



**EUROPEAN COMMISSION**  
INTERNAL AUDIT SERVICE

The Director-General - Internal Auditor of the Commission

**08 OCT 2010**

Brussels,  
[REDACTED]

**NOTE FOR THE ATTENTION OF MR R.-J. SMITS**  
**DIRECTOR-GENERAL - DG RTD**

**Subject: IAS Audit - Announcement Letter**

In accordance with the 2010 IAS Audit Plan, I would like to inform you that an audit on "Control Strategy - On-the-spot Controls" is scheduled to start in your DG in late November 2010. The audit will be conducted in accordance with the Mutual Expectations Paper which also summarises the key milestones of the audit process (please see attachment 1). The audit team will be supervised by [REDACTED]. The Team Leader and team members will be specified at a later date.

As specified in the attached Mutual Expectations Paper, we will need a contact person in your DG. Would you please let us know at your earliest convenience the person you have designated for this purpose.

As soon as you have provided us with the name of the contact person, we shall get in touch so as 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. Although the exception specified in Article 2(g)<sup>1</sup> of this Regulation

<sup>1</sup> Article 2 – "Definition" of Regulation (EC) 45/2001. For the purposes of this regulation "recipient" shall mean a natural or legal person, public authority, agency or any other body to whom data are disclosed, whether a third party or not; however, authorities which may receive data in the framework of a particular inquiry shall not be regarded as recipients.

confirms the full and unlimited access to such data, the internal auditor is required to inform the data subject under Article 20.3<sup>2</sup> of the same Regulation. This is explained in a standard letter, provided as attachment 2 to the present note, which we kindly ask you to send to all staff concerned<sup>3</sup>.



Brian GRAY

[REDACTED]

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<sup>2</sup> 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.

<sup>3</sup> Director(s), Head(s) of Unit and relevant staff concerned by the audit.