repeating sections

So-called repeating grids or repeating sections are an important element in the survey forms. They allow (any) repeat content to be illustrated in tabular form, e.g. if a number of qualifications have to be described and classified. In the survey forms on the EHP, repeating grids or repeating sections appear as follows.

Qualifications from the audit: *

Yes No

Additional rows can be added to the table as required.

<p>Qualification: *</p> <p>Short description of the qualification</p> <p>Classification: *</p> <p>Please select:</p>
<p>Qualification: *</p> <p>Short description of the qualification</p> <p>Classification: *</p> <p>Please select:</p>

For each qualification, the same content is described. In the Excel export file, repeating grids or sections are illustrated as follows:

* Qualifications from the audit:	
(true) Yes	
(false) No	
true	
* Qualification:	* Classification:
	(Tief) Low
	(Mittel) Medium
	(Hoch) High

It is standard for two repeats to always be displayed in the export file. In order to make a further entry, a new row must be added **between** the two existing rows. If a new row is added before or after the existing input fields (i.e. before row 340 or after row 341 in the illustration), the values will **not be imported**.

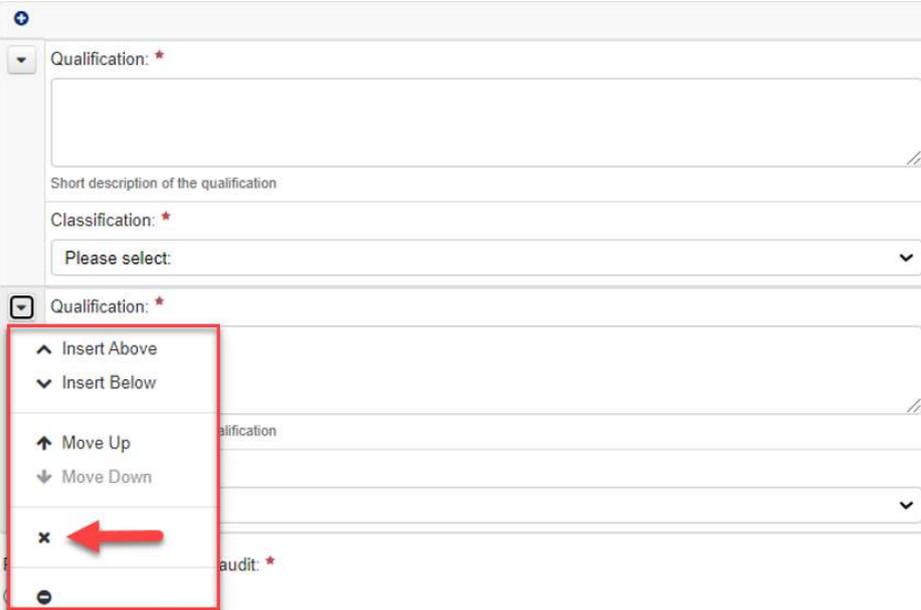
Reference:

* Qualification:										* Classification:									
										(Tief) Low									
										(Mittel) Medium									
										(Hoch) High									
1																			
2																			

1 / 2 Two new rows for further qualifications were added (rows 341 and 342). Following the import, four qualifications will then be displayed in the online form on the EHP.

Excel does not carry over the formatting automatically. The two newly added rows may be manually formatted. However, this is not necessary for purposes of the import. The important thing to note is that only the values in the blue-shaded cells are taken into account for the import.

Important: If there is only a single qualification or entry, for example, the additional repeats may be deleted in the online form **after** the import.



Important: If a repeat is deleted in the online form prior to the Excel export, the repeating grids or sections will no longer function as described.

Takeaway no. 4: Repeating grids and sections are frequently used elements in FINMA's survey forms. In the Excel export, new entries, i.e. new iterations (e.g. qualifications 3, 4, 5, etc.) must always be added between the existing rows shown. Otherwise the import will not function as desired.

3.5 Using formulae

Reference:

You can also work with formulae in the Excel export file. Only the specific value in each case is imported into the EHP during import. Example:

* 1.1 Does the FI have an appropriately organised and adequately qualified competence centre for			
(true) Yes			
(false) No			
FALSCH			
* Reason if the question was answered with "No":			
=O83			
			Thats a test

The input field references the cell O83. During import, the option "Thats a test" is taken over. This functionality also makes it possible to reference values from other xlsx-based working documents.

