

Joint Board Meeting
July 12, 2021

Operations Action Item: Approve the ROOT Operations Master Service Agreement between the ORCA Director and the ORCA Agencies.

Purpose: To enter into a Master Service Agreement between the ORCA Agencies and the ORCA Director for the operations of the ORCA System by the Regional ORCA Operations Team (ROOT).

Under section 5.2.1.2 of the Interlocal Cooperation Agreement for Implementation, Operation and Maintenance of the ORCA System dated June 13, 2019 (the 2019 ILA), *the ORCA Director shall work with the Agency Business Managers and the ROOT to establish Service Level Agreements for approval by the Joint Board.*

This agreement is the “ROOT-Agency SLA” cited in Section 4.4.15 of the 2019 ILA, stating that the Joint Board is authorized to *approve or amend all necessary business rules, policies and Service Level Agreements (SLA) under this Agreement.*

Background:

- This Master Service Agreement for ROOT Operations (“Agreement”) formalizes the support services the ROOT provides to the ORCA Agencies.
- The Agreement provides for sub-agreements on an as-needed basis to detail the responsibilities, processes, procedures, and service levels the ROOT will provide during the term of this Agreement. The Agreement authorizes the Business Managers to enter into those sub-agreements.
- The Business Managers approve the Agreement.

Recommendation: The ORCA Director and Business Managers recommend approval and execution of the ROOT Operations Master Service Agreement.



ROOT OPERATIONS
MASTER SERVICE AGREEMENT

Between

ORCA AGENCIES

And

REGIONAL ORCA OPERATIONS TEAM (ROOT)

RSP1-00

1. PURPOSE

This Agreement is between the ORCA Agencies (Agencies), who are party to the Interlocal Cooperation Agreement for Implementation, Operation and Maintenance of the ORCA System, dated June 13, 2019 (2019 ILA), and the Regional ORCA Operations Team (ROOT), created by the 2019 ILA. The governance structure, terms, and conditions are defined in the 2019 ILA.

The purpose of this document is to define the services the ROOT will perform on behalf of the Agencies, as well as how the individual functions within each branch of the ROOT will be performed by individual roles on the team. This Agreement also seeks to describe the relationship between the ROOT and the Agencies as regional partners, and clearly and transparently lay out the responsibilities of all parties.

2. ROOT MISSION AND VISION

The ROOT intentionally developed a mission and vision to serve as cultural navigational tools to orient the team and the work around common values with common goals. The ROOT's mission and vision statements are foundational to the services the ROOT will provide to the broader ORCA Agencies and region.

2.1 MISSION

We unify the voices of our regional partners and provide an accessible, innovative, and easy to use payment solution for all transit customers.

2.2 VISION

We envision a world where payments enable mobility, where ORCA is integral to more customer journeys.

3. SERVICES

At the request of the Agencies and subject to their sole and exclusive right to control and manage their business, the ROOT will, in accordance with this Agreement, perform the services, functions, and responsibilities, including providing certain specified deliverables (collectively, the "Services") as described herein. Definitions are attached hereto as Appendix A for reference.

3.1 SUB-AGREEMENTS

Sub-agreements (service level agreements (SLAs) or joint procedures for operation) governed by this Agreement may be developed and maintained by the Agencies and the ROOT to further conceptualize, determine, define, and document specific scopes of services, roles and responsibilities, processes, and procedures as the parties deem necessary. The Agency Business Managers and the ORCA Director are authorized to enter into this sub-agreements

3.2 AGREEMENT MODIFICATIONS

The Services provided by the ROOT may be modified from time to time by amending this Agreement, to accommodate any other services reasonably requested by the Agencies in

connection with ORCA's business. The ROOT may, at the request of the Agencies or independently, make non-substantive adjustments to the Services described herein without amending this Agreement, in each case as they may evolve, be supplemented, enhanced, modified, or replaced, provided that the adjustments do not conflict with any provision of this agreement. Non-substantive adjustments may include reassigning Services within the ROOT or adding non-substantial duties to the Services. Adding substantial Services, however, will be considered a substantive change and will require a modification of this Agreement by amendment with support of the Agencies and by approval of the Joint Board.

4. SERVICE HOURS

4.1. GENERAL SERVICE HOURS

Staffed: Monday – Friday 0900 to 1700, except holidays

4.2. SERVICE DESK HOURS

Staffed: Monday – Friday 0800 to 1800, except holidays

4.3. NON-SERVICE HOURS AVAILABILITY

Available: 24x7 outside of staffed hours as point of escalation for priority issues as defined in the ROOT Operations Sub-agreement(s).

5. ROOT RESPONSIBILITIES

Pursuant to the Joint Board-approved ROOT staffing plan, the following functions are described for each branch and role.

As the ROOT is fully in service to the Agencies, many of the functions described herein will be performed in collaboration with the Agencies, consulting and working to build consensus with the Agencies as needed.

In order to provide the expected level of service to the region, many members of the ROOT will be cross-trained and required to support critical functions outside of their roles to ensure resource redundancy and to accommodate for flexible work schedules and paid time off.

The ROOT organizational chart is attached hereto as Appendix B for reference.

5.1. ROOT OVERSIGHT

The ORCA Director is the key partner and service provider to the Agencies, reporting to the ORCA Joint Board. ROOT Oversight consists of the ORCA Director and Regional Business Manager, who are responsible for overseeing and enabling all four branches within the ROOT.

