

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

Classification Standard

Occ. Code 0470410

Regional Director Unemployment Insurance Audit, M-3	0470410
Assistant Director Unemployment Insurance Audit, M-4	0470510
Director Unemployment Insurance Liability Audit, M-5	0231910

Brief Description of Class Series

Positions in this title series supervise and oversee Unemployment Insurance (UI) contribution enforcement and collection field audits, hold conferences with employers to resolve issues and clarify information regarding contribution enforcement laws and reporting requirements, and oversee various aspects of UI compliance in central office.

These positions are only classified at the Department of Labor.

Distinguishing Characteristics

Regional Director Unemployment Insurance Audit: manages a large geographic area with multiple district offices; oversees audits of exceptional difficulty and implements a regional or statewide contribution services and collection plan.

Assistant Director Unemployment Insurance Audit: functions as the assistant director of the UI Division Bureau of Liability and Field Audit.

Director Unemployment Insurance Liability Audit: directs the UI Division Bureau of Liability and Field Audit.

Illustrative Duties

Regional Director Unemployment Insurance Audit

Plans, directs, and supervises the field audit and collection activities in a region.

Reviews field audit and collection work of the assigned area for accuracy, adherence to schedules and compliance with applicable regulations.

- Evaluates and monitors the performance and effectiveness of the regional district offices; establishes a system for management reporting and program analysis and recommends revisions to procedures and processes.
- Participates in the development of and implements the annual UI Employer Services plan based on comprehensive analysis of characteristics and types of employer non-compliance and the performance and yield of audit and collection goals and objectives, in compliance with federal audit standards.
- Develops, prepares and implements annual plans in response to problems identified with the UI Trust Fund and works with other UI managers to establish work plans to ensure employer enforcement.
- Designs and plans special studies and field surveys to improve the performance and yield of audit and collection programs.
- Acts as a secondary liaison with the federal Internal Revenue Service to coordinate exchange of contribution administration information.
- Works with other State agencies and members of the New York State Legislature to exchange information; and recommends levels of disclosure of information, working closely with Counsel's office.
- Communicates with employers their representatives, other Department managers, and State and federal representatives to resolve difficult cases.
- Oversees the operation of the UI Employer Services Case Management System used to track and record collection assignments; establishes performance standards for subordinate staff.
- Initiates special studies and field surveys to assess the adequacy of current policies and procedures or to evaluate the potential impact of legislative initiatives or new programs.
- Confers with the Bureau Director and Assistant Director on matters of policy and operating procedures impacting contribution services and collection.
- Oversees the recruitment, evaluation, promotion and training of Division staff.

Assistant Director Unemployment Insurance Audit

May perform all the duties and functions of a Regional Director Unemployment Insurance Audit.

Manages the operation of the UI Employer Services program throughout the State.

Develops, implements and maintains a regional planning process, involving office managers within the regions.

- Develops regional plans of operation and continually reviews and monitors performance of the regions to ensure the achievement of goals and objectives in compliance with federal audit standards; and takes appropriate actions to correct deficiencies and potential problems.
- Confers with the Bureau Director on policy and operating procedures impacting the contribution services and collection programs.
- Communications with employers, their representatives, other Department managers, and State and federal representatives to resolve difficult cases.
- Acts as the primary liaison with the federal Internal Revenue Service to coordinate exchange of contribution administration information.
- Works with other State agencies and members of the New York State Legislature to exchange information; and works with Counsel's Office to recommend levels of disclosure of information
- Oversees the development of policies and procedures to administer the liability and contribution provisions of UI Law.

Director Unemployment Insurance Liability Audit

Plans and directs all activities of the UI Determination and Enforcement Bureau concerning employer liability, coverage and registration, investigation, collection and auditing.

Plans, manages and oversees the UI Determination and Enforcement Bureau and directs implementation of policies, programs and operations for contribution compliance, determination of employer coverage and contribution liability, maintenance of employers' accounts and the receipt and processing of quarterly contributions and wage reports from employers.

- Maintains contact with central and district offices to evaluate, assist, improve and control programs and ensures effective and uniform policy and procedures.
- Oversees the development of policies and procedures to administer the liability and contribution provisions of the UI Law, and ensures compliance with federal audit standards.

- Develops and maintains effective working relationships within the Contribution Liability and Employer Services organizations, the entire UI Division, the agency and other government offices.
- Develops, implements and directs a program of employer contacts to promote understanding and cooperation with the UI Law.
- Prepares and executes the annual budget for the Liability and Employer Services organization.
- Directs comprehensive studies and research regarding all contribution services programs.

Minimum Qualifications

Regional Director Unemployment Insurance Audit

Promotion: one year of service as an Auditor 3 (Unemployment Insurance).

Assistant Director Unemployment Insurance Audit

Promotion: one year of service as Regional Director Unemployment Insurance Audit.

Director Unemployment Insurance Liability Audit

Promotion: one year of service as a Regional Director Unemployment Insurance Audit, or Assistant Director Unemployment Insurance Audit.

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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