



# Montana State Government Enterprise Risk Map

September 2021

| Activity                                       | Description   | Risks   | Exposure Category* | Enterprise Risk Owners**   |
|--|---|---|--------------------|----------------------------|
| 1 Agricultural & Livestock Services            | Agricultural development, animal health, bison management, brand enforcement, horse racing, licensing, livestock inspections, meat control, milk control, pest management, seed management, soil & groundwater testing, and weed control. | Personal injury or property damage that may arise from negligent management of bison, meat, milk, pests, seeds, soil, weeds, and other agricultural commodities and livestock services. | 3                  | AG, LV                     |
| 2 Aviation Services                            | The operation of aircraft and airports owned or leased by the state.  | Personal injury or property damage that may arise from the negligent operation of aircraft and airports.  | 3                  | FW, GO, JU, LV, MA, NR, TR |
| 3 Athletic Events                              | Athletic training and competition.  | Personal injury or property damage that may arise from inadequate crowd control, improper equipment, improper training, and negligent supervision.                                      | 3                  | BE, US                     |
| 4 Automobile Parking Facilities                | Locations utilized for automobile parking and storage.  | Personal injury or property damage that may arise to person or property of state employees or citizens while parked at state premises.  | 2                  | ALL                        |
| 5 Banking and Financial Institutions           | The regulation of state banks and financial institutions.   | Personal injury to citizens that may arise from failure to regulate financial institutions. Personal injury to financial institutions that may arise from negligent regulation.         | 3                  | AD                         |
| 6 Boards, Councils, & Commissions              | Organizations comprised of individuals appointed to oversee or conduct activities that fulfill state purposes.  | Personal injury or property damage that may arise from negligent acts or omissions or fiduciary negligence.   | 1                  | ALL                        |
| 7 Building Construction                        | The construction, design, and/or renovation of state buildings.   | Personal injury or property damage to state employees and citizens that may arise from negligent construction, worker equipment/practices, and contractual liability.                   | 3                  | AD, US                     |
| 8 Building Maintenance                         | The maintenance of state buildings and contents through housekeeping, landscaping, and other maintenance practices, excluding construction.   | Personal injury or property damage that may arise from housekeeping, landscaping, or other building maintenance practices.  | 3                  | ALL                        |
| 9 Camps  | Outdoor areas owned/leased/used by the state that are designated for overnight use.   | Personal injury or property damage to clients, employees, or guests that may arise from negligent management of activities, equipment, food preparation, maintenance, and supervision.  | 1                  | FW, MA, NR, PI, US         |
| 10 Compliance                                  | Risk arising from losses and legal penalties due to failure to comply with laws or regulations. In many cases, agencies/universities that fully intend to comply with the law   | Legal, regulatory, contractual, IRS, or other requirements.   | 3                  | All                        |
| 11 Commerce and Economic Development Services  | Business resources, economic development, energy infrastructure/promotion, Montana promotion, and trade/international relations.  | Personal injury or property damage that may arise from negligent acts or omissions.   | 1                  | AG, CO, GO                 |
| 12 Concessions                                 | The distribution of food, beverages, and other products at state activities.  | Personal injury or property damage that may arise from the negligent preparation, distribution, and storage of beverages, food, and products.   | 1                  | CO, FW, PH, TR, US         |
| 13 Containment Areas/Dams/Dikes/Ditches/Levies | Natural or man made structures designed to contain or divert water.   | Personal injury or property damage that may arise from negligent containment, negligent management, or improper diversion of water.   | 3                  | FW, NR, TR                 |
| 14 Contracts                                   | Liability arising from contractual agreements.  | Personal injury or property damage that may arise from breach of contract or improper contract language.  | 3                  | ALL                        |
| 15 Convalescent Homes/Shelters                 | Facilities that house and treat individuals with special needs.   | Personal injury or property damage that may arise from negligent management, improper medical treatment, and poor supervision.  | 3                  | PH                         |
| 16 Correctional Services                       | The administration of programs to manage individuals who are in the Montana criminal system.  | Personal injury or property damage that may arise from the negligent supervision of inmates and parolees.   | 4                  | CR, SC                     |
| 17 Counseling Services                         | Professionals who offer advice and counseling services for state purposes.  | Personal injury or property damage that may arise from negligent counseling.  | 3                  | AD, CR, LI, PH, US         |