ROLES AND FUNCTIONS

ORCA DIRECTOR

- Develop and set ORCA strategy in collaboration with the Agencies
- Oversee ORCA system operation and performance
- Oversee the administration of ORCA policies and business rules
- Oversee the performance of regional and commercial service agreements
- Own regional budget and administer and manage portions of the budget as needed
- Coordinate regional fare policies
- Serve as Joint Board Administrator and facilitate board procedure development, reporting directly to the Joint Board
- Present to stakeholders on various topics
- Oversee ORCA Advisory Committees (equivalent to Subject Area Advisory Teams)
- Develop and oversee ROOT staffing plan
- Onboard and manage performance of ROOT staff
- Approve contracts, change orders, and use of contingency within authority delegated by Joint Board, regularly reporting on decisions made within authority
- Establish and oversee regional and commercial service agreements
- Serve as point of escalation for various regional and commercial service provider dispute resolution processes and the Change Advisory Board (CAB), ensuring vendors are held accountable
- Participate in Failure Review Board and Dispute Resolution Board
- Collaborate with Regional Business Manager on ORCA process definition and creation
- Continuously engage with Agencies on ORCA policies, processes, and decision-making practices

- Serve as strategic partner to Agencies to ensure needs are met and voices are heard across all Agencies
- Establish and iterate future phase process
- Participate in future phase project selection
- Oversee and ensure compliance of ORCA system staff audits and assessments
- Oversee operations risk management
- Lead organizational change management
- Develop and set ROOT culture and strategic priorities
- Drive a culture of continuous process improvement across all ROOT branches to ensure efficiency and productivity
- Lead efforts to ensure the ROOT enables the Agencies with a system responsive to their needs, and in turn provide their customers with an equitable fare payment experience

REGIONAL BUSINESS MANAGER

- Serve as primary Agency Business Manager liaison
- Administer and coordinate ORCA Advisory Committees including establishment of charters and operating procedures
- Support change management processes and serve as alternate, as assigned
- Serve as legal and human resources liaison
- Administrate regional service provider agreements and SLAs, including:
 - ROOT Operations Master Services Agreement
 - Vending Machine Operation and Maintenance Agreement (Sound Transit)
 - Administrative Support Services Agreement (King County Metro)
 - Administrative Host Services Agreement (Sound Transit)
- Administrate vendor contracts and service level agreements
- Support the negotiation of vendor contracts, regional service provider agreements, service level agreements, task orders, and amendments
- Manage assigned contracts and vendor performance, including:
 - Third-party software licenses transferred to ORCA during operations
 - Operational consultants
 - Other system-related contracts such as messaging services, e-signature services, retail network, fare media, and vending machine paper stock
- Schedule and facilitate meetings, including taking minutes and tracking actions
- Develop dashboards/reports/presentations
- Assist with Joint Board administration, including:
 - Record keeping
 - Business rule administration
- Assist with ROOT staff onboarding
- Manage public records requests
- Support the development of and systematically oversee ROOT processes and procedures
- Administer the Regional SharePoint sites
- Administer and implement ROOT culture initiatives

5.2. FINANCIAL MANAGEMENT

The Financial Management (FinMan) branch of the ROOT is responsible for all regional financial aspects of the ORCA system including the settlement of funds among the ORCA Agencies, financial planning and reporting. Financial tasks require segregation of duties to ensure sustainable risk management and internal controls. This often requires two different individuals to complete a single transaction (one to enter and a second to post). Financial duties for the ORCA system require daily oversight and execution.

ROLES AND FUNCTIONS

DEPUTY DIRECTOR – FINANCIAL MANAGEMENT

- Oversee all aspects of regional financial management: services, operations, technologies, and analysis
- Manage and direct the team responsible for accepting, processing, and apportioning fare payments, including treasury, accounts payable, accounts receivable, operations accounting, and general and capital project accounting
- Oversee the centralized business account invoicing processes as defined in the business account agreement
- Onboard and manage performance of directly reporting ROOT staff
- Facilitate or participate in ORCA Advisory Committees, as assigned
- Oversee the regional process of expense allocations
- Establish processes, procedures and internal controls for the centralized financial management model, including all aspects of accounting, central payment gateway, and reconciliations for multiple channels and systems
- Lead the development of the ORCA regional budgets including development of annual budgets and long-term financial plan
- Prepare and present financial reports for the Joint Board and Agencies
- Collaborates on the development and implementation of budget policy updates and procedures
- Lead all aspects of financial reporting and annual audit processes
- Monitor and ensure health of financial management system and financial performance
- Ensure accuracy and integrity of financial data and reports
- Lead the financial planning and development for future-phase projects
- Manage accounting configuration for customer and business accounts
- Provide financial guidance on tariff management
- Provide financial guidance on fare/service changes
- Provide guidance on regional fare policy as it relates to ORCA system design and functionality
- Manage payment gateway, working through merchant bank and System Integrator on technical issues
- Collaborate with ROOT SysOps and Agencies when fraudulent actions have been identified

SENIOR FINANCIAL REPORTING ANALYST

- Lead, support, and participate in regional finance ORCA Advisory Committee

- Prepare monthly, quarterly and annual financial statements, including:
 - Budget Variance Reporting
 - Joint Board Quarterly Report
 - Joint Board Monthly Report
 - Quarterly Financial Statement Package
 - Annual Financial Statements and Audit Process
 - Capital project reporting
- Prepare the annual operating budget, including:
 - Work with ROOT staff to obtain the budget assumptions
 - Review, present and update consolidated budgets with Agency Business Managers
- Monitor through reporting and analysis, continuously seek improvements on processes related to:
 - System goodwill adjustments: develop and implement process to fund all goodwill adjustments
 - System discounts: ensure any discounts provided are according to policy
 - Refund processes: includes manual check and any manual adjustment or claims processing
 - Negative Balances: develop and implement process to address negative balances including collections
- Oversee accrual process
- Manage escheatment process and reporting
- Provide ad hoc reporting and analysis, as assigned
- Actively participate in monthly and quarterly close activities including preparing journal entries, working closely with external teams to obtain applicable month-end reporting, and performing certain reconciliations as needed
- Develop, maintain and continuously evaluate processes and procedures to maximize efficiencies, including:
 - Financial reports management
 - Reports content/format
 - Reports training
- Manage and respond to financial aspects of public records requests

SENIOR TREASURY ANALYST

- Manage daily banking relationship, including:
 - Review daily bank balances
 - Post daily ACH settlement process with Agencies (entered by Accountant II)
 - Post accounts receivable cash receipts (entered by Accountant II)
 - Post ACH, wires, payment files for accounts payable payments (entered by Accountant II)
 - Post customer check refunds
- Manage refund processes including refunds processed “outside” of the MobileVario system, including credit card refunds that are entered directly into the payment gateway (agency specific passes)
- Import transactions for credit reconciliations, including:
 - Investigate exceptions

- Process chargebacks, including process to collect
- Manage revenue services for the vending machine network, including:
 - Review cash balances in the vending machines daily to assess the servicing needs
 - Coordinate collection schedule with the armored car service
 - Review and reconcile invoice
 - Track and bill revenue services to then be billed to specific agencies
 - Order coins
- Provide ad hoc reporting and analysis
- Develop, maintain and continuously evaluate processes and procedures to maximize efficiency
- Actively participate in monthly and quarterly close activities, including:
 - Preparing and/or posting journal entries
 - Working with external teams to obtain applicable month-end reporting
 - Performing certain reconciliations as needed

SENIOR REVENUE ACCOUNTANT

- In coordination with the ROOT contract managers, monitor vendor purchase orders and assist with change order negotiation
- Monitor retailer activity, including:
 - Set up and maintain process for billing commissions to the Agencies for the retail network
 - Maintain reconciliations and follow up on issues
- Responsible for posting accounts receivable/payable for the operations of the ORCA system, including:
 - Post all invoices (i.e. enter accounts payable)
 - Post all invoices to Agencies for their share (i.e. create accounts receivable invoices for Agency share of expenses)
 - Submit regional invoices to Agencies
- Support and participate in business account and business account pricing ORCA Advisory Committees, including:
 - Participate in the business account pricing process, as needed
 - Maintain the area Passport pricing within the CRM
- Oversee billing process for the regional business account program utilizing the ORCA fare collection system, including:
 - In coordination with the Accountant II (Billing Analyst), ensure all invoices generated by MobileVario are posted timely in Sage
 - Process and apply payments from customers
 - Proactively monitor the accounts receivable aging to help with the collection activities for transit customers
 - Work with regional operations and Agency business account departments to identify and drive process improvements throughout the order to cash cycle
 - Respond to questions from Agency business account staff on business account customer finances and directly to business account customers as needed
 - Maintain business account reconciliations
- Post credit memos for business accounts

- Provide ad hoc reporting and analysis
- Develop, maintain and continuously evaluate processes and procedures to maximize efficiencies
- Actively participate in monthly and quarterly close activities including preparing and/or posting journal entries, working closely with external teams to obtain applicable month-end reporting, and performing certain reconciliations as needed

ACCOUNTANT II (BILLING ANALYST)

- Monitor and post all invoices generated by MobileVario
- Enter all cash receipts
- Enter all ACH or wire information into the banking platform
- Enter invoices and credit memos not generated by the ORCA System
- Enter manual check refunds
- Review the accounts receivable aging and coordinate with Agency business account staff on collections
- Coordinate updates of business account information not updated automatically through the CRM, such as payment terms
- Provide support and reporting to business account lead agents
- Assist in the annual audit process
- Enter all accounts payable invoices into Sage
- Assist in month-end close process and reconciliations as needed
- Create the Sound Transit bill for Sound Transit provided services and monitor purchase orders and billing of Sound Transit contracts
- Follow up on negative balances

5.3. SYSTEM OPERATIONS

The System Operations (SysOps) branch is responsible for ensuring the reliable operation of the ORCA system. SysOps will operate a regional service desk and within an ITIL framework will, provide services such as system/service monitoring, incident management, problem management, general system administration, as well as change and release management. Additional services include information security management aligned with ISO27001, as well as vendor performance management, and KPI reporting.