3.6 Multiple exporting and importing

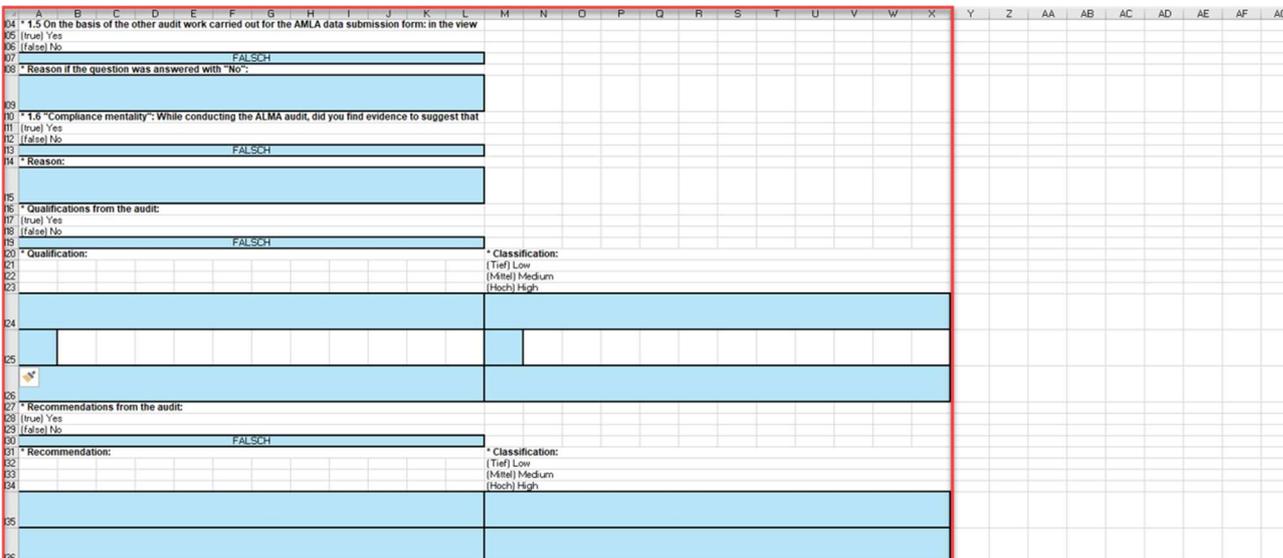
Following each import (cf. Section 4), the online form can then be exported again as required. The Excel export will then contain the values that have already been taken over or directly completed in the online form, e.g. during the first import.

3.7 Other points

In the Excel export file, no new columns may be added within the export area, nor may any other amendments other than those described above be made.

In the following illustration, the export area encompasses columns A to X. In the "empty" columns Y et seq., adjustments may be made, values or comments may be entered, etc. But as these adjustments are not in the import area, they will not be included in the import.

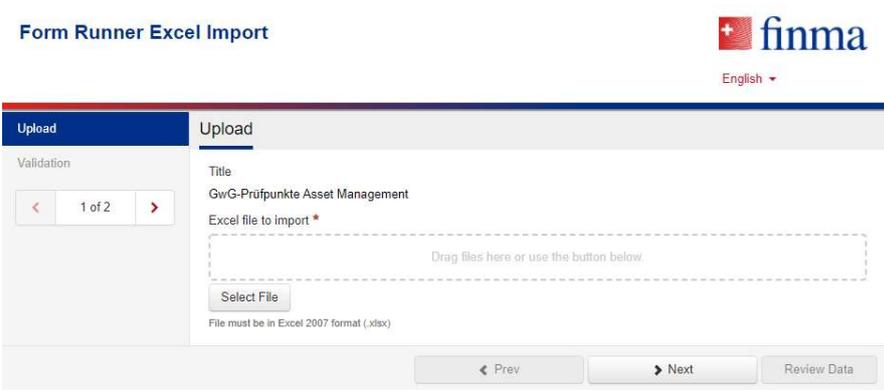
Reference:



The export file always comprises the **whole** form. While it is possible to fade certain areas in and out in the online form, e.g. if Question B is answered “yes”, Section C then appears, this is not possible in the export file. This **always contains all questions**, even if some of these questions may not need to be answered.

4 Importing the edited Excel export file

The edited Excel file can be imported into the EHP at any point. The screen for the document upload opens via the import button (cf. Section 2).