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| 18 Disasters or Emergencies   | Natural or human perils that result in catastrophic personal injuries and property damage.   | Natural or human perils that result in catastrophic personal injuries and property damage.  | 4                  | ALL                      |
| 19 Electoral Services, Business Services, and Records Management Services | Business services, elections, records management, and voter registration.  | Personal injury that may arise from negligent oversight of elections, errors and omissions, and improper records management.  | 1                  | SS                       |
| 20 Employee Benefits Administration                                       | The administration of programs that provide benefits for state employees, excluding retirement benefits  | Personal injury that may arise from negligent benefits administration.  | 1                  | AD                       |
| 21 Employee Retirement Administration                                     | The administration of programs that provide retirement for state employees.  | Personal injury that may arise from negligent retirement administration.  | 1                  | AD                       |
| 22 Electric Power Distribution  | The distribution of electrical power.  | Personal injury or property damage that may arise from state's ability to distribute electrical power.  | 1                  | NR, US                   |
| 23 Electric Power Generation  | The generation of electrical power.  | Personal injury or property damage that may arise from equipment failure and the inability to generate electrical power.  | 1                  | NR, US                   |
| 24 Employee Work Practices  | State employee work practices including equipment operations and materials handling.   | Personal injury or property damage that may arise from violent attitudes/behaviors, criminal acts, negligent supervision, equipment, and materials handling.  | 4                  | ALL                      |
| 25 Environmental Services   | Air quality monitoring and compliance, energy, hazardous waste cleanup, petroleum release tanks, pollution prevention, and water protection.               | Personal injury or property damage that may arise from negligent compliance monitoring, cleanup, or the release of hazardous waste/pollutants.  | 3                  | EQ                       |
| 26 Financial  | Risk arising from policies, practices, procedures, and decisions that impact profitability, funding, and the financial aspects of your agency/university.  | Personal injury that may arise from errors & omissions, fiduciary negligence, inadequate internal controls, and poor bond issues/investments. Resources, financial structure, ability to meet future financial needs, asset management, credit program risk, and financial reporting. | 3                  | ALL                      |
| 27 Fire Suppression   | The administration of programs to prevent or mitigate fire.  | Personal injury or property damage that may arise from failure to detect or suppress fire.  | 3                  | CO, CR, JU, MA, NR       |
| 28 Fish, Wildlife & Parks Services  | The administration of state fish, game, and parks resources including communication/education.   | Personal injury or property damage that may arise from negligent management of fish, wildlife, and park resources.  | 3                  | FW                       |
| 29 Foreign Travel   | Travel outside the United States in fulfillment of state purposes.   | Personal injury, property damage, or vehicle damage that may arise from accident, death, disease, illness, kidnap and ransom, and tortious conduct.   | 1                  | CO, GO, US               |
| 30 Foster Care  | The adoption, placement, and supervision of foster children.   | Personal injury or property damage that may arise from negligent supervision of foster parents or from the intentional acts of foster children.   | 4                  | PH                       |
| 31 Grants Administration  | The administration of programs where funding is obtained from an external source in exchange for compliance with criterion specified in the grant process. | Personal injury or property damage that may arise from failure to properly administer grant proceeds or comply with grant criterion.  | 1                  | ALL                      |
| 32 Hazardous Materials  | The administration of programs that dispose of or regulate the disposal of hazardous materials.  | Personal injury or property damage that may arise from negligent regulation or failure to regulate hazardous materials.   | 3                  | AD, JU, PH, TR, US       |
| 32 Higher Education Services  | Education, financial assistance, grants, instruction, loans, research, scholarships, and student activities.   | Personal injury or property damage that may arise from errors in financial assistance, foreign travel, grant administration, intellectual property, negligent supervision of students, or research and development.   | 4                  | US                       |



