# Regional Computing Center (RRZ) IT Services

## Framework Agreement

Version 1.00

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# Contents

# 1 Overview

The RRZ provides the required IT services to support Universität Hamburg in its research, teaching, studies, and administration.

This document regulates the provision and design of these IT services by the RRZ within the framework of the cooperative IT service provision plan (last updated: 4 November 2013) and Universität Hamburg's IT strategy (last updated: 8 September 2015). As a rule, the IT services provided by the RRZ are based on central IT infrastructures. The clients (faculties, administration, other institutions) and associated user groups (employees, students, etc.) use these to fulfill their tasks. RRZ service desk units may be set up, locally where necessary, to support users. This concept is already being implemented by the RRZ for the Faculty of Business, Economics and Social Sciences and the Faculty of Business Administration (Hamburg Business School) in addition to University Administration.

The following general aims are pursued as part of change projects:

- upgrade and expand basic IT services (e.g., network, directory services, internet, email, groupware, cloud services, desktop management) as well as IT services that are provided jointly for several clients or user groups (e.g., systems for campus management, learning management, research data management) in the RRZ and, if necessary, migrate clients or user groups to the RRZ;

- clarify user-related tasks originally contributed to the IT service provision by faculties and other institutions at Universität Hamburg (e.g., help desk and on-site support for workstation systems and pools) and the associated resources (e.g., personnel, rooms) and, if necessary, assist in their organizational transfer to the RRZ.

IT infrastructure may be locally supplemented where justified where required devices and their integration must meet subject-specific conditions (e.g., local computers linked to measuring equipment) or in terms of the required application support (e.g., local technical responsibility or competence). In these cases, the subsequent costs must be borne by the respective institution (i.e., usually from the funds of the associated faculty).

This framework agreement aims to standardize the cooperation between the RRZ and its clients. These basic agreements are supplemented with other more specific and explanatory documents, in particular the current RRZ service catalog and the IT service management glossary.

The service catalog describes the services provided by the RRZ as well as their characteristics, user groups, and service times. The glossary contains binding definitions of the terms used in IT service management (e.g., service, client, user, service desk, and service catalog). The terms and their definitions are based on the best practices set out in the Information Technology Infrastructure Library (ITIL).

The IT services provided by the RRZ are divided into the following categories:

(a) reliable, regular *operation and support for IT services*

(b) changes and projects for the *further development of IT services*. The

relevant regulations are described in *Chapters 2* and *3*.

The procedure to apply for and use *central investment funds for IT infrastructure* is described in *Chapter 4*.

## 2  Reliable, regular operation and support for IT services

This chapter describes the RRZ's services and the general regulations agreed between the client and the RRZ regarding services in category (a). These services include:

- Implementation of requests for the use of IT services that are either
    - sent to the RRZ by authorized parties, or
    - booked by users directly with the RRZ via the online form.

- Support for IT services already used via the RRZ:
    - personal support from the responsible RRZ ServiceDesk;
    - error reports and troubleshooting via the central RRZ ServiceLine and the STiNE-Line.

- Further advising and support:
    - individual advising, support, and troubleshooting (2nd level support)
    - coordination and advising on initiating new services (service portfolio management)

*User services*

Advising, error reports, and orders for the use of IT services that cannot be booked directly via the web-based self-service functions are provided exclusively via one of the following types of user service (**1st level support**):

a.  in person at the service and advising centers (**RRZ ServiceDesk**), include locations at the RRZ (Schlüterstraße 70), Mittelweg 177, and Von-Melle-Park 9

b.  requests, error reports, etc. can alternatively be communicated via the **RRZ ServiceLine**:

- by telephone (+49 40 42838-7790); staffed from Monday to Friday (7:30 am– 7:30 pm)

- via email (rrz-serviceline@uni-hamburg.de) at any time

during office hours, users receive a direct solution to their error report or are promptly sent a "ticket number" under which the issue is processed internally at the RRZ.

*Further support from the RRZ*

Advice and assistance with operation and supply may be sought from within the IT services available in the RRZ where required for complex requests:

- **2nd level support** provided by RRZ specialists handles these cases during office hours, usually during core working hours, but beyond these hours if necessary. Depending on the service, this may involve carrying out tasks at the user's location.

