

COUNCIL MEETING - 11 OCTOBER 2019

# .nz Registry Replacement Project: Goals and Governance

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<b>AUTHOR:</b>	Dave Baker, Jordan Carter
<b>ITEM:</b>	2.1
<b>FOR:</b>	Council
<b>PURPOSE:</b>	To seek agreement to the goals to guide the .nz Registry Replacement Project, the governance structure and the budget envelope for the next phase.
<b>DATE WRITTEN:</b>	3 October 2019

## Introduction

At the August 2019 Council meeting the .nz Registry Replacement Project Initiation paper was presented.

Council acknowledged:

- the need to replace the Shared Registry System, and asked the Chief Executive to deliver a replacement.
- that a replacement registry system will not include the SRS Protocol.

Council agreed in principle that implementation of the updated .nz policy framework resulting from the .nz Policy Review will not be done in the current Shared Registry System.

It was noted that staff will initiate the project to replace the SRS within existing budget limit, but that once the project is developed, Council will be asked to agree an overall cost envelope as part of a Business Case analysis.

This paper sets out the proposed project goals, the project governance structure and a high level project approach that have been developed which will enable market engagement to obtain Expressions of Interest (EOI) to enable the project to complete a multi-staged Business Case analysis for the replacement project.

At the end of the Expressions of Interest market engagement phase, Council will be provided the shortlist of preferred solution providers for the next market engagement phase of Request for Procurement (RFP) and an indicative multi-staged Business Case.

## Project Goals

The systems, technology and services required for the .nz Registry Replacement Project must support InternetNZ to:

1. Implement a registry system that is flexible, efficient and reliable, to meet the current and future needs of our users.

What does a contemporary registry system look like for New Zealand?

*Points to consider: contingency and emergency planning, data integrity, data sovereignty, intellectual property rights, maintenance and support, and how the registry system can be easily transported to another platform or location. Note: we don't want to be at the bleeding edge of technology but instead want a contemporary, up-to-date, proven and tested solution. It should be a system that can demonstrate success in importing registry data from another system and exporting registry data to another system.*