FUNCTIONS

ORCA SYSTEM OPERATIONS MANAGEMENT

- Onboard and develop SysOps staff
- Facilitate or participate in ORCA Advisory Committees, as assigned
- Develop and implement joint operational procedures
- Provide technical and system operations input as a member of the Failure Review Board
- Lead the Change Advisory Board
- Manage ORCA fare-system related information security audits
- Respond to public records requests associated with system operations
- Measure, report, and ensure compliance of non-vendor system operations KPIs
- Develop continuous service improvement plans
- Administer and manage the SysOps budget
- Evaluate and implement operational cost reduction initiatives
- Administer and manage system operations disaster recovery and business continuity plans

O&M VENDOR OVERSIGHT

- Measure, report, and ensure compliance with established KPIs
- Validate system operations for compliance including system monitoring, fraud protection controls, capacity planning, disaster recovery, backup, etc.
- Develop and maintain joint procedures manual with clearly defined roles, responsibilities, and integrated processes
- Track and escalate mitigation actions
- Ensure vendor monitoring and support processes meet current best-practices
- Identify, track, and escalate vendor requests, incidents, and problems within the back-office, system tools. For field devices this is done in conjunction with the Agencies.
- Provide active input and facilitate regional decision-making
- Manage vendor contracts, as assigned
- Manage equipment order processing and coordination for spare parts and vending machine consumables
- Manage regional service provider agreement for vending machine operation and maintenance, including:
 - Monitoring service levels on behalf of the Agencies
 - Developing joint procedures

- Developing task orders for out of scope services including vandalism repairs, vending machine installations, etc.

SYSTEMS ADMINISTRATION

- Provide helpdesk for agency questions (to be defined further in the ROOT Operations Sub-agreement(s), as they will vary by type of issue/system)
- Define and report the performance of agency managed systems and networks on which the ORCA system depends
- Manage access controls via group configuration and policies
- Manage system access, training, service issues, local access, and other operational needs for revenue servicing vendor
- Monitor ORCA system, third-party systems and tool performance utilizing Systems Integrator-provided monitoring tools
- Create supplemental tools to augment and/or audit ORCA system, third-party systems and tools
- Monitor the performance of third-party services and service providers, such as Estrada, Unisys, Twilio, Ready Credit, Azure DevOps environments, ORCA websites, etc.
- Monitor systems and transactions for fraudulent activity (in partnership with ROOT Finance and the Agencies) by utilizing existing tools and/or creating new tools
- Monitor ORCA systems security in cooperation with InfoSec Manager and INIT
- Monitor field device performance and update AIM in partnership with the Agencies
- Monitor and maintain Apple/Google dev. accounts for the mobile app
- Modify field device configuration parameters (archives) in coordination with the Agencies
- Perform manual configuration changes to fare tables in the Tariff Management System in partnership with the Agencies and Finance when required
- Release customer website updates via CMS
- Configure or create automated processes in the ORCA system and other systems to ensure intelligent field-device alarm notifications and incidents
- Manage cryptographic keys
- Manage offline environment for cryptographic keys
- Create or modify notification forms in Form Designer
- Manage test lab and ORCA server maintenance including patching, application and operating system updates
- Monitor and maintain components of the DARE system, including the Power BI Premium Services environment, Enterprise Data Warehouse, and Azure Active Directory
- Monitor DARE notifications/logs and resolve errors associated with extract-transform-load (ETL), integrity checks, and other failures
- Recover corrupt DARE data
- Ensure successful DARE database backup
- Manage report maintenance for DARE, VASA, etc.
- Manage security keys, ORCA domains, and other regional ORCA system assets
- Load and configure fare media

INCIDENT AND PROBLEM MANAGEMENT

- Initiate availability, performance, and security incidents for test and production environments in partnership with the Agencies
- Fulfill the roles and responsibilities of Incident Manager for all system outages, degradations, security, fraud incidents (in partnership with the INIT Incident Manager for the ORCA system and third-party controlled systems)
- Triage incidents such as network, back-office, field device, etc.
- Aggregate common incidents and report problems to vendors and service providers
- Develop, administer, and test ORCA System DR/BCP plans
- Deploy emergency website banner updates
- Communicate and/or escalate major outages
- Communicate Root Cause Analysis (RCA) for major or priority incidents to partner agencies
- Communicate status of all supported systems via dashboard
- Coordinate and drive repairs to vending machines that result from vandalism, which includes requesting proposals, ordering parts, generating purchase orders/invoices, scheduling vendors, and processing invoices

REQUEST FULFILLMENT

- Manage incoming requests for report generation, website updates, fare changes, access, and technical queries
- Manage website CMS updates
- Manage IP address ranges
- Manage Crypto-graphic keys

CHANGE MANAGEMENT

- Ensure change process compliance between all parties
- Coordinate change evaluation and approval
- Aggregate Agency change input
- Maintain and coordinate change calendar
- Evaluate DARE and other directly supported system technical impacts and development requirements

RELEASE MANAGEMENT

- Monitor test and production releases
- Verify post-release performance
- Track and communicate release notes, progress and outcomes
- Manage rollback release process in conjunction with vendors and Agencies
- Coordinate Agency testing and feedback loop with INIT's hot-fix process
- Participate in and contribute to release testing including providing use cases and system testing
- Verify and load fare media data
- Release field device archives (i.e. new configurations) in partnership with the Agencies
- Transition Google and Apple app store production releases from UAT to production, as well as verification and limited distribution to consumers

CONTINUAL SERVICE IMPROVEMENT

- Ensure secure, efficient, and reliable ORCA system operation
- Conduct trend analysis including system performance, field device defects, and cellular network impacts
- Develop new and/or evolve KPI's, processes and systems
- Evaluate DARE database storage strategies and costs and evolve to meet current and future needs
- Identify and lead improvement initiatives in performance, usability, and design
- Automate processes through system integration for incidents, asset updates, etc.
- Identify, track, escalate, prioritize and communicate bug fixes
- Provide regional technical support and advice for Agency business needs
- Provide leadership in system operations and information security risk management including development and oversight

INFORMATION SECURITY MANAGEMENT

- Create and maintain the ORCA Information Security Policy
- Create and maintain ORCA ISMS processes, including:
 - ISMS controls for build-Out
 - ISMS controls for operations
- Develop ORCA information security plans and provide ongoing evaluation of:
 - Payment Card Industry (PCI) standards compliance
 - Legal personally identifiable information (PII) security
 - Network security
- Manage Agency coordination for compliance to ISMS Controls and Security Policy
- Manage security risks, including:
 - Vendor risk management
 - Security-related SLAs
 - Coordination with service team
- Advise on security controls for payment systems and other future-phase project deliverables
- Respond to security incidents
- Provide Information Security technical expertise to the Change Advisory Board
- Lead internal information security compliance and external audit efforts
- Manage approvals for Identity and Access Management (IAM) and Access Control Administration
- Work with regional CISO in recommending solutions for information security issues and initiatives

ROLES

SENIOR IT OPERATIONS ENGINEER

- Develop and configure operational systems and tools such as service desk, monitoring, etc.
- Integrate and automate service desk, agency systems, dashboard, and notifications
- Problem management

- Serve as ROOT technical subject matter expert for all ORCA architecture, operations, and systems
- Lead ROOT testing and release ORCA system-related changes
- Lead continuous service improvement in areas including Azure, DARE, INIT controlled, future phase projects

SENIOR BUSINESS SYSTEMS ANALYST

- Lead process development
- Provide report development and analytics
- Optimize processes and systems utilizing business intelligence
- Administrate changes including tracking, gaining approvals, and calendaring
- Produce major incident reports, root cause analysis, and mitigation tracking
- Conduct disaster recovery and business continuity planning, administration, and testing

SENIOR SYSTEM ADMINISTRATOR AND SYSTEM ADMINISTRATOR

- Manage the service desk including inbound communications, outbound notifications, incident management, access control, and request fulfillment
- Conduct system monitoring and daily dashboard reporting
- Manage tariff system updates
- Maintain and support (tier 1 and tier 2) DARE database and Azure
- Manage configuration and releases
- Provide tier 2 support for field device issues in collaboration with the Agencies
- And many other functions within Systems Administration, Incident Management, Request Fulfillment

INFORMATION SECURITY MANAGER

- Represent the Agencies in the technical evaluation of all proposed actions and activities that may have an impact on the security of the ORCA system
- Other duties as described in Information Security Management functions above

5.4. MARKETING AND COMMUNICATIONS

The Marketing and Communications (MarCom) branch coordinates with the Agencies to develop the strategy, planning and execution of customer-facing communications through all marketing channels. The customer-facing communications will aim to both promote ORCA and help educate customers on how to use ORCA. The process includes the creative process: concept development, content creation, design and production for a range of assets including, but not limited to, website content, product content, brochures, press releases, videos, social media, email and advertising. MarCom is also responsible for earned and paid media campaigns including media strategy, media buying, measurement, and performance analysis. Each project and campaign will draw on the appropriate mix of marketing tactics from the below menu of capabilities and will be optimized based on customer and stakeholder feedback to ensure efficiency and effectiveness.

The ROOT's MarCom team will work with the assistance of vendors to scale up creative and media activities during critical times, including launch, new feature releases, partner launches, retail program development and beyond. In addition to times of high activity, the MarCom team is capable of scaling down and managing "baseline" activity internally.

FUNCTIONS

MARKETING STRATEGY AND PROMOTION

- Develop marketing strategies:
 - Customer definition
 - Customer feedback/satisfaction
 - Acquisition
 - Growth
- Develop product marketing for future-phase projects
- Develop and coordinate marketing plan
- Proactively develop marketing outreach given anticipated customer hardships (e.g. group fares, retail products, etc.) to ease customer challenges
- Develop and manage campaigns and promotions, including:
 - ORCA system launch, including full-scale marketing campaign pre-launch and post-launch
 - Baseline, including ongoing, mostly in-house activities, with contractor support for social, email, content
 - Opportunistic, including scale-up activities when funds are available for new product and feature launches, grants, community outreach, etc.
- Manage vendor contracts for marketing support, including:
 - Brand identity and illustrations
 - Copywriting and content
 - Web design and development
 - Product and material design
 - Translation services
 - Creative services
 - Media services
- Coordinate retail network marketing with retail network vendor, including:

- Providing retail marketing kits including design and print, to retail network vendor for distribution
- Identify opportunities, including scale-up activities if retailers wish to do promotion and additional resourcing and/or funding is available from the Agencies, retailers or other sources
- Coordinate with equity and inclusion departments to include findings and considerations in marketing plans
- Coordinate partnership marketing with ecosystem partners such as Google, Apple, etc., including:
 - Relying at least 50% on Agency contributions of funding and resources
 - Creating and maintaining content for ORCA app store profiles
- Coordinate with Regional ORCA Advisory Committees, including:
 - Regional Marketing Committee
 - Business Managers
 - PIO team
 - Business Accounts Advisory Committee
 - Customer Service Advisory Committee
 - Others, such as web group/digital
- Support Agency customer service staff, as needed
- Support unified messaging, issue management and product positioning, as needed
- Support creation and maintenance of Q&As for common customer problems and questions
- Place messages in support of marketing objectives on IVR system as agreed on with Agency customer service leads
- Design ORCA Marketing Materials in collaboration with Agency stakeholders in coordination with the Agencies, including:
 - Rider
 - Business
 - Community
 - Initial delivery and ongoing management and updating of catalogue
- Update and maintain branding UI/UX, including:
 - Focus on content and brand elements
 - Support discussions on user flows and functionality in collaboration with ROOT Program Management
- Iterate and maintain ORCA style guide, including:
 - Maintaining and updating brand guidelines
 - Maintaining brand library of visual assets
 - Providing feedback on agency-created assets
- Manage ORCA content translation, including:
 - Managing vendor contract with translation provider to deliver required translations
 - Maintain a glossary of translated transit and technical terms.
 - Work with local translators to provide a “second opinion” translation review as resources and funding are available

