

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

Classification Standard

**Occ. Code 0472100**

<b>Information Systems Auditor 1, Grade 23</b>	<b>0472100</b>
<b>Information Systems Auditor 2, Grade 27</b>	<b>0472200</b>
<b>Information Systems Auditor 3, Grade 31</b>	<b>0472300</b>

Brief Description of Class Series

Positions in this title series manage and oversee systems audits; develop and administer software applications for use by audit staff; and develop data extracts from information systems to support audit initiatives. Incumbents oversee systems analysis activities related to audit or department-wide systems; design and develop applications; and evaluate and test applications including auditing IT and business systems to identify potential vulnerabilities and ensure compliance with security, regulatory, and compliance requirements.

Positions in this title series are primarily non-competitive, and are classified at various State agencies.

Distinguishing Characteristics

*Information Systems Auditor 1:* full performance level; designs, writes, develops, tests, and maintains audit software; and may supervise Auditors.

*Information Systems Auditor 2:* first supervisory level; oversees and collaborates in the development of audit plans and audit systems.

*Information Systems Auditor 3:* second supervisory level; directs and coordinates all matters related to the design, development, implementation, and maintenance of Information systems audits.

Illustrative Duties

*Information Systems Auditor 1*

Collaborates in the design, development, testing, and implementation of modifications and enhancements of audit and department-wide systems and compares audit requirements to system specifications.

Designs, writes, develops, documents, and tests audit software applications to allow for an independent audit extraction of data to meet audit project requirements.

Participates in all phases of application development and in the design of internal audit programs.

Tests the functionality and the logic of current system edits to determine if they are working as intended and identify system vulnerabilities.

Analyzes the appropriateness of designed software applications and systems by testing the effectiveness of the controls in place, and identify control weaknesses, and develops recommendations for control improvement.

Evaluates and audits systems to ensure they are operating efficiently, effectively, and accurately to meet business requirements, State and federal regulations, priorities and standards.

Develops data extracts to support audit initiatives and performs data analysis and data mining.

Utilizes information derived from audits to recommend improvements or potential policy changes.

Reviews and evaluates the implementation of new systems to ensure that controls are adequate.

Oversees technical and operational audits and assesses the effectiveness of controls for applications and network systems, ensuring effectiveness, efficiency, confidentiality, integrity, and overall compliance with risk management standards.

- Defines audit areas such as general and application controls, web-based applications, data center operations, identity and access management, system development life cycles, network security and firewalls, help desk and incident response programs, and change management systems.
- Administers audits of department-wide systems, eligibility systems, claims systems, and payments systems to ensure the accuracy of their operation.
- Develops data extracts from systems in support of auditing initiatives.

Disseminates recommendations on areas requiring external field audits based on the results of internal information system audits.

- Designs and reviews test techniques required to ensure the accuracy and integrity of the system and its capability to produce audit data.

Develops and maintains relational databases.

Oversees, leads, and collaborates in technical and operational reviews and assesses the effectiveness of controls.

Reviews databases and other systems to assess effectiveness, efficiency, confidentiality, integrity, availability, compliance, and reliability; and identifies potential areas of exposure and weakness.

Administers periodic on-site reviews of disaster recovery, informational and physical security of department systems and recommends necessary improvements.

Collaborates in risk assessment and analyzes all critical business processes and deadlines including processes that exchange data with external organizations.

Compiles periodic status reports including analyses, appraisals, comments, and recommendations for supervisor consideration.

#### *Information Systems Auditor 2*

May perform all of the duties and functions of an Information Systems Auditor 1.

Supervises subordinate staff.

- Provides guidance and oversight to staff, and intervenes and resolves problems as necessary.
- Determines and oversees staff assignments.
- Approves leave and tracks time and attendance.
- Reviews, monitors, and evaluates staff performance.
- Completes performance evaluations.
- Identifies training needs and arranges for provision of training.
- Manages and directs program activities by setting priorities and deadlines.

Manages, monitors, and directs application development activities including the design, testing, implementation, and maintenance of audit initiatives and systems.

Participates in the identification of system and program deficiencies and recommends appropriate changes.

Develops and refines policies, procedures, and directives for system development lifecycle oversight and audit activities.

Directs and manages system testing and internal control functions to ensure systems function as required and comply with security protocols and standards.

Directs the oversight and audit of information system components at the various analysis stages including computer program development, loading of data, and production of ongoing samples.

- Manages the modification and replacement of existing audit support systems and software.
- Oversees the design of internal audit programs and the design or refinement of test techniques to ensure the accuracy and integrity of the system and its capability to produce data required by State and federal regulations.
- Oversees, manages, and monitors the information technology components of audit activities conducted by contractors and consultants.

Drafts and compiles statistical and managerial reports on caseload, and provides detailed and summary reports.

Reviews draft audit reports and recommendations prepared by staff, and evaluates data compiled during audit assignments.

Oversees follow-up reviews to ensure that corrective actions have been taken.

### *Information Systems Auditor 3*

May perform all of the duties and functions of an Information Systems Auditor 2.

Directs and coordinates all matters related to the design, development, implementation, and maintenance of information system audit components.

- Directs the information system audit components of various analysis stages including computer program development, loading of data, and production of ongoing samples.
- Develops and refines policy, procedures, and directives for information audit activities.

Oversees systems tests to ensure that systems are functioning as designed and in accordance with generally accepted audit standards.

Coordinates the identification of system and program deficiencies and recommends appropriate changes.

Analyzes IT related functions and activities to assess risk levels to determine areas for audit.

Compiles and approves periodic status reports furnishing analysis, appraisals, comments, and recommendations on assigned audit and systems development activities.

Develops and executes annual audit plan, including preparing and approving proposed plans.

Oversees research, assessment, and implementation of new and emerging technologies that will assist on audits and special projects.

### Minimum Qualifications

#### *Information Systems Auditor 1*

Non-Competitive: a bachelor's degree and three years of IT auditing experience\*; or an associate's degree and five years of IT auditing experience\*.

#### *Information Systems Auditor 2*

Non-Competitive: a bachelor's degree and five years of IT auditing experience\*; or an associate's degree and seven years of IT auditing experience\*.

#### *Information Systems Auditor 3*

Non-Competitive: a bachelor's degree and six years of IT auditing experience\*; or an associate's degree and eight years of IT auditing experience\*. This experience must have included three years in a supervisory capacity, or one year at a managerial level.

\*IT auditing experience must have been gained in any one or combination of the following: an information system or audit professional with responsibility for designing, developing, and evaluating mainframe and server-based audit systems; an information system or audit professional with responsibility for designing and programming tests to perform audits of physical and logical access controls of mainframe and server-based systems; an information system or audit professional with responsibility for data extraction, manipulation and analysis using information from diverse sources, including preparation and presentation of written reports of findings suitable for non-technical audience; and an information system or audit professional with responsibility for supporting an audit group, including developing and maintaining audit systems and identifying and providing data in support of audit activity.

**Note:** Classification Standards illustrate the nature, extent, and scope of duties and responsibilities of the classes they describe. Standards cannot and do not include all the work that might be appropriately performed by a class. The minimum qualifications above are those required for appointment at the time the Classification Standard was written. Please contact the Division of Staffing Services for current information on minimum requirements for appointment or examination.

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