



**Chautauqua, Cattaraugus, Allegany & 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 Management Evaluation Report**

**Year Ending December 31, 2013**

The following is a summary evaluation of the senior management of STERA for the year ending December 31, 2013. STERA has no direct employees. Instead, STERA contracts with the Southern Tier West Regional Planning and Development Board for staffing and administrative assistance. During the year ending December 31, 2013, Southern Tier West has two staff persons assigned to this STERA contract, Richard Zink and Thomas Barnes. These two individuals hold two of STERA's Corporate officer positions (Executive Director and Corporate Secretary, respectively, with the third Corporate officer position, Chief Financial Officer, being held by a STERA Board member, John Foels), and as such comprise STERA's senior management.

Following is a summary of STERA's expectations of senior management, as used as an evaluative tool:

**1. Job Knowledge and Skills**

**Evaluation:** Staff members have requisite specialized knowledge and skills to enable them to perform their jobs effectively.

**Deficiencies in job knowledge and skills:** None.

**2. Discharge of Responsibilities as Corporate Officers**

CEO  
Contract and Procurement Officer  
Records Management Officer  
Records Access Officer  
Secretary

**Evaluation:** Compliance with Bylaws, regulatory requirements, and public official laws. Ongoing improvements in provision of information to Board regarding Board and organizational responsibilities.

**Deficiencies in discharge of responsibilities as corporate officers:** None.

**3. Availability to Board Members for Assistance**

**Evaluation:** Availability during business hours for provision of assistance to Board members. Ongoing improvements in provision of information to Board regarding Board and organizational responsibilities.

**Deficiencies in availability to Board members:** None.

#### 4. Management of Projects

**Evaluation:**

- Extension of abatement period was managed successfully, culminating in execution of abatement extension agreement.
- FEMA project closeout is open at the end of 2013, owing to a change in policy by NYS OEM, not an issue with STERA management. The project was managed successfully, and completed in late 2012.
- Falconer track realignment and bridge repair project encountered difficulties with oversight of prime contractor WNYP, owing to NYS DOT failure to communicate expectations appropriately and in a timely fashion. However, STERA management successfully managed these issues, and the project was managed successfully and completed in late 2013.
- Five bridge project is underway and progressing satisfactorily, and completion is anticipated in 2014.
- The Buffalo line tie replacement and grade crossing repair project is anticipated to begin in 2014. A NYS DOT contract is not in hand as of the end of 2013.

**Deficiencies in management of projects:** None.

#### 5. Compliance

**Evaluation:** Ongoing efforts are being made to comply with current regulatory requirements and additional regulatory requirements as they become effective. Management staff continue on an ongoing basis to bring new compliance obligations and any deficiencies to the Board's attention.

**Deficiencies in overseeing organizational compliance:** None.

#### 6. Ethical Conduct, Transparency, Accountability, Fiduciary Responsibilities

**Evaluation:** Staff acts in a manner to adhere to these organizational principles.

**Deficiencies in conduct:** None.

#### 7. Training

**Evaluation:** All senior management has received required NYS ABO training.

**Deficiencies in training:** None.

#### 8. Summary Evaluation

**Evaluation:** Performance adequate.

**Deficiencies Identified:** None.

#### 9. Recommendations

Continuation of administrative services contract. Continued oversight of management performance by Governance Committee and Board.

Submitted to STERA Governance Committee for review on March 10, 2014.

*Thomas M. Barnes*

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Thomas M. Barnes  
STERA Corporate Secretary

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March 10, 2014

Date:

Approved by STERA Board of Directors on May 5, 2014.

*Thomas M. Barnes*

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Thomas M. Barnes  
STERA Corporate Secretary

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May 5, 2014

Date: