



**Department of Transportation
Independent Office of Audits and
Investigations
March 26, 2018**

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- 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

- 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

- 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

- 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

State of California
 Department of Transportation
 Audits and Investigations
 January 1, 2018