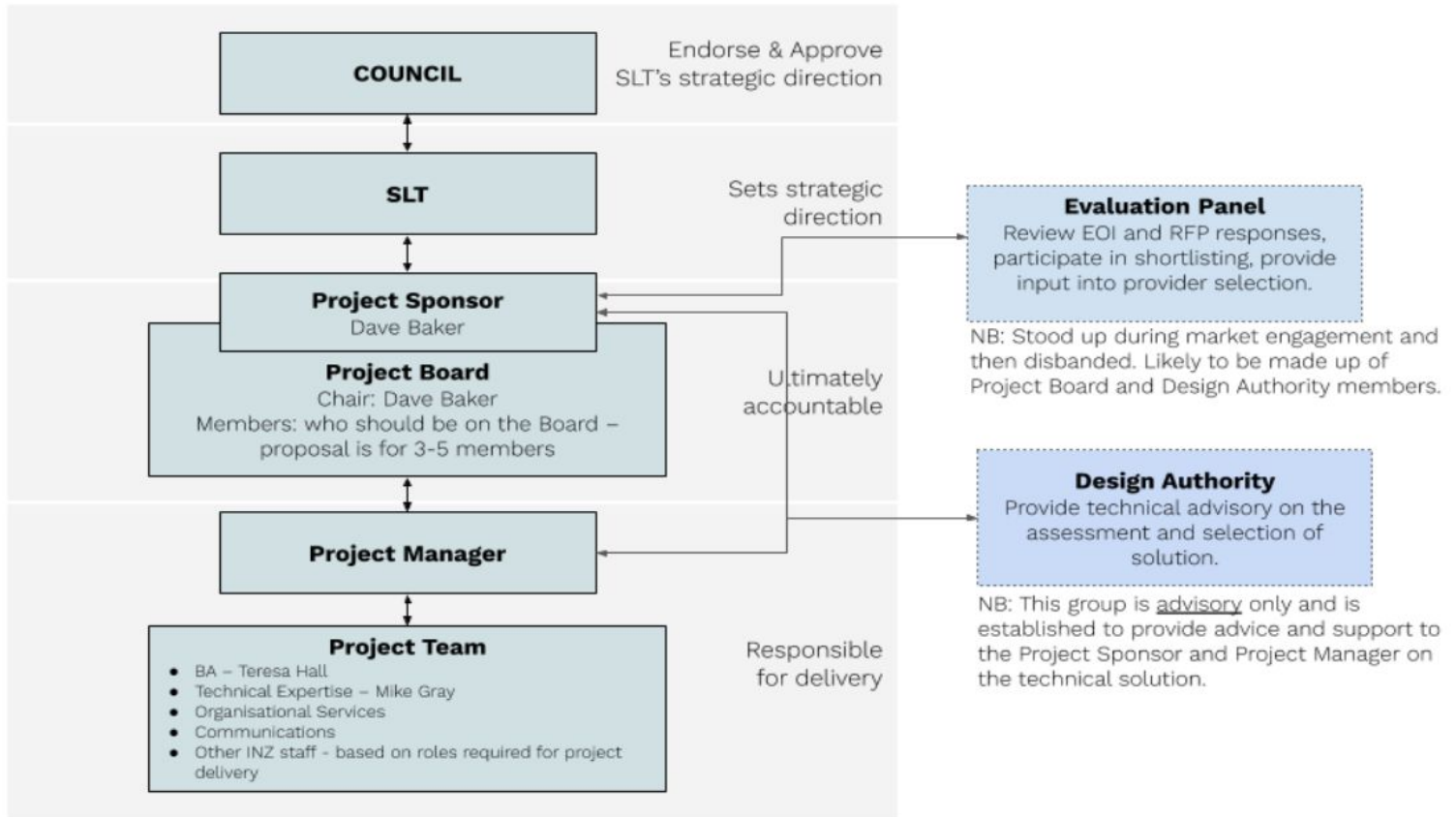
2. Strengthen the trust and confidence of the New Zealand Internet community in InternetNZ, consistent with our stewardship obligations.

*Points to consider: InternetNZ standing in the community; to continue to be the trusted guardian. Deliver to InternetNZ's mission and strategy.*

3. Strengthen the trust and confidence of New Zealanders in .nz as the top level domain of choice.
4. Ensure privacy, and ensure that the security of data and systems in .nz serves the interest of users and is designed to mitigate the complex threats faced by ccTLD registries. How might we enhance the operation of the .nz ccTLD whilst maintaining privacy, security and stability?
5. Deliver unrestricted access to rich registry data in order to grow our strong data analytics capabilities. How can we use data to further support and promote innovation in the .nz ecosystem and the InternetNZ group?
6. Maintain local control of .nz data and systems, consistent with our stewardship obligations.
7. In the longer term, build capability to provide core registry and back-up services for Top Level Domains in the Asia Pacific region.

