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Statement of Work

Azure Active Directory Implementation Services

Prepared for

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Table of contents

[Introduction 1](#_Toc32586713)

[1. Project objectives and scope 1](#_Toc32586714)

[1.1. Objectives 1](#_Toc32586715)

[1.2. Areas in scope 1](#_Toc32586716)

[1.3. Areas out of scope 4](#_Toc32586717)

[2. Project approach and timeline 5](#_Toc32586718)

[2.1. Approach 5](#_Toc32586719)

[2.2. Timeline 9](#_Toc32586720)

[2.3. Project governance 9](#_Toc32586721)

[2.4. Project completion 10](#_Toc32586722)

[3. Project organization 11](#_Toc32586723)

[3.1. Project roles and responsibilities 11](#_Toc32586724)

[4. Customer responsibilities and project assumptions 12](#_Toc32586725)

[4.1. Customer responsibilities 12](#_Toc32586726)

[4.2. Project assumptions 12](#_Toc32586727)

This Statement of Work (SOW) and any exhibits, appendices, schedules, and attachments to it are made pursuant to Work Order 6DEU202-278916-332266 and describes the work to be performed (Services) by Microsoft (“us,” “we”) for (“Customer,” “you,” “your”) relating to the implementation of Azure Active Directory (project).

All activities described in this document are provided as services within the meaning of §§ 611 ff. German Civil Code (“Dienstleistung”). Microsoft does not owe a result or deliverable but will support the customer to achieve the project objectives described in this document.

This SOW and the associated Work Order expire 30 days after their publication date, unless signed by both parties or formally extended in writing by Microsoft.

Introduction

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# Project objectives and scope

## Objectives

The objective of this project is to integrate your on-premises Active Directory Domain Services (AD DS) environment with Azure Active Directory. The customer has an existing AAD Connect Infrastructure which needs to be reviewed and ported onto a new infrastructure following Microsoft´s Best Practices and general requirements for high-availability. In addition, Microsoft was asked to support the customer in the process of cleaning-up errors which are currently showing up in the sync process and support a migration to the new synchronization infrastructure.

The purpose of this SOW is to provide you with the scope, activities, and timeline necessary to complete this activity.

This project will establish integration between your on-premises AD DS environments and Azure Active Directory to support onboarding to Microsoft Office 365 or other online services. Azure Active Directory Connect will be installed and configured for synchronization, and authentication will be established using password hash synchronization, pass-through authentication, or federated authentication using Active Directory Federation Services (AD FS) or a third-party identity provider.

## Areas in scope

### General project scope

Microsoft will provide Services in support of the following scope.

| Area | Description | Assumptions |
| --- | --- | --- |
| Azure Active Directory integration | Integrate 1 Azure Active Directory tenant AD DS forest (or forests) for synchronization and authentication. Microsoft will support in the following to achieve this:  Installation and configuration of Azure Active Directory Connect synchronization to Customer specifications on up to 2 servers, limited to options that are configurable through the Azure Active Directory Connect configuration wizard  Configuration of Azure Active Directory authentication using password synchronization, pass-through authentication, or federated authentication  Implementation of the Azure Active Directory seamless single sign-on (SSO) feature optionally if the Customer is not using federated authentication  Installation of the Azure Active Directory Connect Health Agent and demonstrate it to the Customer if the Customer is licensed for Azure Active Directory Premium  If it’s decided that AD FS will be used for authentication, installation and configuration of AD FS and Web Application Proxy (WAP) roles will be performed on up to 8 servers in no more than 2 Customer datacenters, configured for a new AD FS farm using SQL Servers in a High Availability environment.  Review the existing AAD Connect instance and support the migration to the new environment (time-boxed to 40h)  Review AAD Connect errors and support the clean-up (time-boxed to 60h) |  |

### Software products and technologies

The products and technology that are listed in the following table are required for the project. The Customer is responsible for obtaining all identified licenses and products.

| Product and technology item | Version | Ready by |
| --- | --- | --- |
| Windows Server Active Directory Domain Services | 2008–2016 | Start of the project |
| Azure Active Directory | Basic or Premium | Start of the project |

### Data migration

Microsoft will support the migration from the existing AAD Connect systems to the new environment.

