Data Center Auditing
What you need to know about your DC infrastructure

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Member of TÜV NORD GROUP

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Sicher ist, dass nichts sicher ist. Selbst das nicht!
Joachim Ringelnatz
AUDIT

An audit is a systematic and independent examination of records, documents and vouchers of an object or an organization to ascertain how far the statements and disclosures present a true and fair view of the object of the audit. The auditor perceives and recognizes the propositions before him / her for examination, obtains evidence, evaluates the same and formulates an opinion on the basis of his judgement which is communicated through his audit report.

Any subject matter may be audited. Audits provide third party assurance to various stakeholders that the subject matter is free from material misstatement. Areas which are commonly audited include: Compliance audit, internal controls, quality management, project management.

As a result of an audit, stakeholders may effectively evaluate and improve the effectiveness of risk management, control, and the governance process over the subject matter.

TÜVIT TSI INTERNATIONAL – AUDIT AND CERTIFICATION PROJECTS

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Reasons for an audit

Benefits

Nature and scope

On-site inspection

More than a checklist

Result and conclusion

Reasons:
Insecurity about the current status of a data center, i.e. level of resilience, survivability, code conformance. Or as a basis for a refurbishment or expansion project. Or to be used as an internal or external proof of quality (marketing tool).
RISK POTENTIALS

- Force Majeure
- Technical faults
- Criminal acts
- Negligence
AVAILABILITY

Data center requirements 24/7

Bar Chart 2: Average cost of unplanned data center outages for nine categories
Computed from 41 benchmarked data centers

- Business disruption: $179,827
- Lost revenue: $118,080
- End-user productivity: $96,226
- IT productivity: $42,530
- Detection: $22,347
- Recovery: $20,884
- Ex-post activities: $9,537
- Equipment costs: $9,063
- Third parties: $7,008

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Ponemon Institute® Research Report

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PRINCIPLES OF AVAILABILITY

- Fault tolerance
- Redundancy
- Separation
- Robustness
- Scalability
- Prioritization
- Transparency
- Automatism
- Autonomy
- Diversification

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AVAILABILITY

- There are requirements by authorities, statutory organizations, supervisory boards, etc., published in form of guidelines, laws, codes, regulations, ...
- Priority are health and safety issues
- Examples
  - Building codes
  - Fire protection
  - etc.
- There are recommendations regarding the protection of property
- Definition of availability??
IMPLICATIONS
CONTENTS

- Reasons for an audit
- Benefits
- Nature and scope
- On-site inspection
- More than a checklist
- Result and conclusion

Benefits:
Gaining detailed information about the data center’s current status, fault tolerances, uncovering potential weaknesses to avoid any downtime, providing recommendations regarding enhancements and / or potential alternatives.
BENEFITS

Industry

Customers and markets

Courts of law

Market position

Vendors

Basel II/III

Confidence

Liabilities

Board

Conditions

IT-operator

Insurance company
THERE ARE MANY DESIGN GUIDES ...
EXCERPTS FROM THE TIA-942

F.5.4  Tier 4 (electrical)
Tier 4 installations should meet all requirements of tier 3. Tier 4 facilities should be designed in a ‘2(N+1)’ configuration in all modules, systems, and pathways. All feeders and equipment should be capable of manual bypass for maintenance or in the event of failure. Any failure will automatically transfer power to critical load from failed system to alternate system without disruption of power to the critical electronic loads.

Contradiction

<table>
<thead>
<tr>
<th>Uninterruptible Power Supply System</th>
<th>TIER 1 (E₁)</th>
<th>TIER 2 (E₂)</th>
<th>TIER 3 (E₃)</th>
<th>TIER 4 (E₄)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Redundancy</td>
<td>N</td>
<td>N</td>
<td>N+1</td>
<td>2N</td>
</tr>
<tr>
<td>Topology</td>
<td>Single or Parallel-Modules</td>
<td>Single or Parallel Modules</td>
<td>Distributed Redundant Modules or Block Redundant System</td>
<td>Distributed Redundant Modules or Block Redundant System</td>
</tr>
<tr>
<td>Automatic Bypass</td>
<td>Not required</td>
<td>Yes with non dedicated feeder to automatic bypass</td>
<td>Yes, with dedicated feeder to automatic bypass</td>
<td>Yes, with dedicated feeder to automatic bypass</td>
</tr>
</tbody>
</table>

ANSI/TIA-942-A

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AUDIT CATALOGUE

- Conclusion: The basis for an audit should be defined in a way that inspections will be comprehensive and results reproducible.
- Examples from the audit catalogue:

```
POW01.06  A/B supply for the IT equipment

Implementation of two separate supply paths with regard to fire protection. Each supply path is able to supply the IT up to a level of 100%. The load is distributed as symmetrically as possible over both paths, so that during normal operation each path carries approximately 50% of the load.

B: With only one medium-voltage control room, additional measures have been implemented for the secondary supply (e.g. redundancy n+1 or preparation for the connection of a mobile secondary power source).

C: Implementation is carried out as described in the text above.
```
Nature and scope:
An independent third party analysis, neutral and vendor independent, carried out by trained and experienced data center professionals, preferably with an engineering background, involving the client’s staff or representatives. Covering all relevant fields including site and building, electrical and mechanical systems, security systems, cabling, organization and documentation, considering recognized national and international data center standards.
IMPULSES

Important: Holistic approach
ENVIRONMENT

Avoidance of
- Flooding areas
- Major traffic arteries
- Explosion hazards
- Sources of vibration
- Political targets
- Event venues
- Etc.
CONSTRUCTION

- Arrangement of rooms
- Constructive fire protection
- Constructive water protection
- Protection against intrusion
- Lightning protection
- Spatial separations
- Etc.
FIRE PROTECTION