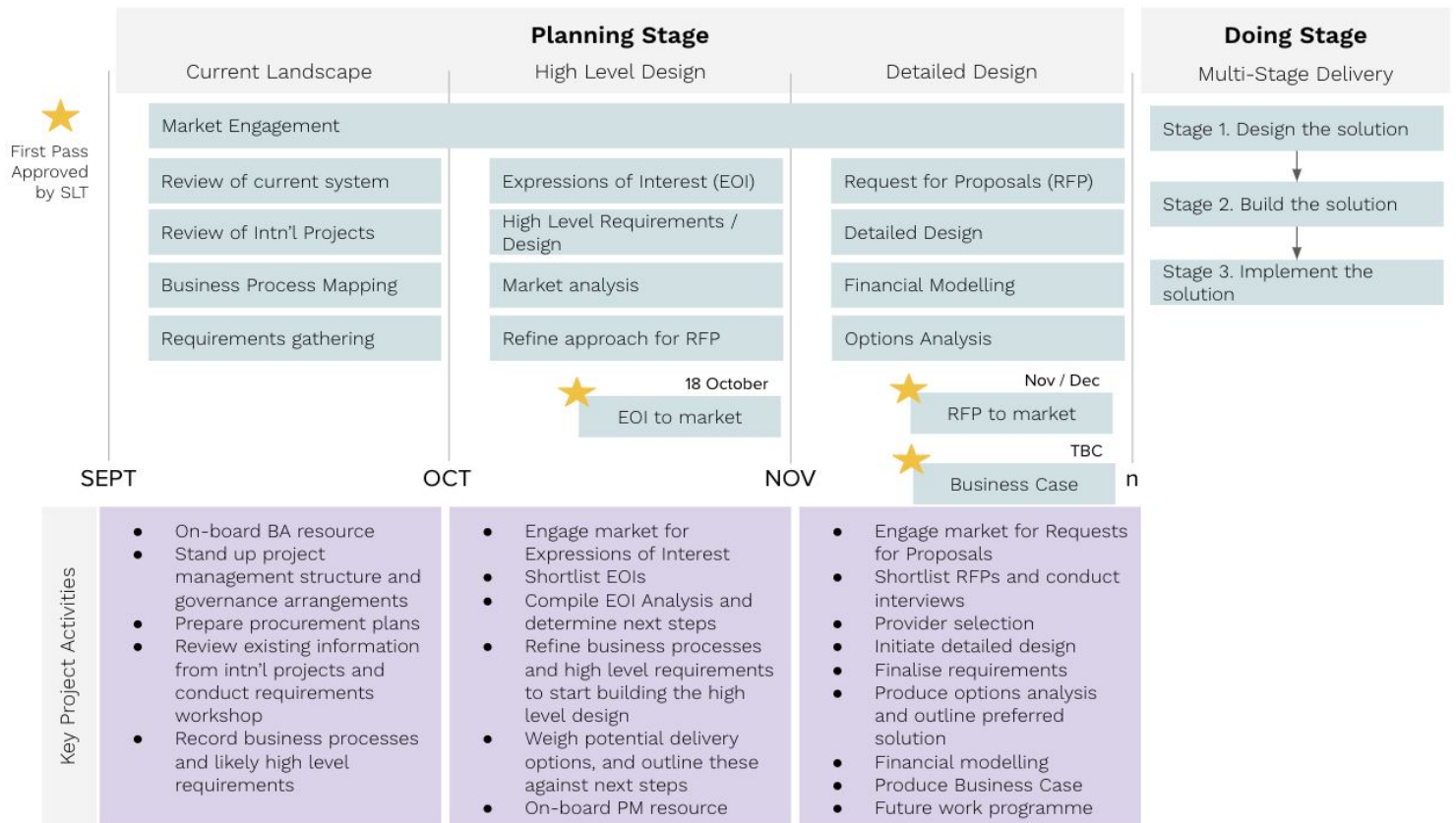
## Governance of the Project

The following Project Structure has been established for the Project following the philosophy of high quality and low risk, given the importance of the service and the critical impacts of any material failure in the course of the project.



Project roles and responsibilities and Terms of Reference for the Project Board, Design Authority and Evaluation Panel are in **Appendix 1**.

## High-Level Project Approach



## Cost Estimates - Project Kick-off and EOI phase

### Costs spent to date:

- AUDA Trip \$ 3,344

### Cost estimates to close of EOI:

- Project establishment including ICANN attendance, PM and BA resource \$62,500
  - Evaluation and shortlisting of EOI \$20,000\*
- Total Cost Estimates \$82,500

\* Cost estimates do not include any fees for external expert to the evaluation panel.

## Recommendations

The purpose of these recommendations for Council to consider is to confirm the project goals and governance. Council feedback will be taken on board for the EOI market engagement phase and developing the multi-staged Business Case paper that will be shared with Council in December.

**THAT** Council acknowledge and confirm the project goals..

**THAT** Council acknowledge and confirm the project governance.

**THAT** Council agree in principle the project approach for market engagement and multi-staged Business Case.

**THAT** Council acknowledge the cost spent to date and the cost estimates for the EOI market engagement phase.

Jordan Carter,  
Group Chief Executive

Dave Baker  
Technology Services Director

## Appendix 1

### - Project roles and responsibilities

The Registry System Replacement Project roles will be grouped into two functions - governance and management. The Project Sponsor role is the link between governance and management.

