

# Survey and application platform (EHP)

Frequently asked questions - Chart of accounts-based surveys

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RZJFYVWTXCFV-2-1443

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## 1 Support

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### Technical support

Service desk staff offer support with log-in problems, error messages etc.

- Monday to Friday from 8:00 until 17:00.
- Contact is possible via email: [digital@finma.ch](mailto:digital@finma.ch)

### Specialist support

Insurance division staff offer support in the area of application support and with questions concerning the chart of accounts.

- Monday to Friday from 8:00 until 17:00.
- Contact is possible via email: [digital@finma.ch](mailto:digital@finma.ch)

## 2 The EHP online tour shows how it works

The EHP online tour helps you to understand the program. The individual videos show you how to complete the survey with the EHP. Take a look at the videos of our EHP online tour.

<https://www.finma.ch/en/finma/extranet/erhebungs-und-gesuchsplattform/kontenplanbasierte-erhebung/>

## 3 Browser

The EHP client application runs in the web browser. The latest versions of the main browsers are supported.

## 4 Where can I find the user guide?

The user guide can be found at

<https://www.finma.ch/en/finma/extranet/erhebungs-und-gesuchsplattform/kontenplanbasierte-erhebung/>

## 5 Questions about logging in

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### Can more than one person from my institution work simultaneously on the survey?

Yes, this is possible as the EHP offers a multi-user solution. The EHP ensures that no more than one person at a time has write access to an individual input cell.

## 6 Which help documents are available for the annual survey and where can I find them?

You will find the following documents under enclosures in the annual survey in the EHP:

- The guidelines for the [year] supervisory report set out the entire reporting scope of the [year] supervisory report.
- The EHP entry aid contains detailed explanations of individual balance sheet and P&L account items.
- The guidelines for the report on tied assets explain how the attachments on tied assets to be found under form templates (mandatory attachments) are to be completed.

## 7 Questions concerning data entry

### Do indicators have to be recorded?

In the annual survey (individual chart of accounts), the expected indicators are shown in the “Function” column. A positive indicator is normally expected for assets, a negative indicator for liabilities, a positive indicator for income and a negative indicator for expenses. However, the expected indicators do not necessarily have to be adhered to as many items can have both positive and negative indicators, such as changes in insurance reserves. The indicator (-) must be recorded.

### Input fields without values

Please leave input fields without values empty without any entries such as “0” (no zero-filling necessary) or “-” etc.

### Decimal places

Do not enter any values with decimal places (100.25).

[From when does FINMA see the recorded data of my institution?](#)

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The data of your institution are not visible to FINMA until after electronic approval.

[Do I need to complete the entire survey in one go?](#)

No. The EHP saves your data after you leave an input cell. You can pause the EHP at any time and continue at the same place later on.

## 8 Submission/completion of data with an XML file

- The EHP provides each institution with the corresponding individual XML schema of the chart of accounts structures.
- The XML export and XML import functions can be selected in the “chart of accounts” section.

[Create XML file](#)

**Please note:**

- The XML file is created in advance by the institution.
- The XML file containing the chart of accounts-based data can be cached on a local computer (e.g. under “Downloads”).

[Upload XML file](#)

Select the XML file containing the chart of accounts-based data. Click on the “Import” button.

**Please note:**

- The EHP only imports the interpretable values and rejects the non-interpretable ones but without aborting the import in such cases.
- Please contact your technical expert from ICT with questions about the XML structure.

## 9 Various views of the chart of accounts

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### Standard

Here the book values (standard reporting) are displayed.

### Market-consistent value (MCV)

Here the market-consistent values and best estimates are displayed.

### Standard + market-consistent value

Here the book values and the market-consistent values/best estimates are displayed together.

### ISO

Here the values in accordance with the minimum structure pursuant to the Insurance Supervision Ordinance (961.011) are displayed.

The standard + market-consistent value view is configured as the default view. However, you can, for example, also select the standard view in order only to enter the book values or the market-consistent value view (MCV) in order only to enter the market-consistent values and best estimates. All entries are transferred to the other views and there is no need for double entries. The ISO view incorporates almost all the items from the standard view but requires a few more direct entries (white input fields).

