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Brussels, dd/MM/20yy

/MK/Ares(2018)xxxxx

Fields in yellow need to be updated by the auditor. Fields in blue contain instructions that should be applied and subsequently deleted

Note for the attention of Mr/Mrs Name Surname  
Director‑General/Director –

Subject: Audit on - Announcement Letter

In accordance with the , which was communicated to you on dd/MM/20yy[[1]](#footnote-1) I would like to inform you that a on is scheduled to start in your DG/Service on and be finalised by dd/MM/20yy. A brief description of the preliminary purpose, objective and scope of the audit is included in the 20yy IAS Audit Plan.If no audit plan is communicated to the DG/Service, including a brief description of the purpose, objective and scope of the planned audit engagements for the year, the announcement letter itself should be used for that purpose and the text updated accordingly.

The audit will be conducted in accordance with the Mutual Expectations Paper which also summarises the key milestones of the audit process, please see Annex 1.

The audit team will be supervised by FIRSTNAME LASTNAME (Head of Unit). The Team Leader will be FIRSTNAME LASTNAME and the Audit Team Members will be , , , , . I confirm that the audit team collectively has the necessary skills and competence to perform the audit. In addition, the audit process is supported by the IAS policies in place on quality assurance and training.

As specified in the attached Mutual Expectations Paper, we will need a contact person in your DG/Service, who should act as an entry point and facilitator and is thus expected to help to make the audit activities progress smoothly. The designated person should therefore be available to resolve practical and logistical day-to-day issues encountered by the audit team. The contact person should not intervene in any way with the audit activities or be involved in validating findings, observations and reports unless he/she is at the same time also a person responsible for the audited process(es). Therefore, please let us know at your earliest convenience [or specific date (dd/MM/20yy)] the person you have designated for this purpose.

As soon as you have provided us with the name of the contact person, we will be in touch to organise the Opening Meeting and discuss logistical matters, such as office and access arrangements. During this meeting a list of documents and possible persons to be interviewed for gathering background information and performing the Preliminary Survey will also be discussed.

The objective of the Preliminary Survey is to gain a better understanding of the business area and its specific risks and to more precisely define the objectives and scope of the engagement which will then be presented to you at the Kick-off meeting. In this context, the IAS will provide details on the audit objectives, the planned scope, and the audit methodology. We can then have an exchange of views on the audit and obtain your expectations and suggestions for the engagement.

In conducting this audit the auditors may collect personal data, as described in Council Regulation 45/2001 and the internal auditor is required to inform the data subject under Article 20.3[[2]](#footnote-2) of the same Regulation. This is explained in a standard letter, provided as Annex 2 to the present note, which we kindly ask you to send to all staff concerned[[3]](#footnote-3).

*[e-signed]*

Manfred Kraff

Enclosures: Annex 1. Mutual Expectations Paper  
Annex 2. Note to the auditee on handling of personal data

Copies: Mr/Ms N. Surname, Director in charge of process being audited,   
Mr/Ms N. Surname, Resource Director,   
Mr J Mason Ms C. Giacobbo, Director Audit in Commission and Executive Agencies I/II, IAS.B/C  
 N. , Head of Unit,

1. Add Ares reference [↑](#footnote-ref-1)
2. Article 20 – "Exemptions and restrictions" of Regulation (EC) 45/2001. If a restriction provided for by paragraph 1 is imposed, **the data subject shall be informed, in accordance with Community law, of the principal reasons on which the application of restriction is based and of his or her right to have recourse to the European Data Protection Supervisor.** [↑](#footnote-ref-2)
3. Director(s), Head(s) of Unit and relevant staff concerned by the audit. [↑](#footnote-ref-3)