



European Securities and  
Markets Authority

# REGISTERING INCOMING EMAILS

**Work instructions**



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# 1 Document information and approval

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## Change history and approval routing sheet

Person	Role [drafter, reviewer, approver]	Version	Date	Signature
██████████	Drafter	V 0.1	20.01.2022	
██████████ ██████████	Reviewer	V 0.2	21.01.2022	
██████████	Drafter	V 0.3	10.02.2022	
██████████ ██████████	Reviewer	V 0.4	16.03.2022	
██████████ ██████████	Approver	V 1.0	18.03.2022	[Signed]

## 2 Introduction

The [info@esma.europa.eu](mailto:info@esma.europa.eu) is the mailbox receiving queries sent to ESMA from external entities.

The mailbox is checked and managed daily, including the junk mailbox (to identify emails that may be potentially legitimate).

The objective of this document is to set a procedure for handling all incoming emails to ensure their treatment in a correct, timely, and professional way.

The defined steps will also give the persons in charge the tools and the useful information to assign the incoming emails to the appropriate Department.

## 3 Steps

<i>Step</i>	<i>Action</i>	<i>Responsibility</i>
1	<p><b>Check the <a href="mailto:info@esma.europa.eu">info@esma.europa.eu</a> mailbox daily:</b></p> <p>Each incoming email received at <a href="mailto:info@esma.europa.eu">info@esma.europa.eu</a> mailbox will be assigned a registration number by the person responsible in GVS/GEA. The code is a subsequent number that is attributed in chronological order from the Excel file available in SHERPA (GVS library: Stakeholder).</p> <p>In the testing period of the new Q&amp;A tool, for tracking purposes, the emails received to <a href="mailto:info@esma.europa.eu">info@esma.europa.eu</a> via the tool are treated in a similar way to other incoming emails (although they have another number attributed by the tool).</p>	<p><b>Person responsible</b> <b>GVS/GEA</b></p>
2	<p><b>Identification and forwarding the incoming email to the relevant Department:</b></p> <p>The file used to choose/attribute the email to the appropriate Department is the most up-to-date version of the Glossary of ESMA work terminology – Keywords by Departments and Teams (ESMA30-22-509), periodically updated by the Assistants. Anytime there would be an update, Assistants will share the document with the GVS team. The last available version of the Glossary is filed in SHERPA/RES/Assistants’ network library and is shared with GVS every time there is an update of it.</p> <p>The person responsible for the <a href="mailto:info@esma.europa.eu">info@esma.europa.eu</a> mailbox will select key words present in the subject/body of the email and will perform a search in the Glossary.</p>	<p><b>Person responsible</b> <b>GVS/GEA</b></p>

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According to the result, the incoming emails will be sent only either to the relevant Assistants' distribution list or to the appropriate functional mailbox indicated in the Glossary (only one contact email). The Assistant/s or the owner of the functional mailbox will dispatch the email internally according to the organisation of each department.

Before forwarding to the relevant Department, GVS shall insert the registration number in the subject line of the incoming email (e.g., "15-001" before the subject) and a standard instruction on how to treat the email, and how to respond to it, to the body message.

The sender has also been informed how his/her email will be treated and the deadline for ESMA to answer by an automatic acknowledgement of receipt.

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**3 Assignment of the requests at Department level:**

***Assistants***

Within each Department, the Assistant/s or the owner of the specific functional mailbox will ensure that the email is assigned internally to the appropriate Unit/Team or staff member. If the email received does not concern the selected recipient (e.g., mistake in the assignment, misleading or not clearly specified keywords, keywords referring to more than one Department), the relevant Assistant or owner of the functional mailbox will ensure that the email/request is forwarded to the appropriate Department/Team whilst copying [info@esma.europa.eu](mailto:info@esma.europa.eu).

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**4 Incoming emails and filing:**

***Person responsible  
GVS/GEA***

Once the email has been forwarded to the relevant Department/Team, GVS proceeds with filing the incoming email in the devoted Department's folder of the [info@esma.europa.eu](mailto:info@esma.europa.eu) mailbox.

