



An Equal Opportunity/Affirmative Action Employer

## **Announcement of Intention to Fill Two Vacancies**

---

### **Innovation Policy Manager (Director Financial Services Programs 1, SG-31)**

**Location:** Albany or NYC

**Business Unit:** Innovation Policy

**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 \$123,721 with periodic increases up to \$150,612.

**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 \$3,087 annual downstate adjustment.**

**Appointment Status:** Permanent

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

---

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 (DFS) is seeking applicants for a senior role in its Innovation Policy Unit, housed in the Division of Research and Innovation. This position represents a chance to play a leadership role in tackling cutting-edge policy issues in financial services in New York, including those related to fintech, insurtech, cryptocurrency, decentralized finance, and the use of artificial intelligence and machine learning by the industry.

The Innovation Policy Unit is charged with performing qualitative and quantitative research to inform DFS decision-making and influence internal and external stakeholders; conducting policy reviews of innovation topics; maintaining best practices for policy review and development; managing an external engagement program with innovators; and hosting and attending innovation-related outreach events. The Innovation Policy Manager will participate in and/or lead projects in pursuit of the above and related goals. Duties include, but are not limited to, the following:

- Leads documentary research; qualitative interviews and other non-documentary research; and, with the assistance of data specialist staff, quantitative research, to inform policy decisions by DFS;
- Leads policy analysis projects to arrive at recommendations for DFS action, such as the issuance of guidance, the promulgation of new or amended regulations, or the proposal of and advocacy for new or amended legislation;
- Oversees the creation of policy documents, such as proposed legislation, proposed regulations, and/or proposed guidance;
- Oversees the creation of educational or outreach documents, such as white papers, public reports, and Op-Eds;
- Participates as a senior practitioner in any of the above activities;
- Represents the Innovation Policy Unit in engagement with other DFS business units concerning policy questions, policy needs, policy analysis, or the effectuation of policy recommendations;

- Plans, manages, and participates in meetings, panel discussions, and round-table discussions to gather or disseminate information relevant to financial-services policy-making;
- In consultation/coordination with others in the Innovation Policy Unit's leadership, works to set DFS's policy agenda, including actively participating in periodic planning of policy projects to be pursued by the unit;
- Supports the development and maintenance of partnerships with internal and external persons and entities related to policy topics;
- Provides briefings and status updates to others in leadership, including executive staff;
- Works on other projects as needed, in the Research and Innovation Division (including the Virtual Currency Unit and/or Economic Research Unit), and outside Division as warranted;
- Maintains awareness of news and other information sources relevant to policy analysis concerning financial services, and pursue educational opportunities relevant to financial policy-making; and
- Other duties as assigned.

**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 seven (7) 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. Two (2) 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 October 31, 2023** to the email address listed below. Please include the **Box # (DFSP1-IPM-10036)** in the subject line of your email to ensure receipt of your application. **Email submissions are preferred.**

Cynthia Gavin  
 Box # DFSP1-IPM-10036  
 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.

***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).***