

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

Classification Standard

Occ. Code 0468900

Director Internal Audit & Quality Control, M-3

Brief Description of Class

Positions in this class manage an agency's internal audit program, including audits, and reviews of agency operations, processes, activities, and systems. Incumbents engage other agency managers in proactively identifying and addressing risks that might impact the effective and efficient management of agency operations and resources. Incumbents work closely with the agency Internal Control Officer to ensure agency controls and adequate and effective. Incumbents also coordinate audits and reviews conducted by other controlling agencies, such as the Office of the State Comptroller, or the Office of the State Inspector General.

These positions are classified at the Office of General Services, Homes and Community Renewal, Department of Taxation & Finance, Department of Motor Vehicles, and Department of Transportation.

Distinguishing Characteristics

Director Internal Audit & Quality Control: manages an agency's internal audit and quality control program; may assist in management the agency's internal audit and quality control function at large agencies.

Related Classes

Directors Internal Audit, NS, develop, plan, and direct internal audits of specific agency programs or functions, and make recommendations for improvement to ensure agency goals and objectives are met. These positions are primarily in the exempt jurisdictional class.

Illustrative Tasks

Plans, develops, and implements an independent review and appraisal of the security and integrity of agency operations.

- Develops qualitative standards and the methodology to evaluate the effectiveness of existing and proposed procedures to ensure the confidentiality and security of agency operations, records, and data systems.
- Directs a systematic review of agency operations to ensure that administrative procedures are not conducive to criminal activity on the part of agency employees, or public customers.
- Evaluates the effectiveness of program managers in investigating high-risk integrity areas in agency functions.
- Takes immediate remedial action to correct program deficiencies which severely impair the security and integrity of agency operations; advises higher level directors of internal audit and audit investigations, or executive management of detected deficiencies and corrective actions taken.

Plans, develops, and implements the internal audit and quality control program of the agency.

- Develops qualitative and quantitative standards of performance and methodology to measure the performance of organizational units against established standards.
- Directs the systematic review of agency programs to ensure the conformity of operations with qualitative and quantitative performance standards.
- Reviews, evaluates, and revises qualitative and quantitative standards to reflect changes in program policies or procedures.
- Advises executive management of immediate remedial actions required to correct conditions which severely impede the agency's ability to achieve its program goals.

Directs the preparation of reports of review and audit findings for submission to a higher-level director of internal audit and executive management; ensures that recommended changes in program, policy, organization, or procedures adequately address deficiencies in program security, integrity and efficiency.

Directs the reassessment of program operations to evaluate the impact and adequacy of program response to recommendations.

Acts on recommendations for review and program audit activities made by executive management, higher-level director of internal audit, internal affairs, and program managers.

Provides direction for the agency program for management information, including the development of management information policies and techniques, and the analysis of management information reports.

Assesses agency-wide security and integrity training needs and provides technical assistance and support in the design, conducts an evaluation of internal security and integrity training programs.

Manages all administrative functions in support of the day-to-day activities of the office, including the preparation of the office's budget, scheduling of reviews and audits based on priorities and workload, recruitment, training and deployment of subordinate staff, and administrative supervision of staff.

Minimum Qualifications

Director Internal Audit & Quality Control

Promotion: one year of service as an Internal Auditor 3, or in an auditing position allocated at Grade 27.

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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