- Any **3rd level support** provided by the RRZ's suppliers is subject to the relevant agreements and contracts. These usually involve hardware and software manufacturers as well as other IT service providers (e.g., Dataport for specialist IT procedures involving Hamburg's core administration; or the German National Research and Education Network (DFN) for Universität Hamburg's high-performance connection to the internet and for certain network services).

Requirements for new IT services (in particular relating to portals, applications, and development) are determined by the client representative authorized to place an order, the client representative, and the responsible coordination and advising office at the RRZ. This occurs as part of the service portfolio process [1] and can be requested by email RRZ (portfolio.rrz@uni-hamburg.de).

*Availability of IT services*

RRZ **IT operating times** essentially correspond to 24/7 operation, i.e. 24 hours a day, 7 days a week.

**IT service times** comprise the operating times minus any planned downtimes,

which are those scheduled for maintenance work. This work can be carried out during the following periods and **will not be announced <u>separately</u>:**

- 3–7 pm on every first Tuesday of the month;
- 5–10:30 am on every third Thursday of the month;
- 8 am–12 pm on every third Saturday of the month;
- 4–6 am from Monday to Thursday.

Planned maintenance that cannot be carried out within these times will be announced 4 weeks in advance. The announcement will be repeated 1 week before the maintenance is carried out.

Extraordinary maintenance measures may be required at short notice to avoid or reduce high risks (e.g., relating to aspects of information security). These will be announced as early as possible (e.g., on the homepage or, where applicable, via email mailing lists set up specifically for this purpose) once the RRZ has formally confirmed the need for the measure.

In addition, maintenance can be carried out <u>at any time</u> upon mutual arrangement between the representatives of the affected clients and the RRZ.

*IT service catalog*

The IT services provided by the RRZ are described in a separate service catalog. This forms the further basis for the provision of services.

*IT service management glossary*

A glossary listing the definitions of ITIL terms and explaining the specifications commonly used at Universität Hamburg, serves to ensure uniform usage and a more general understanding of IT service management terminology.

*Feedback*

General feedback, complaints, and suggestions for improvement can be emailed to [feedback.rrz@uni-hamburg.de](mailto:feedback.rrz@uni-hamburg.de). [2]

*Information, communication, and coordination*

Information, technical coordination, and the inclusion of user-related aspects in development planning is provided by a specialist IT forum and a user IT forum coordinated by RRZ, in which the faculties are represented by an IT coordinator or IT user representative. Meetings take place twice a year and when specific topics arise.

Strategic IT and digitalization topics are addressed by the relevant university departmental steering committees (research, teaching, administration) and an overarching steering committee, each of which is headed by a member of the Executive University Board.

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[1] Also see https://www.rrz.uni-hamburg.de/beratung-und-kontakt/rrz-portfolio.html
[2] Also see https://www.rrz.uni-hamburg.de/beratung-und-kontakt/rrz-feedback.html

# 3   Further development of IT services—changes and projects

The RRZ strives to ensure continuous, demand-oriented development and optimization of the IT services. The aim is to efficiently support clients' business processes with the appropriate IT services.

Further developments are therefore not only initiated, planned, and implemented based on technical advances, but also expressly based on user requirements. The optimization of IT services should also be triggered by automatic monitoring of their quality.

Client requests for new and further developments of IT services are forwarded to the RRZ via the respective authorized client representative. The RRZ will establish a service portfolio process or this purpose (see *Chapter 2*). Prior to implementation, the RRZ evaluates the feasibility, cost-effectiveness, and impact in close consultation with the client. The client must appoint a responsible contact person for this purpose.

Larger development projects require overarching coordination with other IT services projects and prioritization by the corresponding steering committees or by the Executive University Board based on a preliminary technical clarification.

The further development or redesign of IT services generally takes place within cooperative change projects that the RRZ carries out in collaboration with the client. Other partners are consulted as necessary.

Responsibility for the implementation of these projects is distributed among the respective project partners, with the clients bearing special responsibility for relevant business processes. The RRZ is responsible for the associated IT services.

The RRZ is involved in the implementation of projects in different forms and intensities depending on project phase, scope and complexity:

1. Consulting, analysis, clarification of requirements, design

   - RRZ resources: coordination and advising center (service portfolio process)
   - analysis and clarification of technical requirements, drafting, and design as well as planning for future IT service implementation in close cooperation with the client's project manager

2. Adaptation/installation or new development/acquisition

   - RRZ resources: project/permanent staff
   - implementation/development within the project, or
   - delegation to a development company or purchase of solutions and customization

3. Knowledge exchange, training

   - RRZ resources: permanent staff
   - implementation in small projects, or
   - support for the client during implementation

4. Provision and setup of existing solution platforms

   - RRZ resources: IT support
   - implementation/development by the client with IT support

Following successful completion of temporary change projects (particularly in cases 1. and 2.), the new/modified IT service goes into permanent operation and is then regulated by the agreements detailed in *Chapter 2*.