- Central panel
- Smoke detectors
- VESDA systems
- Fire suppression systems
- Fire dampers
- Etc.
SECURITY SYSTEMS

- Access control system
- Gathering of data
- Coding
- Intrusion protection system
- Detectors
- Security zones
- Security personnel
- Etc.
ENERGY SUPPLY

- TN-S Net
- Redundancies
- UPS
- Generator
- Fuel storage
- Cable pathways
- SPDs
- Etc.
HVAC

- CRAC units
- Chillers
- Cooling towers / heat exchangers
- Piping
- BAS
- Leakage detection
- Etc.
ORGANIZATION

- Maintenance + repairs
- Responsibilities
- Security inspections
- Tests
- Training
- Etc.
DOKUMENTATION

- Security concept
- Environmental analysis (min. 1.5 mile radius)
- DR concepts
- Floor plans
- Schematics
- Installation layouts
- Energy- and AC requirements
- List of Alarms
- Etc.
2 SITES

- 2 Data centers at
- 2 Locations
- 2 Supply paths and
- Redundant connections
- With different environmental risks
CABLING

- Redundant WAN links
- Separation of power and data cables
- Installation of cables
- Rack built-up
- Rack feeds
On-site inspection:
An onsite inspection by auditing experts as an essential auditing component after evaluation of submitted documents to verify the present conditions, incl. testing and an assessment of capacities, constraints and operation procedures.
BASIC REQUIREMENTS

Documents
- current
- Originator
- Hard copy and/or digital
- Documents
  - Legend
  - Scale (with floor plans)
  - Date
  - Suitable scale

Personnel
- Knowledgeable contact persons
- Access to all buildings, systems, and components
- Potentially with prior NDA
CHECKING OF DOCUMENTS – COMMENTS

- Check on completeness
- Distribution of documents according to disciplines
- Analysis of security concept in combination with enclosed plans and schematics
- Comparison of descriptions to TSI requirements. Non-conformities, undocumented implementations and misleading explanations will be collected in a comments list.
- Check of documents as preparation for on-site inspection
DOCUMENTATION

Security concept
Fire protection concept
DR plan
Environmental analysis

Site plan
Floor plans
Sections

Projections onto floor plan of
- main supply pathways
- security zones
- intrusion detectors
- EAC components
- CCTV cameras
- misc. sensors, e.g. leakage

Schematics
- EAC
- Intrusion detection
- Fire detection
- Fire suppression
- Energy supply
- Mechanical supply
- Ventilation

Name plate information of important components, e.g. transformers, UPS, batteries, gen sets, chillers, cooling towers, etc.

Energy balance
Cooling capacity balance

Room list
Door / Windows schedule

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TECHNICAL KNOW-HOW

- An interdisciplinary team of technical experts will audit and evaluate the data center, e.g. from the following fields:
  - Electrical engineering
  - Mechanical engineering
  - Electronic security systems
  - Architects
  - Physicists
  - Information technology
ON-SITE INSPECTION

- Audit
  - Environment
  - All IT-rooms
  - All support rooms
  - All adjacent rooms
  - Control room
  - Pathways
  - Roof
  - Raised floor and risers

- Level 2: 2 auditors 1 day
- > Level 2: 3-4 auditors 1-3 days
- Discussion of concepts and implementation with the local technical staff
- Triggering of alarms
- Photos of special situations

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Not just checklist:
A customized format but based on well documented procedures, taking into account the data center’s specific characteristics by analyzing and evaluating all aspects, using an engineering-based and protection-objective approach.
THE AUDIT AND CERTIFICATION SCHEME

Design guides

Audit catalogue

UPTIME TIER
BICSI 002
TIA 942
BITKOM
EN 50600

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THE PROBLEM WITH AN AUDIT

Some things can be measured precisely, different to the quality of a data center ...
THE PILLARS OF INFRASTRUCTURAL MEASURES

Precaution
SPSs
Intrusion protection
UPS
etc.

but also
Planning
certification

Detection
Smoke detectors
Temperature sensors
EAC
etc.

Reaction
Forwarding of alarms
Fire suppression
Switching between power sources
etc.
METHODOLOGY: COMPLY OR EXPLAIN

Goal:
Avoidance of major traffic arteries with an increased risk of the transport of hazardous goods (Risk analysis)

**Distance to major traffic artery**

- Protection by other objects
- Course of traffic artery
- Speed limit
- User frequency
- Type of road
- Accident statistics

Type of construction
Room arrangement
Outcome:
The evaluation reports must be comprehensive, concise and pragmatic, making practical recommendations for improvements and suggestions for a realistic implementation, specific to the audited facility, with reproducible conclusions.
TYPICAL PROBLEMS (EXAMPLES)

- Fire stops
- Fire loads
- Security deficiencies / differences in quality
- Monitoring of intrusion attempts and protection against intrusion are different things
- Congestion of raised floor
- A property „following“ a standard does not conform to the standard
TYPICAL PROBLEMS (EXAMPLES)

- Grounding connections
- Human mistakes (design, operation, maintenance)
- Missing sensibility of the personnel
- Reaction to alarms
- Insufficient reserves
- Documentation is not up-to-date
ADVANTAGES OF A CERTIFICATION

The audit as the basis for a certification:

- Creating TRUST with your clients.
- Provision of a PROOF OF QUALITY for monitoring institutions / internal revision / accountants.
- You are improving and securing the QUALITY of your services.
- Generation of a COMPETITIVE ADVANTAGE in the industry.
CHECKING IS BETTER THAN VERBAL STATEMENT
AT THE CONCLUSION

Thank you

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YOUR POINT OF CONTACT

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