

Software Asset Management (SAM) Statement of Work (SOW) – SAM BASELINE REVIEW

(For use with the Microsoft SAM Services Incentives Program)

1. Description

The SAM Baseline Review is designed to provide the customer with a complete view of their current Microsoft product deployment and licensing position and their SAM maturity level. With this information, the SAM Partner can help the customer optimize their software investments.

The customer will receive several key software asset management deliverables, including but not limited to: 1) a report on deployments and usage compared to license entitlements; 2) license optimization recommendations; 3) Baseline SOM Assessment and optimization report; 4) guidance on additional uses of deployment data. The underlying data for these reports and recommendations will be gathered by the partner, who will perform a full discovery and inventory process for all Microsoft product deployments with third-party tools, as well as gather additional usage data through customer interviews and other available sources.

Use of Intelligent Asset Manager (I-AM) is required in this SAM Baseline engagement. All work completed under this SOW will be provided in accordance with the I-AM Terms of Use (“TOUs”), available [here](#).

2. Inputs

The partner will collect the following inputs from the customer’s premises:

1. A complete background of the customer’s existing IT infrastructure and environment including on-premises, cloud and outsourced installations for all locations and/or divisions.
2. Deployment inventory data coverage of no less than 90% from at least one (1) automated discovery tool for each customer location where Microsoft products are installed (see [Data Collection Requirements](#))
3. Entitlement data outside Microsoft Volume License Agreements from procurement and any applicable sources or suppliers which may include:
 - i. Original Equipment Manufacturer (OEM)
 - ii. Full Packaged Product (FPP) / Retail
 - iii. Outsourcer
 - iv. Service provider (Hosters, etc.)
 - v. Additional reseller(s)
 - vi. Changes to entitlements resulting from mergers, acquisitions or divestitures
 - vii. Independent Software Vendors (ISV)
 - viii. Any servers/environments managed by a Service Provider Licensing Agreement (SPLA)
4. A full and confirmed list of affiliates, if they exist, and any relevant amendments to their Microsoft Volume License Agreements, including any license transfer documents, either granting or receiving licensing rights.

5. Customer input on current SAM processes and level of maturity, as mapped to Microsoft's SAM Optimization Model framework and questionnaire (see [Baseline SOM Assessment Report](#)) using stakeholder interviews.
 - i. A minimum of three (3) stakeholders must be interviewed, representing decision-making roles in the following departments: Information Technology (IT), Procurement and Operations.
 - ii. Input must also include an interview or feedback from one (1) stakeholder for each location and/or division (if the customer has multiple locations and/or divisions).
6. Current IT infrastructure and organization diagrams that include locations, IT group names, SAM tool(s) or supporting processes in place and stakeholder names.
7. Location of software entitlement, deployment and retirement records as well as level of access allowed.
8. Office 365 and other Microsoft Online Services reservations and assignments.
9. Any copies of recent SAM reports and SAM Self-Improvement Plans that have been created for internal stakeholders, including any evidence of stakeholder and executive review and sign-off (if available).

The partner will collect the following inputs from Microsoft:

Microsoft License Statement (MLS) including Microsoft Product and Services Agreement (MPSA) data where relevant.

3. Data collection

This section contains a minimum list of required steps partners must take to ensure satisfactory levels of completeness and accuracy to build the basis for the required analysis and customer deliverables. Partners will ensure that all data collected will be stored securely and in accordance with the requirements set out in the I-AM TOUs. There are two main categories of data collection: 1) data related to the discovery and inventory of hardware and software assets and the mapping to licensing entitlements to complete the Established Deployment Position (EDP) and Effective License Position (ELP) proof of execution and 2) data related to the maturity level of the customer's SAM policies, procedures and practices to complete the SAM Optimization Model (SOM) Assessment proof of execution. Partners must ensure that the data collected is whole, complete and accurate through validation with secondary data sources. The data collection must cover the full scope of the customer's enterprise and all Microsoft products deployed within the environment. Any deviation or change to this scope needs to be approved by Microsoft, the partner and customer.

