



AUDIT SUMMARY

Judicial Branch

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Fiscal Years Ended June 30, 2023 and 2024

ABOUT THE AGENCY



The Judicial Branch's mission is to serve the interests of justice and the public by resolving matters brought before it in a fair, timely, efficient, and open manner. The Judicial Branch interprets and upholds laws. It is comprised of the Supreme Court, Appellate Court, and Superior Court. The Supreme Court is the state's highest court. It consists of the chief justice, six associate justices, and one senior justice. The Chief Justice of the Supreme Court heads the Judicial Branch and is responsible for its administration.

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ABOUT THE AUDIT

We have audited certain operations of the Judicial Branch in fulfillment of our duties under Section 2-90 of the Connecticut General Statutes. The scope of our audit included, but was not necessarily limited to, the fiscal years ended June 30, 2023 and 2024. The objectives of our audit were to evaluate the:

1. Branch's internal controls over significant management and financial functions;
2. Branch's compliance with policies and procedures internal to the branch or promulgated by other state agencies, as well as certain legal provisions; and
3. Effectiveness, economy, and efficiency of certain management practices and operations, including certain financial transactions.

We conducted this performance audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

[Link to full report](#)

7 Findings

2 Repeat Findings

Our audit identified internal control deficiencies; instances of noncompliance with laws, regulations, or policies; and a need for improvement in practices and procedures that warrant management's attention.

NOTEWORTHY FINDINGS



Findings

The Judicial Branch did not have adequate internal controls over ballistic vests. Our review of loss reports submitted during the audited period disclosed that the Judicial Branch reported 30 ballistic vests as missing or unrecoverable. The branch subsequently discovered three vests and 27 remained missing. The Judicial Branch did not perform a thorough review into the missing vests.

The Judicial Branch developed a high-level disaster recovery plan. The plan lacks sufficient detail to enable information technology professionals to restart and restore critical applications. In addition, the Judicial Branch did not update or annually test its disaster recovery plan during the audited period. The Judicial Branch has not updated its disaster recovery plan since October of 2020.

Our review of 25 Judicial Administrative Services Management Information Network (JASMIN) terminated employee user accounts disclosed six instances in which the Judicial Branch could not provide support that it disabled the employees' accounts.

The Judicial Branch's internal audit unit reports to the branch's Administrative Services Division. The division is one of five administrative divisions that reports to the chief court administrator. The internal audit unit does not have adequate organizational independence under this reporting structure.



Recommendations

The Judicial Branch should strengthen internal controls over asset accountability to safeguard restricted items and ensure compliance with the requirements of the State Property Control Manual and Court Support Services Division Policy and Procedures Manual (Recommendation 1).

The Judicial Branch should develop a more comprehensive disaster recovery plan. The Judicial Branch should update and annually test its disaster recovery plan (Recommendation 4).

The Judicial Branch should strengthen internal controls to ensure that it deactivates system access immediately upon a user's separation (Recommendation 5).

The Judicial Branch's internal audit unit should report directly to the chief court administrator (Recommendation 6).