Role	Responsibilities
Council	<ul style="list-style-type: none"><li>● Approve the vision, mission and high-level strategy for INZ; maintaining a future focus and providing leadership and direction.</li><li>● Approve the business plans and budgets, ensuring these are consistent with those of the organisation as a whole.</li><li>● Endorse the recommendations of the Senior Leadership Team's on selection, prioritisation and governance of the delivery of the project portfolio.</li><li>● Confirm the goals for approved projects within INZ project portfolio.</li><li>● Review and approve the major objectives and budgets for approved projects within INZ project portfolio.</li></ul>
CE + Senior Leadership Team (SLT)	<ul style="list-style-type: none"><li>● Select, prioritise, and govern the delivery of the project portfolio in order to achieve INZ strategic objectives.</li><li>● Monitor delivery of programmes and projects to maximise return on investment and ensure programmes/projects remain viable and aligned to deliver on strategic outcomes.</li><li>● Approve, reject, put on hold new project requests and/or in-flight projects depending on priority, financial, resource and other constraints.</li><li>● Approve Portfolio Pipeline stage progression and release of new funding.</li><li>● Approve or authorise any major deviation that exceeds, or is forecast to exceed, programme or project tolerances – i.e. Exception Reports.</li><li>● Govern and monitor portfolio benefits realisation.</li></ul>
Project Board	<ul style="list-style-type: none"><li>● Govern and monitor the business justification for the project ensuring that it remains both valid and achievable. If at any point this is in doubt the Project Board will alert the Senior Leadership team.</li><li>● Ensure sufficient thought and consultation has been applied to ensure the Business Case reflects a well thought out, realistic and fit for purpose approach and that the appropriate people have been involved in its development.</li><li>● Ensure the project is on track to produce the required deliverables and achieve the expected business benefits.</li><li>● Ensure the project is engaging all relevant stakeholders</li></ul>

## Project Sponsor

### Key Relationships:

- Project Board
- Project Manager

## Project Manager

### Key Relationships:

- Project Sponsor
- Project Board
- Design Authority
- Project Team

- in an appropriate way.
- Monitor that sufficient management processes are in place to ensure the effective delivery of the project.
- Ultimately accountable for the project, supported by the Project Manager and SLT.
- Ultimate decision maker within approved project tolerances (or parameters) set by SLT.
- Owner of the First Pass Proposal and Business Case - oversees and provides input and direction for their development.
- Responsible for ensuring that the project remains focused throughout its life on achieving its objectives and delivering product/s that will achieve the forecast benefits.
- Provide a vision for the product
- Communicate the project vision to the team
- Motivate the team to subscribe to the product vision
- Communicate the business benefits of the entire product and each individual feature
- Support and provide advice to the Project Manager.
- Create, prioritise and continuously refine the product backlog (the work of writing user stories will be delegated to the Project Team, but the Project Sponsor is still responsible that the work is being done and is being done properly)
- Define release and sprint goals
- Continuously answer questions to add detail to requirements
- Accept/reject developed user stories at the end of the sprint (or during the sprint)
- Communicate about the project within the organisation (e.g. demo attendance and invites, forecasting, management reporting, sponsor liaison)
- Responsible for the day-to-day running of the project on behalf of the Project Sponsor.
- Prepares First Pass Proposal, Business Case and other required documentation – ensuring it is developed to a high standard.
- Ensures that the project delivers on its objectives and delivers product/s that will achieve the forecast benefits.
- Manages the flow of information between the Project Sponsor, Project Team/s, SLT, and Organisational Services. Estimate and plan for the whole project.
- Establishes and manages the project's procedures and controls (including registers and reporting).
- Responsible for monitoring and management of risks and issues – ensuring they have owners and mitigation plans in place.
- Advises the Project Sponsor of any deviations from the plan and escalates decisions appropriately.