### System integration

The following system integration is in scope for the project.

| Integration | Description of scope | Responsibility | | Ready by |
| --- | --- | --- | --- | --- |
| Azure Active Directory | AD DS will be integrated with Azure Active Directory. | Microsoft with Customer support | End of the project | |

### Environments

The following environments will be required for the project.

| Environment | Location | Responsibility | Ready by |
| --- | --- | --- | --- |
| Test | Customer facility | Customer | Start of Remediate phase |
| Production | Customer/Azure | Customer | Start of Remediate phase |

### Testing and defect remediation

#### Testing

The following testing is included in the scope of the project. If additional time is needed for Microsoft testing support, then it can be requested through the Change management process described in this SOW.

| Test type (environment) | Description | Responsibility | | |
| --- | --- | --- | --- | --- |
| Has responsibility  for testing? | Provides data or test cases | Provides guidance and support |
| Validation testing (production) | Test cases will be run in the production environment to validate that the implemented solution is functioning as designed. | Microsoft | Microsoft | Customer |

#### Defect remediation

If defects are identified during testing, the priority of the item will be jointly agreed upon by the Customer and Microsoft. Defect prioritization is defined in the following table.

| Priority | Description | Remediation in scope? |
| --- | --- | --- |
| P1 | **Blocking defect**  Development, testing, or production launch cannot proceed until this type of defect is corrected. A defect of this type blocks further progress in this area. The solution cannot ship, and the project team cannot achieve the next milestone until such a defect is corrected. | Yes |
| P2 | **Significant defect** This type of defect must be fixed prior to moving to production. Such a defect, however, will not affect test plan implementation. | Yes |
| P3 | **Important defect** It is important to correct this type of defect. However, it is possible to move forward into production through the use of a workaround. | No; the problem will be logged. Remediation will be performed through an agreed-upon change request only. |
| P4 | **Enhancements and low priority defects** P4 defects consist of feature enhancement and cosmetic defects. These include design requests that vary from original concepts. | No; the problem will be logged. Remediation will be performed through an agreed-upon change request only. |

## Areas out of scope

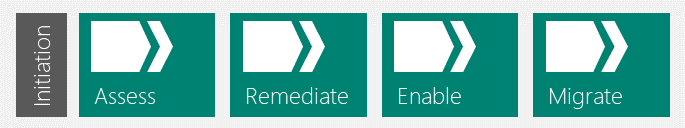
Any area not explicitly included in the Areas in scope section is out of scope for Microsoft during this project. Areas out of scope for this project are listed in the following table.

| Area | Description |
| --- | --- |
| AD FS | Customization of AD FS sign-in pages is out of scope.  AD FS integration with applications or services beyond Azure Active Directory is out of scope. |
| Product licenses and subscriptions | Product licenses (Microsoft or non-Microsoft) and cloud service subscriptions are not included. |
| Hardware | Microsoft will not provide hardware for this project. |
| Integration with third-party software | Microsoft will not be responsible for integration with third-party software. |
| Product bugs  and upgrades | Product upgrades, bugs, and design change requests for Microsoft products are not in scope for this project. |
| Source code review | The Customer will not provide Microsoft with access to non-Microsoft source code or source code information. For any non-Microsoft code, Microsoft Services will be limited to the analysis of binary data, such as a process dump or network monitor trace. |
| Process reengineering | Designing functional business components of the solution is not included. |
| Organizational change management | Designing—or redesigning—the Customer’s functional organization is not included. |

# Project approach and timeline

## Approach

The project will be structured following the Microsoft Online Services Lifecycle methodology across three of the possible four distinct phases: Assess, Remediate, Enable, and Migrate (Migrate is not included in this SOW). Each phase has distinct activities and outcomes that are described in the following sections.



