



An Equal Opportunity/Affirmative Action Employer

## **Announcement of Intention to Fill a Job Vacancy**

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### **Risk, Audit and Internal Controls Team Lead (Director Financial Services Programs 2, SG-33)**

**Location: One State Street, New York City**

**Business Unit: Banking Management**

**Negotiating Unit: Professional, Scientific and Technical (PEF)**

**Please note that a change in negotiating unit may affect your salary, insurance and other benefits.**

**Salary: The starting salary for this position is \$141,509 with periodic increases up to \$170,993.**

**Positions located within the New York City metropolitan area, as well as Suffolk, Nassau, Rockland, and Westchester Counties, are also eligible to receive an additional \$3,400 annual downstate adjustment.**

**Appointment Status: Permanent**

**Appointment to this position is pending Governor Appointment's Office and Division of Budget approval.**

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The New York State Department of Financial Services seeks to build an equitable, transparent, and resilient financial system that benefits individuals and supports business. Through engagement, data-driven regulation and policy, and operational excellence, the Department and its employees are responsible for empowering consumers and protecting them from financial harm; ensuring the health of the entities we regulate; driving economic growth in New York through responsible innovation; and preserving the stability of the global financial system.

The Department of Financial Services is seeking candidates for the position of Risk, Audit and Internal Controls Team Lead, in Banking Management. Reporting to the Deputy Superintendent for Bank Specialists. Duties include, but are not limited to, the following:

- Supervises the team of examiners responsible for monitoring our regulated entities' risk, audit and internal controls objectives;
- Trains and mentors lead risk, audit, and internal controls examiners;
- Prepares comprehensive written reports and summaries communicating findings;
- Ensures key data, inventory, metrics, and reporting is established;
- Stays abreast of regulatory changes within the industry and acts as a subject-matter expert for advising and monitoring processes across Banking Division unit;
- Maintains knowledge and learning for best practices for teams to use in their review during the examination process;
- Directly engages with team leaders on issues that arise during examinations and provides consistent direction and guidance to team leads;
- Submits timely updates to senior management;
- Is responsible for talent-management functions in the newly constituted Internal Audit and Controls team, including:
  - Employment;
  - Overseeing staffing of Bank Division examinations;
  - Performance evaluations;
  - Staff development/training;
  - Disciplinary actions;
  - Succession planning; and

- Ensuring all staff comply with job requirements.
- Engages effectively and continuously with team leads on their responsibilities, to ensure clarity in the communication roles to their respective examiners;
- Supports the development and implementation of regular communication methods to keep employees informed of policy, procedural, and regulatory updates; and
- Other duties as assigned.

### **Preferred Qualifications**

- Must be effective as a leader and exhibit excellent management skills.
- Has excellent communication skills and must effectively articulate risks and opportunities to a broad range of stakeholders, management and regulatory agencies.
- Has a basic understanding of technology issues and tools used in the examination process in order to effectively evaluate risk, assess sufficiency of controls, identify process improvement opportunities.

### **Appointment method:**

Candidates must meet the minimum qualifications listed below in order to be eligible for appointment.

### **Non-Competitive:**

A Bachelor's Degree in accounting, actuarial sciences, auditing, banking, business, business administration, business and technology, commerce, computer information systems, computer science, consumer sciences, criminal justice, cyber security, econometrics, economics, finance, financial administration, health, health administration, information systems, information systems engineering, information technology, internal controls, international or public affairs, law, market analysis, mathematics, public administration, public policy, risk management, statistics, taxation, or technology and eight (8) years of financial services experience with: 1) a regulated entity who has a regional, national and/or international presence; or 2) a governmental regulatory entity. This experience must include practical and technical knowledge about State, federal and/or international financial services laws, rules and regulations. Three (3) years of the experience must have been at a managerial level.

Substitutions: A J.D. or a Master's Degree may substitute for one (1) year of specialized experience; and a Ph.D. may substitute for two (2) years of specialized experience.

**To Apply:** Interested qualified candidates must submit a resume and letter of interest **no later than June 27, 2024** to the email address listed below. Please include the Box # (**Box RAICTL-DFPS2-10053**) in the subject line of your email to ensure receipt of your application. **Email submissions are preferred.**

Kara Waters  
Box RAICTL-DFPS2-10053  
New York State Department of Financial Services  
Office of Human Resources Management  
One Commerce Plaza, Suite 301  
Albany, NY 12257  
Email: NCE.Notifications@dfs.ny.gov  
Fax: (518) 402-5071

**All candidates that apply may not be scheduled for an interview.**

### **Public Service Loan Forgiveness**

Employment with New York State qualifies an individual for Public Service Loan Forgiveness (PSLF). This program forgives the remaining balance on any Direct Student Loans after you have made 120 qualifying monthly payments while working full-time for a U.S. federal, state, local, or tribal government or not-for-profit organization. To learn more about the program and whether you would qualify, please visit: <https://studentaid.gov/manage-loans/forgiveness-cancellation/public-service>

### **AMERICANS WITH DISABILITIES ACT: REASONABLE ACCOMMODATIONS**

Under the Americans with Disabilities Act (ADA), the Department of Financial Services is required to provide reasonable accommodation for known physical or mental limitations of an otherwise qualified applicant with a disability if an accommodation would enable the applicant to perform the essential functions of the job. If the accommodation would constitute an undue hardship on the operations of the agency, the agency is not required to provide it.

All people with disabilities are encouraged to apply to all jobs for which they meet the minimum qualifications.

***Pursuant to Executive Order 161, no State entity, as defined by the Executive Order, is permitted to ask, or mandate, in any form, that an applicant for employment provide his or her current compensation, or any prior compensation history, until such time as the applicant is extended a conditional offer of employment with compensation. If such information has been requested from you before such time, please contact the Office of Employee Relations at (518) 473-3130 or via email at [response@oer.ny.gov](mailto:response@oer.ny.gov).***