## Project Team

### Key Relationships:

- Project Sponsor
- Project Manager

- Contribute to overall project objectives.
- Provide expertise.
- Complete individual deliverables.
- Work with users to determine and meet business needs.
- Document the requirements for individual project deliverables.

## Design Authority

### Key Relationships:

- Project Sponsor
- Project Manager

- Provide technical advisory on assessment and selection of solution.
- Provide advice and support to Project Sponsor and Project Manager on the technical solution.

## Evaluation Panel

### Key Relationships:

- Project Sponsor
- Project Manager

- Review EOI responses.
- Review RFP responses.
- Participate and provide input into the solution provider selection.

*Note: The Panel is stood up during market engagement and then disbanded. Likely to comprise of members from Project Board and Design Authority*

## Organisational Services

### Key Relationships:

- SLT
- Project Sponsor
- Product Owner
- Project Manager

- Information hub for the INZ Portfolio and Project Delivery community by providing advice, expertise and guidance with best practice frameworks, processes, and tools.
- Provide on-going support for delivering organisational change.
- Provides capability, business knowledge and subject matter expertise for business case development, planning of initiatives and projects.
- Facilitate and enable strategic execution by providing fact-based information to business groups resulting in informed decision making and project delivery that aligns with business plans and strategy.
- Management of, and support with, planning and change impact assessments.
- Enterprise monitoring of benefits realisation.



## - Terms of Reference - Project Board

### Role and Purpose

1. The Registry System Replacement Project Board supports the Project Sponsor to ensure successful delivery of the project in order to achieve the expected benefits of this investment.
2. The Project Board will provide direction, oversight, and senior support to the project. It is not a consultation forum, it is decision-based.

### Key responsibilities

3. The Registry System Replacement Project Board is responsible for ensuring that:
  - a. The business justification for the project remains both valid and achievable. If at any point this is in doubt the Project Board will alert the Senior Leadership team.
  - b. Sufficient thought and consultation has been applied to ensure the Business Case reflects a well thought out, realistic and fit for purpose approach and that the appropriate people have been involved in its development.
  - c. The project is on track to produce the required deliverables and achieve the expected business benefits.
  - d. The project is engaging all relevant stakeholders in an appropriate way.
  - e. Sufficient management processes are in place to ensure the effective delivery of the project. This includes reporting and communications to ensure all stakeholders are kept informed with the appropriate messages and at the right level and stages of the project.

### Membership

Chair	Dave Baker, Technology Services Director, Project Sponsor
Members	David Morrison, Commercial Director Andrew Cushen, Engagement Director Ann Ibrahim, Domain Name Commission Catherine Fenwick, Organisational Services Director

### Nominated representatives

4. It is expected that members will attend every meeting. In the event a member cannot attend, a nominated representative can only attend if they are acting in that member's substantive position.
5. If the Chair (Sponsor) is unable to attend, Chairmanship should be delegated to a Member of the Project Board (not the Project Manager).

6. The quorum for a meeting is 3, including the Chair.

#### Attendees

7. The Project Manager, who provides a regular status update and ensures appropriate secretariat services are provided to the Project Board by an Administrator.
8. The Project Board may invite any internal or external manager or expert to attend some or all of a meeting as required.

#### Authority and decision-making

9. Although decision-making rests, ultimately, with the Project Sponsor, wherever possible key decisions should be a collaborative process within the Project Board.
10. The Sponsor will ensure that all decisions and approvals are:
  - a. Within the Business Case tolerances (or parameters set for time, cost, quality, and scope) and any special conditions as approved or directed by the SLT.
  - b. Within the financial and HR delegations of their substantive position within the INZ (if applicable).
  - c. Any decision or approval that is outside of the above will be escalated to SLT via a Project Exception Report.

### **- Terms of Reference - Design Authority**

#### Role and Purpose

1. The Registry Replacement System Design Authority is established to provide advice and support to the Project Sponsor and Project Manager on the assessment and selection of the technical solution to ensure successful delivery of the project in order to achieve the expected benefits of this investment.
2. The Design Authority provide technical advisory and assurance to the Project on the technical design and supports the project to ensure the technical solution selected is fit for purpose and meets requirements.