### Engagement initiation

Before beginning the project, the following prerequisites must be completed.

| Category | Description | |
| --- | --- | --- |
| **Microsoft activities** The activities to be performed by Microsoft | Conduct a preinitiation call to initiate team formation and communicate expectations.  Document the project launch prerequisites using input from this SOW.  Track the status of launch prerequisites and adjust the engagement initiation phase start date accordingly.  Conduct a detailed walk-through of the SOW with the Customer to agree on an initial project schedule and approach. |
| **Customer activities** The activities to be performed by the Customer | Attend and participate in the preinitiation call.  Assign project initiation and launch prerequisite responsibilities to accountable Customer leadership and establish target completion dates.  Complete the project initiation and launch prerequisites.  Staff the project with the required Customer resources in the time frames that were agreed upon in the preinitiation call. |

### Assess

During the Assess phase, Microsoft will conduct a series of workshops to gather design requirements. Microsoft and the Customer will review the results of the planning workshops and jointly determine requirements necessary to support the deployments.

|  | | |
| --- | --- | --- |
| Category | Description | |
| **Microsoft activities** The activities to be performed by Microsoft | * Conduct an assessment and planning workshop to gather requirements, information about the current environment, and Customer design decisions. * Assist the Customer with the implementation of the Office 365 IdFix directory synchronization error remediation tool to identify conflicts and formatting errors in AD DS that need to be remediated prior to directory synchronization. * Produce a preparation checklist that details the tasks that must be completed to facilitate implementation of the integration solution, including the resources that must be procured. * Produce a design and plan document that includes High Availability aspects of AAD Connect. * Review and clean-up of sync errors in existing AAD Connect Log. * Produce Migration Plan from existing AAD Connect instance to new environment. |
| **Customer activities** The activities to be performed by the Customer | * Participate in the assessment and planning workshop, communicate requirements, provide current environmental information, and make design decisions * Run the Office 365 IdFix tool in each in-scope AD DS forest and provide the results to Microsoft for evaluation. The tool requires read-only permissions in AD DS. |
| **Key assumptions** | None |

#### Outcomes

| Name | Description | Responsibility |
| --- | --- | --- |
| Preparation checklist | A Microsoft Excel spreadsheet that documents the tasks that must be completed by the Customer and the resources that must be procured to facilitate the completion of in-scope work. | Microsoft |
| Design and plan | A Word document that captures design decisions made during the workshop, documents the design for the solution, and details the high-level plan for the completion of in-scope work. | Microsoft |
| Migration Plan | A Word document (2-3 pages) that details the required migration steps. | Microsoft |

### Remediate

During the Remediate phase, the Customer uses the remediation and deployment plan to prepare the environment for onboarding to Azure Active Directory, with assistance from Microsoft. This preparation includes completion of prerequisites, procurement, and provisioning of required hardware or virtual machines, cleanup of AD DS content, and the deployment of Azure Active Directory Connect and related integration component requirements. These preparations are based on decisions made during the Assess phase of the project.

|  | |
| --- | --- |
| Category | Description |
| **Microsoft activities** The activities to be performed by Microsoft | * Provide general guidance and answer questions during Customer-led completion of identified preparation tasks. * Provide input to end-user communications related to the solution. * Support to remediate migration topics. |
| **Customer activities** The activities to be performed by the Customer | * Procure the resources required for the project and complete all identified preparation tasks, including IdFix error remediation in the on-premises AD DS forest and user principal name changes, if necessary. * Complete all identified preparation tasks to facilitating implementation of the solution. * Prepare user communications. |
| **Key assumptions** | None |

#### Outcomes

| Name | Description | Responsibility |
| --- | --- | --- |
| Preparation checklist completed | An Excel spreadsheet that documents the tasks that must be completed by the Customer and the resources that must be procured to facilitate the completion of in-scope work. | Customer |

