# **Dynamic Identity Framework Assessment**

Statement of Work

Prepared for

Prepared by

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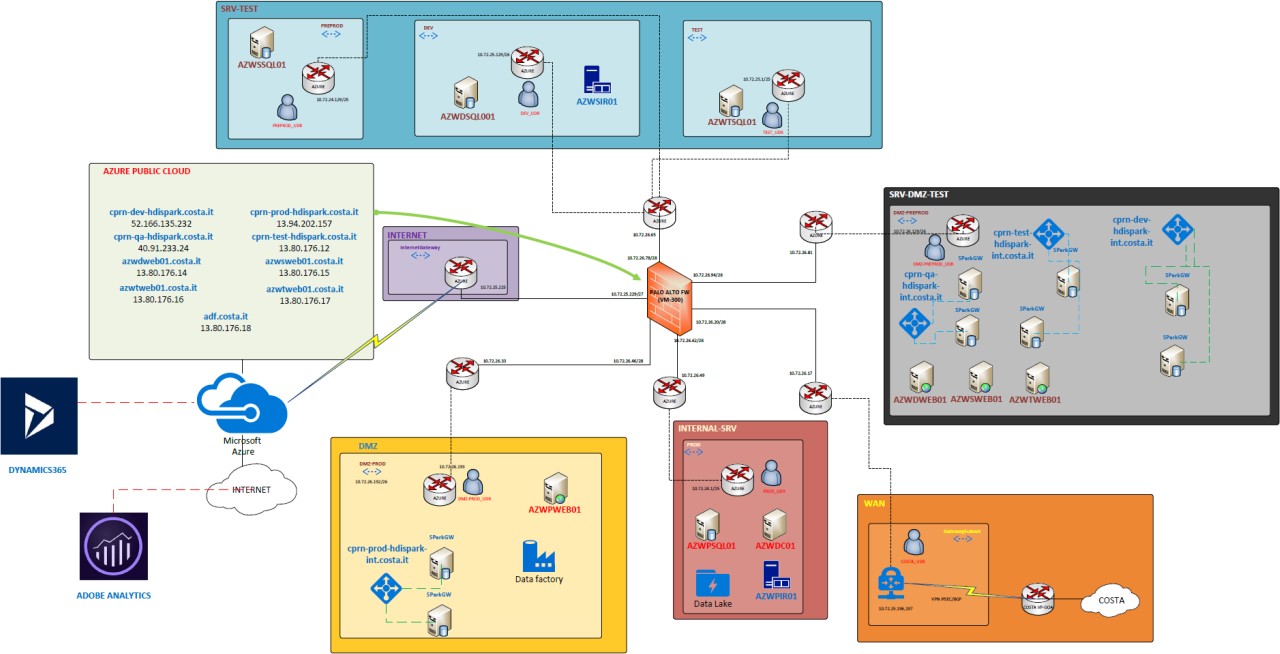
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This Statement of Work (SOW) and any exhibits, appendices, schedules, and attachments to it are made pursuant to Work Order FY20 - 7-VVEION5AP and describes the work to be performed (Services) by Microsoft (“us,” “we”) for (“Customer,” “you,” “your”) relating to Dynamic Identity Framework (project).

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**

Costa ( ) is looking for an architectural review of their “Copernico” application from an

Identity, Security and Infrastructure point of view. The current architecture is displayed below:

The solution leverages several Azure IaaS and PaaS components and the customer is looking for a review of the as-is infrastructure in order to implement the best practices recommended by Microsoft related to securing authentication and access to resources, such as:

* Restricting access to PaaS resources using firewalling and network rules
* Disabling obsolete cypher suites
* Manage hybrid DNS resolution

Microsoft has created an assessment process that helps align identity and security services to business goals and objectives. By using standard assessment models, along with the four pillars of identity (Administration, Authentication, Authorization, and Analytics and Intelligence), Microsoft will work closely with Costa to establish an actionable identity strategy and roadmap that aligns to the goals of the business.

Costa recognizes that its identity and security infrastructure is a key facilitator of growth for its business and is committed to participating in the assessment process as laid out in this SOW, to establish a long- range IT strategy for identity and security. The purpose of this SOW is to provide a proposal for an identity and security assessment with the goals of analyzing the Customer’s current state, providing recommendations based on the analysis, and providing a recommended long-range and actionable roadmap that can be used to improve identity and security services across its business.

