

**Department of Transportation
Audits and Investigations
March 1, 2017**

**Assistant Director
Audits and Investigations
William E. Lewis
(916) 323-7122**

**External Audits - Local
Governments
MarSue Morrill
(916) 323-7105**

- Indirect cost allocation plan submission reviews and audits of local governmental agencies, including Cities, Counties, Special Districts, Metropolitan Planning Organization and Regional Transportation Planning Agencies
- Incurred cost and pre-award audits of local government agencies
- Special audits of local government agencies as requested and funded by departmental managers

**External Audits - Contracts
Alice Lee
(916) 323-7953**

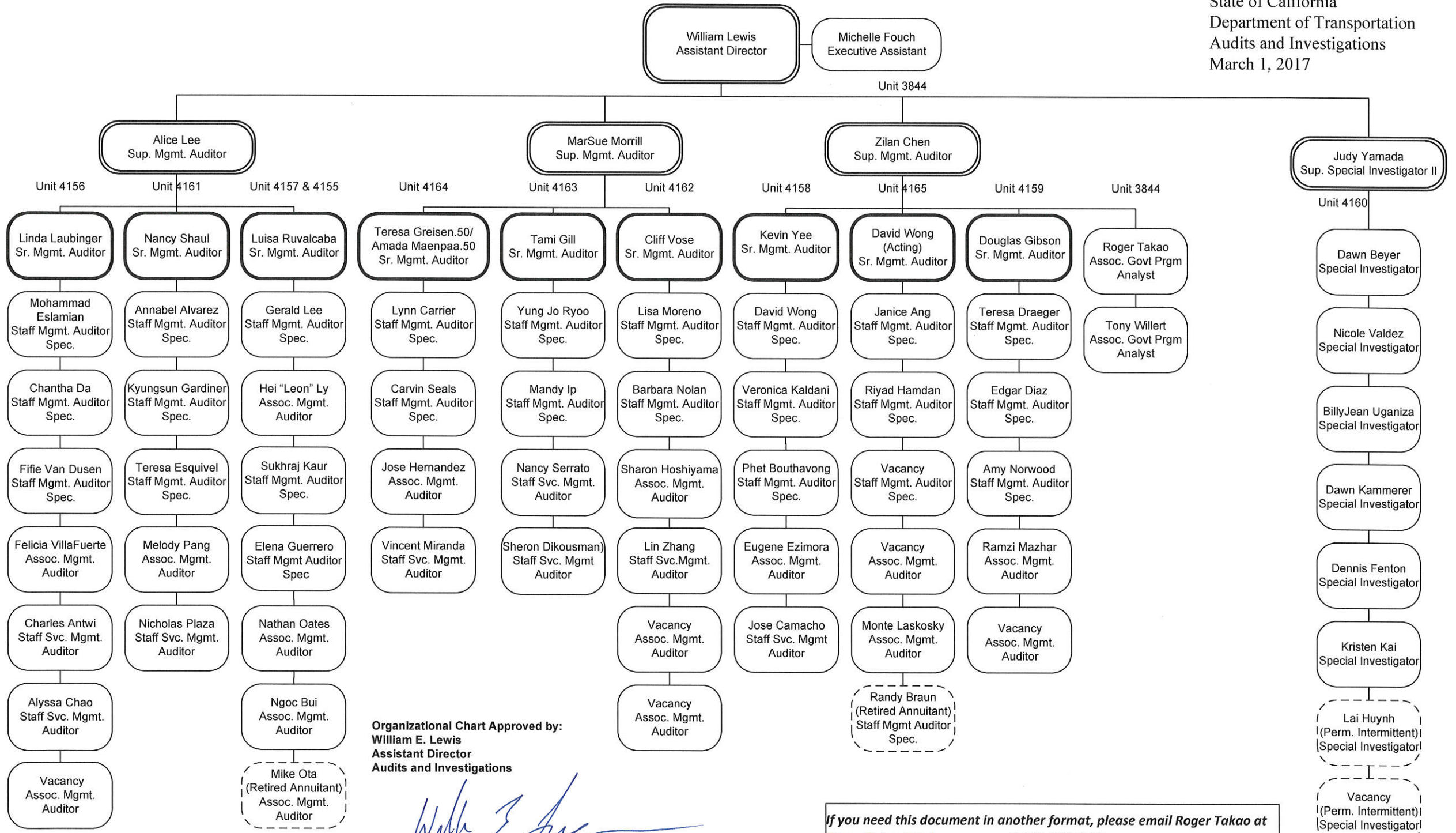
- Financial and performance audits and reviews of contracts between both Caltrans and local government agencies, and external entities
- Single audit finding reviews of public entities, which receive financial assistance from the Department
- Statutorily required audits of Proposition 1B projects

**Internal Audits -
Zilan Chen
(916) 323-7877**

- Statutorily mandated audits and departmental risk assessment resulting in audits of processes based on assessed risk
- Audits required by interagency agreements with other State agencies
- Operational audits
- Internal quality control reviews to ensure compliance with auditing standards
- Coordination and monitoring of audit activity performed by external audit agencies (Deputy Directive 77)
- Special audits requested by departmental managers
- Special audits of external contract entities as requested and funded by departmental managers

**Investigations -
Judy Yamada
(916) 327-3600**

- Administrative investigations into employee misconduct involving fraud, waste, abuse and mismanagement.
- Investigation and response to "Whistleblower Hot Line" complaints referred by the California State Auditor, and coordination of the Department's response to investigations when performed by the California State Auditor's Office
- Coordination of investigative activities by external control and law enforcement entities, including communication with departmental management and coordinator of departmental responses



Organizational Chart Approved by:
 William E. Lewis
 Assistant Director
 Audits and Investigations



If you need this document in another format, please email Roger Takao at Roger.Takao@dot.ca.gov or call 916-323-7963.