COMMUNICATIONS AND PUBLIC RELATIONS STRATEGY

- Develop public communication strategy, including development of key messaging and positioning for public audiences
- Develop strategy for obtaining customer feedback regularly, for channels such as surveys, customer communications, community outreach, and feedback from ORCA advisory committees, as a complement to ORCA Agencies' customer feedback practices
- Develop and coordinate public communications plan, including:
 - Maintain marketing calendar for key public relations messages and timing
 - Develop baseline content for press releases, with support for completion from Agency Public Information Officers
 - Provide background content and support to Agency Public Information Officers in areas such as Q&A, product specifics, and key issues
 - Coordinate responses to media inquiries
 - Develop messaging in response to service alerts and system issues and distribute through customer communications channels
- Manage public communication, including:
 - Proactively communicate launch information through established Agency Public Information Officer channels
 - Assess outcomes and reactively adjust customer information
 - Coordinate outreach efforts as landscape changes (e.g., technology, mobility, economics)
 - Develop messaging as new features/phases are rolled out
 - Respond to customer inquiries and feedback.
 - Proactively engage in outreach to community groups and stakeholders

DIGITAL MARKETING

- Maintain monthly marketing calendar in line with baseline marketing activities, including email, social, PR and content
- Coordinate and facilitate content distribution through Agency channels including agency websites, social media accounts, email distribution lists and other customer touchpoints
- Manage website content including news and blog posts
- Develop content for functional web changes and updates
- Develop content for mobile app releases
- Develop content for CRM such as email triggers from account actions

ROLES

MARKETING AND COMMUNICATIONS MANAGER

- Set strategy for the marketing program
- Manage MarCom team member performance
- Develop vision for customer-centric product marketing program
- Participate in development of future-phase projects
- Create and communicate marketing plans

- Report progress to and gather feedback from stakeholders, Business Managers, oversight boards, and Agency executives
- Deliver on requirements for strategic partner marketing programs, including retail and mobile platforms
- Lead budgeting, procurement, vendor selection and relations
- Lead community outreach strategy to engage customers in an effort to improve communications and marketing in consultation with Agency Business Managers and Public Information Officers
- Guide process for campaign investments, ensuring a satisfactory return on investment
- Develop creative briefs and work orders
- Own delivery of high-quality deliverables on time and on budget across all projects
- Directly manage multiple projects

MARKETING PROJECT MANAGER

- Own the organization, timeline and execution of all marketing projects
- Communicate, update and deliver on all components of the marketing calendar
- Manage day-to-day interactions with vendors
- Coordinate and document meetings with Agency stakeholder groups, ensuring timely follow up actions
- Select and implement marketing and communications software and tools
- Manage invoices and track budget estimates versus actual spending
- Contribute to hands-on delivery of marketing assets with skills including copywriting, basic design layout, social and email marketing management among others
- Receive maintain and analyze performance reports and identify areas for improvement and reinvestment
- Maintain baseline marketing content and campaigns as required by the program schedule using CMS tools

5.5. PROGRAM MANAGEMENT

The Program Management Branch is responsible for delivering all future-phase projects, enhancements, and integrations and includes system lifecycle planning.

FUNCTIONS

PRODUCT DEVELOPMENT

- Maintain product vision (i.e. guiding principles) in coordination with agencies, including awareness and assessment of new technologies, products, industry trends
- Manage future-phase project idea pool, including:
 - Gather and track ideas
 - Oversee definition of ideas
 - Oversee prioritization of ideas
 - Develop an iterative and transparent project selection process
- Maintain release/feature roadmaps in coordination with agencies
 - System enhancements ((e.g. website, mobile app, virtual card solutions)
 - Large projects
- System lifecycle planning and management

PROJECT MANAGEMENT

- Project planning
 - Requirements gathering
 - High-level design
 - Scope of work development
 - Procurement
- Project execution
 - Manage project implementation (design, development, testing, etc.)
 - Manage scope, schedule, budget
 - Oversee quality
- Project closeout
 - Handover to operations
- Vendor and consultant management (capital projects)
 - Participation and escalation for Dispute Resolution Board (DRB)

INTEGRATIONS WITH ORCA

- Oversee and support project definition
- Oversee and support technical coordination
- Oversee and support implementation and testing

OPERATIONS SUPPORT

- Participate on Change Advisory Board (CAB) in a Supporting role
- Support the change and problem management process that is managed by SysOps
- Develop and support the equipment ordering process in collaboration with SysOps
- Technical management of ecosystem partners (Google, Apple, etc.) in collaboration with MarCom

6. ORCA AGENCY RESPONSIBILITIES

The Agencies elected to centralize the management and operations of the ORCA system through the ROOT in partnership and collaboration with the Agencies. The Agencies will ensure that their internal stakeholders and technology are aligned with the requirements of the ORCA system and will provide the information, collaboration, and participation that is necessary to equip and enable the ROOT to successfully deliver the ORCA mission.