# **Project objectives and scope**

## **Objectives**

The objectives of this project are to complete an assessment to gain an understanding of:

* The current business goals and objectives of Costa’s “Copernico” application
* Key initiatives that might be planned or are in process
* Challenges that are being experienced with existing identity and security services
* Policies, guidelines, or standards specific to identity and security
* Architectural and systems information specific to identity and security systems
* How the existing “Copernico” application leverages identity and security services including internal development practices or guidelines that are in place today

Microsoft will provide documented recommendations and a roadmap for improving identity and security

services for the “Copernico” application.

## **Areas in scope**

### **General project scope**

Microsoft will provide Services in support of the following scope.

|  |  |  |
| --- | --- | --- |
| **Area** | **Description** | **Assumptions** |
| Assessment workshops | Complete a series of assessment workshops over the course of 1 week consisting of:   * An executive sponsor team kickoff and overview meeting * The completion of up to 5 breakout sessions to gather assessment information related to existing identity and security services and a future identity vision   Deliver an end-of-week review meeting with the executive sponsor team. |  |
| Assessment findings and recommendations | Prepare a report and a presentation that documents findings and recommendations: |  |

|  |  |  |
| --- | --- | --- |
| **Area** | **Description** | **Assumptions** |
|  | * Document environmental assessment findings in an identity and security assessment and recommendations Microsoft Word document. These findings will include prioritized recommendations that can help the Customer focus its identity services investments to meet business goals and challenges. * Provide a Microsoft PowerPoint presentation that summarizes the assessment findings, recommendations, and a suggested long-range roadmap. |  |

### **Training and knowledge transfer**

As a part of the identity assessment , the Microsoft team will provide a high-level overview of identity technologies and tips that Costa can use to formulate an identity and security strategy. This education process is considered informal knowledge transfer. Informal knowledge transfer is defined as Costa’s staff working alongside Microsoft staff. No training materials will be developed or provided outside of this as a part of this SOW.

## **Areas out of scope**

Any area not explicitly included in the [Areas in scope](#_bookmark3) 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** |
| Product deployment services | The core service of the assessment workshop is to provide recommendations and guidance based on an assessment of your current identity and security state while aligning the recommendations and guidance with your business goals and objectives. As such, any activities that involve deployment of any product or solution are out of scope. |
| Problem resolution or break-fix support | This type of support is more aligned with production or operational support and is out of scope. |
| Technical product consultation | Technical or architectural consultation beyond the identity and security assessment is beyond the scope of this engagement. |
| 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. |

|  |  |
| --- | --- |
| **Area** | **Description** |
| Integration with third- party software | Microsoft will not be responsible for integration with third-party software. |
| Data migration | Data migration activities are not in scope for this project. |
| System integration | System integration and interfaces are not in scope for this project. |
| 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, timeline, and deliverable acceptance**

## **Approach**

The intent of the assessment is to formulate an overall strategy for the “Copernico” application, which can help you establish a clear plan with which you can move forward. The assessment follows the following high-level process.

**Assessment kickoff**

**Identity and security assessment breakout discussions**

**Analysis and recommendation documentation**

**Recommendation review**

The following subsections provide more detail regarding the workshop process.

### **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. * Microsoft will provide a preparation guide document. This document will provide you with the information needed to conduct a successful assessment, from defining roles and responsibilities to verifying that participants are ready to contribute to discussions and telling participants what they can expect during the assessment period. The document will also provide you with a sample schedule that you can use to set up meetings related to your assessment workshop sessions. * 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 on in the preinitiation call. |

### **Assessment kickoff**

Before the assessment begins, all participants should be aware of the models Microsoft employs to develop identity solutions and should have a general understanding of the strategic vision of the Customer’s chief information officer (CIO). The CIO’s participation is essential to the information-

gathering process. As such, it is important for participants to understand the Microsoft philosophy on identity, specifically the philosophy related to the four pillars of identity. To begin our interactions, we will establish a common framework and define the four pillars and each pillar’s place in an identity strategy. This will serve as a basis for future discussions. Therefore, it is a recommended practice to include all agreed-upon roles and stakeholders in this session to reach a common understanding and direction.