Discovery and inventory of hardware and software assets: data collection requirements

Data coverage must reach at least 90% of all devices pertaining to this engagement. Data coverage is defined as the percentage of total devices for which all required installation data has been obtained. Where devices are not joined to the directory or network, manual collection of data is acceptable while maintaining the 90% data coverage requirement. Some specific guidance includes, but is not limited to:

1. Complete extraction of user accounts from the customer's Active Directory (AD) domain(s) and Lightweight Directory Access Protocol (LDAP) and/or workgroups.
2. Data extract must be cross-referenced against a minimum of one (1) additional data source, including but not limited to:

- i. Records from existing network performance/security monitoring and management tools
 - ii. Network management frameworks
 - iii. Virtual machine performance monitoring
 - iv. Customer Human Resources (HR) records
 - v. Security sources (anti-virus)
3. All trust accounts must be extracted to ensure no domains are missed.
4. Extraction of user accounts by group (if applicable, e.g., for Citrix). Output includes a listing of user objects and the AD Groups they belong to.
5. Identification of active users based upon the technique(s) employed by the customer (based on the output from Step 1).
6. Complete extraction of data from the customer's current management and inventory tools and the calculation of current coverage levels of existing tool(s).
7. Inventory of any missing devices, including but not limited to devices that:
 - i. Do not report inventory
 - ii. Are non-networked
 - iii. Are unmanaged devices
8. Virtual environment mapping output includes:
 - i. Clusters
 - ii. Physical hosts
 - iii. Virtual guests and virtual guest movement across physical hosts within the past 90 days to accurately calculate licensing needs for products such as Windows Server, SQL Server, etc.
9. Identification of workstations and servers used by Microsoft Developer Network (MSDN®) subscribers. Products installed on these devices will be identified and excluded if appropriate. Facilitation of the identification of devices covered by MSDN® subscriptions by employing various methods such as determining preferred user for devices, linking last logged-on user to devices, or soliciting feedback from customer personnel that have an MSDN® subscription (email template can be provided.) **This step should be completed as early as possible in the data collection phase.**
10. For server products that can be licensed in multiple ways (e.g., server/CAL or per processor), the licensing metric applicable to each implementation must be identified.
11. SQL Server output includes:
 - i. Version and edition
 - ii. License type required for each SQL Server instance for customers with mixed licensing metric (server/CAL, per processor or per core)
 - iii. Confirmation of passive SQL Servers assigned Failover Rights
12. Windows Server output includes:
 - i. Server name
 - ii. Physical or virtual operating system environment
 - iii. Operating system version and edition
 - iv. Processor and core information
13. System Center Server output includes:
 - i. Server names
 - ii. Physical or virtual data
 - iii. Component (e.g. System Center Configuration Manager (SCCM), System Center Virtual Machine Manager (SCVMM) version and edition)

- iv. Processor and core information

Baseline SOM Assessment: data collection requirements

Complete the Microsoft Baseline SOM Assessment Report questions with answers provided by the customer through interviews.

4. Analysis

The SAM Baseline engagement data must be analyzed, reviewed and agreed upon with the customer as an accurate point-in-time reflection of the customer's current deployment and license position. This data, along with the additional customer inputs, will also provide a basis for the development of solid license optimization recommendations and a robust SAM Optimization Model maturity assessment unique to the customer. Based on the inputs and data collection, the partner will complete the following required analysis:

1. Reconciliation analysis between license entitlements and deployment data, including the application of license benefit and optimization rules (e.g. upgrades, downgrades, promotions, etc.).
2. Review of the Microsoft Baseline SOM Assessment Report answers and results in each of the ten key competency areas identified in the SOM tool in order to prepare recommendations and next steps for the customer.

5. Deliverables

The following deliverable is due to the customer at the **beginning** of the engagement:

Letter of Engagement. This letter must include at a minimum:

- i. A Statement of Work (SOW) for the engagement being performed, including a list of all customer deliverables
- ii. Scope of the engagement, including any scope limitations
- iii. Dates and timelines
- iv. Partner project team members and their relevant Microsoft Certified Professional (MCP) credentials
- v. List of key contacts that must include names, titles, phone number, and email addresses.
- vi. Planned disclosure of engagement deliverables to Microsoft
- vii. Statement explaining that data collected by partners from customer's information system environment is transferred to Microsoft, and how Microsoft will use that data collected to generate reports necessary for partners to effectuate the SAM services.
- viii. Consent from the customer to transfer data to Microsoft, any of its affiliates, and to the subprocessors Microsoft may employ to generate the reports necessary for the SAM services, including consent to transfer Personal Information to the United States and other countries where Microsoft's subprocessors are located. "Personal Information" means any information provided by Microsoft or collected by partner in connection with this Agreement (a) that identifies or can be used to identify, contact, or locate the person to whom such information pertains, or (b) from which identification or contact information of an individual person can be derived. Personal Information includes, but is not limited to: name, address, phone number, fax number, and email address. Additionally, to the extent

any other information (such as, but not necessarily limited to, a personal profile, unique identifier, and/or IP address) is associated or combined with Personal Information, then such information also will be considered Personal Information.