If the new/modified IT service supports a specialist IT procedure, the respective lead department (e.g., a specialist department within University Administration) has <u>overall responsibility</u> for that procedure.

Requirements for new IT services generally require a special project-oriented approach, which includes the following steps:

(1) **Preliminary project planning:** The client and the RRZ prepare a requirements specification that describes the goal and purpose of the change or IT service as well as a rough project outline, implementation date, and division of tasks.

(2) **Resource estimation:** The RRZ and the client determine the resources required for the project and permanent operation (staff, materials, etc.), providing alternative scenarios where necessary.

(3) **Data protection, information security, and accessibility:** The client prepares a process description and risk analysis and clarifies the involvement of staff councils with the department. The RRZ is involved with regard to information security. Project participants obtain opinions from the data protection officer and the information security officer. All involved parties observe the need to ensure accessibility.

(4) **Project initiation:** prioritization and classification of the project compared to other planned and ongoing projects; clarification of the funding source for the resources required in accordance with (2) (e.g., IT investment funds via the ICT budget commission, see *Chapter 4*); coordinated preparation of decisions for the Executive University Board, approval, project start, awarding of contracts.

(5) **Change:** cooperative project implementation and coordination.

(6) **Operations:** transition to regular operation, continuous adjustment of the IT services.

# 4   Provision of IT investment funds

All institutions at Universität Hamburg can apply for investment funds for ICT infrastructure (IT equipment and networks) from a central budget. ICT applications must be submitted to the chair of the ICT Budget Commission (Director of the RRZ) following prior coordination within the department submitting the application. At the end of the year, the Chair of the ICT budget committee invites applications for procurements planned for the following year. Under certain circumstances, urgent applications can additionally be submitted over the course of the year for major purchases required at short notice.

The RRZ communicates the annual requirements for faculty workstation systems to the ICT Budget Committee. Following a preliminary assessment of all procurement applications submitted by Universität Hamburg for the respective financial year, the measures recommended by the ICT Budget Committee and eligible for funding are provided with WBS elements on behalf of the chair of the ICT Budget Committee. In the case of complex measures, a procurement review is carried out as part of the implementation procedure. The outcomes of this review must ultimately be used as the basis for awarding the contract.

Preliminary assessments of special requirements (e.g., server, software) require submission of an operation and usage concept (IT basis, application operation, user support) for the specialist procedure as agreed between the RRZ and an individual authorized by the client to submit an application. Confirmation of financing and any predecessor projects must also be submitted (see *Chapter 3*). The RRZ is available to advise clients as part of the preliminary coordination process. Where devices (e.g., server and storage infrastructure) are operated centrally for shared use by several client groups within the RRZ data center, the RRZ applies for the required components directly in accordance with the overall requirements.

The ICT application to the ICT Budget Committee does not replace or include the necessary preliminary work required for planning new IT services initiated elsewhere which must closely involve the RRZ. See *Chapter 3* for more information on changes to the RRZ's services.

The funds required for workstation systems as per the Universität Hamburg standards are provided from the central budget for ICT infrastructure and have the highest priority in each case. Annual requirements must be accompanied by an inventory analysis to demonstrate reasonableness. A dedicated WBS element is provided for the respective area on behalf of the chair of the ICT Budget Committee in line with the annual planning for workstation systems.

A separate application is not required for standard workstation systems, software, or more minor replacement and supplementary measures implemented over the course of the year. The RRZ can instead procure these directly through the respective framework agreements in reference to the departmental annual planning for workstation systems using the relevant WBS element or use the lump sums available for software or more minor replacement and supplementary measures. The RRZ manages these for the entire University in coordination with the ICT Budget Committee.

The estimation and provision of funds for subsequent costs (actual costs, e.g., for maintenance work and electricity, as well as personnel costs, e.g., for operation and user support) must also be planned or clarified. This is the case for hardware and software financed using University funds or, where relevant, using state, federal, or other third-party funds.