## 10 Reports

### Creating reports

Depending on the type of authorisation, the following reports are available:

- Balance sheet
- P&L account
- Survey volume
- Minimum structure of annual financial statements (ISO)
- Market-consistent value (MCV) / best estimate (BE)
- Cash flow statement (insurance groups and conglomerates)

### Exporting reports

Reports can be generated as Excel files or PDF documents.

## 11 Attachment upload

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### Which file formats are permitted?

The most common file formats (DOC, DOCX, XLS, XLSX, PDF, CSV, PPT, PPTX etc.) can be transmitted to FINMA with the EHP. However, owing to security requirements, not all formats are accepted. Prohibited file formats are rejected during the “upload process”.

### File upload restrictions

Files can be uploaded individually or grouped in a zip file. The EHP only accepts files meeting the conditions below. Otherwise an error message is displayed and the file is not saved in the EHP. The user can then amend/replace the file and upload it again.

#### Conditions:

- The file name including the file extension is no longer than 120 characters.
- The file name does not contain any of the following special characters:  
~ " # % & \* : < > ? ! / \ { | } ' ^ \$ @
- The file is no larger than 1 GB.
- A zip archive is not password-protected.

### How and where can I upload further attachments with freedom of design (reporting)?

Documents can be uploaded under “Further attachments with freedom of design (reporting)”: click on the “New” button and a pop-up window will appear to upload an attachment. Multiple files can be selected and uploaded simultaneously (“Upload multiple files”).

### Can I delete uploaded documents again at any time?

Yes. You can delete uploaded attachments at any time up until electronic approval of the survey. This is no longer possible after electronic approval.

### I haven't uploaded all the documents (attachments) but I've already approved the survey: is it possible to upload attachments afterwards?

No. Once you have approved the survey, it is no longer possible to upload any more attachments. FINMA staff must place the survey into the “undergoing correction” status.

## 12 Questions concerning approval of the survey

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I am unable to approve the survey although I have completed everything.

- Before submitting the survey to FINMA, it is necessary to check that:
- the chart of accounts has been completed in full and correctly (without errors as per the error list).
- any mandatory attachments (forms) have been completed in full and correctly.

What types of rule violation are there?

### Advice

The advice is shown. The user does not have to confirm this to carry on with the survey. The survey can be submitted to FINMA.

### Warning

The warning must be observed. The user must confirm it to carry on with the survey. The survey can be submitted to FINMA ("soft" check).

### Error

The error is shown. The user must correct the error. The survey cannot be submitted to FINMA ("hard" check).

Can I alter my data again after approval?

No. The survey can no longer be amended after submission to FINMA. FINMA staff must place the survey into the "undergoing correction" status.

When is the survey deemed to have been submitted?

Following submission to FINMA, a delivery note is generated and stored in the download area of the browser. This must be delivered to FINMA either with a qualified electronic signature or signed by hand.



### 13 Which delivery options are there?

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#### Electronic delivery

If the “generated” delivery note is signed with the “SuisselD”, it can be sent directly to FINMA using the “Submit electronically” function in the EHP. The survey is then deemed to have been submitted.

#### Postal delivery

If the delivery note is signed by hand, it must be sent to FINMA by post. The survey is not deemed to have been fully submitted until delivery of the signed delivery note to FINMA.

#### Survey submission and delivery note – signatures

Only with legally binding signatures (defined according to the signature guidelines of the individual institutions).

## 14 Roles and authorisations

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### Authorisation coordinator (AC)

The authorisation coordinator (AC) is responsible for the assignment of authorisations at his or her institution (max. four ACs per institution).

#### Tasks:

- The AC decides which of the institution's users receive access to the EHP.
- The AC can enter further users and grant the corresponding authorisations. The manager (MNG) and officer (OF) roles are available at supervised institutions for this purpose.
- Institutions control access to the EHP and to their data themselves in user administration (delegation principle).

### Manager (MNG)

Managers (MNG) have extended rights and can submit surveys to FINMA (two managers per survey/institution).

#### Tasks:

- Viewing, processing and validating surveys
- Transferring responsibilities (defining officers)
- Submitting surveys

### Officer (OF)

Officers (OF) can process but not submit surveys.

#### Tasks:

- Viewing, processing and validating surveys
- Transferring responsibilities to managers (MNG)