- ix. The Microsoft [SAM Engagement data usage and privacy information](#) document (“Data Usage Guide”). Find the current version here.
- x. Reference the Data Usage Guide, where appropriate.

The Letter of Engagement must be in writing and signed by authorized representatives of partner and customer.

The following deliverables are **due to the customer** at the **end** of the engagement:

1. Established Deployment Position (EDP). A document with details related to all hardware and software currently deployed within the customer’s IT infrastructure.
2. The Effective License Position (ELP). A spreadsheet that provides details related to license entitlements and deployments. The spreadsheet must be produced using I-AM (Note: Defined in [Deliverables to Microsoft](#)).
3. License Optimization Report. This report must contain the risks, liabilities, and issues associated with customer’s current licensing practices and prioritized recommendations on how to better manage their licenses to minimize risks in the future. The report could also contain, but is not limited to:
 - i. Identification of all of the customer’s Volume License Agreements (VLAs) with Microsoft and a recommendation on any beneficial consolidation.
 - ii. Consumption information, detailing installed products that are unused or underutilized (e.g., no use in last six months).
 - iii. Recommendations for a repeatable, simplified inventory collection process for future True-ups (for Enterprise Agreement customers only).
 - iv. Additional customer-specific recommendations based on captured data and insights.
4. Microsoft Baseline SOM Assessment Report. The Microsoft Baseline SOM Assessment Report provides the customer with an Assessment Rating and SAM maturity level based on answers to SAM policy and procedure questions asked throughout the engagement. The report must also provide recommendations at each stage of the model, prioritizing the ones with the greatest impact on the customer. According to the scope of the engagement, this report will contain:
 - i. An Executive Summary. A high-level summary of project background and scope, engagement result, recommendations and next steps.
 - ii. SOM Assessment and Recommendations. A summary of findings and results of the SOM maturity assessment.

The following deliverable is **due to Microsoft** at the **beginning** of the engagement.

Letter of Engagement. This must be the same Letter of Engagement provided to the customer and signed by the customer and the partner at the beginning of the engagement.

The following deliverables are **due to Microsoft** at the **end** of the engagement. The SAM Partner must utilize I-AM and all work completed under this SOW will be provided in accordance with the I-AM TOUs.

1. Established Deployment Position (EDP). The EDP, an I-AM generated Excel report, provides details related to the customers' Microsoft software deployments and usage data. The software deployments are identified using discovery tools and manual inputs as outlined in the [Data collection](#) section. The partner must first input all relevant data into the customer Inventory Data Contract (CIDC) template, which will be uploaded into I-AM. The EDP will then be created by the partner using I-AM which is to be given to the customer and Microsoft. EDPs produced outside of I-AM will not be accepted as proof of execution. The EDP data must meet or exceed the minimum quality standards published in the current [SAM Minimum EDP Quality Standards](#).
2. Effective License Position. The ELP provides details related to license entitlements and deployments and is generated using I-AM. The ELP must be finalized in the I-AM. ELPs produced outside of I-AM will not be accepted. An encrypted ELP must be uploaded into the designated tool (currently CHIP) as proof of execution.
3. Microsoft Baseline SOM Assessment Report. This must be the same Baseline SOM Assessment Report provided to the customer, as outlined above.
4. Letter of Confirmation (only applicable for customer countries listed below)
 - I. Required: China
 - II. Advised: India, Malaysia, Indonesia, Philippines, and Vietnam.

The Letter of Confirmation should be drafted after completion of the SAM engagement and requires customer's chop (stamp) or email from customer corporate domain confirming provision of SAM engagement.

The Letter of Confirmation must include the following statement:

"This is to confirm Microsoft SAM Partner <insert partner Name> has implemented SAM service <insert SAM Engagement Type> to customer <insert customer name>."

6. SAM resources

SAM Partner eligibility, program overview, and partner incentive guides are located at <http://aka.ms/SAMIncentiveGuide>