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| 33 Historic Promotion & Preservation Services | The preservation of historic structures and other objects of rare or historic value.  | Personal injury or property that may arise from failure to protect and preserve historic state property, or the property of others in the care, custody, and control of the state for which the state is responsible.              | 3                  | AD, CO, FW, HS, US, Other |
| 34 Hospitals/Clinics                          | Facilities where medical treatment and/or research are conducted for state purposes.  | Personal injury or property damage that may arise from medical malpractice, negligent supervision of staff/patients, or improper care of patient belongings.   | 3                  | CR, PH, US                |
| 35 Housing (Residential)                      | Facilities that house state clients, employees, or students.  | Personal injury or property damage that may arise from negligent building construction or maintenance.   | 1                  | CO, FW, GO, MA, US        |
| 36 Human Resource Services                    | Discipline, labor relations, professional development, recruitment, retention and all other activities associated with state human resource administration.                                     | Personal injury or property damage that may arise from discrimination, labor relations, unfair recruitment, violations of federal/state laws, and wrongful termination.  | 4                  | ALL                       |
| 37 Information Technology Services            | The utilization of information technology services to conduct state business.   | Personal injury or property damage that may arise from cyber liability, electronic fraud, programming errors, lost data, sensitive data, and catastrophic events.  | 3                  | ALL                       |
| 38 Insurance and Security Services            | The oversight and regulation of insurance and securities companies that conduct business in Montana. The procurement and administration of insurance programs for state agencies and citizens.  | Personal injury or property damage that may arise from failure to regulate insurance and securities companies. Personal injury or property damage arising from uninsured losses or negligent administration of insurance programs. | 3                  | AU, AD, ADSF              |
| 39 Labor Services                             | Business and occupational licensing, business standards, employment relations, employment services, healthcare licensing, research and analysis, unemployment services, and workforce services. | Personal injury or property damage that may arise from improper licensure of business and occupational professions, business standards, errors in research and analysis, and errors in unemployment and workforce services.        | 3                  | LI                        |
| 40 Judicial Services                          | Court administration  | Personal injury or property damage that may arise from errors in judicial determinations and administration of the Supreme Court.  | 1                  | SC                        |
| 41 Laboratory Services                        | Equipment, facilities, and materials utilized to conduct laboratory tests and analyze data.   | Personal injury or property damage arise from equipment failure, hazardous materials, improper training, and negligent supervision.  | 1                  | AG, JU, PH, TR, US        |
| 42 Lakes/Ponds/Rivers/Streams                 | Lakes/ponds/rivers/streams access and egress.   | Personal injury and property damage that may arise from negligent supervision, failure to warn of hazards, premises defects, etc.  | 1                  | FW, NR                    |
| 43 Law Enforcement                            | Consumer protection, crime control, criminal investigation, gambling control, highway patrol, law enforcement, and motor vehicle records.   | Personal injury or property damage that may arise from negligent law enforcement activities.   | 3                  | AG, FW, JU, TR            |
| 44 Legal Services                             | Legal representation, prosecution, and public defense.  | Personal injury or property damage that may arise from negligent legal representation.   | 1                  | ALL                       |
| 45 Legislative Services                       | Agency audits, legislative services, policy analysis, and research.   | Personal injury or property damage that may arise from the negligent acts of the legislature and its staff.  | 1                  | LE                        |
| 46 Library Services                           | Learning resources including books, CDs, electronic data, digital data, and other library media.  | Personal injury or property damage that may arise from negligent management of library resources.  | 1                  | JU, HS, US                |



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|---------------------------------------|---|---|--------------------|--------------------------|
| 47 Lottery Services                   | The administration of programs associated with managing the state lottery.  | Personal injury or property damage that may arise from errors and omissions in ticket issuance, lottery games, improper controls for selecting and awarding lottery winners, etc.               | 1                  | AD                       |
| 48 Marinas                            | Waterfront facilities where maritime equipment, boats, and other resources may be stored and utilized.  | Personal injury or property damage that may arise from accidents, pollution, failure to protect property in the care, custody, and control of the state, and premises defects.                  | 1                  | FW, NR                   |
| 49 Military Services                  | Civil defense, disasters and emergencies, veteran's affairs, and youth at risk programs.  | Personal injury or property damage that may arise from the use of equipment, facilities, personnel, and weapons in civil defense.   | 3                  | MA, US                   |
| 50 Natural Resources and Conservation | Air operations, agriculture and grazing, forest management, minerals management, trust land management, and water resources.  | Personal injury or property damage that may arise from errors and omissions.  | 3                  | NR                       |
| 51 Pandemic Illness                   | State employee and citizen exposure to pandemic illness.  | Personal injury that may arise from state employee exposure to pandemic illness and/or failure to administer public pandemic health prevention programs.  | 3                  | ALL                      |
| 52 Parks and Playgrounds              | Parks, playgrounds and similar facilities owned or used for state purposes.   | Personal injury or property damage that may arise from the use of state parks, playgrounds, and recreational areas.   | 3                  | BE, FW, NR, US           |
| 53 Political Risk                     | Losses that may arise from domestic policy or events in foreign countries.  |   | 3                  | AG, CO, GO, US, Various  |
| 54 Postal Services                    | The collection and distribution of mail and parcels for state agencies and universities.  |   | 3                  | ALL                      |
| 55 Print Services                     | The administration of programs that print materials used for state purposes.  | Personal injury or property damage that may arise from exposure to hazardous materials, work practices, or errors and omissions in printed materials.   | 1                  | ALL                      |
| 56 Procurement Services               | The process of obtaining state services through competitive bids and other procurement practices.   | Personal injury or property damage that may arise from unfair procurement practices.  | 3                  | ALL                      |
| 57 Public Education and Instruction   | Accreditation, certification, educator licensure, health enhancement & safety, public education, public instruction, School for the Deaf and Blind, and special education.  | Personal injury or property damage that may arise from errors and omissions.  | 1                  | BE, PI                   |
| 58 Public Health                      | Addictive and mental disorders, adult and child healthcare, aging services, child & family services, children's insurance, child support, communicable disease prevention, disability services, chronic disease prevention, family & community health, food &   | Personal injury or property damage that may arise from the negligent administration of public health programs.  | 4                  | PH                       |
| 59 Public Utility Services            | Public utility service regulation.  | Personal injury or property damage that may arise from negligent regulation of public service utility rates and operations.   | 3                  | PS                       |
| 60 Recycling Services                 | The administration of programs that promote recycling.  |   | 3                  | ALL                      |
| 61 Recreational Activities            | Facilities and programs that offer recreational activities for state citizens, clients, employees, and students including intramural sports but excluding athletic events and   | Personal injury or property damage that may arise from errors and omissions.  | 3                  | CR, FW, MA, PH, US       |
| 62 Reputation Risk                    | Risk that a failure to manage risk, external events, and external media or to fail to fulfill the organization's role (whether such failure is accurate or perceived) could diminish the stature, credibility or effectiveness of the agency. Reputational risk can arise either from actions taken by the agency or third party partners including service providers and agents. Reputational risk can also arise from negative events in one of the other risk categories such as Legal and Compliance risks. | Political/Legislative, brand messaging, relationships with key supporters, etc. Activities that may damage the state's reputation and affect its ability to conduct business or obtain funding. | 3                  | ALL                      |
| 63 Research and Development           | The administration of programs involving research and development that serve a state interest.  | Personal injury or property damage that may arise from failure to comply with grant conditions. Loss of intellectual property.  | 3                  | LE, FW, NR, PH, TR, US   |
| 64 Revenue                            | The administration of programs that generate revenue for state agencies.  | Loss of revenue from catastrophic events.   | 3                  | JU, RE, TR, US           |