6.1. AGENCY OVERSIGHT

AGENCY BUSINESS MANAGERS

- Serve as liaisons to Joint Board members, including:
 - Briefing Joint Board members for upcoming Joint Board meetings
 - Providing feedback between Joint Board members and the ROOT
- Review and recommend to the Joint Board budgets, policies, business rules, and other decisions
- Make decisions within delegated authority for contract, budget, and business rule approvals
- Participate in regional meetings and collaboration, as needed
- Articulate business requirements for each Agency
- Support creation and definition of processes and joint procedures in collaboration with ROOT staff
- Represent Agencies in any applicable Regional Service Provider Agreements
- Champion and communicate changes within Agencies as Change Agents
- Identify key staff and subject matter experts within each Agency to participate in ORCA Advisory Committees
- Serve as key ORCA point of contact on behalf of Agencies and manage coordination across Joint Board, steering committees, ORCA Advisory Committees, subject matter experts, and other stakeholders within their Agency
- Share ORCA-related public records requests with ROOT for regional tracking
- Share ORCA-related subpoenas and warrants with ROOT for regional tracking and response coordination (referencing BR)
- Perform the duties as described in the 2019 ILA (Joint Board and Business Managers)

6.2. FINANCIAL MANAGEMENT

TREASURY

- Depositing checks, money orders and cash related to sales at the Customer Service Terminals into Agency bank accounts. The daily settlement process will transfer those funds collected into the regional accounts
- Maintain an account with funds available for the daily settlement process
- Record settlement into Agency general ledgers

- Maintain Agency records and reconciliations related to third-party vouchers
- Pay invoices that account for the Agencies' share of ORCA capital and operating costs
- Report any discrepancies with financial data to FinMan immediately
- Review and approve manual adjustments
- Comply with established business procedures for customer refunds, including:
 - Ensuring segregation of duties
 - Reporting instances of fraud to ROOT immediately
 - Being responsible for the refunds of products already recognized as revenue
 - Goodwill policy, i.e. how goodwill adjustments are funded

BUSINESS ACCOUNTS

- Assign Business Account Lead Agents business account management, as described in the Business Account lead agency agreement, but including, as examples:
 - Managing the relationships and contracts with business account customers
 - Collaborating on communications plans or procedures related to customer communication or notifications
 - Communicating unique invoicing scenarios to FinMan, such as:
 - Consolidated invoices
 - Creating incentive credit memos to offset cost of business contracts
 - Updates on invoicing terms

AGENCIES PROVIDING REGIONAL SERVICES (KING COUNTY METRO & SOUND TRANSIT)

- Comply with the terms and conditions of the respective Regional Service Provider Agreements and related service level agreements

6.3. SYSTEM OPERATIONS

ADMINISTRATIVE

- Assist in the development of processes, tools, and automation
- Integrate Agency systems where possible (i.e. asset management, change management, incident)
- Inform the ROOT of future-planned internal technological, policy, process, and organizational changes that may affect the ORCA system
- Assist in the development, administration, and testing of fare-system disaster recovery plans
- Control Agency employee access to fare-system tools and applications via Active Directory and other provided systems
- Provide input as required for the creation or modification of ORCA system reports
- Assist in the resolution of ORCA system major outages and/or degradations

FIELD DEVICE MAINTENANCE

- Monitor and respond to field device alarms in MobileSymon
- Monitor Agency ORCA supporting networks

- Create incidents in AIM for field device issues or provide criteria for automation
- Perform tier-1 device troubleshooting and preventative maintenance
- Contact ROOT for tier-2 escalation of field device issues to INIT
- Provide timely updates to incidents and asset data changes in AIM
- Set device status prior to performing service-affecting maintenance
- Facilitate repair and return of defective equipment pursuant to established process
- Inform ROOT of repeat problems and suspected defects
- Upload all field device asset details for new field devices to AIM
- Manage all non-AIM assets in agency Mobile Data Management (MDM) systems
- Provide troubleshooting resources such as logs and on-site technicians for field device/back-office issues when requested by the ROOT or vendors

CHANGE MANAGEMENT

- Submit change requests for changes to ORCA field device or supporting software, hardware, and networks
- Participate in the Change Advisory Board
- Provide timely status updates on the progress of changes
- Assist in the post-release evaluation of fare-system changes (back-office/field) in conjunction with the ROOT, INIT, and other suppliers
- Provide the ROOT with as much advanced notice as possible for planned maintenance on systems/equipment that support ORCA systems and equipment
- Provide rapid notification to the ROOT of unplanned outages to systems/equipment support ORCA systems and equipment

BACK-OFFICE SYSTEM AND TOOLS

- Notify ROOT of potential issues observed in the ORCA back-office systems
- Request access to ROOT-administered back-office system/tools via ROOT service requests
- Assist ROOT with analysis of fare system performance by providing data, reports, and expertise

TARIFF MANAGEMENT

- Provide advanced notification of updates to GTFS or other route, stop, line data
- Submit change requests for modifications which require updates to the tariff system configuration
- Perform testing of tariff changes in conjunction with the ROOT prior to the production release

TEST AND RELEASE MANAGEMENT

- Perform pre-release testing (in conjunction with ROOT) of all potential software/hardware/configuration release candidates
- Assist with monitoring post-release system/device performance
- Perform hands-on field equipment software/hardware updates where necessary

INFORMATION SECURITY

- Supply documentation demonstrating compliance with all information security policies