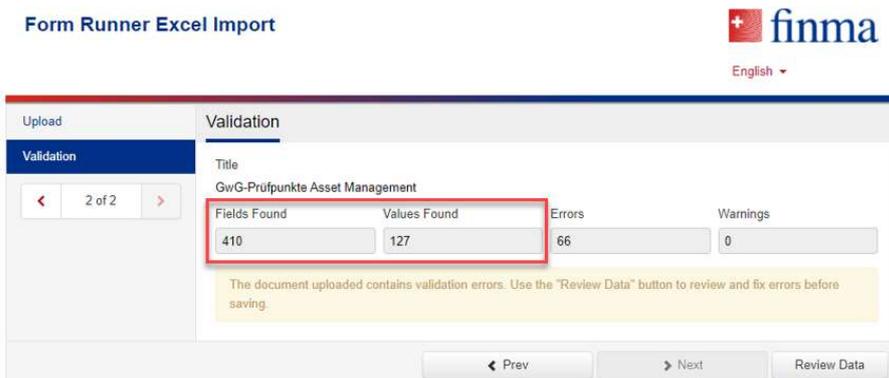
Important: The name of the Excel export file can be changed to whatever you wish. The only caveat is that the file name should not contain any

special characters. If the upload does not work, there are two possible causes:

Reference:

1. The file name is not supported and is blocked in the upload process – in which case the file name will have to be changed.
2. The upload is not supported by the internal network and is blocked. In this case, an internal review must establish whether specific security settings in the network or firewall configuration are obstructing the upload.

Following the upload, this process is then reviewed by the platform. The system shows how many possible input fields the imported Excel file contains, and how many of these contain values. The two review fields “Errors” and “Warnings” should **not** be heeded at this stage, as the review of values entered does not take place in the online form until after the import.



Form Runner Excel Import  English ▾

Fields Found	Values Found	Errors	Warnings
410	127	66	0

The document uploaded contains validation errors. Use the "Review Data" button to review and fix errors before saving.

◀ Prev ▶ Next Review Data

In the example given (cf. Figure), the Excel file to be imported contains 410 input fields, of which 127 have been completed with the corresponding values by the user and imported. Click on the “Review Data” button to get to the online form with the imported values. The validation of the data, i.e. the review as to whether the entries in the form correspond to the validation rules defined by FINMA, takes place solely in the online form.

Reference:

GwG-Prüfpunkte Asset Management


English ▾

Master data

Explanations

Selection of the audit items

Organisational measures ...

Business relationships wit...

Transactions with increas...

Duty to report and freezin...

Risk assessment for com...

Free text field for possible...

Reasons for the selection ...

Audit item B: Verification o...

Audit item F: Virtual asset...

Master data

PDF language

This field controls the PDF language in the form after submission.

Name of institution: Authorisation of institution *:

Supervisory category: Audit firm:

Contact at audit firm / lead auditor *: Audit year:

Is it an institution without business relationships subject to the Anti-Money-Laundering Act (AMLA)? *
 Yes No

The institute is not subject to the obligations in connection with collective investment schemes according to Art. 40 (1) AMLO-FINMA. *
 Yes No

The institute is not subject to the obligations in connection with collective investment schemes according to Art. 41 (1) AMLO-FINMA. *
 Yes No

If all questions were answered with "Yes", only the cover sheet "Master data" has to be filled in.

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>

Takeaway no. 5: If the import function does not work, there are essentially two possible causes: The file name is not supported and must be adjusted, or internal network settings are obstructing an upload. In this case, the network settings must be reviewed internally with IT.

4.1 Multiple importing

The EHP permits two (or more) persons to export the online form independently of one another, edit it offline and then import it again. Ideally this should be done in consultation so that it is clear who is editing which sections or questions. Values already in the online form after the first import are only overridden by further imports if a specific value is once again imported for the corresponding data field. Existing values in the online form are not overwritten by empty input fields in the import process. Example: After the first import, the input field X contains the value A. The edited file is then imported again. This time the file does not have any entry in the input field X, i.e. this field is empty. Following the second import, the input field X still contains the value A.

5 Known errors

Reference:

5.1 Data fields with “yes/no” or “true/false”

In the survey forms there are numerous questions that have to be answered “yes/no” or “true/false”. The following error still exists here:

If the online form is exported without it having already been edited online in advance, the relevant input fields for the “yes/no” or “true/false” question types erroneously display the value “false”, even though the user has not yet made any entry in the form (cf. following example).

* C1. Has the FI defined what constitute complex structures in its internal guidelines?	
(true) Yes	
(false) No	
FALSCH 	
* Reason if the question was answered with "No":	
* C2. Are there customers with complex structures in the FI's customer population?	
(true) Yes	
(false) No	
FALSCH 	

These values should be removed from the Excel file prior to the editing of the Excel export file. The Excel function “Replace” should be used for this purpose.

In the event of any other errors occurring, please contact digital@finma.ch. Please note that the function described in this guide is an additional assistance tool, i.e. you can simply edit and submit the online form in the usual way online on the EHP.

Takeaway no. 6: Prior to editing the Excel export for the first time, it is important to clear the data fields of the “yes/no” and “true/false” response types. With these response types, the export erroneously already contains a value even though the user has not yet entered any information in these fields in the form. Please use the “Replace” function in Excel for this purpose.