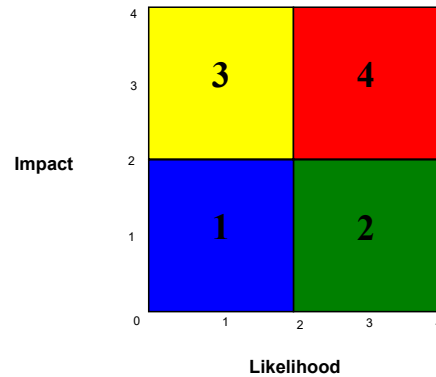
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| 65 Sidewalks, Paths, Trails | Walkways, paths, and trails that are owned or leased by the state to access property in which the state has an interest.   | Personal injury that may arise from negligent maintenance.  | 4                  | ALL                      |
| 66 Special Events           | Concerts, fireworks, parades, receptions, and other events that are unusual or atypical in nature.   | Personal injury or property damage that may arise from improper crowd control, and negligent supervision.                         | 3                  | GO, US                   |
| 67 State Land               | Land that is owned or leased to fulfill a state purpose.   | Personal injury or property damage that may arise from premises defects.  | 1                  | FW, NR                   |
| 68 Strategic Risk           | Risk arising from failed operational decisions, missed opportunities, and is often a major factor in determining an organization's worth and/or viability, particularly observable if the organization experiences a sharp decline in a short period of time. In simple form, risk that would prevent an organization from accomplishing its objectives (meeting the mission). | Varies based upon strategic goals and objectives.   | 3                  | ALL                      |
| 69 Transportation Services  | Bridges, highways, motor carrier services, and traffic safety.   | Personal injury or property damage that may arise from negligent construction, negligent regulation, or negligent traffic safety. | 4                  | TR                       |
| 70 Vehicle Operations       | The operation of vehicles owned/leased/loaned by the state.  | Personal injury or property damage that may arise from negligent vehicle operations.  | 4                  | ALL                      |

**\*Exposure Category**

- 1 = Low Likelihood, Low Impact
- 2 = High Likelihood, Low Impact
- 3 = Low Likelihood, High Impact
- 4 = High Likelihood, High Impact



**\*\*Enterprise Risk Owners**

- ALL All Agencies
- AC Montana Arts Council
- AD Administration
- ADSF Administration State Fund
- AG Agriculture
- AU Auditor's Office
- BE Board of Education
- CO Commerce

- CR Corrections
- EQ Environmental Quality
- FW Fish Wildlife and Parks
- GO Governor's Office
- HS Historical Society
- JU Justice
- LE Legislature
- LI Labor & Industry
- LV Livestock

- MA Military Affairs
- NR Natural Resources
- PH Public Health & Human Services
- PI Public Instruction
- PS Public Service Commission
- RE Revenue
- SC Supreme Court
- SS Secretary of State
- TR Transportation
- US University System

Note: State agencies and universities are diverse, therefore, risks may vary substantially from those indicated.