



Chautauqua, Cattaraugus, Allegany and Steuben Counties

Southern Tier Extension Railroad Authority

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“This institution is an equal opportunity organization”

William Daly, Chairman

Richard Zink, Chief Executive Officer

STERA Whistleblower Policy and Procedures

Section 1. Purpose

It is the policy of this Public Authority to afford certain protections to individuals who in good faith report violations of the Public Authority’s Code of Ethics or other instances of potential wrongdoing within the Public Authority. The Whistleblower Policy and Procedures set forth below are intended to encourage and enable Board members, officers, employees, and others to raise concerns in good faith within the Public Authority and without fear of retaliation or adverse employment action.

Section 2. Definitions

- A. **“Good Faith”**: Information concerning potential wrongdoing is disclosed in “good faith” when the individual making the disclosure reasonably believes such information to be true and reasonably believes that it constitutes potential wrongdoing.
- B. **“Public Authority Employee”**: All board members, officers, and staff employed at this Public Authority whether full-time, part-time, employed pursuant to contract, employees on probation and temporary employees, and others affiliated with this Public Authority.
- C. **“Whistleblower”**: Any Public Authority Employee (as defined herein) who in good faith discloses information concerning wrongdoing by another Public Authority employee, or concerning the business of the Public Authority itself.
- D. **“Wrongdoing”**: Any alleged corruption, fraud, criminal or unethical activity, misconduct, waste, conflict of interest, intentional reporting of false or misleading information, or abuse of authority engaged in by a Public Authority Employee (as defined herein) that relates to the Public Authority.
- E. **“Personnel action”**: Any action affecting compensation, appointment, promotion, transfer, assignment, reassignment, reinstatement or evaluation of performance.

Section 3: Reporting Wrongdoing

All Public Authority Employees who discover or have knowledge of potential wrongdoing concerning board members, officers, or employees of this Public Authority; or a person having business dealings with this Public Authority; or concerning the Public Authority itself, shall report such activity in accordance with the following procedures:

- A. The Public Authority Employee shall disclose any information concerning wrongdoing either orally or in a written report to his or her supervisor, or to the Public Authority’s ethics officer, general counsel or human resources representative.
- B. All Public Authority Employees who discover or have knowledge of wrongdoing shall report such wrongdoing in a prompt and timely manner.
- C. The identity of the whistleblower and the substance of his or her allegations will be kept confidential to the best extent possible.

- D. The individual to whom the potential wrongdoing is reported shall investigate and handle the claim in a timely and reasonable manner, which may include referring such information to the Authorities Budget Office or an appropriate law enforcement agency where applicable.
- E. Should a Public Authority Employee believe in good faith that disclosing information within the Public Authority pursuant to Section 1(a) above would likely subject him or her to adverse personnel action or be wholly ineffective, the Public Authority Employee may instead disclose the information to the Authorities Budget Office or an appropriate law enforcement agency, if applicable. The Authorities Budget Office's toll free number (1-800-560-1770) should be used in such circumstances.

Section 4: No Retaliation or Interference

No Public Authority Employee shall retaliate against any whistleblower for the disclosure of potential wrongdoing, whether through threat, coercion, or abuse of authority; and, no Public Authority Employee shall interfere with the right of any other Public Authority Employee by any improper means aimed at deterring disclosure of potential wrongdoing. Any attempts at retaliation or interference are strictly prohibited and:

- A. No Public Authority Employee who in good faith discloses potential violations of this Public Authority's Code of Ethics or other instances of potential wrongdoing, shall suffer harassment, retaliation or adverse personnel action.
- B. All allegations of retaliation against a Whistleblower or interference with an individual seeking to disclose potential wrongdoing will be thoroughly investigated by this Public Authority.
- C. Any Public Authority Employee who retaliates against or had attempted to interfere with any individual for having in good faith disclosed potential violations of this Public Authority's Code of Ethics or other instances of potential wrongdoing is subject to discipline, which may include termination of employment.
- D. Any allegation of retaliation or interference will be taken and treated seriously and irrespective of the outcome of the initial complaint, will be treated as a separate matter.

Section 5: Other Legal Rights Not Impaired

The Whistleblower Policy and Procedures set forth herein are not intended to limit, diminish or impair any other rights or remedies that an individual may have under the law with respect to disclosing potential wrongdoing free from retaliation or adverse personnel action.

- A. Specifically, these Whistleblower Policy and Procedures are not intended to limit any rights or remedies that an individual may have under the laws of the State of New York, including but not limited to the following provisions: Civil Service Law § 75-b, Labor Law § 740, State Finance Law § 191 (commonly known as the "False Claims Act"), and Executive Law § 55(1).
- B. With respect to any rights or remedies that an individual may have pursuant to Civil Service Law § 75-b or Labor Law § 740, any employee who wishes to preserve such rights shall prior to disclosing information to a government body, have made a good faith effort to provide the appointing authority or his or her designee the information to be disclosed and shall provide the appointing authority or designee a reasonable time to take appropriate action unless there is imminent and serious danger to public health or safety. (See Civil Service Law § 75-b[2][b]; Labor Law § 740[3]).

This Policy was approved and adopted on October 21, 2013
by the Board of Directors of the
Southern Tier Extension Railroad Authority.

Thomas M. Barnes

Name

Corporate Secretary

Office

June 17, 2013

Date