



Chautauqua, Cattaraugus, Allegany & Steuben Counties

Southern Tier Extension Railroad Authority

**Center for Regional Excellence, 4039 Route 219, Suite 200, Salamanca, New York 14779
TEL (716) 945-5301 FAX (716) 945-5550 TDD (716) 945-5301**

**"This institution is an equal opportunity organization"
John Margeson, Chairman**

STERA Management Evaluation

Year Ending December 31, 2012

The following is a summary evaluation of the senior management of STERA for the year ending December 31, 2012. 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, 2012, 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: FEMA project was managed successfully, and completed in late 2012.

Deficiencies in management of projects: None.

5. Compliance

Evaluation: Ongoing efforts are being made to comply with 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.

Approved by STERA Governance Committee on March 18, 2013.

Name: _____

Date: _____

Approved by STERA Board of Directors on March 18, 2013.

Name: _____

Date: _____