Rule 9-110. Implementation of Internal Control Self-Assessment recommendations for justice courts.

Intent:

This rule establishes procedures and timelines for the implementation of recommendations arising from an Internal Control Self-Assessment conducted by the Audit Department ("ICSA") in justice courts. The rule is intended to promote timely compliance with applicable laws, policies, and internal control standards, and to strengthen financial and administrative practices in justice courts.

Applicability:

This rule applies to all justice courts that complete an ICSA administered by the Audit Department.

Statement of the Rule:

(1) **Definitions.**

(1)(A) "**Exit conference**" means the meeting held between the Audit Department and the justice court upon completion of an ICSA to review findings and recommendations.

(1)(B) "**Recommendations**" means actions identified in an ICSA report needed to improve court operations.

(2) **Implementation requirement.** Justice courts will implement all recommendations identified in its most recent ICSA within one year of the exit conference, unless otherwise approved by the Audit Department or the Management Committee for good cause shown.

(3) **Required review process.** Following completion of an ICSA, the following review process will apply:

(3)(A) **Exit conference.** Before issuing the final ICSA summary, the judge and court staff will participate in an exit conference with the Audit Department. The purpose of the exit conference is to review findings, clarify recommendations, and ensure understanding of required corrective actions.

(3)(B) **Six-month follow-up.** Approximately six months after the exit conference, the judge and court staff will meet with the Audit Department to review the status of implementation.

(3)(B)(i) If the Audit Department determines that no further action is required to implement the recommendations, it will issue a letter of compliance to the justice court.

(3)(B)(ii) If the Audit Department determines that additional action is required to implement the recommendations, the court will develop a written plan, in consultation with the Audit Department, to achieve full implementation within 90 days. The plan will be provided to the Board of Justice Court Judges.

(3)(C) **Nine-month review.** If recommendations have not been fully implemented nine months following the exit conference, the judge and court staff will provide a written report to the Board that details barriers to implementation and proposes appropriate next steps to achieve compliance. The judge may be invited to a Board meeting to discuss the report.

(3)(D) **One-year review.** If recommendations have not been fully implemented within one year after the exit conference, the judge and court staff will meet with the Management Committee, with participation from the Audit Director and the Court Level Administrator.

(3)(D)(i) The Management Committee may review the court's compliance status and implementation efforts.

(3)(D)(ii) The Management Committee may consider appropriate actions, including continued monitoring, additional support measures, or referral for decertification proceedings as provided by applicable rules.

(4) **Responsibilities.**

(4)(A) **Justice court judge and staff.** The judge and court staff are responsible for timely implementation of all ICSA recommendations and participation in all required meetings under this rule.

(4)(B) **Audit Department.** The Audit Department will conduct ICSAs, facilitate exit conferences, provide guidance on implementation, monitor progress, and issue letters of compliance once all recommendations have been implemented.

(4)(C) **Board of Justice Court Judges.** The Board will provide oversight and support at the nine-month review stage to assist courts in achieving compliance.

(4)(D) **Management Committee.** The Management Committee will review courts that have not achieved compliance within one year and determine appropriate next steps.

(5) Effective date. This rule applies to all ICSAs completed on or after November 1, 2026.

Effective: November 1, 2026