### Enable

During the Enable phase, Azure Active Directory Connect components will be installed in the production environment and components will be tested to validate expected functionality. After validation, Microsoft will perform a final demonstration of functionality. An engagement closeout meeting completes the project.

|  | | |
| --- | --- | --- |
| Category | Description | |
| **Microsoft activities** The activities to be performed by Microsoft |  |
| **Customer activities** The activities to be performed by the Customer | Assist Microsoft, as necessary, during production implementation tasks.  If the Customer selects a third-party federated identity provider, provide subject matter expertise for that identity provider and implement the configuration required to use federated authentication with Azure Active Directory. Engage the product vendor, as necessary.  If AD FS is chosen for authentication, configure load balancers and other networking equipment to establish high-availability for AD FS on the private and perimeter network and publish AD FS to the Internet.  If AD FS is chosen for authentication, customize AD FS sign-in pages, as desired, to apply organizational branding. |
| **Key assumptions** |  |

#### Outcomes

| Name | Description | Responsibility |
| --- | --- | --- |
| Test cases | An Excel spreadsheet that documents the test cases that will be conducted to validate that the implemented solution functions as designed. | Microsoft |
| Delivery summary | A Word document that summarizes the work completed, provides relevant maintenance guidance, and documents recommended next steps. | Microsoft |

## Timeline

During project planning, a detailed timeline will be developed. All dates and durations are relative to the project start date and are estimates only.

## Project governance

The governance structure and processes the team will adhere to for the project are described in the following sections:

### Project communication

The following will be used to communicate during the project:

* **Communication plan**: this document will describe the frequency, audience, and content of communication with the team and stakeholders. It will be developed by Microsoft and the Customer as part of project planning.
* **Status reports**: the Microsoft team will prepare and issue regular status reports to project stakeholders per the frequency defined in the communication plan.
* **Status meetings**: the Microsoft team will schedule regular status meetings to review the overall project status and review open problems and risks.

### Risk and issue management

The following general procedure will be used to manage active project issues and risks during the project:

* **Identify**: identify and document project issues (current problems) and risks (potential problems that could affect the project).
* **Analyze and prioritize**: assess the potential impact and determine the highest priority risks and problems that will be actively managed.
* **Plan and schedule**: determine the strategy for managing priority risks and issues and identify a resource who can take responsibility for mitigation and remediation.
* **Track and report**: monitor and report the status of risks and problems.
* **Escalate**: escalate to project sponsors the high impact problems and risks that the team is unable to resolve.
* **Control**: review the effectiveness of risk and issue management actions.

Active issues and risks will be regularly monitored during the project.

### Change management process

During the project, either party is able to request modifications to the Services described in this SOW. These changes only take effect when the proposed change is agreed upon by both parties. The change management process steps are:

* **The change is documented**: all change requests will be documented by Microsoft in a Microsoft change request form and submitted to the Customer. The change request form includes:
  + A description of the change.
  + The estimated effect of implementing the change.
* **The change is submitted**: the change request form will be provided to the Customer.
* **The change is accepted or rejected**: the Customer has three business days to confirm the following to Microsoft:
  + Acceptance—the Customer must sign and return change request form.
  + Rejection—if the Customer does not want to proceed with the change or does not provide an approval within three business days, no changes will be performed.

### Escalation path

The Microsoft project manager will work closely with the Customer project manager, sponsor, and other designees to manage project issues, risks, and change requests as described previously. The Customer will provide reasonable access to the sponsor or sponsors in order to expedite resolution. The standard escalation path for review, approval, or dispute resolution is as follows:

* Project team member (Microsoft or the Customer)
* Project manager (Microsoft and the Customer)
* Microsoft delivery manager
* Microsoft and the Customer project sponsor

## Project completion

Microsoft will provide Services defined in this SOW to the extent of the fees available and the term specified in the Work Order. If additional Services are required, the Change management process will be followed and the contract modified. The project will be considered complete when at least one of the following conditions has been met:

* All fees available have been utilized for Services delivered and expenses incurred.
* The term of the project has expired.
* The Work Order has been terminated.