- Immediately notify ROOT of suspected information security incidents
- Support information security audits
- Ensure appropriate access management administration controls

6.4. MARKETING AND COMMUNICATIONS

- Timely feedback on marketing materials and strategic plans (both regularly scheduled and impromptu to meet delivery timelines and project needs)
- Agency ownership of distributing ORCA content produced by ROOT marketing via their existing communication channels, per the ROOT marketing strategy and marketing calendar(s) (e.g. Social, Email, Text, Printed Brochures, Station and Vehicle Signage)
- Support community outreach including arranging meetings with community members and stakeholders, and providing ambassador staff for live customer support and communications
- Collaborate and distribute ORCA messaging through existing paid media channels in combination with ROOT marketing paid campaigns (e.g. combining owned inventory on each Agency's transit system with campaigns regionally-paid for and managed by ROOT)
- Actively invite MarCom team members to participate in front-line customer engagement opportunities to gain customer insight and feedback on marketing activities (e.g. Business Account meetings, customer service center/hotline listening opportunities, open houses, etc.)

6.5. PROGRAM MANAGEMENT

- Participate in the generation, ranking, and selection of later phase projects ideas
 - Iterative review of ideas
 - Support project idea definitions
- Actively participate in future-phase projects
 - Serve on project steering committees as applicable
 - Identify Agency sponsors who can actively participate and bring a unified message from their agency
 - Ensure agency subject matter experts are available to support workload
 - Define Agency project requirements
- Secure funding for future-phase projects as agreed to, supported by, and applicable to agencies, as well as an allotment for system enhancements
 - Meet agreed project schedules for any Agency-dependent work
- Provide regular updates on Agency expansion projects for equipment forecasts and orders

6.6. OTHER AGENCY RESPONSIBILITIES

ORCA CUSTOMER SUPPORT

- Serve as point of contact for all incoming customer queries
- Train front-line staff; notify front-line staff of system changes as needed

- Own monitoring and resolution of inbound ORCA customer questions and resolution of customer support needs via social media, email, and other relevant communication channels
- Escalate individual issues to INIT
- Notify ROOT of potential systemic or repetitive/unresolved individual customer issues
- Share ORCA-related query themes with regional customer service staff through ORCA Advisory Committees, coordinating and problem-solving together



The following parties are in agreement on the ROOT's operation of ORCA as described in this document.

COMMUNITY TRANSIT

By:

Name: Tim Chrobuck

Title: Chief Technology Officer

Date:

KING COUNTY METRO

By:

Name: Christina O'Claire

Title: Mobility Division Director

Date:

PIERCE TRANSIT

By:

Name:

Title:

Date:

WASHINGTON STATE FERRIES

By:

Name: Patty Rubstello

Title: Assistant Secretary

Date:

EVERETT TRANSIT

By:

Name: Tom Hingson

Title: Transportation Services Director

Date:

KITSAP TRANSIT

By:

Name: John Clauson

Title: Executive Director

Date:

SOUND TRANSIT

By:

Name: Mary Cummings

Title: Deputy Chief Executive Officer

Date:

REGIONAL ORCA OPERATIONS TEAM

By:

Name: Brittany Esdaile

Title: ORCA Director

Date:

APPENDIX A – DEFINITIONS

2019 ILA: The Interlocal Cooperation Agreement for Implementation, Operation and Maintenance of the ORCA System, dated June 13, 2019.

Agency Business Manager: The person designated as the main point of contact for their respective Agency.

Business Continuity Plan (BCP): A document that consists of the critical information the ORCA system and Agencies will need to continue operating during an unplanned event.

Change Advisory Board (CAB): A group of people that assist the change management process with the assessment, authorization, prioritization, and scheduling of ORCA system changes.

Content Management System (CMS): A computer software used to manage the creation and modification of digital content.

Disaster Recovery (DR): A set of policies, tools, and procedures to enable the recovery and continuation of vital technology infrastructure and systems following a natural or human-induced disaster.

Dispute Resolution Board (DRB): A form of alternative dispute resolution.

Failure Review Board (FRB): Sometimes referred to as Problem Review Board, a group of people that review system problems or failures, approve resource utilization, prioritize what to correct, and in some cases approve the cost/budget to correct.

Identity and Access Management (IAM): The discipline that enables the right individuals to access the right resources at the right times for the right reasons.

Key Performance Indicator (KPI): A quantifiable measure used to evaluate the success of an organization, employee, etc. in meeting the objectives for system performance.

ORCA Agencies or Agencies: The transit agencies who are party to the 2019 ILA.

ORCA Advisory Committee (OAC): A regional team of subject matter experts with representatives from the Agencies, similar to Subject Area Advisory Teams in Legacy ORCA.

Payment Card Industry (PCI) Compliance: A mandate by credit card companies to help ensure the security of credit card transactions in the payments industry.

Personally Identifiable Information (PII): Information that directly identifies an individual or by which an agency intends to identify specific individuals in conjunction with other data elements.

Regional ORCA Operations Team (ROOT): Those employees who comprise the centrally-managed dedicated team responsible for planning, administration, management, and operations of the ORCA system and those members of the ORCA project team.

Regional Chief Information Security Officer (CISO): The employee serving the region on behalf of the Agencies as ORCA's chief information security officer.

Root Cause Analysis (RCA): A systematic process for finding and identifying the root cause of a problem or event.

APPENDIX B – ROOT ORGANIZATIONAL CHART

