

New York State Department of Civil Service
DIVISION OF CLASSIFICATION & COMPENSATION

Classification & Salary Guidelines

Occ. Code 0454120

Compliance Auditor, NS Grade 13, 18, 23, M-2

0454120

Brief Description of Class

Compliance Auditors audit books, papers, and records of filers covered by the New York State Lobbying Act.

Distinguishing Characteristics

Compliance Auditor

Factors that determine the level of Compliance Auditor include scope of responsibility; level and purpose of contacts; and supervisory responsibilities.

13: performs lower-level assignments, which require basic analysis, review and decision-making under direction of a higher-level Compliance Auditor.

18: performs the full range of audits under general supervision; has contacts that are generally limited to assigned audits; and may supervise.

23: performs the widest range of audits requiring the greatest knowledge of Commission on Ethics and Lobbying in Government laws, rules, and regulations; has contacts with all levels and types of filers; and may supervise.

M-2: performs the most difficult audits; has contacts with all levels and types of filers; and supervises staff.

Illustrative Duties

Compliance Auditor

- Plan audits and explain audit goals and methodology to filer or representative.
- Provide filer with list of required documents and records.
- Conduct field audit and document findings and recommendations; and discuss audit findings with supervisor and executive team.
- Discuss audit findings with filer or representative.

- Audit filings referred for investigation, or additional review requested by supervisor or executive management.
- Track industry specific news and identify potential conflicts of interest for filers.
- Compile audit statistics, and information to identify non-compliant or delinquent filers.

Minimum Qualifications

13: three years of relevant experience.

18: bachelor's degree and two years of relevant experience. *

23: bachelor's degree and three years of relevant experience. *

M-2: bachelor's degree and five years of relevant experience. *

*Substitutions: four years of specialized experience or associate's degree and two years of specialized experience may substitute for bachelor's degree; J.D. or master's degree may substitute for one year of specialized experience; Ph.D. may substitute for two years of specialized experience.

Note: Classification & Salary Guidelines illustrate the nature and scope of duties and responsibilities of the exempt classes they describe, and the recommended salary ranges for such classes. These guidelines cannot and do not include all the work that might be appropriately performed by a class. The minimum qualifications above are those recommended for appointment at the time the guidelines were written.

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