|  |  |
| --- | --- |
| **Category** | **Description** |
| **Microsoft activities**  The activities to be performed by Microsoft | * Review scope to be covered during the engagement - include a RACI. * Make introductions and share roles and responsibilities. * Conduct the assessment process overview. |

|  |  |
| --- | --- |
| **Category** | **Description** |
| **Customer activities**  The activities to be performed by the Customer | The sponsor will set the stage, explaining why Microsoft was brought in. |
| **Key assumptions** | * The kickoff will last for a half day. * All internal and external resources involved in the project will attend. * The Customer lead or the executive sponsor has already completed all prekickoff activities as detailed in the preparation guide ahead of the kickoff, and all breakout discussions have been scheduled. |

### **Identity and security assessment breakout discussions**

The breakout discussions will serve to provide the Microsoft team with a better understanding of your current business plans and challenges so that our recommendations will take into account the motivating factors within your business that contribute to your overall identity and security strategy.

|  |  |
| --- | --- |
| **Category** | **Description** |
| **Microsoft activities**  The activities to be performed by Microsoft | * Other than understanding business plans and challenges, it is also helpful to understand governmental regulations, compliance objectives, or mandates that you are required to adhere to so that we have a solid understanding of your business situation and limitations we must work within. * We will also meet with your individual teams to gain an understanding of your environment, strategies, and plans. From here, we will move into a discovery process regarding your current identity environment, and how it relates to the 4 pillars. This will help us contrast your current state with your goals, as the basis for a roadmap for progression. * While infrastructure solutions play a pivotal role in our discussions, it is important to mention that an effective identity strategy also includes application development methodologies and practices that you have in place today. Please be prepared to discuss those methodologies and practices in as much detail as possible to support a better understanding of your situation. |
| **Customer activities**  The activities to be performed by the Customer | Attend in breakout sessions in accordance with the [Project roles and](#_bookmark13) [responsibilities](#_bookmark13) |
| **Key assumptions** | * The workshops will last for 3–3.5 days. |

### **Analysis and recommendation documentation**

During the Analysis and recommendation documentation phase, our architects will review the information gathered from your resources during the assessment breakout discussions. We will work with one of your executives, ideally the CIO or a key decision maker, to process this information, and we will develop a comprehensive, holistic view of your current environment and a plan that can be used to improve your identity environment in accordance with your business goals and plans. The plan will provide you with guidance that you can use to move forward and a high-level delivery roadmap that can help get you there. This report will be shared with the team for input and feedback that will be incorporated into the report so that it can be used as a baseline and be built upon moving forward.

|  |  |
| --- | --- |
| **Category** | **Description** |
| **Microsoft activities**  The activities to be performed by Microsoft | * Compile information gathered during the breakout discussions. * Analyze data. * Create a findings and recommendations report. * Create a closeout presentation. |
| **Customer activities**  The activities to be performed by the Customer | * Collaborate with a Microsoft architect * Potentially validate the Solution. |
| **Key assumptions** | A Microsoft architect will conduct this work over 4 days at an offsite location. |

**Deliverables**

|  |  |  |  |
| --- | --- | --- | --- |
| **Name** | **Description** | **Acceptance required?** | **Responsibility** |
| Identity assessment and recommendations report | A Word document that provides detailed information about our assessment of your current state, specifically identity and security. The document will also include a recommended roadmap and a strategy that can be used to achieve short-term, medium-term, and longer-term priorities. This strategy will be based on findings, your business goals and objectives, and Microsoft experience and recommended practices. | Yes | Microsoft |

* + 1. **Recommendation review and closeout presentation**

Your participation in the development and delivery of the closeout presentation is imperative if you are to derive the highest business value from this assessment. This presentation will help you outline the reasons

for the assessment, the analysis results, and recommendations that will potentially benefit your business environment.

The closeout presentation will be delivered to key team members that you have chosen. These team members will be selected from those who participated in the assessment process. The goal is to share our findings with the team and review our improvement recommendations. It is recommended that the number of attendees in the closeout be limited to those you feel are necessary to receive and action the recommendations and who can help you move forward with the established roadmap.

