



Enterprise Technology Performance and Risk Assessment



September 5, 2012

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Risk & Business Consulting.
Internal Audit.



Protiviti Team

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Protiviti Team

Team Member	Title	Role	Employment History	Education	Professional Licensure (s)
Tony Samer	Managing Director	Account Managing Director	10 years US Navy, 11 years professional services	B.S. – Mechanical Engineering, MBA	CISA
Daniel Hansen	Associate Director	Overall Project Manager and IT Risk Assessment QA	11 years professional services	B.S. – Management Information Systems	CISA, CBCP, PCI-QSA
Jason Brucker	Associate Director	IT Performance Assessment Lead	11 years professional services	B.S. – Chemical Engineering	PMP, ITIL Foundations, CISA
Tim Maloney	Senior Manager	IT Performance Assessment QA	9 years professional services	B.S. – Computer Information Systems	CRISC, CISA, PMP, ITIL Foundations
Tyler Jacobsen	Senior Manager	IT Risk Assessment Lead	10 years professional services	B.S. – Information Systems	CISA, CRISC
Torin Larsen	Senior Manager	IT Risk Assessment Team	10 years professional services	B.A. – Economics, MBA	CISA, CISSP, CISM, PCI-QSA



Protiviti Overview and Background

Protiviti Overview Background

Protiviti (www.protiviti.com) is a global business consulting and internal audit firm composed of experts specializing in risk, advisory and transaction services.

Protiviti was launched in May 2002 and has over 20 years' investment in consulting tools, methodologies, business process improvement and people. Protiviti is a wholly owned subsidiary of Robert Half International Inc., a \$3.78 billion public firm listed on the New York Stock Exchange (NYSE symbol: RHI), Our parent company, Robert Half International, was founded in 1948 and has over 400 offices worldwide. RHI is the world's leading specialized staffing and consulting services firm, in the placement of accounting, finance and technology professionals.

Protiviti's clients include more than:

- ✓ 35% of all Fortune 100 Companies
- ✓ 25% of all Fortune 500 Companies
- ✓ 20% of all Fortune 1000 Companies

Protiviti is one of the fastest growing consulting firms worldwide. Our revenues have increased from US \$15 million in 2002 to US \$424 million in 2011.

- ✓ Largest Independent risk consulting firm
- ✓ 2,500+ professionals
- ✓ 1,000+ clients
- ✓ 70 offices
- ✓ 14 countries in Americas, Europe and Asia-Pacific

Global Presence

Over 2,500 Professionals in Over 70 Offices



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Boston, MA	Kansas City, KS	Portland, OR	Tampa, FL
Charlotte, NC	Los Angeles, CA	Richmond, VA	Washington, D.C.
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Cleveland, OH	New York, NY	San Francisco, CA	
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Project Outline

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Phase 1: Understand IT Organization and Structure

- Gather and review existing documentation around applicable IT processes, entity level, strategy/planning, controls, and identify key stakeholders.
- Gain an understanding of strategic company initiatives, critical projects (both planned and currently in flight).
- Develop initial plan for interviews to be executed and locations to be considered.

Phase 2: Understand IT Environment

- Hold interviews with key IT management, process owners, and system owners to develop an IT footprint for consideration of risk analysis.
- Analyze systems architecture and topology to gain an understanding of critical systems, applications, and processes.

Phase 3: Determine and Prioritize Risk Universe

- Aggregate findings from interviews and analysis of IT processes, applications, infrastructure and projects and evaluate underlying IT process maturity and risk levels.
- Utilizing IT Governance frameworks currently in place (or widely accepted frameworks such as ITIL, CoBIT, etc.), prioritize the populated risk universe based on raw and perceived risk ratings along with our experience and internally developed risk assessment tools (Protiviti IT Risk Assessment Tool).
- Categorize IT processes and controls by process area into the Capability Maturity Model to highlight the Company's processes and controls maturity.

Project Outline (continued)

Phase 4: IT Processes and Controls Benchmarking

- Work with key stakeholders and IT process owners to gather ITPI data for the IT benchmarking exercise, then tabulate the results from the ITPI survey data.
- Generate ITPI benchmarking results based on company size, industry, and objectives.

Phase 5: IT Organizational Assessment and Improvement

- Benchmark gathered Port IT data and metrics against APCQ and Gartner data sources.
- Determine whether the IT environment, systems, and strategy are appropriate to effectively support the business – today and into the future.
- Determine the adequacy of the Company's controls environment, especially in the areas of IT performance metrics and capacity planning.
- Utilizing the results of this phase assessment along with the IT Risk Assessment and the IT benchmarking exercise, determine and align the maturity of key IT organizational elements into the capability maturity model.
- Develop a roadmap to realize business and systems improvement opportunities and/or address existing gaps. Develop detailed list of observations and recommendations of findings, control and process improvements, and best practices for each phase executed.
- Develop a framework for tracking, comparing and reporting on core technology costs going-forward to demonstrate general improvement and departmental efficiencies.

Phase 6: Finalize IT Audit Plan

- Develop a 3-year IT audit plan with defined scope and objectives with consideration of the results from the IT Risk Assessment and IT benchmarking exercise. The audit plan will be laid out in a timeline with consideration of the level of effort, resources required, and perceived/recommended organizational priorities.
- Communicate the IT Risk Assessment, Risk Universe, and Benchmarking results along with the 3-year audit plan to key stakeholders.



Project Deliverables

Deliverables

At the conclusion of this assessment, Protiviti will provide Port with a final report that will include the following elements:

Executive Summary

- Overview of the review procedures performed
- Summary of observations and key Improvement opportunities
- Summary of IT Risk Assessment approach and results
- IT improvement roadmap

Audit Results

- IT risk heat map outlining key IT risk areas based on likelihood and impact to Port
- Three year audit plan with a brief description of each proposed audit, required skill sets and estimated hours
- Audit analysis details of IT risk universe will be included in an appendix

ITPI Results:

- Summary of ITPI results (KPIs, key control maturity, etc.)
- Capability maturity model summary of core IT processes
- Detailed results will be included in the appendix

Deliverables (continued)

IT Organizational Performance Results:

- Capability Maturity Model breakdown of Port IT based on IT Governance Framework (i.e., Strategic Alignment, Value Delivery, Risk Management, Resource Management, Performance Metrics)
- Detailed observations and recommendations:
 - IT organization cost analysis to comparable industry organization
 - Recommended improvement in IT policies and procedures
 - Improvement opportunities based on Protiviti's Model for Organizational Transformation (i.e., Strategy, Technology, Process, Organization, Common Language, Metrics, Skills, Structure, and Cultures & Values)
- A process maturity summary for reach critical IT process areas (e.g., Asset Management, Information Security, Business Continuity, etc.)
- Additional metrics and benchmarking details based on Gartner, APCQ and IT Process Institute
- Monitoring benchmark framework for tracking costs over time.



High-Level Project Timeline

Estimated Timing

	Project Week	Week 1	Week 2	Week 3	Week 4	Week 5	Week 6	Week 7	Week 8	Week 9	Week 10	Week 11	Week 12
Project Phases													
Phase 1: Understand IT Organization and Structure		✓	✓										
Phase 2: Understand IT Environment				✓	✓	✓							
Phase 3: Determine and Prioritize Risk Universe						✓	✓	✓	✓				
Phase 4: IT Processes and Controls Benchmarking								✓	✓	✓			
Phase 5: IT Organizational Assessment and Improvement								✓	✓	✓	✓		
Phase 6: Finalize IT Audit Plan											✓	✓	✓



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