GVS will also update the Excel file available in SHERPA (GVS library: Stakeholder) with the registration code, date of receipt and registration, subject line of the email, email address of the original sender, and the assigned Department.

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**5 Treatment of the requests:**

***Department / Team /  
Staff member***

The responsible Department ensures that the email will be handled in an appropriate manner (assigned to the right staff member) and respecting the deadline to respond and the language of the request in line with the Management Board decision adopting the

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Code of Good Administrative Behaviour (ESMA41-140-155). The original sender has been informed how his/her email will be treated and the timeframes for ESMA to reply by an automatic acknowledgement of receipt.

Factual questions will be responded to within a reasonable time-limit and in any case no later than two months from the date of receipt. If an email cannot be responded to within the above-mentioned time-limit due to its complexity, the responsible staff member will inform the original sender as soon as possible. In this case, a final response should be communicated to the sender in the shortest possible time.

When the person in charge answers to the sender, [info@esma.europa.eu](mailto:info@esma.europa.eu) must be added in copy in the reply.

In case a staff member needs to send the response through [info@esma.europa.eu](mailto:info@esma.europa.eu) mailbox, GVS will forward the email to the original sender.

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**6 Closure of the request:**

***Person responsible  
GVS/GEA***

GVS will file the response in the devoted Department's folder of the [info@esma.europa.eu](mailto:info@esma.europa.eu) mailbox and update the Excel file in SHERPA (GVS library: Stakeholder) so that the request can be considered closed.

In case the response is to be sent through [info@esma.europa.eu](mailto:info@esma.europa.eu), GVS will forward the answer to the original sender. GVS will then file the response and update the Excel file as mentioned above.

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**7 Monitoring the status of requests:**

***Person responsible  
GVS/GEA***

GVS will regularly monitor the status of the requests based on the information registered in the tracking excel and follows up open requests with the responsible Department.

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**8 Update of the Glossary:**

***Assistants***

To allow the person responsible of the [info@esma.europa.eu](mailto:info@esma.europa.eu) mailbox to dispose of the most up-to-date information on the Department's responsibilities, the assistants will periodically review the Glossary and keep the GVS team informed.

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**NOTE:** The person responsible of the [info@esma.europa.eu](mailto:info@esma.europa.eu) mailbox only performs the dispatching of the email received and is not in charge of monitoring how each Department will answer to the submitted request.

## 4 Awareness campaign

This document shall be published on ESMA's Intranet page and sent for information to the Assistants.

## 5 Consultation status

This document is based on the previous work instructions and best practices that revealed to be functional.

## 6 Data protection

Any personal data identified in the information affected by these work instructions shall be handled in compliance with the requirements laid down in [Regulation \(EU\) 2018/1725 of the European Parliament and of the Council of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data, and repealing Regulation \(EC\) No 45/2001 and Decision No 1247/2002/EC](#).

For further information on the processing of personal data, please refer to the Record Register which can be found at the Data Protection section of the ESMA's website or contact the DPO at [dpo@esma.europa.eu](mailto:dpo@esma.europa.eu).

## 7 Records

The original and electronic versions of this document are stored by the GVS Team.

## 8 Final provisions

This document will be reviewed whenever considered necessary, and at the latest five years after its adoption.

## Annex – Acknowledgement of receipt

Each email sent to the Info ESMA mailbox from an external email receives the following automatic acknowledgement of receipt:

*Dear sender,*

*Thank you for your message and interest in ESMA. Your input is highly valued, and we have taken note of the points raised. ESMA endeavours to reply within two months to factual queries received.*

*More information on ESMA's investor protection work is available on our webpage: <https://www.esma.europa.eu/investor-corner/>.*

*You will find an overview of answers to previous questions relating to the application and implementation of legislative acts within ESMA's remit on our dedicated webpage: <https://www.esma.europa.eu/questions-and-answers>.*

*Please note that ESMA does not provide legal or investment advice. We are also aware that ESMA's name and logo are falsely used to promote frauds and scams. These aim to illegally obtain money directly or through the request for personal details. If you have received such communication, we encourage you to cease all interactions with your correspondent and to report your case to domestic law enforcement authorities (such as your local police force).*

*Best regards,  
ESMA*