
	<b>Corrections and Community Supervision</b>	TITLE  <b>Employee Suggestion Program</b>		NO. 2271  DATE 06/07/2023
<b>DIRECTIVE</b>		DISTRIBUTION A	PAGES PAGE 1 OF 3	DATE LAST REVISED
SUPERSEDES DIR #2271 Dtd. 02/01/18  REFERENCES (Include but are not limited to) Civil Service Law (CVS) Chapter 7, Article 9, §145 & §146; 4 NYCRR Part 61		APPROVING AUTHORITY 		

- I. **BACKGROUND:** The New York State Employee Suggestion Program (ESP) was established by the Legislature in 1946 and is contained in §145 and §146 of the Civil Service Law. NYS Civil Service Regulations, 4 NYCRR Part 61, also apply to the program.
- II. **POLICY:** The purpose of the ESP is to encourage state employees and retirees to share their constructive ideas in the form of suggestions for improving state agency program operations, reducing state expenditures, or increasing productivity. Additionally, the ESP rewards such employees and retirees for ideas which are used by one or more state agencies.

### III. PROCEDURE

- A. Submission of Suggestions: Employee suggestions should be submitted online by following the steps as outlined on the Department of Civil Service "Employee Suggestion Program" website at [www.cs.ny.gov/esp](http://www.cs.ny.gov/esp). For Department of Corrections and Community Supervision (DOCCS) staff and retirees who do not have internet access, a version of the form designed for hard copy submission is available through the following hyperlinked PDF document [Form #ESP-607](#), "Employee Suggestion Program Suggestion Form." The form can also be obtained from the Bureau of Internal Controls (BIC) or the Department of Civil Service. If submitting a hard copy suggestion form, it must be mailed to:

NYS Employee Suggestion Program  
New York State Department of Civil Service  
Public Information Office  
Albany, NY 12239

NOTE: It is highly recommended for any employee or retiree who is considering submitting a suggestion to review the *Guidelines*, *Process*, and *FAQ* links that are available on Civil Service ESP Home page at the Civil Service URL address listed above.

- B. Eligible Suggestions: A suggestion will be eligible for merit award consideration if it is original and will result in significant cost savings. Additionally, suggestions are eligible if they:
1. Directly contribute to economy or efficiency;
  2. Directly increase effectiveness in the performance of a function of state government;

3. Improve office procedures, forms, or methods;
4. Save time and material;
5. Consolidate operations and/or forms; or
6. Propose new ways to reduce costs, eliminate delays, or improve service or effectiveness.

C. Ineligible Suggestions: Suggestions which duplicate previously submitted ideas cannot be given award consideration. Additionally, suggestions are ineligible if they:

1. Have already been made and awarded;
2. Are already in use or under consideration;
3. Propose salary/classification/benefit changes;
4. Propose matters subject to the collective bargaining process;
5. Relate to normally accepted health and safety practices;
6. Impose new or additional taxes or fees for revenue, as opposed to cost recovery purposes;
7. Propose application or expansion of current initiatives;
8. Propose minor database changes (e.g. adding or deleting fields, or creating or changing a data report);
9. Propose minor changes to paper forms;
10. Propose creating brochures or informational flyers/documents; or
11. Require direct deposit of payroll checks or travel reimbursement checks.

IV. **AWARDS**: Awards are provided for suggestions that are used and the amount is determined by the New York State Civil Service Commission. Employees/retirees who submit suggestions that are approved and implemented will receive a Certificate of Merit. Suggestions that result in significant savings may be eligible for a monetary award. Monetary awards granted by the ESP are taxable.

Suggestions which are not adopted remain active for a period of two years following the Notice of Disapproval. During this time, no one will be eligible to submit your idea as their suggestion. If your suggestion is implemented within this two-year period, you should notify the ESP at the Department of Civil Service so that appropriate action can be taken.

V. **EVALUATION PROCEDURES**: The responsibility for administering the ESP within DOCCS is assigned to BIC. As such, the Director of BIC serves as the DOCCS ESP Committee Chairperson.

- A. Upon receipt of a suggestion from the Department of Civil Service ESP, DOCCS has 60 days to evaluate and respond to Civil Service. BIC will refer the suggestion to the appropriate Deputy Commissioner for evaluation. The suggestion is reviewed against the eligibility criteria and a response should be returned to BIC within 30 days with initial findings.
1. The suggestion reviewer (Deputy Commissioner) must decide whether it has merit or does not have merit. If the suggestion has merit, the reviewer must decide if it should be implemented.

If the suggestion is to be implemented, the area responsible shall evaluate the amount of first year monetary savings (if any) or other benefits, and include this information in the evaluation report. The evaluation report is sent to BIC so the DOCCS ESP Committee can review the suggestion and evaluation report, in preparing its recommendation. Any suggested award of \$500 or more must be approved by the Commissioner.

2. If the suggestion is not implemented, the evaluation report should explain the reason why it cannot or will not be implemented. The explanation should be professional, comprehensive, responsive, and explain exactly why the suggestion does not have merit or will not be used. The explanation will be forwarded by BIC, on behalf of the DOCCS ESP Committee, to the Department of Civil Service.
- B. After DOCCS completes its review, a decision is prepared and submitted to the Department of Civil Service ESP via the Civil Service Agency online submission protocol.

**VI. CIVIL SERVICE ACTION:** Upon receipt of DOCCS's recommendation, the Civil Service ESP reviews the recommendation, and if approved, forwards it to the Civil Service Commission. Suggesters are notified of the final determination by the Civil Service ESP. If the suggestion is implemented, the Civil Service Commission determines the appropriate award in accordance with Part 61, Merit Awards of Title 4 of the New York Codes, Rules, and Regulations (NYCRR), Department of Civil Service. If a cash award is granted, the Department of Civil Service will arrange for processing of the award payment. The award and certificate are sent to DOCCS for appropriate presentation to the employee.