# Project organization

## Project roles and responsibilities

The key project roles and the responsibilities are as follows.

#### Customer

| Role | Responsibilities |
| --- | --- |
| Project sponsor | * Provide the estimated project commitment: 2–4 hours a week * Make key project decisions. * Serve as a point of escalation to support clearing project roadblocks. |
| Project manager | Provide the estimated project commitment: 20 hours a week  Serve as primary point of contact for the Microsoft team.  Manage the overall project.  Take responsibility for Customer resource allocation, risk management, and project priorities.  Communicate with executive stakeholders. |
| Active Directory lead and identity lead (or leads) | Take responsibility for Azure Active Directory and an integrated on-premises AD DS forest (or forests).  Take responsibility for the Azure Active Directory identity management solution going forward. |

#### Microsoft

| Role | Responsibilities | |
| --- | --- | --- |
| Delivery manager | Manage and coordinate the overall Microsoft project.  Serve as a single point of contact for escalations, billing issues, personnel matters, and contract extensions. |
| Microsoft project manager | Manage and coordinate Microsoft project delivery.  Take responsibility for issue and risk management, change management, project priorities, status communications, and status meetings.  Coordinate Microsoft and Microsoft subcontractor resources but not Customer resources. |
| Microsoft lead architect | Design the overall solution.  Provide guidance based on Microsoft-recommended practices. |
| Microsoft consultant | Lead workshop and produces document outcomes.  Provide technical support during Customer-led completion of preparation tasks.  Complete all in-scope implementation work. |

# Customer responsibilities and project assumptions

## Customer responsibilities

In addition to Customer activities defined in the Approach section, the Customer is also required to:

* Provide information:
  + This includes accurate, timely (within three business days or as mutually agreed upon), and complete information.
* Provide access to people and resources.
  + This includes access to knowledgeable Customer personnel, including business user representatives, and access to funding if additional budget is needed to deliver project scope.
* Provide access to systems.
  + This includes access to all necessary Customer work locations, networks, systems, and applications (remote and onsite).
* Provide a work environment.
  + This consists of suitable work spaces, including desks, chairs, and Internet access.
* Manage non-Microsoft resources.
  + The Customer will assume responsibility for the management of all Customer personnel and vendors who are not managed by Microsoft.
* Manage external dependencies.
  + The Customer will facilitate any interactions with related projects or programs in order to manage external project dependencies.

## Project assumptions

The project scope, Services, fees, timeline, and our detailed solution are based on the information provided by the Customer to date. During the project, the information and assumptions in this SOW will be validated, and if a material difference is present, this could result in Microsoft initiating a change request to cover additional work or extend the project duration. In addition, the following assumptions have been made:

* Work day:
  + The standard work day for the Microsoft project team is between 8 AM and 5 PM, Monday through Friday.
* Standard holidays:
  + Observance of consultants’ country-of-residence holidays is assumed and has been factored into the project timeline.
* Remote working:
  + The Microsoft project team may perform Services remotely.
  + If the Microsoft project team is required to be present at the Customer location on a weekly basis, resources will typically be on site for three nights and four days, arriving on a Monday and leaving on a Thursday.
* Language:
  + All project communications and documentation will be in English. Local language support and translations will be provided by the Customer.
* Staffing:
  + If necessary, Microsoft will make staffing changes. These can include, but are not limited to, the number of resources, individuals, and project roles.
* Informal knowledge transfer:
  + Customer staff members who work alongside Microsoft staff will be provided with information knowledge transfer throughout the project. No formal training materials will be developed or delivered as part of this informal knowledge transfer.