#### Key responsibilities

3. The Registry Replacement System Design Authority is responsible for technical design assurance to the Project by:
  - a. Reviews of the technical input and subject matter expertise input into the proposed solution selection, covering areas areas such as the definition of requirements, legal compliance, security considerations, functional fit, technological capability, cost, support modelling (such as skill and resource requirements) and delivery capability.

- b. Confirming that the overall technical solution design and project level ‘trade-offs’ will deliver the benefits defined in the project business case, and that the business will not be unduly constrained in further growth or change by design decisions. Assessing the feasibility of the solution selection.
- c. Assessing the feasibility of the proposed technical solution, specifically the functional capability and organisational fit.
- d. Recommend critical architecture and design decisions.

#### Membership

Chair	Sebastian Castro, Chief Scientist
Members	Mike Gray, Systems & Security Architect Dane Foster, Infrastructure Manager Sam Sargeant, Chief Security Officer Cam Findlay, Product Manager

*Note: The members forming the Design Authority may change post the completion of the Procurement phase. The technical input and subject matter expertise input requirements will be dependent on the selection of the preferred solution.*

#### Nominated representatives

- 4. It is expected that members will attend every meeting. In the event a member cannot attend, a nominated representative can only attend if they are acting in that member’s substantive position.
- 5. The quorum for a meeting is 3, including the Chair.

#### Attendees

- 7. The Project Manager provides a regular status update and ensures appropriate secretariat services are provided to the Design Authority by an Administrator.
- 8. The Design Authority may invite any internal or external manager or expert to attend some or all of a meeting as required.

#### Authority and decision-making

- 9. The Design Authority is established to provide technical advisory on the assessment and selection of the solution for the Project and supports the Project Sponsor and Project Manager in providing technical assurance. It is not a decision-making forum, as decision-making rests with the Project Sponsor/Project Board.

## - Terms of Reference - Evaluation Panel

### Role and Purpose

1. The Registry Replacement System Evaluation Panel is established during market engagement to participate and provide input into the solution provider selection.
2. The Evaluation Panel will ensure a consistent, transparent and non-discriminatory evaluation of:
  - o Expression of Interest (EOI) responses
  - and
  - o Proposal (RFP) responses
3. The Evaluation Panel will evaluate the EOI and RFP responses against pre-defined evaluation criteria and recommend:
  - o a shortlist of solution providers from the EOI responses received for the next stage of the Procurement process
  - and
  - o a preferred solution provider from the RFP tender process

### Key responsibilities

3. The Registry Replacement System Evaluation Panel is responsible for evaluating and assessing submissions received during the EOI and RFP phases of the Project :
  - a. Review and score the quality and technical aspects of the responses independently using the pre-defined evaluation criteria and weighting system set by the Project.
  - b. Seek additional information from respondents and to conduct face-to-face or teleconference interviews if required.
  - c. Attend the Evaluation Panel meetings to agree the final scores for the EOI and RFP responses.
  - d. Fully document the evaluation process ensuring that it is consistent, transparent and non-discriminatory.
  - e. Recommend to the Project the shortlist of solutions providers from the EOI phase and the preferred solution provider from the RFP tender process.

### Membership - Suggested

Chair	Dave Baker
Members	Jordan Carter, Catherine Fenwick, David Morrison, Keith Davidson, External experts

#### Nominated representatives

4. It is expected that members will attend every evaluation meeting.

#### Attendees

7. The Project Manager ensures appropriate secretariat services are provided to the Evaluation Panel by an Administrator to fully document the evaluation process and decisions.

#### Authority and decision-making

9. The Evaluation Panel is established during Market Engagement to evaluate responses received during the EOI and RFP phases of the Project. The Panel will be disbanded at the completion of the RFP tender phase.
10. The Evaluation Panel is responsible for the assessment, selection and recommendation of the preferred solution provider for the Project.