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| --- | --- |
| **Category** | **Description** |
| **Microsoft activities**  The activities to be performed by Microsoft | * Review the findings and recommendation report. * Review the preliminary presentation. * Gather your input and adjust the presentation in advance of the final closeout meeting. * Present findings and recommendations to the stakeholders. * Outline what Microsoft can do to help you achieve the outlined goals. |
| **Customer activities**  The activities to be performed by the Customer | * Review the preliminary presentation. * Provide input as required. * Verify that appropriate stakeholders are at the final meeting. * Participate in the final presentation. |
| **Key assumptions** | The deliverable review cycle will take a half day. The closeout meeting will take a half day. |

**Deliverables**

|  |  |  |  |
| --- | --- | --- | --- |
| **Name** | **Description** | **Acceptance required?** | **Responsibility** |
| Identity assessment and recommendations presentation | A PowerPoint presentation that summarizes the information documented in the identity assessment and recommendations report | Yes | Microsoft |

## **Timeline**

This engagement will be completed over four consecutive weeks. The actual timeline for this engagement will be relative to the project start date, and all dates and durations provided are estimates only.

Assessment kickoff

1 day

Assessment

8 days

Analysis

10 days

Report out

2 day

## **Deliverable acceptance process**

During the project, Microsoft will submit certain deliverables (listed in the [Approach](#_bookmark6) section as deliverables with “Acceptance required?” equal to “Yes”) for the Customer’s review and approval.

Within three business days of the date of submittal, the Customer is required to:

* **Accept the deliverable** by signing, dating, and returning a service deliverable acceptance form, which can be sent by email, or by using (or partially using) the deliverable

or

* **Reject the deliverable** by notifying Microsoft in writing; the Customer must include a complete list of reasons for rejection.

Deliverables shall be deemed accepted unless the written rejection notification is received by Microsoft in the timeframe specified.

If a rejection notification is received, Microsoft will correct problems with a deliverable that are in scope for the project (and documented in this SOW), after which the deliverable is deemed accepted.

Problems that are outside the scope of this SOW, and feedback provided after a deliverable has been accepted will be addressed as a change request, managed as described in the [Change management](#_bookmark10) [process](#_bookmark10) section.

## **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, the acceptance of deliverables, 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**

The project will be considered complete when at least one of the following conditions is met:

* All Microsoft deliverables that require acceptance have been delivered and accepted (or deemed accepted).
* 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** |
| CIO | Serve as the business executive sponsor and drive the strategic vision for the Customer environment while providing guidance toward achieving business goals. |
| Chief security officer | Provide overall security strategy for the Customer environment. |
| Chief security architect | Provide insight into current or planned Security policies, guidelines, or standards throughout the environment. |
| Chief infrastructure architect (infrastructure team) | Represent owners of identity solutions across the company to work through integrating an identity solution into existing infrastructure. |
| Project manager or coordinator | * Facilitate the scheduling of the assessment sessions with the appropriate resources and be the central point for the dissemination of the findings and recommendations report and presentation. * Act as a central point for capturing feedback and providing it to the Microsoft team. |
| Technical representative (or representatives) from security | Provide technical detail about how security policies, guidelines, or standards are applied within the environment. |
| Technical representative (or representatives) from network services (such as remote access services) | Provide technical detail regarding how identities (users or devices) use network services both internally and externally. |
| Technical representatives from any other group that manages an identity source of record | Provide insights into other identity systems. Often, there are many more identity systems within an environment besides HR, Active Directory Domain Services, and Azure Active Directory. We would like to meet with technical representatives from any group that owns or operates a system or repository  that stores identity information. This could include building management systems, contractor management systems, or any other group that manages a |

|  |  |
| --- | --- |
| **Role** | **Responsibilities** |
|  | directory-type solution. This will help us gain an understanding of how identity is handled throughout the organization. |

**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 identity subject matter expert (consultant) | * Complete the identity assessment. * Document all service deliverables. |
| Microsoft architect | Review service deliverables to validate alignment with recommended practices and technical validity. |

# **Customer responsibilities and project assumptions**

## **Customer responsibilities**

In addition to Customer activities defined in the [Approach](#_bookmark6) 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:

* The success of this engagement depends upon having the sponsorship needed to initiate and complete the identity assessment process. To this end, the Microsoft team will require timely access to the sponsor (or their assigns) to complete the program (specifically in decision support). Roles and responsibilities have been provided within Section [3.1](#_bookmark13) of this SOW. Fidelity of the team members to their roles and responsibilities will be critical to success. Further, timely access to resources (human, knowledge repositories, and system) is assumed.
* Workday:
  + The standard workday 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 will perform 100% of services remotely.
* 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.